Metro-North Railroad

# OPERATING RULES

# Effective February 27, 2011

## FOR EMPLOYEES ONLY

**R. E. Lieblong**
*Senior Vice President – Operations*

MN-400 (2-11)

The Metro-North Railroad **Operations Manual** is the term applied to the binder that includes the Operating Rules (MN-400), Employee Timetable, and the following supplemental documents:

- Equipment Operating Instructions (MN-401)
- Electrical Instructions for Operating Employees (MN-290-OP)
- Emergency Instructions

Each employee of Metro-North and tenant railroads governed by these rules is responsible for ensuring that their copy of the Operations Manual is complete and up-to-date for all materials they are required to maintain, in accordance with the applicable section of Operating Rule 1.

The **Operating Rules** are divided into four sections:

- **Section I**, *Purpose and Scope*, provides general information.
- **Section II** consists of Rules A through H, *Employee Rules of Conduct*.
- **Section III**, *Definitions* contains those abbreviations and definitions used in the Operating Rules and in other operating documents.
- **Section IV** contains the numbered *Operating Rules,* 1 through 23. Each rule may have sub-sections.

| | |
|---|---|
| Rule 1 | Qualifications, Responsibilities, and Duties |
| Rule 2 | General Orders, Bulletin Orders, General Notices, and Operations Notices |
| Rule 3 | Reporting for Duty |
| Rule 4 | Communicating Signals |
| Rule 5 | Communications Devices |
| Rule 6 | Headlight and Markers |
| Rule 7 | Train Operation |
| Rule 8 | Passenger Train Operation |
| Rule 9 | Freight Train Operation |
| Rule 10 | Movement Permit Form M |
| Rule 11 | Signal Aspects and Indications |
| Rule 12 | Operation under Manual Block System Rules |
| Rule 13 | Operation under Interlocking Rules |
| Rule 14 | Operation under Centralized Traffic Control Rules |
| Rule 15 | Operation under Cab Signal System Rules |
| Rule 16 | Blue Signal Protection of Workers |
| Rule 17 | Equipment |
| Rule 18 | Highway Grade Crossings |
| Rule 19 | Operation of Switches, Signals, and Interlocking Appliances |
| Rule 20 | Rusty Rail Conditions |
| Rule 21 | Removing Tracks from Service |
| Rule 22 | Protection of Work Areas |
| Rule 23 | Movement of Track Cars |

# SECTION I - PURPOSE AND SCOPE

**NAME**
The legal name of MTA Metro-North Railroad is Metro-North Commuter Railroad Company, hereafter referred to as *the Company* or *MNR*.

**MISSION STATEMENT**
The mission of MTA Metro-North Railroad is to preserve and enhance the quality of life and economic health of the region we serve through the efficient provision of transportation service of the highest quality.

**SCOPE**
1. All employees in the following crafts are governed by and must be qualified on the Operating Rules:

    - Train and engine service employees
    - Rail Traffic Controllers
    - Yardmasters
    - MW Foremen
    - Track Car Drivers
    - Employees responsible for the supervision of workers in these crafts.

2. Employees in other crafts and positions may be required to be governed by the Operating Rules at the discretion of Department Heads or the Senior Vice President – Operations.

3. All employees governed by these rules are subject to efficiency testing by supervision.

**SUGGESTIONS**
All employees are encouraged to make suggestions to their supervisor or any Company official on matters intended to promote safety, efficiency, or service.

**GENDER REFERENCES**
In all rules and instructions issued by the Operating Division the masculine pronouns will be used for clarity and ease of reading, and will apply equally to male and female persons.

**EFFECTIVE DATE**
These operating rules take effect on February 27, 2011 and supersede all previous operating rules.

# SECTION II – EMPLOYEE RULES OF CONDUCT

**NOTE TO EMPLOYEE RULES OF CONDUCT**
In the application of Employee Rules of Conduct A through E, G and H, an employee is considered *on duty* from the time he reports to begin his assignment until he is released from his assignment. An employee is considered to be *performing service* when he is required to engage in activities directly associated with his job responsibilities. Assigned break periods, meal periods, swing time, and deadheading are, for the purposes of these rules, considered time on duty but not time performing service.

The definitions of on duty and off duty in these rules do not apply to hours of service reporting as contained in Rule F and applicable Federal regulations.

## RULE A
**SAFETY**

1. Safety is of first importance. In case of doubt or uncertainty, the safe course must always be taken.

2. When reporting for duty, employees whose duties require coordination with other employees must hold a safety briefing to review operational and safety conditions. If these conditions change, employees must hold an additional job briefing to discuss the new conditions.

3. Employees must keep work areas clean, neat, and free from clutter or any condition that could contribute to accidents or injuries.

4. Employees must take every precaution to prevent fires. When fires occur on or near Company property, the OCC must be notified immediately and appropriate assistance requested. Employees should note the location of fire extinguishers and become familiar with their operation.

5. Employees must render immediate assistance to any employee, customer, or other person injured or taken ill on Company property. Proper authorities must be notified by the quickest means possible, and arrangements made to secure necessary medical attention.

   Employees on the scene of any accident or incident involving railroad equipment will make themselves known to the senior Company official on the site and will assist in any way possible, under the direction of the train crew, emergency responders, or Company officers.

6. Employees must notify the OCC immediately when accidents, incidents, or injuries occur on Company property. Full written reports must be completed in accordance with Company policy. The names and addresses of all witnesses must be obtained. When injuries are caused by appliances on engines or cars, or by tools or machinery, such equipment must be immediately inspected and, if defective, properly identified, removed from service if possible, and persons must be protected against injury.

7. Employees involved in an accident or incident on Company property or involving Company equipment will not leave the scene of the accident or incident until authorized by a MNR supervisor, except:

   - When accompanied or transported by emergency service workers for immediate medical attention; or
   - As directed by the police.

   This rule also applies to employees of foreign railroads when involved in accidents or incidents on MNR territory.

**RULE B**
**APPLICATION OF RULES AND INSTRUCTIONS**

1. Employees will comply with the Operating Rules, all printed rules and instructions related to their occupation and craft, and all instructions issued by the Senior Vice President – Operations, Assistant Vice President – Operations Services, and other designated officers.

2. If in doubt as to the meaning of any rule or instruction, employees must request an explanation from the proper authority.

3. Employees of other railroads while on duty on MNR territory will be governed by MNR rules. MNR employees while on duty on other railroads, will be governed by the rules of that railroad.

**RULE C**
**REQUIRED EMPLOYEE CONDUCT**

1. At all times, employees are required to:

   a. Report by the quickest available means of communications any accidents, defects, vandalism, or other unusual conditions that may affect the movement of trains or the safety of employees, customers, or the general public. Where appropriate, protection must be provided.
   b. Make every effort to prohibit unauthorized persons from gaining access to engines, trains, equipment, and other Company property. Unidentified persons or suspicious activity on or about Company equipment or property must be reported immediately to the MTA Police or Company officials.
   c. Protect all Company property. Company-issued manuals, keys, access cards, and security codes entrusted to employees remain Company property, and must be secured at all times and not given or divulged to persons not qualified or authorized to use them. The loss or theft of such items must be immediately reported to employee's supervisor.
   d. Report for duty at the required time at the designated location.
   e. Promptly report and care for any misplaced property found on Company premises. Articles left on trains or Company property by customers must be handled in accordance with applicable Lost and Found policies.

2. While on duty on Company property, employees are required to:

   a. Display their valid Employee Identification Card in a visible location on their person.
   b. Make every effort to see that all rules and instructions are carried out, and promptly report any violations to the proper official.
   c. Display Company parking permit from rear view mirror of vehicle when parked on Company property.

3. While performing service:

   a. Employees must devote themselves exclusively to the Company's service.
   b. Employees required to wear a uniform must present a neat appearance and wear all required parts of the uniform, including hat and badges. Uniforms must be kept clean and in good condition. Unauthorized pins, badges, and other adornment may not be worn with the uniform.

**RULE D**
**PROHIBITED EMPLOYEE CONDUCT**

1. At all times, employees are prohibited from:

   a. Engaging in any conduct that adversely affects the performance of their duties, employees, customers, or that discredits the Company.
   b. Any act of insubordination, hostility, or willful disregard of the Company's interests.
   c. Abusing, misusing, defacing, or deliberately damaging or destroying Company property, tools, and equipment.
   d. Unauthorized possession, removal, or disposal of any material from Company property.
   e. Absenting themselves from duty or engaging a substitute to perform their duties without permission, or unsatisfactory attendance as defined in Company or Departmental policies. Employees subject to call must not absent themselves from their usual calling place without notice to those required to call them.
   f. Engaging in any type of work, business, or activity that interferes with proper rest or performance of their railroad duties.
   g. Riding or walking on the roof of any moving equipment. Train and engine service employees are prohibited from going on the roof of any engine or car at any time.
   h. Altering, nullifying, or in any manner restricting or interfering with the normal intended function of any device or equipment on engines, cars,
      or other railroad property, unless done in accordance with the applicable rules due to equipment or other failure. Such actions must be reported to the OCC and on the prescribed forms.
   i. Illegally possessing or selling a drug, narcotic, or other controlled substance.

2. While on duty, or at any time on Company property, employees are prohibited from:

    a. Possessing firearms and other dangerous weapons, unless authorized in writing by the Senior Vice President – Operations.
    b. Participating in gambling, fighting, or any other illegal, immoral, or unauthorized activity.

3. While on duty, subject to duty, or at any time in areas of Company property not accessible to the general public, employees are prohibited from having alcoholic beverages or intoxicants in their possession.

4. While performing service, employees are prohibited from:

    a. Reading anything other than Company authorized materials.
    b. Sleeping or assuming the attitude of sleep.

5. Smoking and carrying lighted smoking materials is prohibited at all times in all MNR facilities, including buildings, offices, on rail equipment (including locomotives, cab areas, freight equipment, and passenger cars in revenue or non-revenue service), in Company vehicles, and in any other area where smoking is prohibited by law, ordinance, or regulation. Smoking, carrying lighted smoking materials, or using other forms of tobacco is prohibited at all times while serving customers.

6. Use of electronic devices while on duty

    NOTE: Use of an electronic device means use of a mobile telephone or another electronic device to conduct a verbal communication; place or receive a telephone call; send or read an electronic mail message or text message; play a game; navigate the Internet; play, view, or listen to a video; play, view, or listen to a television broadcast; play or listen to a radio broadcast other than a radio broadcast by a railroad; play or listen to music; execute a computational function, or to perform any other function that is not necessary for the health or safety of the person and that entails the risk of distracting the employee from a safety-critical task.

    Personal electronic device means an electronic device that was not provided by the railroad. A device intended to accommodate a disability, such as a hearing aid, is not covered by this definition.

    Employees are prohibited from use of an electronic device when performing safety critical tasks. Earpieces or headphones from any such device must be removed from the ear. In particular, this includes, but is not limited to:

    a. while operating on-track equipment,
    b. when providing Roadway Worker Protection,
    c. when fouling a track.

Employees must not use and must power off all personal electronic devices and company provided mobile telephones whenever they are in the controlling cab of a train. Earpieces or headphones from any such device must be removed from the ear.

Train and Engine Service Employees must not use and must power off all personal electronic devices when engaged in or connected with the movement of a train or equipment (personal electronic devices must be powered off prior to boarding the train) or when engaged in or connected with switching operations. Earpieces or headphones from any such device must be removed from the ear.

Rail Traffic Controllers, Power Directors, and Yardmasters must not use and must power off all personal electronic devices while performing the safety-critical functions of their jobs. Earpieces or headphones from any such device must be removed from the ear.

**Exceptions:** Railroad authorized radio.
Mobile telephones in event of an emergency involving the operation of the railroad.

**RULE E**
**BUSINESS AFFAIRS OF THE COMPANY**

The business affairs of the Company, information contained in its files, and privileged or confidential reports must not be divulged to persons outside the Company.

Nevertheless, employees, other than managerial and supervisory employees, have the right if they so choose under federal law to provide statements or information, other than copies of materials in the Company's files or materials marked *Privileged* or *Confidential,* to an injured employee or his representative (or deceased employee's representative) concerning the facts about that employee's injury or death.

If an accident does not involve the injury to or death of an employee, all employees are prohibited to give any statements or information to persons outside the Company concerning that accident unless they are directed or authorized by an appropriate official of the Company to provide that information.

When an employee is served with a subpoena, summons, or other legal process in which the Company is, or may be, interested, requiring the employee to report to any attorney, court, or officer, the employee must immediately notify the head of the department in which employed and also the Legal Department of the Company, and the employee will be governed by the instructions received.

In the event an employee is required to furnish a written or recorded statement to a police officer in connection with the affairs of the Company, the employee may request representation by the Metro-North Legal Department prior to giving any statement, unless the statement is requested by an MTA Police Officer.

Employees and authorized personnel of other railroads and organizations entrusted with Company publications such as the Operating Rules, Employee Timetable, Equipment Operating Instructions, or General Safety Instructions, or having access to other printed matter containing Company rules, regulations, instructions, procedures, policies, plans, specifications, statistics, revenues, car movement data, or other Company business, must not loan or give away such materials, nor permit anyone except authorized persons to have access thereto, nor divulge, verbally or otherwise, without proper authority any of the information contained therein to anyone other than authorized individuals. Employees and authorized individuals in possession of Company materials must return such items to the proper authority upon leaving Company employment or when ceasing work on the railroad. When publications or materials become obsolete and are no longer in effect, they must be destroyed or turned in to the proper authority for disposal.

**RULE F**
**HOURS OF SERVICE REQUIREMENTS**

1. Employees subject to the Federal Hours of Service Act must familiarize themselves with this Act and comply with its requirements. They must not exceed the maximum hours permitted by law unless authorized by the RTC or other designated official.

2. An employee ordered to report for duty without the rest required by law must report this fact to the person ordering him to report.

3. An employee must not accept an assignment if they cannot complete the assignment within the maximum hours permitted by law, unless such service is authorized by the RTC or other designated official.

4. Train and engine service employees in passenger service must notify the RTC one hour before the expiration of their legal work time if they have reason to believe that they will not be able to complete their assignment within that period. Train and engine service employees in other than passenger service must notify the RTC three hours before the expiration of their legal work time. Train and engine service employees in covered service whose final release is scheduled before midnight and are required to remain on duty beyond midnight, for any reason, must contact the crew dispatcher immediately upon completion of that assignment to report their adjusted final release time.

5. Train and engine service employees must complete an hours of service report on a daily basis and keep the report with them while on duty for inspection by proper authority. Employees are responsible for the accuracy and completeness of such reports. Hours of service reports must be submitted within 16 days of completing the assignment.

6. Employees other than in train and engine service who are subject to hours of service reporting will maintain and submit such reports in accordance with their departmental instructions.

**RULE G**
**DRUG AND ALCOHOL USE**

1. Employees are prohibited from reporting for service, going on duty or remaining on duty while under the influence of or when impaired by alcohol.

2. Employees are prohibited from using a controlled substance at any time, whether on or off duty, except as provided in paragraph 3 of this Rule.

3. Employees are prohibited from reporting for service, going on duty or remaining on duty while using or being under the influence of any prescription or over-the-counter drug or medication that can adversely affect their alertness, coordination, reaction, response, or safety. Employees must have the authorization of the Company Medical Review Officer prior to performing service while taking any drug or medication that is labeled with a warning related to adverse effects in any of the above areas.

4. Employees subject to drug and alcohol testing under Company policy or Federal regulations who refuse to provide samples when required are in violation of this rule. Such violation may lead to disciplinary action and penalties up to and including dismissal.

**RULE H**
**GOOD FAITH CHALLENGE**

1. An employee qualified on, and governed by, the Metro-North Operating Rules has the right to challenge, in good faith, any directive that would violate a Metro-North rule or instruction in the following areas:
    a. Operating Rules
    b. Timetable
    c. Equipment Operating Instructions
    d. Electrical Instructions
    e. Emergency Instructions
    f. General Safety Instructions
    g. Bulletin Orders and General Notices
    h. Roadway Worker Safety Manual

    Once a good faith challenge is made the employee has the right to refuse to act on the directive until the challenge is resolved. The challenging employee may be directed to perform other tasks unrelated to the challenge.

    Another qualified employee may perform the challenged task, once this employee is informed of the challenge and does not also make a good faith determination that the task would violate a rule.

2. Employee Responsibility

    An employee shall immediately inform the supervisor whenever he makes a good faith determination that he has been directed to violate a rule.

    An employee may only challenge a rule on which he is qualified.

3. Good Faith Challenge Procedure

An employee invoking a challenge must proceed in the following manner:

a. Inform the supervisor who has issued the directive that complying with it would violate one or more rules and/or instructions. Whenever possible identify the rule or instruction.
b. Inform the supervisor of all pertinent conditions involved to ensure that he is aware of the basis of the challenge.
c. If the employee making the challenge is working with one or more other employees, he will immediately conduct a safety briefing, reviewing information provided in steps 1 and 2 with all involved parties.

A challenge may be resolved without a second supervisor review or completion of a good faith challenge form by one of the following:

a. A supervisor's acceptance of the challenge. The supervisor and employee will determine safe procedures to complete the task.
b. The challenging employee accepts the directive.
c. A compromise solution acceptable to both parties.

4. Procedure When Being Ordered to Comply with a Directive

The challenging employee(s) must request a second review by another supervisor.

The following is a listing of supervisors responsible for conducting a second review of a challenge:

| *Operations Services* | *Maintenance of Equipment* | *Engineering* |
|---|---|---|
| Operations Managers | Foremen | Assistant Supervisors |
| District Superintendents | General Foremen | Supervisors |
| Line Superintendents | Facility Directors | Managers |
| General and System Road Foremen | Superintendent | |
| Chief Rail Traffic Controllers | | |
| Operating Rules Dept. Supervisors | | |

Operations Services supervisors are listed in Timetable SI APPENDIX 2 with contact information listed in Timetable SI APPENDIX 3.

The second reviewing officer must not be the supervisor who issued the challenged directive or that person's subordinate.

A supervisor may only issue a directive or be a reviewing officer on rules on which he is qualified.

The second reviewing supervisor may resolve the challenge by:

a. Overruling the original supervisor, or
b. Suggesting an alternative acceptable to all parties, or
c. Ordering the employee(s) to comply with the original supervisor's directive.

If a directive being challenged is issued by a Rail Traffic Controller, a Chief Rail Traffic Controller may be the second reviewing officer.

The employee will not be required to comply with the directive until completion of a second review.

An employee who adheres to these procedures when making a Good Faith Challenge, will not be subject to discipline for violation of a rule or instruction when being ordered to comply by a second reviewing supervisor.

An employee must document his challenge by completing the Good Faith Challenge Form (MN-GFCF) whenever requesting a second review by another supervisor, prior to his completion of tour of duty. He must submit a copy to a supervisor listed in Timetable SI APPENDIX 2, or other identified supervisor, also prior to his completion of tour of duty. A written response from the Rules Department will be issued within 30 days of submission.

The good faith challenge is not intended to abridge any rights or remedies available to the employee under a collective bargaining agreement or any other federal law.

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# SECTION III – DEFINITIONS

## A. ABBREVIATIONS

The following abbreviations are used in the Operating Rules, Employee Timetable, and other official Operating Division documents, and may be used on Form Ms.

| | |
|---|---|
| **ADU** | Aspect Display Unit |
| **ATC** | Automatic Train Control |
| **ATS** | Automatic Train Stop |
| **Ave** | Avenue |
| **BO** | Bulletin Order |
| **BDA** | Blocking Device Applied |
| **BDR** | Blocking Device Removed |
| **Cat** | Catenary Pole |
| **Cdr** | Conductor |
| **C&E** | Conductor and Engineer |
| **C&S** | Communications and Signals Department |
| **CP** | Controlled Point |
| **CSS** | Cab Signal System |
| **CTC** | Centralized Traffic Control |
| **DH** | Deadhead train |
| **DPO** | Drop Pantograph Order |
| **DTOBO** | Daily Train Operations Bulletin Order |
| **EL** | Electrical Operating Instruction |
| **Eng** | Engine |
| **Engr** | Engineer |
| **EOB** | End of Block sign |
| **ft** | Feet |
| **Frm** | Foreman |
| **Frt** | Freight |
| **GCT** | Grand Central Terminal |
| **GN** | General Notice |
| **GO** | General Order |
| **hrs** | Hours |
| **in** | Inches |
| **Int** | Interlocking |
| **IR** | Interlocking Rules |
| **Jct** | Junction |
| **lbs** | pounds |
| **LSL** | Locomotive Speed Limiter |
| **MAS** | Maximum Authorized Speed |
| **MBS** | Manual Block System |
| **MNR** | Metro-North Railroad |
| **MP** | Milepost |
| **MPH** | Miles per hour |
| **MU** | Multiple Unit Car |
| **MW** | Maintenance of Way, including Track and Structures (T&S), Communications and Signals (C&S) and Power Departments |

| | |
|---|---|
| **M of E** | Maintenance of Equipment (Mechanical) Department |
| **No** | Number |
| **OCC** | Operations Control Center |
| **OHS** | Occupational Health Services Department |
| **OK** | Correct |
| **ON** | Operations Notice |
| **OSD** | Operations Services Department |
| **Psgr** | Passenger |
| **QMP** | Qualified Maintenance Person |
| **Rd** | Road |
| **RTC** | Rail Traffic Controller |
| **SBO** | Summary Bulletin Order |
| **SI** | Special Instruction |
| **St** | Street |
| **TBL** | Temporary Block Limit |
| **TRK** | Track |
| **TC** | Track Car |
| **TT** | Timetable |

Months of the Year
**Jan, Feb, Mar, Apr, May, Jun, Jul, Aug, Sep, Oct, Nov, Dec**

Where numerical representations are used for dates, it will be in the format "Month/Day/Year" or "Month/Day"

Directions
**N –** north
**E –** east
**S –** south
**W -** west

**B. BLOCK**

ABSOLUTE BLOCK – A block established between block limit signals or controlled signals in which no train is permitted to enter while it is occupied by another train or equipment.

BLOCK - A length of track of defined limits, the use of which is governed by block limit signals, cab signals, or Form M.

CONTROLLED BLOCK – The block, or series of consecutive blocks, between successive controlled signals in CTC territory.

MANUAL BLOCK - A length of main track between two successive block limit signals.

REVERSE MOVEMENT – A movement opposite the direction previously authorized.

## C. EMPLOYEE CLASSIFICATIONS

CONDUCTOR-FLAG – A qualified train service employee assigned to provide protection to work areas on or adjacent to the right-of-way where other than railroad employees are working.

ENGINE SERVICE EMPLOYEE – A qualified employee certified to operate engines.

TRAIN SERVICE EMPLOYEE – An employee assigned to the duties associated with the following job titles: Conductor, Assistant Conductor, and Conductor-Flag.

## D. EQUIPMENT AND TRAINS

DEADHEAD TRAIN – A passenger train on which no revenue passengers are carried.

ENGINE – A unit, other than a track car, propelled by any form of energy, or a combination of such units operated from a single control, used in train or yard service. Engines include diesel and electric multiple unit cars.

EQUIPMENT – Railroad cars, engines, or track cars.

EXTRA TRAIN – A train not designated by timetable schedule or bulletin order. It may be designated either "Extra" or "Passenger Extra". The direction of travel must be included in the designation; for example: "Extra 2024 East".

FREIGHT TRAIN – Any train that is not a passenger train.

LEAD UNIT - The first piece of equipment on a train in the direction of movement.

LIGHT ENGINE – An engine consisting of one or more units without cars. Does not apply to multiple-unit cars.

M-SERIES EQUIPMENT – Multiple-unit passenger cars of the M-2, M-3, M-4, M-6, M-7, or M-8 series.

MARKER – A reflector, flag, light, or highly visible end-of-train or marking device affixed to the rear of a train to indicate that the train is complete.

NON-SHUNTING EQUIPMENT – Equipment that may not shunt track circuits, including a single light engine, a single MU car or a single pair of MU cars, track cars, and equipment indicated in the Timetable Special Instructions.

PASSENGER TRAIN – A train made up of cars designed to carry passengers, baggage, mail, or express.

SCHEDULED TRAIN – A train designated by timetable schedule or bulletin order.

TRACK CAR – Specialized equipment, including highway rail vehicles, operated on track for inspection or maintenance purposes.

TRAIN – Multiple-unit cars coupled, or an engine, with or without cars, displaying a marker.

**E. INTERLOCKINGS**

INTERLOCKING – An arrangement of signals and appliances so interconnected that their movements must succeed each other in proper sequence and for which interlocking rules are in effect.

INTERLOCKING APPLIANCE - A movable apparatus within an interlocking that either allows or prevents movements over designated routes, including switches, movable frogs, mitre rails, and derails.

An interlocking appliance is blocked when an approved device is applied to the control console that prevents the control for that appliance from being operated.

An interlocking appliance is secured when a qualified employee either applies an approved device to the appliance that prevents it from operating, or electrically disables the appliance and mechanically locks it in the required position.

INTERLOCKING LIMITS – The tracks between the extreme opposing signals of an interlocking.

**F. MEETS**

MEET - In single track MBS territory, the passing of trains in opposite directions at a siding.

**G. PILOT**

PILOT – A qualified employee assigned to a train or track car when the engineer, conductor, or track car driver is not qualified on the physical characteristics or rules of the railroad or portion of the railroad over which movement is to be made.

**H. REPAIR LOCATIONS**

DESIGNATED REPAIR FACILITY – A yard, terminal, or other location, designated in the timetable, where repairs to engines and cars can be made.

REPAIR POINT – A yard, terminal, or other location, not a Designated Repair Facility, where Mechanical personnel are available to inspect and perform minor repairs to equipment.

## I. SIGNALS

ASPECT – The appearance of a fixed signal conveying an indication viewed from the direction of an approaching train; the appearance of a cab signal conveying an indication viewed in the engine control compartment.

BLOCK LIMIT SIGNAL – A fixed signal indicating the limit of a block under MBS rules.

BLUE SIGNAL - A blue light (lit or extinguished), blue flag, blue sign, or an activated and illuminated integral blue light, displayed on a train or any piece of equipment, or at hand-operated switches, or on derails.

CAB SIGNAL – A signal located in the engine control compartment indicating a permissible speed.

CONTROLLED SIGNAL - A fixed signal capable of displaying a Stop indication that is controlled by the RTC.

DISTANT SIGNAL – A fixed signal used to govern the approach to an interlocking signal.

FIXED SIGNAL – A signal or sign of fixed location affecting the movement of trains or track cars.

INDICATION – The information conveyed by the aspect of a signal.

INTERLOCKING SIGNALS – The fixed signals of an interlocking.

PROCEED INTERLOCKING SIGNAL - An interlocking signal displaying other than Stop Signal.

## J. SPEEDS

MAXIMUM AUTHORIZED SPEED – The maximum speed authorized by the Operating Rules and Timetable.

LIMITED SPEED – Not exceeding **45 MPH** for passenger trains, and not exceeding **25 MPH** for other trains.

MEDIUM SPEED – Not exceeding **30 MPH** for passenger trains, and not exceeding **15 MPH** for other trains.

SLOW SPEED – Not exceeding **15 MPH**.

## K. STATIONS

BLOCK LIMIT – A place where a block limit signal is displayed.

CONTROLLED POINT (CP) – A station where signals are remotely controlled from the Operations Control Center.

PASSENGER STATION – A place designated in the station pages of the Timetable where passengers are received and/or discharged.

STATION – A place designated in the station pages of the Timetable by name.

## L. SWITCHES AND DERAILS

CLEARANCE POINT – The location near a turnout beyond which it is unsafe for passage on an adjacent track.

DERAIL – A non-interlocked derail, hand operated or motor powered, which is affixed to the rail in a permanent nature, as opposed to a portable device.

DUAL-CONTROL SWITCH – An interlocked switch also equipped for hand operation.

ELECTRICALLY LOCKED SWITCH – A hand-operated switch equipped with an electrically controlled device that restricts the movement of the switch.

FOULING A TRACK – Having the end of equipment in such proximity to a connecting track that insufficient clearance exists between tracks, and movement on connecting track would result in collision.

HAND-OPERATED SWITCH – A switch that can only be operated manually.

INTERLOCKED SWITCH – A switch within interlocking limits, the control of which is interlocked with other functions of the interlocking.

POWER SWITCH – A motor-powered, non-interlocked switch that can also be operated manually.

SWITCH – Two movable rails and necessary connections designed to permit movement from one track to another.

**M. TERRITORIES**

LINE – That portion of the railroad designated by Timetable.

BRANCH – That portion of a line designated by Timetable.

**N. TIMETABLE**

BULLETIN ORDER (BO) – Order issued by authority of the Senior Vice President – Operations that contains temporary items affecting the movement of trains. Bulletin Orders remain in effect until fulfilled or cancelled.

DAILY TRAIN OPERATIONS BULLETIN ORDER (DTOBO) – Order issued by authority of the Senior Vice President – Operations containing Working Limits Stop Sign locations (Rule 22-A), temporary speed restrictions, and other safety critical instructions and information.

GENERAL NOTICE (GN) – Notice issued by authority of the Assistant Vice President – Operations Services that contains instructions that do not affect the movement or operation of trains.

GENERAL ORDER (GO) – Order issued by authority of the Senior Vice President – Operations that contains permanent changes in Operating Rules, the Employee Timetable, or other Operating Manuals.

OPERATIONS NOTICE (ON) – Notice issued by authority of the Senior Vice President - Operations that contains items of an advisory, explanatory, and/or cautionary nature related to Operating Rules, Timetable, and other instructions.

OPERATING SCHEDULE – That part of the Timetable that shows direction, train number, frequency, and times for the movement of scheduled trains.

SUMMARY BULLETIN ORDER (SBO) – Order issued by authority of the Senior Vice President – Operations that contains all information remaining in effect from previously issued Bulletin Orders (except DTOBOs).

TIMETABLE (TT) – The document containing line and system special instructions that affect the movement of trains and equipment, plus the Employee Operating Schedule.

**O. TRACKS**

CONTROLLED TRACK – A track under the control of an RTC.

INACCESSIBLE TRACK – A method of establishing working limits on a non-controlled track by physically preventing the entry and movement of trains and equipment.

MAIN TRACK – A track designated in the Timetable where movements are authorized and controlled by a block signal system or interlocking rules.

NON-CONTROLLED TRACK – A track not under the control of an RTC.

SIDING – A track other than a main track, designated in the Timetable, for the purpose of meeting or passing trains.

SINGLE TRACK – A single main track in MBS territory.

WORKING LIMITS – A segment of track within defined limits upon which trains may operate only as authorized by the designated employee-in-charge.

YARD – An area consisting of one or more yard tracks, designated in the Timetable, under the control of a Yardmaster or other specified employee.

YARD TRACK – A track, other than a main track or siding, used for making up trains, storing cars and other purposes, and where movements must operate at **Restricted Speed not exceeding 10 MPH**.

**P. TRAIN CONTROL**

ALERTER – A device which detects the frequency of the engineer's movements and initiates a penalty brake application when the required frequency of such movement is not maintained or acknowledged.

ASPECT DISPLAY UNIT (ADU) – The device in the controlling cab on which cab signal aspects are shown.

AUTOMATIC TRAIN CONTROL (ATC) – A system that initiates a penalty brake application if the engineer fails to reduce speed in compliance with cab signal indications.

AUTOMATIC TRAIN STOP (ATS) – A system that initiates a penalty brake application if the engineer fails to acknowledge a more restrictive cab signal indication.

CENTRALIZED TRAFFIC CONTROL (CTC) – A method of operation, on tracks designated in the Timetable, where movements are authorized and governed by interlocking signals, cab signals, instructions issued by the RTC, or a combination of the above.

CONTROL CONSOLE - The apparatus by which the RTC controls switches, signals, and direction of traffic in CTC territory, and which displays track status and occupancy.

LOCOMOTIVE SPEED LIMITER (LSL) – A type of ATC system, found primarily on freight locomotives, that initiates a penalty brake application if the engineer fails to reduce speed in accordance with a defined braking profile.

MANUAL BLOCK SYSTEM (MBS) - A method of operation, on tracks designated in the Timetable, where movements are authorized and manually controlled by the RTC and governed by block limit signals and instructions issued on Form M.

OPERATIONS CONTROL CENTER (OCC) – The location from which RTCs control movements and perform their other duties.

TRAIN CONTROL APPARATUS – The equipment on an engine or cab car that receives and displays cab signals and controls the speed of the train in accordance with that signal. Train control apparatus includes the cab signal unit, the aspect display unit, the automatic train control, the automatic train stop, and all associated equipment.

# SECTION IV – OPERATING INSTRUCTIONS

## RULE 1
## QUALIFICATIONS, RESPONSIBILITIES AND DUTIES

**1-A** Employees whose duties require them to be qualified on the Operating Rules and Timetable must pass the required examinations. These employees must schedule and attend Operating Rules Class annually during the calendar quarter in which their date of birth occurs not to exceed 12 months.

Employees will be given a written examination on the Operating Rules and must obtain a score of at least 85%. When reporting for the examination they must present their Operating Rules book, Timetable and other instructions for inspection. Employees who fail this examination must take a second examination within 30 days.

Employees are responsible to maintain the Qualification Page(s) in a current condition and prepared for inspection.

**1-B** Employees covered by the Operating Rules who have not performed service on MNR for over 30 days must report to a Rules Examiner, Operations Manager, Supervisor of Locomotive Engineers – System, Conductor Compliance Officer, or other designated officer prior to accepting assignment for the purpose of:

- Reviewing the employee's qualifications,
- Reviewing any changes in rules, instructions, or physical characteristics, and
- Inspecting and updating the employee's Operations Manual.

**1-B(1)** Locomotive engineers returning to service must report to a Supervisor of Locomotive Engineers - System prior to accepting assignment.

**1-B(2)** Conductors returning to service must report to a Conductor Compliance Officer prior to accepting assignment.

**1-C** PERIODIC MEDICAL EXAMINATIONS

**1-C(1)** Employees in the following crafts are required to take periodic medical examinations:

- Train and engine service employees
- RTCs
- Yardmasters
- Chauffeurs and Truck Drivers
- MW Foremen qualified on the Operating Rules

**1-C(2)** Employees in the above crafts who are subject to hours of service regulations must take a medical examination once every three years. All other employees in the above crafts must take a medical examination once every two years.

**1-C(3)** Periodic medical examinations must be taken in the month of the employee's birth, unless otherwise directed by MNR Occupational Health Services (OHS).

**1-C(4)** Employees must secure the necessary "Request for Medical Service" form (Form MD-40) from their supervisor prior to taking the examination and must schedule the examination with the OHS.

**1-D** VISION REQUIREMENTS

**1-D(1)** Employees who require the use of corrective lenses to meet the vision standards for their position must:

- Wear such approved corrective lenses at all times while performing service.
- Wear such corrective lenses when reporting for and during examinations required for their position.
- Carry a second pair of corrective lenses while performing service and when reporting for examinations.

If the employee normally uses contact lenses for vision correction, the second pair of lenses must be standard eyeglasses.

**1-D(2)** Goggles with rigid frames and corrective lenses will be considered eyeglasses under this rule.

**1-D(3)** Tinted or colored lenses must not distort the color of signal aspects.

**1-E** RAIL TRAFFIC CONTROLLER (RTC)

**1-E(1)** Rail Traffic Controllers are in charge of the movement of trains and equipment on main and other tracks specified in the timetable, and issue instructions to employees connected with these movements.

**1-E(2)** RTCs report to the Chief Rail Traffic Controller.

**1-E(3)** RTCs are governed by the following operating instructions. They must maintain these documents and have them when reporting for duty and while performing service:

- Operating Rules (MN-400)
- Employee Timetable
- Equipment Operating Instructions (MN-401)
- Electrical Instructions for Operating Employees (MN-290-OP)
- General Safety Instructions
- Emergency Instructions

**1-E(4)** RTCs must be qualified on a dispatching district, including physical characteristics and the operation of all signals and interlocking appliances associated with that district, before accepting assignment to that district. An RTC who has not performed service on a dispatching district during the previous twelve months must not accept assignment to that position without approval of the Deputy Chief - OCC.

**1-E(5)** The duties of the RTC are:

a. To ensure the safe and efficient movement of trains and track cars, in accordance with schedules and special instructions;

b. To control the movement of trains and track cars and the use of controlled tracks, in accordance with the rules, by operation of control consoles and issuance of authorities and other instructions, either written, verbal or through electronic means;

c. To maintain written or electronic records of all train and track car movements and blocking devices applied and removed. If manual records are kept, train movements are recorded in black ink; track car and blocking device records are recorded in red ink;

d. To be aware of weather and other unusual conditions that may affect movements, and to notify the Chief RTC of any situation that may impact train operations;

e. To determine the cause of train delays and report this information as required;

f. To ensure, to the extent possible, that the operating rules are observed for all movements being controlled, and to report violations and irregularities related to the movement of trains and track cars or the handling of Form Ms;

g. To make a transfer to relieving RTCs. The transfer must include:

- The number of the last General Order, Bulletin Order, General Notice, and Operations Notice;
- All outstanding and unfulfilled Form Ms, Plate Orders, authorities, and messages;
- Any other information relevant to current train operations and any conditions that may affect the safe movement of trains.

The relieving RTC must understand all the information contained in the transfer, and must sign or electronically acknowledge the transfer in the presence of the RTC being relieved.

**1-F** LOCOMOTIVE ENGINEERS (Engineers)

**1-F(1)** Engineers are responsible for operating a train or locomotive.

**1-F(2)** Engineers report to the Assistant Vice President – Operations Services, and obey instructions of Supervisors of Locomotive Engineers, OSD Supervisors, RTCs and Yardmasters within their jurisdiction, and the conductor in charge of their train.

**1-F(3)** Engineers are governed by the following operating instructions. They must maintain these documents and have them when reporting for duty and while performing service:

- Operating Rules (MN-400)
- Employee Timetable
- Equipment Operating Instructions (MN-401)
- Electrical Instructions for Operating Employees (MN-290-OP)
- General Safety Instructions
- Emergency Instructions

**1-F(4)** Engineers must be qualified on the physical characteristics of the portion of the railroad over which they operate.

**1-F(5)** Engineers must be qualified on the type of equipment they operate.

**1-F(6)** The duties of the engineer are:

a. To operate their train safely and in accordance with all rules and instructions;

b. To observe and comply with the indications of all fixed signals, and all other signals affecting movement of their train;

c. When possible, to see that switches and derails immediately ahead of their train in the direction of movement are properly lined;

d. To operate their train at MAS, unless unable to do so because of conditions along the right-of-way or equipment malfunction;

e. To maintain a constant lookout ahead and not allow distractions to interfere with the operation of the train;

f. When acting as pilot, to operate the engine unless otherwise instructed;

g. To inspect their train and passing trains in accordance with Rule 17-C, when conditions permit;

h. In the event that there is no conductor or the conductor is incapacitated, to perform those duties of the conductor necessary to operate the train to a location where a conductor can be provided;

i. To complete such forms and reports as may be required.

**1-F(7)** SUPERVISION OF STUDENT ENGINEERS

a. Engineers will allow student engineers to operate their train only when this can be done safely and without causing unnecessary train delay.

b. Student engineers will operate only under the direct, personal supervision of the engineer.

c. The engineer is responsible for the proper operation of the train, in accordance will all rules and instructions, while the student engineer is operating.

d. Engineers must complete all required forms associated with the operation by the student engineer.

**1-F(8)** CERTIFICATION

a. Only a certified Locomotive Engineer, or a student engineer under the direct supervision of a certified Locomotive Engineer, is permitted to operate a train or locomotive.

b. All engineers must carry a valid Locomotive Engineer certificate issued by MNR while on duty.

c. Engineers are responsible for ensuring the accuracy of information on the certificate.

d. Certificates may not be laminated.

e. Certificates must be displayed to Operations Services Supervisors, Supervisors of Locomotive Engineers, Rules Examiners, or Federal Railroad Administration inspectors when requested.

f. Damaged or illegible certificates must be replaced. Engineers must make arrangements with a Supervisor of Locomotive Engineers for a temporary certificate prior to their next assignment if a permanent replacement cannot be secured. Permanent certificates are issued only by the Supervisors of Locomotive Engineers - System.

g. Engineers must notify the RTC immediately if they discover that they do not have their certificate in their possession while operating a train. When authorized by the RTC, the engineer may then complete his assignment for that day.

h. Certificates are valid for a period of 36 months from the date issued. Engineers are responsible for notifying a Supervisor of Locomotive Engineers - System sixty days before expiration of their certificate.

i. Engineers must be tested annually, while operating a train or engine, by a Supervisor of Locomotive Engineer. Such skills performance testing may be conducted on a Type 2 simulator; however, simulator testing may not be used for more than two annual tests within any 36 month period.

j. Engineers must report to a System Road Foreman of Engines any suspension of their driver's license or motor vehicle related conviction within three days of final judgement.

**1-G** TRAIN SERVICE EMPLOYEES

**1-G(1)** Train service employees are responsible for the prompt movement and safety of their trains. Train service employees in passenger service are also responsible for revenue collection and ensuring the safety, comfort, and convenience of the customers. Unless otherwise noted, all instructions in this section apply equally to conductors and assistant conductors.

**1-G(2)** Train Service Employees report to the Assistant Vice President – Operations Services, and will obey instructions of OSD Supervisors and RTCs, Yardmasters, and Revenue Accounting Supervisors within their jurisdiction. Assistant Conductors will obey the instructions of the conductor in charge of their train.

**1-G(3)** Train service employees are governed by the following operating instructions. They must maintain these documents and have them when reporting for duty and while performing service:

- Operating Rules (MN-400)
- Employee Timetable
- Equipment Operating Instructions (MN-401)
- Electrical Instructions for Operating Employees (MN-290-OP)
- General Safety Instructions
- On-Board Service Manual
- Emergency Instructions
- When assigned to protect work areas along the right-of-way, the Roadway Worker Safety Manual (RW-1)

**1-G(4)** Conductors must be qualified on the physical characteristics of the portion(s) of the railroad over which they operate.

**1-G(5)** The duties of train service employees are:

a. To operate their train safely and in accordance with all rules and instructions;

b. When working in passenger service, to collect revenue and provide customer service in accordance with all rules and instructions;

c. To take all necessary actions, consistent with safety and all applicable rules and instructions, to ensure that trains operate on schedule. They must not permit delays for avoidable reasons without permission of the RTC or OSD Supervisors;

d. To provide protection for their train when required and in accordance with the operating rules;

e. To perform duties associated with switching equipment;

f. To operate switches and perform other duties associated with yard operations;

g. When assigned or directed, to handle Company mail on trains;

h. To know the location and operation of brake valves, communicating buzzers, and emergency equipment on trains;

i. To inspect their train and passing trains in accordance with Rule 17-B, when conditions permit;

j. When working as a conductor-flag, to protect work areas on or adjacent to the right-of-way where contractor or other non-railroad employees are present, and to provide warning of approaching trains and other hazards for such persons;

k. To complete forms and reports as required.

**1-G(6)** In addition to Rule 1-G(5), the duties of the Conductor are:

a. To have charge over the train to which they are assigned and all employees working on that train, ensuring that all rules and instructions are followed;

b. To know the consist of their train, including any locomotives or cars that have operating restrictions; to inform the engineer of the number of cars on the train and any equipment-related restrictions; to inform the RTC if there is any equipment on the train that has operating restrictions;

c. On other than passenger trains, to ensure that only authorized persons ride, enter cars, or handle freight;

d. When necessary, to instruct employees on the performance of their duties.

**1-G(7)** CONDUCTOR CERTIFICATION

a. Only a certified conductor is permitted to perform the duties of a Conductor.

b. While on duty conductors must carry a valid certificate issued by MNR. Certificates are issued by the Office of Conductor Compliance.

c. Conductors are responsible for ensuring the accuracy of information on the certificate.

d. Certificates may not be laminated.

e. Damaged, illegible or lost certificates must be replaced. Conductors must contact the Office of Conductor Compliance for a replacement certificate before commencing their next assignment. Replacement certificates may be issued by Operations Managers.

f. Conductors must notify the RTC immediately if they discover that they do not have their certificate in their possession while on duty. When authorized by the RTC the conductor may complete his assignment for that day.

g. Certificates are valid for a period of 36 months from the date of issue. Conductors are responsible for notifying Office of Conductor Compliance sixty days before expiration of their certificate.

h. Conductors will be observed annually for operating rules compliance. Observations may be conducted on a Type 2 simulator. Simulator testing may not be used for more than two annual tests within any 36 month period.

i. Conductors must notify the Office of Conductor Compliance of any suspension of their driver's license or motor vehicle related conviction within three days of final judgment.

**1-G (8)** SUPERVISION OF STUDENT CONDUCTORS

a. Conductors will allow student conductors to perform the duties of a conductor when this can be done safely and without causing unnecessary train delay.

b. Student conductors will perform conductor duties only under the direct personal supervision of the conductor.

c. Conductors must complete all required forms associated with supervising student conductors.

**1-H** YARDMASTERS

**1-H(1)** Yardmasters are responsible for the proper makeup and prompt dispatchment of trains in their assigned territory.

**1-H(2)** Yardmasters report to the District Superintendent, and must obey instructions of OSD Supervisors. Yardmasters must obey instructions of RTCs on matters involving use of main tracks and switches.

**1-H(3)** Yardmasters are governed by the following operating instructions. They must maintain these documents and have them when reporting for duty and while performing service:

- Operating Rules (MN-400)
- Employee Timetable
- Electrical Instructions for Operating Employees (MN-290-OP)
- Equipment Operating Instructions (MN-401)
- General Safety Instructions
- Emergency Instructions

**1-H(4)** Yardmasters must be qualified on the physical characteristics and remote operation of yard switches in their assigned territory.

**1-H(5)** The duties of the Yardmaster are:

a. To supervise the movement of trains and engines and the handling of cars in their assigned territory;

b. To supervise yard employees and train and engine crews within the yard;

c. To ensure that, to the extent possible, trains have the proper consists and crews, are serviced as required, and are dispatched on schedule. Deviations from normal operation must be reported to the proper authorities;

d. To ensure that equipment requiring mechanical attention is identified to the proper offices and that movements to and from mechanical tracks and facilities are made promptly and as directed by Operations Services and Mechanical supervision;

e. To control the use of yard tracks, including the remote operation of yard switches where applicable, and ensure that proper protection is provided when required;

f. To maintain Company bulletin boards as required;

g. To complete forms and reports as instructed.

**1-I** TRACK CAR DRIVERS AND MW FOREMEN

**1-I(1)** Track Car Drivers and MW Foremen are responsible for the movement, safety, and care of track cars and employees in their charge. MW Foremen and Supervisors are responsible for the maintenance of the various components of the right-of-way in their assigned territories.

**1-I(2)** In those duties involving the movement of track cars and other equipment, or the use of tracks, signals, or interlocking appliances, Track Car Drivers and MW Foremen must obey the instructions of OSD Supervisors, RTCs, and Yardmasters within their jurisdiction. In all other matters, Track Car Drivers and MW Foremen report to and obey the instructions of MW Supervision.

**1-I(3)** Track Car Drivers and MW Foremen are governed by the following operating instructions. They must maintain these documents and have them when reporting for duty and while performing service:

- Operating Rules (MN-400)
- Employee Timetable
- General Safety Instructions
- Electrical Operating Instructions (MN-290), where applicable
- Roadway Worker Safety Manual (RW-1)
- Emergency Instructions

**1-I(4)** Track Car Drivers and MW Foremen will be governed by the same physical characteristics qualification requirements as apply to engineers and conductors.

**1-I(5)** The duties of the Track Car Driver and MW Foreman, as related to train operations, are:

a. To ensure the safe operation of track cars and other MW equipment in their charge, in accordance with the rules and instructions and movement authorities. When track car drivers and MW foremen are piloting equipment operators not qualified on the operating rules or physical characteristics, they are responsible for ensuring the safe operation of such equipment;

b. To ensure that railroad operations are not endangered by the operation of their equipment, and to immediately report to the RTC any condition that may affect train movements;

c. To inspect passing trains in accordance with Rule 17-B, when conditions permit.

**1-I(6)** In addition to Rule 1-I(5), the duties of the MW Foreman are:

a. To ensure that time limits shown on Bulletin Orders and mandatory directives for track car movements, track outages, and work areas are met to the maximum extent possible, and that the RTC is notified immediately of any condition that may prevent adherence to these time limits;

b. To ensure that necessary signs for speed restrictions, work areas, and other MW related activities are placed in accordance with the rules and instructions;

c. To ensure that there is no unnecessary train delay as a result of MW activities.

## RULE 2
## GENERAL ORDERS, BULLETIN ORDERS, GENERAL NOTICES, AND OPERATIONS NOTICES

**2-A** General Orders are numbered consecutively, with the first digit representing the Timetable number and the second and third digits representing the sequence number.

**2-B** DTOBOs are numbered by date in effect; month-day-year. DTOBOs are in effect for 24 hours from 0001 hours to 2400 hours on the date indicated.

The number of the last General Order, Bulletin Order, General Notice, and Operations Notice made effective prior to 2400 hours on the day of the DTOBO will be listed.

**2-C** All Bulletin Orders, except DTOBOs, are numbered consecutively by line, with the first digit indicating the Timetable number and subsequent digits indicating the sequence number. For Summary Bulletin Orders, an "S" prefixes the sequence number.

**2-D** New Haven Line Bulletin Orders will also contain all pertinent information for the Hudson Line between GCT and CP 5, and for the Harlem Line between CP 5 and CP 112. Harlem Line Bulletin Orders will also contain all pertinent information for the Hudson Line between GCT and CP 5.

**2-E** General Notices and Operations Notices are numbered consecutively, with the first digit representing the Timetable number and subsequent digits representing the sequence number.

**2-F** All General Orders, Bulletin Orders (except DTOBOs), General Notices, and Operations Notices expire with the Timetable, unless previously cancelled.

**RULE 3**
**REPORTING FOR DUTY**

**3-A** In addition to those items listed under Rule 1 for each occupation, employees must carry those other manuals and documents pertinent to their specific job description specified by their Department Head.

**3-B** Those employees whose duties involve the movement of trains or whose duties are affected by train movements must, when reporting for duty and prior to performing service, familiarize themselves with all General Orders, Bulletin Orders, General Notices, Operations Notices, and other instructions issued for their craft and applicable to the territory on which they will perform their duties. They must carry a copy of all General Orders and Bulletin Orders, including the DTOBO, in effect for the territory on which they will perform their duties.

**3-C** If copies of all applicable General Orders, Bulletin Orders (including the DTOBO), General Notices, and Operations Notices are not posted or available when reporting, or if reporting for duty at a point that is not a specified Bulletin Board location, employees will contact the RTC for instructions.

**3-D** After reviewing all pertinent instructions for their assignment, train and engine service employees must sign the Employee Register.

**3-E** Employees required to be qualified on physical characteristics who are ordered to perform service over any portion of the railroad for which they are not qualified must immediately inform the RTC.

**3-F** While performing service, employees whose duties involve or are affected by the movement of trains must have a reliable watch, in good working order, which simultaneously shows hours, minutes and seconds.

Watches must be set to a standard clock before starting each tour of duty. If a standard clock is not available, the employee will check his watch with another employee who has the correct time, or call the OCC for a time check.

**3-G** While performing service, train and engine service employees must carry a MNR Safety Department-approved flashlight, in good working order.

**3-H** While performing service, train service and other employees whose duties may require them to give hand signals must carry flagging equipment consisting of a red flag, white light, and 6 fusees.

**RULE 4**
**COMMUNICATING SIGNALS**

**4-A** Any object waved violently by any person on or near the tracks will be considered a signal to stop.

**4-B** Trains and track cars must not be operated from their origination point without a minimum of one red flag and 6 fusees on board for the purpose of giving signals. Supplies depleted en route will be replenished at the first opportunity.

When multiple track cars are operated under one Form M, only the leading and trailing track cars are required to carry flagging equipment.

**4-C** HAND SIGNALS

**4-C(1)** Hand signals given to direct the movement of a train or track car must be given from a point where they will be clearly seen and in a manner that can be understood and sufficiently ahead of time to permit compliance.

**4-C(2)** Movements directed by hand signals must stop immediately if:

- There is doubt concerning the meaning of the signal;
- There is doubt for whom the signal is intended;
- The signal disappears from view.

**4-C(3)** Prior to starting any series of movements directed by hand signals, the members of the crew must establish which direction will be signified by *proceed* and *back-up* signals.

**4-C(4)** Between sunrise and sunset, when visibility permits, hand signals may be given as shown in Rule 4-C(5), with or without a flag.

When visibility is limited, and at all times between sunset and sunrise, hand signals will be given by a white light.

**4-C(5)** Hand signals will be given as follows:

| | Illustration | Description | Indication |
|---|---|---|---|
| a. |  | Hand, red flag, or light swung horizontally at right angle to the track. The hand, flag, or light movement may be above the shoulder. | **Stop** |
| b. |  | Hand or light held horizontally at arm's length. | **Reduce Speed** |
| c. |  | Hand, yellow flag, or light raised and lowered vertically. | **Proceed** |
| d. |  | Hand or light swung vertically in a circle at half arm's length, at right angle to the track. | **Back Up** |
| e. |  | When train is standing, hand or light swung horizontally above the head. | **Apply Air Brakes** |
| f. |  | When train is standing, hand or light held at arm's length above the head. | **Release Air Brakes** |
| g. |  | Hand or light swung vertically in a circle at full arm's length, at right angle to the track. | **Drop or Raise Pantograph** |

**4-D** FUSEES

**4-D(1)** Fusees will be placed on or near the right of way, as required by the rules, when it is necessary to signal approaching trains and track cars.

**4-D(2)** A train or track car finding a fusee burning on or near the right-of-way must stop. After stopping, the train or track car will notify the RTC and must proceed for a distance of one mile at **Restricted Speed**.

**4-D(3)** Fusees must not be placed on bridges or other structures susceptible to fire.

**4-E** ENGINE HORN

**4-E(1)** Engine horn must be tested and in working order prior to departure from initial terminal.

**4-E(2)** If the engine horn fails en route, the train may continue to the nearest Designated Repair Facility. The engineer must:

- Notify the RTC as soon as possible;
- Ring the engine bell continuously, if so equipped;
- Approach highway grade crossings prepared to stop until the engineer observes that crossing warning devices are working as intended and the crossing is clear;
- Approach locations where roadway workers are known to be on or near the tracks not exceeding **30 MPH**.

**4-E(3)** The unnecessary use of the engine horn is prohibited.

**4-E(4)** The intensity and duration of engine horn signals must be proportionate to the distance the signal is to be conveyed.

**4-E(5)** Engine horn signals will be given as follows. The "**o**" indicates a short sound and the "__" indicates a long sound.

| | Sound | Indication |
|---|---|---|
| a. | **o o** | 1. Acknowledgement for any stop signal other than a fixed signal;<br>2. When standing, prior to commencing forward movement, except at passenger station stops. |
| b. | **o o o** | 1. When standing, prior to commencing back-up movement;<br>2. When running, acknowledgement that train will stop at the next passenger station or scheduled employee stop. |
| c. | **_ _ o _** | 1. Approaching a public highway grade crossing. Engine horn must begin to be sounded at a point ¼ mile before crossing, except if speed of train does not exceed 60 MPH, and/or stop is to be made before reaching crossing, horn must begin to be sounded no less than 15 but no more than 20 seconds before entering crossing. When stop made is in close proximity to crossing, horn may begin to be sounded less than 15 seconds before entering crossing provided crossing is not obstructed, and<br>a. crossing is equipped with gates and flashers and the gates are fully lowered, or<br>b. there is no conflicting highway traffic approaching the crossing.<br>Prolong or repeat signal until engine occupies the crossing, or in the case of multiple crossings, until engine occupies the last crossing;<br>2. Approaching and passing standing trains and equipment on an adjacent track. |
| d. | **___** | Approaching a passenger station on a track adjacent to a platform. This signal is not required:<br>• Between 2100 hours and 0600 hours, unless the engineer observes one or more persons on or near the platform.<br>• At GCT. |
| e. | **_ _ o** | Approaching location of meets **[Rule 12-H]** |
| f. | **Succession of short sounds** | Alarm for person or animal on or near tracks. |
| g. | **_ o o o** | Member of crew must protect adjacent tracks. |
| h. | **_ _ _ _** | Member of crew protecting tracks may return. |
| i. | **_ o** | Approaching roadway workers or their equipment on or near track, regardless of any whistle prohibitions. After this initial warning, two short whistle signals must be sounded intermittently until the head end of train has passed the roadway workers or their equipment. |

**4-F** ENGINE BELL

**4-F(1)** If the engine is equipped with a bell, it must be sounded:

- When the engine is about to move, except at passenger station stops;
- While approaching and passing over public highway grade crossings;
- While passing a train standing on an adjacent track;
- While approaching and passing roadway workers on or near the tracks;
- In an emergency.

**4-F(2)** While switching, momentary stop and start, forward and reverse movements do not require the use of the engine bell unless operating over a public highway grade crossing.

**4-F(3)** In the event of an en route failure of the engine bell, the RTC must be notified, and the train may proceed to its destination.

**4-G** INTERNAL TRAIN COMMUNICATIONS BUZZER

**4-G(1)** Each car of a passenger train will be equipped with a buzzer system for internal communications with the engine and control cab.

**4-G(2)** When the buzzer is inoperative and cannot be repaired without causing delay, the train may proceed after the engineer and conductor determine the alternate means of communications. In order of preference, the following alternate means may be used:

1. Intercom
2. PA system
3. Radio
4. Hand signals

**4-G(3)** Buzzer signals will be given as follows. Any other signal will be considered a signal to stop and communicate with the train crew. The "**o**" indicates a short sound and the "**___**" indicates a long sound.

| | **Sound** | **Indication** |
|---|---|---|
| a. | **o o** | 1. When standing, proceed.<br>2. When moving, stop at once. |
| b. | **o o o** | 1. When standing, back-up.<br>2. When moving, stop at next passenger station or employee stop. |
| c. | **___** | When standing, apply or release brakes. |
| d. | **___ o ___** | Drop pantographs |

**RULE 5**
**COMMUNICATIONS DEVICES**

**5-A** Company-issued radios, telephones, and other communications devices must be used exclusively for railroad business. Employees using communications devices must exercise care to avoid loss or damage to the equipment. Employees assigned portable radios, cellular telephones, or other similar devices are responsible for their care and protection.

**5-B** Only Company-issued communications devices may be used to communicate over railroad-assigned radio frequencies.

**5-C** Radio and telephone communications associated with train movements are recorded, including RTC telephone and direct communication lines. Other telephone lines that may be recorded will be indicated by the presence of a *beep* tone on the line approximately every 15 seconds.

**5-D** RADIO RULES

**5-D(1)** Employees are prohibited from:

- Knowingly transmitting false distress communications;
- Making unnecessary, irrelevant, profane, obscene, or frivolous transmissions;
- Making transmissions without identifying themselves in accordance with Rule 5-E(1)

**5-D(2)** Employees will permit inspection of radio equipment in their charge and all pertinent documents at any reasonable time to authorized representatives of the Federal Communications Commission (FCC).

**5-D(3)** Employees, unless specifically authorized, are prohibited from making technical adjustments to company radio equipment.

**5-D(4)** Radio frequencies in use and the location of fixed base stations will be designated in the Timetable.

**5-D(5)** If radio communications fail, other means of communications must be used to ensure safety and avoid delay.

**5-D(6)** Employees must ensure that communications are with the intended persons or stations.

**5-D(7)** Communications must be as brief as possible.

**5-D(8)** When departing the initial terminal, each occupied controlling locomotive of a train must have a working radio, and, for redundancy, each train must also have a second working radio or other means of wireless communications.

**5-D(9)** Radios must be tested prior to the start of the work assignment or when taking charge of equipment to determine that they are working as intended. The test will consist of an exchange of voice transmissions with another radio station. The employee receiving the transmission will advise the employee conducting the test of the clarity of the transmission.

- On trains, the test will be conducted with a radio not on the same set of equipment.
- Radios must be tested on all frequencies that will be used in the course of the work assignment.
- Radios not working as intended must not be used and must be reported to the proper authority.

**5-D(10)** When the radio fails, alternate means of communication must be established until the radio can be repaired or replaced. If the radio is on the head-end of a train or is used in any aspect of train operations on main tracks, the RTC must be notified.

**5-D(11)** When their duties involve the use of a radio, employees must have the radio on and tuned to the appropriate channel at all times. The volume must be set so that all transmissions can be clearly heard.

**5-D(12)** Interference between radio stations must be reported to the RTC.

**5-D(13)** When radio communications are used to direct backing, pushing, or switching movements;

- The employee directing the movement must maintain continuous communications with the employee receiving the instructions, or must provide complete information on the movement;
- If communications are lost or interrupted in the course of a movement, or if the means of communications is to be changed, or if there is doubt as to the meaning of a transmission, the movement must be stopped until positive communication is re-established;
- When pushing or backing a train, the distance of the movement must be specified, and the movement must stop within one-half the specified distance if no additional transmissions are received;
- The name of the fixed signals affecting the movement must be communicated to the engineer.

**5-E** PROCEDURE FOR USE OF RADIOS

**5-E(1)** To originate a radio call, the employee must:

a. Listen to ensure that the channel is clear;
b. Identify their employing railroad; and
c. Identify themselves, as follows:
   - For trains, the schedule number of scheduled trains, or the symbol (if any) and engine number for extra trains. If communications is with other than the engineer of the train, the employee must also identify themselves by title;
   - For track cars, "*TC*" and the track car number;
   - For fixed stations, the approved base, wayside, or yard station name;
   - For the OCC, *"RTC District __"* and the dispatching district designation;
   - For other persons and portable units, the employee's title, last name, and location.

**5-E(2)** When radio communication is used for switching operations within a yard, and once positive identification has been established, a short radio identification consisting of engine or assignment number may be used.

**5-E(3)** The following key words must be used in communications:

- *ROGER* indicates that the message has been received and understood, or that the instructions have been repeated correctly;
- *OVER* is used at the end of each transmission for which a response is expected;
- *OUT*, preceded by the sending party's identification, is used at the end of the transmission when no response is expected.

**5-E(4)** *EMERGENCY,* repeated three times, will be used for initial reports of hazardous conditions which could result in death or injury, damage to property or serious disruption of railroad operations such as:

- Derailments
- Collisions
- Storms
- Washouts
- Fires
- Track obstructions
- Emergency brake applications

In addition, emergency calls must be made for the following:

- Overrunning limits of authority.
- Overrunning Stop indications.

Emergency calls must contain as much complete information on the incident as possible. All employees must give absolute priority to an emergency communication. Unless they are answering or aiding the emergency call, employees must not transmit until they are certain no interference will result.

**5-E(5)** All radio transmissions that are used to give instructions regarding movement of trains and track cars, or to transmit safety-sensitive information, the receiving employee must repeat the instructions or information to the transmitting employee, who will verify the accuracy of the transmission. Except in an emergency, radio transmissions that are incomplete, inaudible, unclear, or not understood, must not be acted upon.

**5-E(6)** When available and operative, radio must be used for communications involving:

- granting of foul time
- permission to pass a Stop Signal or Working Limits Stop Sign
- permission from the RTC to make a reverse movement
- permission to use a hand operated switch in MBS territory and reporting it locked normal
- Form M line 1, Form M line 2, Form M line 11 (block(s) clear) in MBS territory

**5-F** RADIO REQUIREMENTS FOR MW EQUIPMENT AND ROADWAY WORKERS

**5-F(1)** A single track car or piece of MW equipment operated on the right-of-way must be equipped with a working radio.

**5-F(2)** When multiple track cars or pieces of MW equipment are operated under a single mandatory directive, at least one unit must have a working radio.

**5-F(3)** Individual roadway workers and employees assigned to protect groups of roadway workers shall be provided with and maintain access to a working radio.

**5-G** TELEPHONE RULES

**5-G(1)** Company telephones must be yielded at once for calls pertaining to emergencies and train movements.

**5-G(2)** Where multiple telephones utilize a single telephone line, employees will verify that line is not in use before making a call, and will terminate calls immediately when told that the line is to be used for emergency calls or calls related to train movements.

**5-G(3)** Telephone call boxes will be closed and locked when not in use.

**5-G(4)** When telephones are used to give instructions regarding movement of trains and track cars, or to transmit safety-sensitive information, the receiving employee must repeat the instructions or information to the transmitting employee, who will verify the accuracy of the transmission. Except in an emergency, telephone transmissions that are incomplete, inaudible, unclear, or not understood, must not be acted upon.

**RULE 6**
**HEADLIGHT AND MARKERS**

**6-A** HEADLIGHT

**6-A(1)** The headlight must be displayed in the direction of movement on its brightest setting on every train, day and night, except as noted below.

**6-A(2)** The headlight must be dimmed:

- When standing or approaching another train operating in the opposite direction in multiple track territory, except that headlight will not be dimmed approaching a highway grade crossing;
- At all times between GCT and CP 1;
- While standing or passing through yards and yard tracks;
- Approaching locations where a Form M is to be received;
- When standing or moving on single track at meeting points.

**6-A(3)** The headlight must be extinguished when a train has stopped in the clear on a siding to meet another train.

**6-A(4)** The lead unit of trains operating over highway grade crossings where the MAS exceeds 20 MPH must be equipped with three lights; the headlight and two auxiliary lights.

**6-A(5)** When headlights or auxiliary lights fail en route:

a. If one auxiliary light fails, the train may operate without restriction until its next calendar day mechanical inspection.

b. If both auxiliary lights fail, the train may operate without restriction only to the next forward location where repairs can be made. Train must not exceed **20 MPH** over all highway grade crossings.

c. On locomotives and M-series cars, if the headlight fails and at least one auxiliary light is operational, the train may operate only to the next forward location where repairs can be made.

d. If the headlight and all auxiliary lights fail, or if the headlight fails on Bombardier cab cars, regardless of the condition of the auxiliary lights, the train may operate only to the next forward location where repairs can be made. The RTC must be notified immediately, and:

- A white light must be substituted in the cab window; the engine bell, if equipped, must be sounded continuously; and the engine horn must be sounded frequently.
- Train must stop and warn **[Rule 18-D]** at all public and private highway grade crossings.

**6-A(6)** Locomotives in yard service must display the headlight to the front and rear at all times. The headlight on the end coupled to cars may be extinguished.

**6-A(7)** When cars are pushed by an engine, except when switching or making up trains on yard tracks, a white light must be displayed at night on the front end of the leading car.

**6-B** MARKERS

**6-B(1)** Except on yard tracks, the rear of all trains must be identified by a marker.

**6-B(2)** An illuminated marking device must be used:

- On all passenger trains;
- On all trains from one hour before sunset until one hour after sunrise, unless marking device is equipped with a functioning photo-electric cell activation mechanism.
- On all trains when the visibility is so restricted that the end silhouette of a box car cannot be seen from ½ mile on straight track.

In all other cases, a flag, reflector, or extinguished marking device may be used.

**6-B(3)** When an illuminated marking device will be required en route, it must be tested before the train leaves its initial terminal.

**6-B(4)** When the display of a marking device is required, proper functioning of the device must be confirmed at all crew change locations.

**6-B(5)** If the marker fails en route, the headlight on the rear end of the train should be displayed on low beam, or a flashlight, other illuminated device, or flag, if available, displayed in place of the marker. The RTC must be notified as soon as possible. The train may continue to the next location where the marker can be repaired or replaced.

**6-C** If a train is observed operating without the proper headlight or marker displayed, the crew of the train will be notified as soon as possible. If unable to contact the crew of the train, the RTC will be notified.

**RULE 7**
**TRAIN OPERATION**

**7-A** The 24-hour clock will be used for all operations, including Form M and employee operating schedules. Each day begins at 0001 hours (12:01 a.m.) and ends at 2400 hours (12:00 midnight).

**7-B** The conductor, engineer, and pilot are equally responsible for the safety of the train and observance of all applicable rules and special instructions. Under conditions not provided for under the rules, or should there be any doubt as to the authority for operation or safety of proceeding, the conductor, engineer, and pilot must take every precaution. This rule does not relieve other employees of their responsibilities under the rules.

**7-C** Employees qualified on the operating rules and located in the control compartment will observe and communicate to each other, in a clear and audible manner, each signal affecting the movement of their train, by its name, as soon as the signal becomes clearly visible. The signal must be observed until passed.

**7-D** If a train is not being operated in accordance with the requirements of any signal indication or restriction, crew members must immediately communicate with the engineer and, if necessary, stop the train.

**7-E** If a stop signal is disregarded, the RTC must immediately attempt to stop the train and any other trains that may be affected. The RTC must also notify the person in control of adjoining territory in the direction of movement.

**7-F** Trains must be fully protected against any known condition that may interfere with their safe passage. Any work on or adjacent to tracks that may interfere with the safe movement of trains or equipment must not be attempted without permission of the employee in charge of the track. **[Rule 22]**

**7-G** If an event occurs or conditions are observed that could interfere with the safe passage of trains or equipment, and protection is not being provided by the RTC, employees must immediately attempt to stop approaching trains and inform the RTC. Flag protection must be provided in both directions, as shown below, until the unsafe condition has been corrected or until informed by the RTC that other protection has been provided. The engineer and conductor are jointly responsible for the protection of their train.

| **MAS for Passenger Trains** | **Distance for Flag Protection** |
|---|---|
| 20 MPH or less | ¼ mile |
| 21 – 30 MPH | ½ mile |
| 31 – 40 MPH | 1 mile |
| 41 – 90 MPH | 1½ miles |
| 91 MPH or greater | 2 miles |

**7-G(1)** When a train is seen or heard approaching before the flagman has reached the prescribed distance, he will display a lighted fusee and continue toward the approaching train, giving a signal to stop.

**7-G(2)** Upon reaching the prescribed distance, the flagman will display a lighted fusee and will give hand, red flag, or light signal to stop approaching trains. Flagman will remain at this location until recalled or until an approaching train has been stopped.

**7-H** Trains must not be stopped over fusees or open flames if it can be avoided. If stopped over a flame, the fire must be extinguished.

**7-I** Sand must not be used over movable parts of an interlocking or rail lubricators.

**7-J** To avoid excessive emissions, every effort must be made to avoid stopping diesel-powered trains in tunnels or other confined spaces. When a stop is unavoidable and may exceed five minutes in duration, the RTC must be contacted. Except for dual-mode powered trains en route to GCT when entering the Park Avenue Tunnel, engines will not be shut down on main tracks without the permission of the RTC.

**7-K** A train must not start until proper signal, using hand signals, internal buzzer, or voice communication, is given or authorized by the conductor. This rule does not apply when a train is stopped by signal indication or to comply with a specific rule or special instruction.

**7-L** EMERGENCY APPLICATION OF BRAKES

**7-L(1)** When a train is moving and emergency application of the brakes occurs, crew members must immediately protect adjacent tracks by initiating an emergency radio transmission, in the manner of the following example: *"Emergency, Emergency, Emergency", giving the identity of the train, location, track and direction, and any other pertinent information that may be available.* Following the emergency transmission, the RTC must be notified.

**7-L(2)** After the train has stopped, crew members must immediately provide flag protection in both directions on adjacent tracks, in accordance with Rule 7-G until:

- It is known that tracks are not obstructed.
  OR
- Protection has been provided by the RTC.

The entire train must be examined before movement resumes to ensure that no cars have derailed, no load has shifted, and no other condition exists that may endanger train movements. Results of this inspection must be reported to the RTC.

**7-L(3)** All trains receiving the *EMERGENCY* call will operate at **Restricted Speed** from one mile before the reported location until one mile beyond the rear end of the standing train.

**7-L(4)** Until the RTC knows that there is no obstruction on adjacent tracks, they must not permit trains to enter the block on adjacent tracks without first notifying them of the situation. This notification must include the direction, track, location, and identity of the train in emergency.

**7-L(5)** Light engines and passenger trains are relieved of the requirements of Rules 7-L(1) and 7-L(2) when the crew can immediately determine that their train is not fouling adjacent tracks. The crew must promptly notify the RTC of the reason for their stop, and the fact that they are not fouling adjacent tracks. The crew must examine their entire train to ensure that no condition exists that may endanger train movements, and must report the results of this inspection to the RTC. The crew will notify the RTC when they are ready to proceed.

**7-M** SPEEDS

**7-M(1)** **RESTRICTED SPEED** is a speed that will permit stopping within one-half the range of vision, short of train, obstruction, derail or switch improperly lined, looking out for broken rail, and not exceeding **15 MPH** for the entire movement.

**7-M(2)** Trains and engines must not exceed the maximum authorized speeds shown in the Operating Rules and Timetable Special Instructions for the type of train, type of equipment, and track on which they are operating, unless authorized by Form M, line 14. Such authorization will state:

- The maximum speeds at which the train will operate;
- The territory on which these speeds will apply; and
- The purpose for operating at these speeds.

The RTC will not issue Form M, line 14 authority to exceed the MAS unless written authorization from the Senior Vice President-Operations is on file in the OCC.

**7-M(3)** As soon as possible after starting each trip, the engineer must verify the accuracy of the speedometer on the engine, using their watch, mileposts, and the speed tables **(SI Appendix 1)**. If the speedometer is found to be inaccurate by more than four miles per hour, the RTC must be notified and the engineer and other crew members must make additional speed checks en route to ensure that authorized speeds are not exceeded. All inaccuracies must be noted on the Equipment Condition Report (Form ME-8).

**7-M(4)** The RTC must be notified of any condition that will delay a train or prevent it from operating at MAS.

**7-M(5)** The following maximum authorized speeds are in effect:

a. MAS on other than main tracks is **Restricted Speed not exceeding 10 MPH**, unless otherwise specified.

b. MAS for any movement where the engineer is not operating from the leading end of the movement is **Restricted Speed**.

c. MAS for movement through hand-operated switches in the diverging position is **Restricted Speed not exceeding 10 MPH**.

d. MAS on yard tracks designated as Mechanical Tracks (Rule 16-B, paragraph 3) is **Restricted Speed not exceeding 5 MPH**.

e. MAS when coupling to equipment is **2 MPH**. Stop must be made prior to coupling occupied passenger equipment.

**7-M(6)** When equipment types with different maximum authorized speeds are operated in the same train, the lowest of the maximum authorized speeds will apply to the movement.

**7-M(7)** When more than one speed applies to a movement, the more restrictive speed will govern.

**7-N** OPERATION ON OTHER THAN MAIN TRACKS

When trains are operated on other than main tracks, the employee directing movement from the leading end is responsible for observing the position of switches and derails. He must take immediate action to stop the movement if switches or derails are not properly lined or positioned.

**7-O** ENGINEER OPERATING EQUIPMENT FROM OTHER THAN THE LEADING END OF THE MOVEMENT

**7-O(1)** Before equipment is operated with the engineer not on the leading end of the movement, a job safety briefing must be held among crew members specifying who will direct movement, means of communication, distance to be traveled, and other conditions concerning the movement. A crew member qualified on the physical characteristics of the territory must be located on the leading end to observe conditions ahead and communicate with the engineer. Trains must approach grade crossings not equipped with both flashers and gates prepared to stop until it is clearly seen that no traffic is approaching or stopped at the crossing. Movement must be made at **Restricted Speed**.

**7-O(2)** COMMUNICATIONS

a. The crew member on the leading end must maintain constant communication with the engineer by means of voice (radio, intercom, or PA system) or hand signals. The means of communication will be established among all crew members prior to commencing movement. The movement must be stopped at once if communications are lost.

b. When voice communications are being used to direct the movement, all applicable conditions must be conveyed to the engineer including: signal name, switch positions, derail positions, crossing occupancy, route indicators, and any track obstructions.

c. The distance of the movement must be specified before starting the movement, and the movement must be stopped in one-half the remaining distance unless additional instructions are received.

d. On passenger equipment, if the intercom or PA system is being used for voice communications, radio rules must be followed.

**7-O(3)** PASSENGER EQUIPMENT

a. The crew member on the leading end must be located inside the equipment and have access to a control valve or back-up hose to stop the movement if necessary, except as noted in paragraph (b) below. At all times, employees are prohibited from riding on the outside of passenger equipment.

b. When a switching movement is made on a yard or mechanical track, the crew member on the leading end may direct the movement from the ground, maintaining constant observation of the train and the conditions ahead.

**7-O(4)** OTHER THAN PASSENGER EQUIPMENT

a. The crew member on the leading end should ride the end platform of the equipment, when so equipped. The crew member may also direct the movement from the ground, maintaining constant observation of the train and the conditions ahead.

b. If the equipment is not equipped with an end platform, the crew member may ride the side of non-passenger equipment only if:
   - There is no other safe means of directing the movement;
   - A safety briefing specific to that move is conducted with all employees involved;
   - There is adequate side clearance throughout the move;
   - There is a secure location for the employee to ride with adequate hand and foot holds;

   MAS for any movement with a crew member riding the side of the equipment is **Restricted Speed not exceeding 5 MPH**.

c. If the leading end of the movement is equipped with a control valve or back-up hose, the air brake system must be tested prior to commencing movement.

**7-P** BRAKES ON CARS LEFT STANDING

A sufficient number of hand brakes must be applied on cars left standing to insure they will not move. When necessary, car wheels must be blocked.

**7-Q** UNATTENDED ENGINE

An engine must not be left unattended unless:
- The Independent Brake valve is set to the Full-Application position,
- The Automatic Brake valve is placed in the Full-Service position,
- The Throttle/Controller is in "IDLE" or "OFF" position,
- The Reverser lever is placed in the Neutral position and removed. If not removable, secure the Reverser lever in the Neutral position,
- The Generator Field switch is placed in the "Off" position, and
- The Hand Brake or Parking Brake is fully applied.

Unattended engine(s) in other than passenger service will in addition to the above, place the isolation switch in the "ISOLATE" position.

**7-R** OPERATION THROUGH WATER

Engines and cars must not be operated through water, except when authorized by the Rail Traffic Controller. In such a case, the movement must not exceed 2 MPH, and water depth as measured from the top of the rail must not exceed the following:

a. MUs and Electric Engines other than class AEM-7: 2 inches.
b. Diesel Engines: 3 inches.
c. Electric Engines class AEM-7 and cars other than MUs: 6 inches.

**7-S** THREE POINT PROTECTION

Before an employee goes under or between exterior of cars or locomotives, he must obtain assurance that equipment will not move by requesting three-point protection, and receive confirmation that the engineer has provided such. Providing three-point protection means that the engineer has:

- applied the brakes,
- placed the reverser in the neutral position, or the controller in the off position,
- opened the generator field and/or control switch, if so equipped.

Three-point protection must be maintained until the engineer is notified by the employee who requested protection that it is no longer needed.

**7-T** MOVEMENT WITH DEFECTIVE ALERTER/DEADMAN DEVICE

**7-T(1)** Altering, nullifying or tampering with an Alerter/Deadman device is prohibited.

**7-T(2)** If equipped, trains dispatched from any terminal must have an operative Alerter/Deadman device in the leading unit of the train.

**7-T(3)** If the Alerter/Deadman device fails en route, the RTC must be notified immediately and the device may be cut out. On trains with a secondary or redundant Alerter/Deadman device activated, the train may be operated normally to its final destination. On trains without a secondary or redundant Alerter/Deadman device, a qualified employee must take position in or adjacent to the operating control compartment with the Engineer. This employee must be instructed on how to stop the train should the Engineer become incapacitated. Trains operated in this manner may be operated normally to its final destination.

**7-U** RESTRICTION REMINDER

The Conductor is required to remind the Engineer of the following instructions issued by the RTC prior to reaching the location where the restriction takes effect:

a. A speed restriction,
b. Stop and warn order,
c. Working Limits stop sign, and
d. An unscheduled meet.

This reminder and confirmation is to be done at a station stop, or at a point one mile before the restriction, whichever is closer. When practicable, the conductor must be stationed with the engineer.

**RULE 8**
**PASSENGER TRAIN OPERATION**

**8-A** Revenue passenger and deadhead trains are not permitted to make unscheduled stops to receive or discharge customers or employees without permission of the RTC.

**8-B** Except in an emergency, customers will not be received or discharged at locations other than on designated platforms at passenger stations.

**8-C** Passenger trains will not be operated with side doors open while the train is moving. At station stops, only the doors on the platform side will be opened.

**8-D** On passenger cars equipped with folding steps, the traps and steps must be operated only when the train is stopped, due to clearance restrictions. Traps must not be left in the open position while the train is in motion.

**8-E** Unless otherwise directed by the RTC, conductors on passenger trains, including Amtrak trains, will report any delays that result in their train arriving at its final destination more than 5 minutes late to the Assistant Chief RTC.

**8-F** TRAIN SCHEDULES

**8-F(1)** Changes to Employee Operating Schedules are made by Bulletin Order.

**8-F(2)** In the event of a discrepancy between the Employee Operating Schedule and public timetables, the RTC will be contacted for instructions.

**8-F(3)** Reference marks used in the Employee Operating Schedules are defined in each Booklet.

Unless otherwise noted, times shown in bold are passenger station times and times shown in light-face type are passing times. Where a single time is shown for a station, it is the leaving time; where two times are shown, the first is the arrival time and the second is the leaving time.

**8-F(4)** Trains may not operate in advance of the time shown in the Employee Operating Schedule, unless directed by the RTC, or as authorized by reference marks in the Employee Operating Schedules.

**8-F(5)** Where two trains are scheduled to meet in MBS territory **[Rule 12-H]**, the Employee Operating Schedule will show, at the planned location of the meet, the word *MEET* and the schedule number of the train to be met.

**8-F(6)** Where connections are shown in the Employee Operating Schedules, trains receiving customers will not depart until the connection is made, unless otherwise instructed by the RTC.

**8-G** TRANSFERRING PASSENGERS BETWEEN TRAINS

In both AC and DC electrified territory, differences in electrical potential between equipment on adjacent tracks could present a hazard to persons who bridge the two trains. For this reason, the following actions are required when transferring passengers between two adjacent trains if either or both of the trains is electrically powered:

1. In DC territory, the tracks on which both trains are located must be de-energized. The RTC must contact the Power Director for this purpose, and will inform the train crew when de-energization is confirmed. Until the RTC confirms that both tracks are de-energized, no person should attempt to bridge or to set-up transfer boards or any other apparatus between the trains. Power must not be restored until the transfer is complete and all persons and objects connecting the two trains are removed.

2. In AC territory, all pantographs on both trains must be lowered before any person attempts to bridge or to set-up transfer boards or any other apparatus between the trains. Pantographs may not be raised until the transfer is complete and all persons and objects connecting the two trains are removed.

**RULE 9**
**FREIGHT TRAIN OPERATION**

**9-A** The conductor of each MNR freight train will conduct a safety briefing with his crew at the start of each tour of duty and whenever work or conditions change. The initial safety briefing must be documented on the proper form, which the conductor must retain for 24 hours.

Employees on freight trains operated by foreign railroads will be governed by their own safety briefing rules.

**9-B** Each freight train operated by a railroad other than MNR must be preceded by a written report to the OCC. This report must contain the following information:

- Name and on-duty time of engineer and conductor.
- Number of locomotives and number of loaded and empty cars.
- Gross tonnage and total length of train.
- List of all locomotives and cars in consist, by reporting mark and number, in order from head end of train to rear end of train. If cars are to be picked up or set off en route, this must be indicated.

**9-B(1)** In the list of locomotive and car numbers, indication must be made for:

- Locomotives dead-in-tow;
- Cars empty or loaded;
- Locomotives or cars with mechanical defects affecting its braking system or safety-related items, or any condition that requires that the train operate at less than MAS for freight trains;
- Car carrying hazardous materials, including the type of material being transported.
- Cars with gross weight in excess of 263,000 lbs.
- Locomotives or cars with clearance restrictions due to height, weight or other dimension.

**9-B(2)** If there are locomotives or cars in the consist with clearance restrictions, the conductor must also advise the RTC by phone or radio prior to the train entering MNR territory.

**9-C** Doors, plug doors, hatches, and drop bottoms of freight cars must be fully closed and secured at all times for movement. Open loads must be checked prior to movement to ensure that they are not shifted over the side or end of cars, and that tie downs and other securement is properly placed.

**9-D** Passenger cars equipped with buffer plates must not be coupled to freight cars with top-operated uncoupling levers.

**9-E** When freight movements, including military and circus trains, are operated with guards or attendants on board, the conductor must provide such persons with a safety briefing prior to movement. This briefing will include the rule that no one ride on top of cars or lading due to close overhead clearances.

The conductor is responsible for ensuring that all persons accompanying freight movements have proper authorization.

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## RULE 10
## MOVEMENT PERMIT FORM M

**10-A** The Form M is a mandatory directive issued by the RTC that contains essential information or instructions.

Metro-North Railroad

MOVEMENT PERMIT **FORM M**

Permit No ____ - _____ Date _____ _____, 20 _____ **BDA** at _____ hrs
district sequence number month day year

**TO:** _____ at _____
Line

**1** **USE** _____ **TRK** from _____ to _____ until _____

**1B** TRAIN OR TRACK CARS AHEAD: _____

**2** **USE** _____ **TRK** between _____ and _____ until _____

**3** **TRK** _____ **OUT OF SERVICE** between _____ and _____ until _____

*This section for use of Form M Addressee only*

ADDITIONAL EQUIPMENT OR EMPLOYEES authorized to use out-of-service track – Rule 21-E applies

| Name of employee-in-charge | Working at or between | Time Form M read or shown to employee-in-charge | Time employee-in-charge re clear of out-of-service track |
|---|---|---|---|
| | | | |
| | | | |
| | | | |
| | | | |

**4** **PROTECTION BY WORKING LIMITS STOP SIGNS - Rule 22(A) applies**
_____ Line _____ TRK; Working Limits Stop Signs at: _____ and _____ Mobile Unit No ___

**5** **TEMPORARY SPEED RESTRICTIONS:**
_____ Line _____ TRK between _____ and _____ Speed _____ MPH
_____ Line _____ TRK between _____ and _____ Speed _____ MPH

**6** **STOP AND WARN AT CROSSING(S):** _____
_____

**7** **REMAIN AT** _____ on _____ TRK until _____ arrives to assist.

**8** **PROCEED AT RESTRICTED SPEED** on _____ TRK from _____ to _____
where _____ stands disabled.

**9** **MBS RULES IN EFFECT** instead of CTC/CSS on _____ TRK between _____ and _____.

**10**
**TEMPORARY** _____ located at _____.
**BLOCK LIMIT(s)** _____ located at _____.
**ESTABLISHED:** _____ located at _____.

**11**
**BLOCK(s)** _____ TRK from _____ to _____ at _____ hrs
**CLEAR:** _____ TRK from _____ to _____ at _____ hrs
_____ TRK from _____ to _____ at _____ hrs
_____ TRK from _____ to _____ at _____ hrs
_____ TRK from _____ to _____ at _____ hrs

**12** **MEET** _____ at _____ with _____ to take siding.

**13** **FORM M LINE** _____ **AUTHORITY EXTENDED** until _____ at _____.

**14** **OTHER INSTRUCTIONS AND INFORMATION:** _____
_____
_____
_____

**TIME EFFECTIVE:** _____ hrs on ___/___/___ RTC: _____ **Name and Craft of Employee Receiving Form M:**

**TIME CANCELLED:** _____ hrs on ___/___/___ RTC: _____ _____

**TIME FULFILLED:** _____ hrs on ___/___/___ Rev: May-11

**10-B** ISSUING FORM M AUTHORITY

**10-B(1)** Form Ms must be addressed to those who are to execute them, indicating the date and naming the location at which each is to receive his copy. Form Ms must be legible and without erasure or alteration. Only authorized abbreviations listed in the Operating Rules or Timetable Special Instructions may be used. Commas must separate numbers or locations listed in a series.

**10-B(2)** When issuing Form Ms, the RTC must write each Form M in full in a book, binder, or electronically. This record must be made immediately when the Form M is issued.

**10-B(3)** Form Ms must be received by employees who are qualified on Metro-North Operating Rules and physical characteristics of the territory where the Form M will take effect.

**10-B(4)** Form Ms must not be received by employees who are operating the controls of a moving train or track car.

Form Ms will not be transmitted to the crew of a moving train when, in the opinion of the engineer, conductor, or RTC, the Form M cannot be transmitted and copied without impairing the safe operation of the train.

**10-B(5)** When Form Ms are being dictated and repeated, numerals in the address and on lines 1 through 14 must be pronounced digit-by-digit.

***1619 will be pronounced "one-six-one-nine"***
***37 will be pronounced "three-seven"***

**10-B(6)** When Form Ms are issued using radio or telephone:

a. The RTC will inform the train or track car that there is a Form M to be issued, and ask if the employee is ready to receive the Form M.

b. The employee receiving the Form M will state his name, identification or call sign, location and that he is ready to copy the Form M.

c. The RTC will dictate the Form M, starting with the top line and working down the form in order through Line 14. On Lines 1 through 14, the RTC will dictate the full wording of the line, including line number and the pre-printed words;

***"Line 11. Block clear single track from WILT to HILL at 1815 hours."***

d. Once the RTC completes dictation through Line 14, the employee receiving the Form M will read the entire form back to the RTC in the same format as it was dictated. The RTC will underline on his copy of the Form M each entry as it is read back.

e. Once the Form M has been repeated correctly, the RTC will provide the time effective and the RTC's name. The employee receiving the Form M will then repeat the time effective, the RTC's name, and will provide his craft and last name;

example ***RTC: "Time effective 1535 hours, RTC Green"***
***Person receiving: "Time effective 1535 hours, RTC Green, received by Conductor Williams"***

**10-B(7)** When Form Ms are issued in writing:

a. A photocopier, fax machine, or other electronic device may be used to transmit and reproduce the Form M. All Form Ms transmitted or copied by electronic device must be checked for legibility; if not completely legible, the RTC will be contacted and the Form M will be re-transmitted or will be issued verbally.

b. If necessary to make copies of Form Ms by hand, the person making the copy must repeat the entire Form M to the RTC to ensure accuracy and completeness. An office copy of each manually reproduced Form M must be kept by the person making the copy.

c. When written copies of Form Ms are hand delivered to trains or track cars, the RTC must verify directly with the engineer, conductor, pilot, foreman, or track car driver that they have a copy of the Form M. This verification must take place before the train or track car reaches the first location where the Form M takes effect. The RTC will note on the Record of Train Movements the train or track car symbol and the time of the verification. If the crew does not have a copy of the Form M, a copy must be provided or it must be issued verbally.

d. When Form Ms are physically delivered at an interlocking, the fixed signal must display *Stop* and blocking devices applied. Until an engineer has acknowledged that a Form M is to be physically delivered, the fixed signal prior to the location where the Form M takes effect must display *Stop*.

**10-B(8)** If communications fail during transmission of a Form M before the time effective has been given, the train or track car addressed must not proceed or act on the information contained in the Form M until communications has been re-established and delivery of the Form M is completed.

**10-B(9)** If an error is discovered in a Form M prior to giving the time effective, the RTC must direct all receiving employees to destroy their copies. The RTC will mark the office copy *VOID*. The Form M must be re-issued under a new permit number.

If an error is discovered in a Form M after giving the time effective, the Form M must be cancelled.

**10-C** ADDITIONS TO FORM M

When adding information to Form Ms once made effective:

a. Only the following information can be added to a Form M once it is made effective:

- Block(s) Clear (Line 11);
- Extension of time allowed under line 1, 2, or 3 authority (Line 13);
- Cancellation or fulfillment information;
- The name and craft of the employee receiving the Form M.

When such additional information is added, the RTC must specify to the receiving employee the permit number and date of the Form M being modified, and the receiving employee must correctly repeat the information back to the RTC before the RTC makes the additional information effective.

b. When Form Ms are issued with Line 3 "Track Out-of-Service" authority, information regarding additional equipment or employees allowed to use the out-of-service track will also be added by the addressee after the Form M is made effective. This information does not have to be provided to the RTC.

**10-D** RECEIVING FORM M AUTHORITY

**10-D(1)** When Form Ms are dictated to an employee on a train or track car, the receiving employee must ensure that all employees addressed on the Form M receive a copy prior to the first location where the Form M takes effect.

**10-D(2)** Both the engineer and conductor of the train must have a written copy of the Form M. All crew members must read and understand the information on the Form M prior to the first location where it takes effect.

**10-D(3)** When physical delivery of a copy of the Form M between employees on a train or track car is not possible, the Form M must be transmitted verbally, using the procedures in Rule 10-B(6). The time effective will not be transmitted until the receiving employee correctly repeats the Form M.

**10-D(4)** Employees addressed must read the Form M immediately upon receipt, and are responsible for compliance with its requirements.

**10-D(5)** When possible, employees on the train or track car other than the addressee and assigned crew members should be allowed to read the Form M, and should remind employees addressed of the requirements of the Form M.

**10-D(6)** When addressees of a Form M are relieved, all Form Ms in effect must be delivered to the relieving employees of the same craft. The relieving employees must compare Form Ms to confirm that the information is the same, and must confirm with the RTC that they have a copy of the Form M.

**10-E** TERMINATING FORM M AUTHORITY

**10-E(1)** Form Ms remain in effect until fulfilled or cancelled.

**10-E(2)** Form Ms are cancelled as follows:

a. The RTC must contact the addressee(s) and state his intent to cancel the Form M.

b. The RTC must state the Form M number and date, the cancellation time and date, and his name.

c. The addressee must repeat the Form M number, date, and all cancellation information to the RTC.

d. The RTC and the addressee(s) must record the cancellation information on the appropriate line on the Form M.

**10-E(3)** Form Ms that are fulfilled or cancelled must have the date and time noted on the appropriate line and be marked with an "X" through the body of the Form M. For Form Ms issued electronically, the RTC will enter an "X" following the permit number.

**10-E(4)** Fulfilled or cancelled Form Ms must be retained for inspection for a period of 7 days by RTCs and 1 day by all other employees.

**10-E(5)** When Form Ms issued to blanket addresses are cancelled, the RTC will notify each train or track car that is known to have received but not yet fulfilled that Form M.

**10-E(6)** When cancellation information is transmitted to an employee on a train, that employee must ensure that all other addressees on that train receive the cancellation information and mark their Form M's accordingly.

**10-F** FORM M INSTRUCTIONS

1. Permit No. and Date:

   Form Ms will be numbered consecutively by dispatching district, beginning each day at 0001 hours. The letter of the issuing dispatching district is the first character in the permit number.

2. BDA at … hrs:

   If required to apply a blocking device, the RTC will indicate the time applied.

3. To: (Address Line):

   - For trains, the Form M must be addressed to the Conductor and Engineer, plus to the pilot if applicable, and must include the schedule number if a scheduled train, the word "Extra" and direction if not a scheduled train, the engine number, and the location of employee receiving the Form M.

     example: ***C&E No 1848 Eng 229 at Wilton***
     ***C&E Extra CSX 2768 North at CP 72***

   - Blanket Form Ms are addressed to the Conductor and Engineer of all *(north, south, east or west)* ward trains at a given location.
   - For track cars, the Form M must be addressed, by title and last name, to the qualified employee (foreman, track car driver or pilot) in charge of the movement, and must include the abbreviation *TC,* the unit identification of the track car, and the location of employee receiving the Form M. If multiple units are being moved on the same Form M authority, use *TC*, the identification of the lead unit, and the number of additional pieces of equipment being moved.
   - When removing tracks from service, the Form M must be addressed, by title and last name, to the qualified employee taking the track out of service and his location.

4. Line 1: *Use … TRK from … to … until …*

   Used to authorize:
   - Scheduled trains, extra trains and track cars, under MBS rules,
   - Track cars, under CTC rules,

   for a one-way movement from the first listed location to the second listed location. It is not required for Scheduled Trains to receive a time limit for their line 1 authority. When a time limit has been given, one extension of time may be authorized on the original Form M authority using Line 13.

5. Line 1B: *Train or Track Cars Ahead: …*

   Track cars may be permitted to follow another movement into the controlled block in CTC territory. If there is such a movement ahead, the train symbol and engine number or track car identification will be given on this line.

6. Line 2: *Use … TRK between … and … until …*

   Used to authorize exclusive use of the specified track. Trains and track cars addressed may operate in either direction within these limits. Track cars receiving Line 2 authority must also receive Line 11 *Block(s) Clear* indication between the same limits. One extension of time may be authorized under the original Form M authority using Line 13.

7. Line 3: *TRK … OUT OF SERVICE between … and … until …* **[Rule 21]**

   Used for taking tracks in CTC and MBS territory out of service for maintenance. One extension of time may be authorized under the original Form M authority using Line 13.

   When the addressee of the Form M allows additional equipment or employees to use the out-of-service track, in accordance with Rule 21-E, the addressee will indicate on the appropriate line:

   - The name of the employee-in-charge of the additional equipment or personnel;
   - The location where the additional equipment or employees are working;
   - The time that the Form M was read or shown to the employee-in-charge of the additional equipment or employees.
   - When the additional equipment or employees are clear of the out-of-service track, the time that the employee-in-charge reported clear to the addressee.

8. Line 4: *PROTECTION BY WORKING LIMITS STOP SIGNS - Rule 22 (A) Applies: …. Line … TRK. Working Limits Stop signs at … and … Mobile Unit No …* **[Rule 22(A)]**

   Used for work areas when the work has a potential to foul active tracks. Form M must be issued both to the employee-in-charge of the work area and to each train operating on the specified track.

9. Line 5: *TEMPORARY SPEED RESTRICTIONS: … Line … TRK between … and … Speed … MPH.*

   Used to put temporary speed restrictions in effect. Speed restrictions must be listed sequentially by milepost location. If speed signs are not in service, the milepost locations must be whole mileposts. Catenary locations or other clearly defined points may also be used, and must include the milepost location (miles and tenths). If two speeds are given, the first is the passenger train speed and the second is the freight train speed.

10. Line 6: *STOP AND WARN AT CROSSING(S)* **[Rule 18-D]**

    Used to put Stop and Warn rules in effect for highway grade crossings. Crossings will be listed sequentially. The name of the highway grade crossing must be as shown in the Employee Timetable, and the milepost must be given.

11. Line 7: *REMAIN AT … on … track until … arrives to assist.*
    **[for MBS Rule 12-F; for CTC Rule 14-D]**

    Given to a disabled train when an assisting train is to be dispatched.

12. Line 8: *PROCEED AT RESTRICTED SPEED on … TRK from … to … where … stands disabled.* **[for MBS Rule 12-F; for CTC Rule 14-D]**

    Given to the assisting train for a disabled train in MBS or CTC territory. Form M Line 8 is required in CTC territory only if the rescue equipment must operate against the established direction of traffic. Form M Line 7 must be given to the disabled train prior to issuing Form M Line 8 to the assisting train.

13. Line 9: *MBS RULES IN EFFECT instead of CTC/CSS on … TRK between … and …* **[Rule 12-L]**

    Used to substitute MBS Rules in the event of a failure of the CTC/CSS system. May apply to a specific track or all tracks.

14. Line 10: *TEMPORARY BLOCK LIMIT(S) ESTABLISHED: … located at …*
    **[Rule 12-D(1)]**

    Used to establish Temporary Block Limits in MBS territory or when MBS rules are substituted for CTC/CSS.

15. Line 11: *BLOCK(S) CLEAR: .TRK from … to … at … hrs* **[Rule 12-C]**

    Used in MBS territory to indicate that there are no trains or track cars in the specified block. Also used in conjunction with Form M Line 1 or Line 2 authority for movement of track cars in CTC territory. If consecutive blocks are clear at the same time, clear block indication for all blocks can be conveyed on a single line within Line 11.

    Additional *BLOCK(S) CLEAR* indications, Line 11, can be added to a Form M Line 1 authority after Form M is made effective. The RTC will inform the receiving employee that there is an additional Line 11 indication to be added to Form M No. xx-xx. All rules regarding issuing Form Ms will apply to the transmission of additional clear block information.

16. Line 12: *MEET … at … with … to take siding.* **[Rule 12-H]**

    Used to establish meets in MBS territory. Line 12 authority must be issued both for scheduled and unscheduled meets.

17. Line 13: *FORM M LINE … AUTHORITY EXTENDED until … at …*

    Used to extend the time limit for Form M Line 1, 2, or 3 authority. Only one Line 13 extension may be issued for each Form M.

18. Line 14: *OTHER INSTRUCTIONS AND INFORMATION*

    Used for all other instructions, information, and mandatory directives not covered in Lines 1 through 13.

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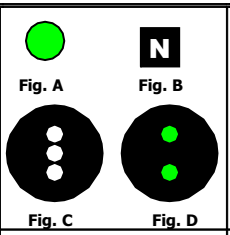
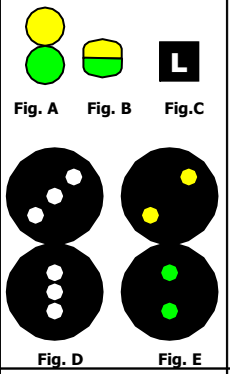
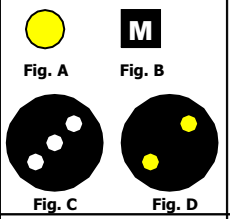
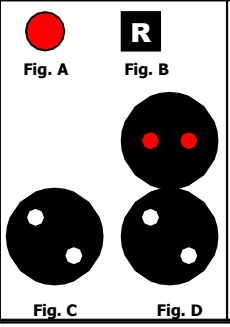
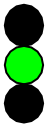
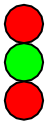
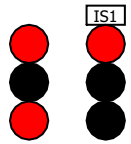
**RULE 11**
**SIGNAL ASPECTS AND INDICATIONS**

**11-A** CAB SIGNAL ASPECTS AND INDICATIONS

| Rule No. | | | |
|---|---|---|---|
| **11-A(1)** |  | ***NAME:***<br>***INDICATION:*** | **Normal Cab**<br>Proceed at Maximum Authorized Speed |
| **11-A(2)** |  | ***NAME:***<br>***INDICATION:*** | **Limited Cab**<br>Proceed at Limited Speed |
| **11-A(3)** |  | ***NAME:***<br>***INDICATION:*** | **Medium Cab**<br>Proceed at Medium Speed |
| **11-A(4)** |  | ***NAME:***<br>***INDICATION:*** | **Restricted Cab**<br>Proceed at Restricted Speed |

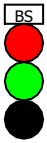
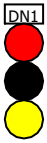
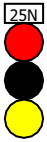
**11-B** INTERLOCKING SIGNAL ASPECTS AND INDICATIONS

Dark circles indicate signal lights not illuminated. A horizontal signal identification plate, located at the top of the signal, may be displayed at some locations. Signals may be mounted on ground, masts or overhead signal bridges.
Letters/numerals shown on identification plate are for illustration.

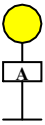
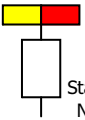
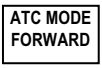
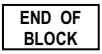
| Rule No. | | | |
|---|---|---|---|
| **11-B(1)** |  Flashing | ***NAME:*** <br> ***INDICATION:*** | **Proceed Cab** <br> Proceed, governed by cab signal indication |
| **11-B(2)** |  Flashing <br> Alt Flashing <br> Flashing | ***NAME:*** <br><br> ***INDICATION:*** | **Absolute Block Signal [Rule 15-J(2)]** <br> Proceed at: <br> • **Slow Speed** within interlocking limits; <br> • **MAS not exceeding 59 MPH** outside of interlocking limits, approaching the next interlocking signal prepared to stop. |
| **11-B(3)** |   **Fig A.** **Fig B** | ***NAME:*** <br> ***INDICATION:*** | **Stop Signal** <br> Stop. |

**11-C** INTERLOCKING SIGNAL ASPECTS AND INDICATIONS - Grand Central Terminal

The following signal aspects and indications are in service at Grand Central Terminal, Upper Level, Lower Level, and CP 1 interlockings. Dark circles indicate signal lights not illuminated. A horizontal signal identification plate is located at the top of the signal. Letters/numerals shown on identification plate are for illustration.

| Rule No. | | | |
|---|---|---|---|
| **11-C(1)** |  | ***NAME:*** <br> ***INDICATION:*** | **Terminal Proceed** <br> Proceed at **Restricted Speed**. |
| **11-C(2)** |  Flashing | ***NAME:*** <br> ***INDICATION:*** | **Terminal Approach** <br> Proceed at **Restricted Speed**; approach the next signal prepared to stop. |
| **11-C(3)** |  | ***NAME:*** <br> ***INDICATION:*** | **Terminal Restricting** <br> Proceed at **Restricted Speed**. |

## 11-D MANUAL BLOCK SYSTEM ASPECTS AND INDICATIONS

| Rule No. | | | |
|---|---|---|---|
| **11-D(1)** |  | ***NAME:*** <br> ***INDICATION:*** <br><br><br> ***NOTE:*** | **Approach Restricting** <br> Proceed, prepared to stop at the next signal. Trains exceeding **Medium Speed** must immediately reduce to that speed. <br><br> Does not convey block or track information. |
| **11-D(2)** |  | ***NAME:*** <br> ***INDICATION:*** | **Approach Block Limit** <br> If authorized to occupy next block, proceed. <br> If not authorized to enter next block, proceed prepared to stop at next Block Limit signal. <br> Trains exceeding **Medium Speed** must immediately reduce to that speed. |
| **11-D(3)** |  | ***NAME:*** <br> ***INDICATION:*** <br><br> ***NOTE:*** | **Block Limit** <br> Do not pass unless authorized to do so. <br><br> For Temporary Block Limits, the station name may be omitted. |
| **11-D(4)** |  | ***NAME:*** <br><br> ***INDICATION:*** | **ATC Mode Forward Sign [Rule 15-D(2)]** <br> Engineer must operate ATC mode switch to the forward position. |
| **11-D(5)** |  | ***NAME:*** <br> ***INDICATION:*** | **End of Block Sign** <br> End Manual Block System rules; entering non-controlled track. |

**11-E** SIGNALS GOVERNING SPEED RESTRICTIONS

Rule No.

| | | | |
|---|---|---|---|
| **11-E(1)** |  | ***NAME:*** <br> ***INDICATION:*** | **Approach Speed Limit Sign** <br> Proceed, approaching the Speed Limit sign not exceeding the speed shown. If two speeds are shown, the higher speed applies to passenger trains and the lower speed to all other trains and track cars. |
| **11-E(2)** |  | ***NAME:*** <br> ***INDICATION:*** | **Diverting Approach Speed Limit Sign** <br> Proceed; approach the Speed Limit sign, or interlocking where speed restriction on other track is in effect, not exceeding the speed shown unless it is determined that train will not be diverted onto affected track(s). If two speeds are shown, the higher speed applies to passenger trains and the lower speed to all other trains and track cars. |
| **11-E(3)** |  | ***NAME:*** <br> ***INDICATION:*** | **Speed Limit Sign** <br> Proceed not exceeding speed shown on Approach Speed Limit Sign or Diverting Approach Speed Limit Sign until the entire train has passed the Resume Speed Sign. |
| **11-E(4)** |  | ***NAME:*** <br> ***INDICATION:*** | **Resume Speed Sign** <br> Resume speed after entire train has passed this sign. |

**11-F** SIGNALS GOVERNING WORKING LIMITS **[Rule 22-A]**

| Rule No. | | | |
|---|---|---|---|
| **11-F(1)** |  | ***NAME:*** | **Approach Sign** |
| | | ***INDICATION:*** | Proceed prepared to stop at the Working Limits Stop Sign; trains exceeding **Medium Speed** must immediately begin reduction to that speed. |
| | | ***EXCEPTION:*** | See exceptions under Rule 22-A(7). |
| **11-F(2)** |  | ***NAME:*** | **Diverting Approach Sign** |
| | | ***INDICATION:*** | Unless it is determined that train will not be diverted onto affected track(s), proceed prepared to stop at the Working Limits Stop Sign; trains exceeding **Medium Speed** must immediately begin reduction to that speed. |
| | | ***EXCEPTION:*** | See exceptions under Rule 22-A(7). |
| **11-F(3)** |  | ***NAME:*** | **Working Limits Stop Sign** |
| | | ***INDICATION:*** | Stop unless permission has been received to pass sign. If permitted to pass the Working Limits Stop Sign, trains will operate at speed directed by employee in charge of work area, or **Medium Speed** if no speed has been specified. |
| **11-F(4)** |  | ***NAME:*** | **Working Limits Resume Speed Sign** |
| | | ***INDICATION:*** | Resume speed after lead unit has passed this sign. |

## 11-G OTHER SIGNAL ASPECTS AND INDICATIONS

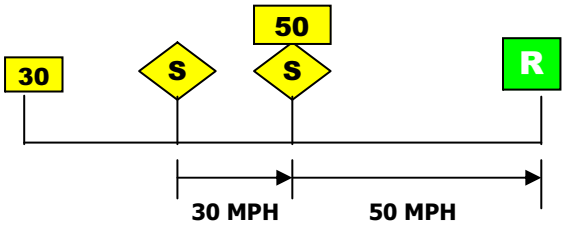
| Rule No. | | | |
|---|---|---|---|
| **11-G(1)** | STOP<br>**fig. A**<br>S T O P<br>**fig. B** | ***NAME:***<br>***INDICATION:*** | **Stop Sign**<br>Stop. |
| **11-G(2)** | **W** | ***NAME:***<br>***INDICATION:*** | **Whistle Post**<br>Approach highway grade crossing for which **Rule 4-E(5)(c)** must be sounded. |
| **11-G(3)** | **W/R** | ***NAME:***<br>***INDICATION:*** | **Restricted Whistle Post**<br>Approach highway grade crossing for which engine horn is not sounded except in emergency or if crossing warning devices are not activated. |
| **11-G(4)** | **W**<br>**MX** | ***NAME:***<br>***INDICATION:*** | **Whistle Post - Multiple Crossings**<br>Approaching two or more highway grade crossings for which **Rule 4-E(5)(c)** must be sounded until engine is clear of the last crossing. |
| **11-G(5)** | **W** | ***NAME:***<br>***INDICATION:*** | **Portable Whistle Post**<br>Sound Engine Horn<br>**Rule 4-E(5)(i)**. |
| **11-G(6)** |  | ***NAME:***<br>***PURPOSE:***<br><br>***INDICATION:*** | **Code Point Indicator**<br>*Denotes location where cab signal changes may occur. Applies on all tracks.*<br>Refer to **SI 7-B**. |

**11-H** PLACEMENT OF SIGNS

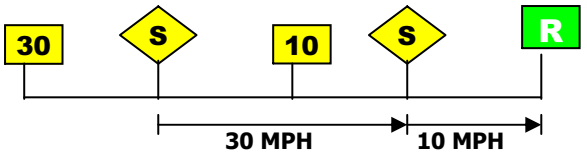
Unless otherwise indicated, signs shown in Rules 11-E and 11-F are placed to the right of and adjacent to the track being protected, and are installed in both directions.

SAMPLE PLACEMENT OF SIGNS FOR MULTIPLE RESTRICTIONS

Sample 1:




Sample 2:




**11-I** IMPERFECTLY DISPLAYED SIGNALS

A signal imperfectly displayed, or the absence of a signal where it is normally displayed or where it should be displayed, must be regarded as the most restrictive indication that can be given by that signal. Signals imperfectly displayed, or the absence of signals, must be reported to the RTC.

**11-J** TRANSMITTING SIGNAL ASPECTS AND INDICATIONS

**11-J(1)** Crews must not request, and RTCs must not advise, the name, aspect, or indication of any fixed signal.

**11-J(2)** Crews may communicate a fixed signal among themselves by radio, PA, or intercom, in accordance with the rules.

**11-J(3)** The radio may not be used to convey instructions to a crew that have the effect of overriding the indication of a fixed signal. RTCs are permitted to provide general information by radio, such as location of holds, track assignments at stations, duration of delays, etc.

**RULE 12**
**OPERATION UNDER MANUAL BLOCK SYSTEM RULES**

**12-A** Manual Block System (MBS) rules are in effect on tracks indicated in the Line Special Instructions or by Bulletin Order. Manual Block System Rules may also be placed in effect instead of CTC and CSS rules by Bulletin Order or Form M Line 9.

**12-B** Where MBS rules are in effect, only one train or track car (or multiple track cars under a single Form M authority) may occupy a block, except in the following cases:

- For the purpose of rescuing disabled trains. Refer to **Rule 12-F**.
- For the purpose of making a reverse movement at a hand-operated or interlocking switch. Refer to **Rule 12-G.**

**12-C** To occupy a block, a train or track car must be given authority by the RTC indicating that there are no trains or track cars in that block.

- Scheduled trains must receive a Form M Line 1 authority and Form M Line 11 indicating that the block is clear.
- Extra trains and track cars must receive a Form M Line 1 for movement in one direction or Form M Line 2 for movement in either direction, plus a *BLOCK(S) CLEAR* indication on Form M Line 11.

The Form M Line 1 authority may be issued for multiple blocks prior to all blocks being clear, with additional Form M Line 11 *BLOCK(S) CLEAR* indications added to the Form M when subsequent blocks become clear.

Trains with Form M Line 2 and Line 11 authority may operate in either direction between the block limits indicated.

**12-C(1)** Before admitting a train to a block, the RTC must examine the Record of Train Movement and verify that switches are properly lined.

**12-D** Block Limits are designated in the Employee Timetable or by Bulletin Order.

**12-D(1)** Temporary block limits are established by Bulletin Order or Form M Line 10.

Temporary block limits may be established only at stations shown in the Employee Timetable, whole mileposts, or numbered catenary poles. If established at passenger stations, a specific location at the station must be indicated.

If temporary block limits are to be in service for extended periods of time, Approach Block Limit **[Rule 11-D(2)]** and Block Limit **[Rule 11-D(3)]** signs must be placed as soon as possible identifying the location of temporary block limits.

**12-E** Trains must, unless issued *BLOCK(S) CLEAR* authority by Form M Line 11 for subsequent blocks:

- Reduce to **Medium Speed** upon passing Approach Block Limit sign **[Rule 11-D(2)]**, and
- Approach the Block Limit sign **[Rule 11-D(3)]** prepared to stop, and
- Not pass the Block Limit until provided with *BLOCK(S) CLEAR* authority by Form M Line 11.

Trains that have *BLOCK(S) CLEAR* authority for subsequent block(s) may proceed past Approach Block Limit and Block Limit signs at MAS.

**12-F** Assist trains for disabled trains may occupy the same block as the disabled train by using Form M, Line 8. The Form M, Line 8 may not be issued to the assisting train until Form M, Line 7 has been issued to the disabled train. The assisting train must operate at **Restricted Speed** from the block limit preceding the disabled train to the location of the disabled train. The crew of the disabled train must provide flag protection for their train for a distance of ¼ mile in the direction from which the assisting train is approaching.

**12-G** REVERSE MOVEMENTS

**12-G(1)** Trains with Form M Line 1 and Line 11 *BLOCK(S) CLEAR* indication may make a reverse movement within the block they are occupying, as follows:

a. The move may be made at **Restricted Speed** without authority of the RTC. All provisions of **Rule 7-O** apply if the engineer is not on the leading end of the movement. The reverse movement may not pass a block limit.

b. The RTC may issue a new Form M, with Line 1 authority and Line 11 *BLOCK(S) CLEAR* indication from the point where the train is standing to the next block limit in the desired direction of travel. This move may be made at **MAS** if the engineer is operating from the leading end of the movement.

**12-G(2)** Trains and track cars may occupy a block in MBS territory equal to their length without Form M authority for the purpose of clearing a switch in order to make a movement in the opposite direction. This move requires the verbal permission of the RTC and must be made at **Restricted Speed**. Permission will be granted only if the block is clear or if the move is following a train into the block. The RTC must not grant *BLOCK(S) CLEAR* authority to any other train or track car after granting such verbal permission until it is known that the train or track car making the reverse movement is clear of the block.

**12-G(3)** Trains given permission to enter main track at other than a block limit may operate on the main track in the opposite direction of their mandatory directive for the purpose of clearing the switch.

**12-H** MEETS

**12-H(1)** All meets between trains in MBS territory must occur at sidings specified in the Employee Timetable or at other locations specified by Bulletin Order for this purpose.

**12-H(2)** For all scheduled and unscheduled meets, both trains involved in the meet must be issued Form M Line 12 indicating the schedule number if a scheduled train and engine number of the train to be met, the location of the meet, and which train is to take the siding.

**12-H(3)** When meets between scheduled trains are shown in the Employee Operating Schedules, those meets must:

- Occur as shown in the Employee Operating Schedules, or
- Occur at a location other than that shown in the Employee Operating Schedules. The revised location of the meet will be shown in the "At" space of the Form M, Line 12, or
- Be cancelled by Form M, Line 14, using the format: ***Meet with No. .... is cancelled account (reason)***

**12-H(4)** The engineer of each train with Form M Line 12 instructions for a meet must sound engine horn signal 4-E(5)(e) at least one mile prior to the meet location. If this signal is not sounded, crew members must take immediate action to stop the train.

**12-H(5)** Trains instructed to take the siding for a meet must enter at the first switch to that siding.

**12-H(6)** When arriving at the meeting point:

a. If the train to hold the main is the first train arriving at the meeting point, a crew member of that train will line the switch into the siding for the opposing train. Once the opposing train is clear in the siding, the crew member will line and lock the switch for the main.

b. If the train taking the siding is the first train arriving at the meeting point, a crew member of that train will line the switch into the siding for his train, and once the train has cleared into the siding, will immediately line and lock the switch for the main.

c. Once the meet has been fulfilled, a crew member of the train leaving the siding must line and lock that switch for normal movement on the main track.

**12-I** Trains and track cars must report to the RTC that they are clear of the block as soon as the entire movement has passed each Block Limit, unless otherwise instructed by Form M or the RTC. If instructed to take siding for a meet, they will report clear as soon as they are clear of the main track and the switch has been lined and locked for normal movement. Trains and track cars occupying a main track in MBS territory with verbal permission under Rule 12-G must report when clear of the block.

**12-I(1)** RTCs may not use control console indications to determine when a movement is clear of a block.

**12-J** HAND-OPERATED SWITCHES

Hand-operated switches in MBS territory may not be operated without permission of the RTC. The RTC must enter on the Record of Train Movement the name and craft of the qualified employee requesting permission to operate switch, name and location of switch, time permission was granted, and time switch was reported to be locked in normal position. This record must be made immediately when permission is granted, and upon notification that switch is locked normal. The same employee who was granted permission to operate the switch must lock it in normal position and report such to the RTC as soon as practicable, before departing the location of the switch. If the main track was removed from service, report must be made to the RTC before Form M, line 3, is cancelled.

When granting permission to operate switch, and when reporting that switch is locked in normal position, the time, and name and location of switch, must be stated and confirmed between the qualified employee and the RTC.

Additionally, in the case of a train, the crew member using the switch must communicate to the engineer the position of the switch when first operated, and, after its final use, that switch is lined and locked in normal position. Such communications shall be acknowledged by the engineer.

**12-K** RTCs must keep a written record of all train movements within MBS territory. This record will include the time that *BLOCK(S) CLEAR* authority was issued and the time that the movement reported clear for each block. For trains and track cars given verbal permission to occupy a block for the purpose of making a reverse movement **[Rule 12-G(2)]**, the time that the verbal permission was given and the time that the movement reported clear must be indicated. When trains or track cars report that switches are locked in normal position per Rule 12-J, this information must be acknowledged by the RTC and the time and name of the person reporting must be entered in the Record of Train Movement.

**12-L** SUBSTITUTING MBS RULES FOR CTC/CSS RULES

**12-L(1)** In cases of signal system failure or other circumstances, MBS rules may be substituted for CTC/CSS rules. Such substitution will be authorized by Bulletin Order or Form M, Line 9. All MBS Rules **[Rules 12-A thru K]** will apply unless otherwise noted.

**12-L(2)** The limits of the substitution of MBS Rules must be CPs.

**12-L(3)** MBS substitution for CTC/CSS Rules will apply to all main tracks between the designated limits, unless specific tracks are designated in the Form M Line 9 or Bulletin Order.

**12-L(4)** The RTC must place all signals leading to the affected track in Stop position and apply blocking devices to the controls of all switches and signals.

**12-L(5)** SPEEDS WHEN MBS IS SUBSTITUTED FOR CTC/CSS

a. MAS will be as shown in the Employee Timetable, not exceeding **59 MPH**.

b. Trains must stop at the signal governing entrance to the MBS territory. After confirming that the train has the necessary Form M indicating *BLOCK(S) CLEAR*, plus any other pertinent information, and that train control apparatus has been cut-out in accordance with MN-401 instructions, the RTC will give the train permission to pass the Stop Signal per Rule 13-F. A proceed interlocking signal must not be displayed to enter blocks where MBS is substituted for CTC/CSS.

c. Trains must approach all interlocking signals within the limits of the MBS territory prepared to stop, and must be given permission to pass the interlocking signal in accordance with Rule 13-F. A proceed interlocking signal must not be displayed.

d. Trains must approach all hand-operated, facing point switches not equipped with electric locks prepared to stop until the engineer can determine that the switch points are properly lined.

e. Trains must approach the interlocking signal governing the end of the MBS territory and beginning of CTC/CSS rules prepared to stop. Train control apparatus must be cut-in and confirmed by radio to RTC, in accordance with MN-401 instructions, prior to entering CTC/CSS territory. Trains will be governed by signal indication, and must enter the interlocking at **Restricted Speed** until a more favorable indication is received.

**12-L(6)** Stop and Warn rules **[Rule 18-D]** apply at all grade crossings equipped with automatic warning devices in the territory where MBS rules are substituted for CTC/CSS.

**12-L(7)** To expedite train movements when MBS rules are substituted for CTC/CSS for extended periods of time, interlockings within the MBS territory may be taken out-of-service by Bulletin Order or Form M Line 14.

a. Prior to taking an interlocking out-of-service under this rule, a qualified C&S employee must:
- Physically inspect the interlocking to ensure that all points are properly aligned;
- Secure all interlocking appliances;
- Apply protective devices to prevent movement of switch points;
- Cover all interlocking signals.

b. Trains may operate through out-of-service interlockings at MAS, unless otherwise specified by Bulletin Order or Form M.

c. The interlockings at the start of the MBS territory and where CTC/CSS territory resumes must not be taken out-of-service under this rule.

**12-L(8)** To expedite train movements when MBS Rules are substituted for CTC/CSS for extended periods of time, qualified employees may be assigned to block limit locations.

a. Block limits where employees are assigned will be designated by Bulletin Order, and will include the time when the employee will be assigned; for example:

***Temporary Block Limit <u>Yonkers</u> established at north end of Yonkers platform. Temporary Block Limit <u>Yonkers</u> will be staffed between 0600 hrs and 2100 hrs daily.***

Designation of staffed block limits may also be done by Form M. The RTC will add the word *"STAFFED"* following the location of the Temporary Block Limit on Form M Line 10.

b. Employees assigned to block limits must be qualified on the Operating Rules.

c. Employees assigned to block limits will report to the RTC each train that passes that block limit, providing the train schedule number, lead unit, track, and time. Trains passing staffed block limits are relieved from reporting clear of the block to the RTC.

d. Employees assigned to block limits may also deliver Form Ms to passing trains. Such Form Ms will be issued by the RTC, and will be transmitted to the employee at the block limit in accordance with Rule 10-B. The employee staffing the block limit will complete the *EMPLOYEE RECEIVING* line, and will inform the RTC of the time that the Form M is delivered to the train.

e. Written records pertaining to the time trains enter and clear each block will be maintained by the RTC, in accordance with **Rule 12-K**, based on information provided by the employee staffing the block limit.

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**RULE 13**
**OPERATION UNDER INTERLOCKING RULES**

**13-A** Interlocking Rules (IR) are in effect at all interlockings and at locations designated in the Line Special Instructions or by Bulletin Order.

**13-B** Interlocking signals govern the use of the routes of an interlocking. These signals must be cleared sufficiently in advance of approaching trains to avoid unnecessary delay.

**13-C** Interlocking signals and appliances must be operated only by authorized employees.

**13-D** Stop Signals must be displayed and blocking devices applied to all affected interlocking signals and appliances when:

- Irregularities in the operation of the signals or appliances are detected;
- The signals or appliances are under repair; or
- There is damage to the track or interlocking.

This protection will remain in effect, and movements will not be permitted over the affected routes, until all affected signals, track and appliances have been inspected or repaired and found safe for movement.

**13-E** Interlocking appliances must not be operated when a train, engine, or track car is standing on or closely approaching that appliance.

**13-E(1)** When an interlocking signal has been cleared for an approaching movement, the signal must not be changed to a Stop Signal until:

- The train is stopped, as confirmed by a member of the train crew or other qualified employee; or
- The engineer informs the RTC that the train can be safely stopped before reaching the signal.

**13-E(2)** In an emergency situation, a signal may be immediately changed to a Stop Signal. The route for the approaching train must not be changed, and conflicting routes must not be established, until the approaching train has stopped. The RTC must attempt to contact all affected trains.

**13-E(3)** When a proceed interlocking signal changes to a Stop Signal before a movement reaches the signal, the movement must be stopped as quickly as safe train handling permits. Any such incidents must be immediately reported to the RTC.

**13-F** PERMISSION TO PASS STOP SIGNAL

Permission to pass a Stop Signal may be given by the RTC when a proceed interlocking signal cannot be displayed. Permission to pass a Stop Signal will not be given when the control system and rules permit a proceed interlocking signal to be displayed.

**13-F(1)** The RTC must determine that no opposing or conflicting moves have been authorized.

**13-F(2)** The RTC must determine that affected interlocking appliances are properly positioned, and must apply blocking devices to all affected interlocking appliances that are to be used.

If a signal cannot be displayed due to the control console showing an interlocking appliance not properly lined, the RTC will not give verbal permission for a movement to pass the Stop Signal until that appliance is lined, and secured, as confirmed by a qualified employee, and blocking device has been applied.

**13-F(3)** The train or track car must be stopped at the signal before permission to pass the signal is given.

**13-F(4)** Permission will be granted by the RTC in the following format:

***No…. has permission to pass Stop Signal at CP… lined from No .. track to No .. track in a …. ward direction.***

If the signal being passed has an identification plate, the letter and/or number of the signal will be included in the permission. This will be followed by any special instructions required by the rules.

Example: ***No 1359 has permission to pass Stop Signal 3S2 at CP 1 lined from No 3 track to No 1 track in a southward direction.***

or ***Extra CSX 6687 North has permission to pass Stop Signal at CP12 lined from No 4 track to No 4 track in a northward direction. No 4 track is out-of-service north of MP 14.0.***

**13-F(5)** The receiving employee must repeat this permission to the RTC and the RTC must then confirm it prior to beginning movement.

**13-F(6)** Trains or track cars receiving permission to pass a Stop Signal must operate at **Restricted Speed** until:

- Entire length of train has passed a location where a more favorable cab signal indication is received; or
- Train or track car enters MBS territory; or
- Track car is clear of interlocking territory and is proceeding on Form M authority.

**13-G** When the RTC stops a train, the train must not move in either direction without verbal permission of the RTC.

**13-H** REVERSE MOVEMENTS

When necessary to reverse direction where interlocking rules are in effect, trains must have interlocking signal indication or verbal permission from the RTC. Movements not governed by interlocking signal indication must not be made until all interlocking appliances have been lined and blocked.

**13-I** A train that is stopped less than one engine length beyond an interlocking signal governing that movement must not proceed without verbal permission of the RTC.

**13-J** NON-SHUNTING EQUIPMENT

**13-J(1)** Equipment that may not shunt track circuits must have the permission of the RTC before operating within interlocking limits. Prior to permission being issued, routes to be used must be lined and secured with blocking devices. Following moves are prohibited and protection against both following and opposing moves must be provided.

The employee in charge of the movement must notify the RTC when the movement has cleared interlocking limits.

**13-J(2)** The RTC must not remove the blocking devices protecting any portion of the affected route until the employee in charge has reported clear of the opposing signal governing that portion of the route.

When necessary to change any route for which permission has been issued, the RTC must first ensure the equipment is stopped and notify the employee in charge of the move that the route is being changed.

**RULE 14**
**OPERATION UNDER CENTRALIZED TRAFFIC CONTROL RULES**

**14-A** Centralized traffic control (CTC) rules are in effect on tracks indicated in the Line Special Instructions or by Bulletin Order.

**14-A(1)** In the event of a failure of the CTC system, MBS rules may be substituted in accordance with Rule 12-L.

**14-B** Trains must not enter or foul a main track, or re-enter a main track after being clear of it, unless authorized by fixed signal indication or verbal permission of the RTC.

**14-B(1)** Before permission is given to enter or foul a main track at a hand operated switch, the RTC must determine that no train approaching the switch is within the controlled block.

**14-C** The RTC will not permit trains to operate against the established direction of traffic unless the track is known to be clear of opposing moves and blocking devices applied.

**14-D** Assist trains for disabled trains may be authorized to operate in the opposite direction of the disabled train, as follows:

a. The disabled train must be issued Form M Line 7.

b. The assisting train will be issued Form M Line 8 authority after the RTC has determined that the track to be used is clear to the location of disabled train.

c. The crew of the disabled train must provide flag protection for their train for a distance of ¼ mile in the direction from which the assisting train is approaching.

d. The assisting train must operate at **Restricted Speed** between the locations specified on Line 8.

**14-E** When trains or track cars require exclusive use of a track in CTC territory for movement in either direction, Form M Line 2 authority will be issued. No other trains or track cars may occupy the block. For track cars, Form M Line 11 *BLOCK(S) CLEAR* indication must also be provided between the limits shown on Form M Line 2.

The limits indicated on Form M Line 2 must be protected by placing signals in Stop position and applying blocking devices.

Trains will be governed by signal indication between the limits shown on Form M Line 2.

**14-F** Trains and track cars will not move without verbal permission of the RTC when:

- Movement has been stopped between controlled points by instruction of the RTC; or
- A new crew takes charge of unattended equipment located on a main track.

**14-G** HAND-OPERATED SWITCHES IN CTC TERRITORY

**14-G(1)** Hand-operated switches must not be operated without permission of the RTC except by a member of the crew of a train occupying the block.

**14-G(2)** When a train has cleared the main track at a hand-operated switch and the switches have been restored to normal position, the engineer, conductor, or other designated employee must report clear to the RTC.

Trains may not clear the main track at hand-operated, non-electric lock equipped switches if the MAS is greater than 20 MPH at such location. While work is being performed, train must occupy the main track or the switch must be left open.

**14-H** NON-SHUNTING EQUIPMENT

**14-H(1)** Equipment that may not shunt track circuits must have the permission of the RTC before operating in CTC territory.

**14-H(2)** When authorized by the RTC, non-shunting equipment will operate as follows:

a. Signals governing the route will be displayed, unless otherwise prohibited by the rules or due to signal failure.

b. Prior to allowing non-shunting equipment to enter a block, the RTC must set signals for opposing movements to Stop position and apply blocking devices to prevent following movements as soon as the non-shunting equipment enters the interlocking. Trains and engines will not be permitted to follow the non-shunting equipment within a controlled block.

c. In an emergency situation, trains and track cars may be permitted to follow non-shunting equipment in a controlled block provided Form M authorizes movement and:

- The non-shunting equipment is known to be stopped, and
- The following movement is provided the location of the non-shunting equipment (Form M Lines 7 and 8 are sufficient to meet this requirement if the non-shunting equipment is disabled).

The train or track car following the non-shunting equipment must operate at **Restricted Speed**.

**14-I** REVERSE MOVEMENTS

**14- I(1)** In CTC territory, except when operating with Form M Line 2 authority, trains must have verbal permission of the RTC in order to make a reverse movement. Before permission is given, the RTC must determine that the track to be used is clear of opposing movements.

- If there are no following trains in the same controlled block, blocking device protection must be afforded at the interlocking where opposing movements can be held.

- If there are one or more following trains in the same controlled block, the RTC will instruct the train immediately following to stop, and will not issue permission for the reverse movement until the engineer of the following train confirms that his train is stopped and provides the RTC with his location.

**14- I(2)** Passenger trains, when stopped at an Interlocking Signal governing their route, may accept signal indication to make a reverse movement without verbal permission of the RTC.

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**RULE 15**
**OPERATION UNDER CAB SIGNAL SYSTEM RULES**

**15-A** Cab Signal System (CSS) rules are in effect on those tracks as indicated in the Line Special Instructions or by Bulletin Order.

**15-B** Trains operating on tracks where CSS rules are in effect must be equipped with operative train control apparatus in the lead unit, unless otherwise authorized by Timetable.

When movement of non-equipped trains is authorized, such movement will be made at **Restricted Speed**. The RTC must note in the Record of Train Movements any train not equipped.

**15-C** On all engines and cab cars, train control apparatus must be cut-in and the ATC selector switch must be in the "Mode Forward" position at all times, except when operating where MBS rules are in effect.

**15-D** TRAINS ENTERING CSS TERRITORY

**15-D(1)** The engineer and conductor are jointly responsible for ensuring that the ATC Mode Switch is in the proper position when entering or leaving CSS territory.

**15-D(2)** Trains entering CSS territory from MBS territory must have the ATC mode switch on the lead unit placed in the forward (normal) position at the location designated by the *ATC MODE FORWARD* Sign **[Rule 11-D(4)]**. If no *ATC MODE FORWARD* sign is displayed, the ATC mode switch will be operated at the point where CSS rules take effect.

**15-D(3)** When a proceed interlocking signal cannot be displayed at the location where trains enter CSS territory, and permission is given for trains to pass the Stop Signal under Rule 13-F, the engineer must confirm to the RTC that the ATC mode switch is in the forward position. The RTC will record this information on the Record of Train Movements.

**15-D(4)** Trains entering CSS territory from any non-CSS track must operate at **Restricted Speed** passing the location where CSS rules take effect and not increase speed until the train has traveled one train length in CSS territory.

**15-E** TRAIN CONTROL APPARATUS TESTING

**15-E(1)** DAILY CAB SIGNAL TEST

a. A *DAILY CAB SIGNAL TEST* must be performed on train control apparatus by a Qualified Maintenance Person (QMP) no more than 24 hours prior to the departure of a train from a terminal or turnaround point.

b. The employee performing the Daily Cab Signal Test must complete and sign the Cab Signal Certification form (Form ME-8c), leaving one copy in the cab and filing one copy with the Mechanical Department at the initial terminal.

c. On trains with multiple engines or MU cars, the Daily Cab Signal Test will be performed on the lead unit for movement of the train in each direction. If it is known that the train will split at a location where test equipment is not available, the units that will become lead units after the split must also be tested.

**15-E(2)** CAB SIGNAL DEPARTURE TEST

a. When there is no valid Cab Signal Certification form (Form ME-8c) in the cab on the leading end of the train, the Engineer shall perform a *CAB SIGNAL DEPARTURE TEST* prior to operating equipment, in accordance with instructions in MN-401.

b. Upon completion of the Cab Signal Departure Test, the engineer shall complete Form ME-8c, leaving the original in the cab, one copy at the location where the test was performed and keeping one copy for the employee's records. If the Cab Signal Departure Test is performed at a turnaround point other than in a designated yard, or if no supervision is available to receive a copy of the Form ME-8c at the location where the test was performed, the engineer must inform the RTC of the test results. The RTC must record this information on the Record of Train Movements.

c. If a portion of the train control apparatus is cut-out or fails, a new Daily Cab Signal Test must be performed prior to the train entering CSS territory. This provision does not apply when the ATC selector switch is placed in the *MODE REVERSE* position or the ATC is cut out for operation in MBS territory.

**15-E(3)** ROAD TRAIN CAB SIGNAL TEST

A *ROAD TRAIN CAB SIGNAL TEST* will be performed by the engineer each time he sets up a cab for operation as lead unit on a train. The Road Train Cab Signal Test will consist of:

- Examining all train control apparatus cut-out switches for proper position and application of seals;
- Inspecting the Cab Signal Certification form (ME-8c) to ensure test completion within past 24 hours;
- Examining a lighted aspect of the cab signal display to ensure the system is energized;
- Testing of audible indicator;
- If the engine is not equipped with a mode selector switch, ensuring that the ATC is activated.

**15-E(4)** Engines that fail either the Daily Cab Signal Test, the Cab Signal Departure Test or the Road Train Cab Signal Test will not be operated as lead units in CSS territory until repaired and tested. Such engines may be operated in trains as other than lead units.

**15-F** When a cab signal changes to a more restrictive indication, the engineer must immediately:

- Acknowledge the audible indicator; and
- If the train speed is greater than the speed authorized by the cab signal indication, apply brakes until train speed is reduced to the authorized speed.

**15-G** When a cab signal changes to a more favorable indication, train speed shall not be increased until the train has traveled one train length.

**15-H** When a cab signal indication momentarily changes ("flips"), the engineer will make a report to the RTC by radio as soon as possible, including the following information:

- Location
- Track
- Cab signal indications involved
- Whether the flip required acknowledgment

**15-I** TRAIN CONTROL APPARATUS FAILURES

**15-I(1)** A train will be considered to have a train control apparatus failure ("failed train") when any component of the train control apparatus fails to operate as intended, such as:

- The audible indicator fails to sound when required or continues sounding when not required;
- The speedometer is inoperative, reading 0 MPH when the train is moving, or there is a constant No Motion (V-zero) indication;
- It is necessary to operate the cut-out switch for the cab signals, ATC, ATS, or any other component of the train control apparatus, except when necessary for operation in MBS territory;
- Damage or fault occurs to any part of the train control apparatus;
- The train experiences continuous cab signal flips.

**15-I(2)** A train also will be considered a failed train when the train receives a cab signal indication (other than a flip) that is not in conformity with fixed signal indication or observable track occupancy or track conditions.

a. If the cab signal indication is more restrictive than fixed signal indication, track occupancy, or track conditions, the train will proceed in accordance with Rules 15-I(3) through 15-I(6).

b. If the cab signal indication is more favorable than fixed signal indication, track occupancy, track conditions, or allowable speed for diverging route, the engineer will immediately bring the train to a stop and call the RTC for instructions.

**15-I(3)** When a train experiences an enroute train control apparatus failure, the RTC must be notified of the nature of the failure as soon as possible. The engineer will cut-out only those portions of the train control apparatus that are necessary to allow movement of the train, in accordance with the MN-401, and will inform the RTC of the action taken. The RTC must note failed trains in the Record of Train Movements.

In addition to notifying the RTC, engineers will complete a Cab Signal Incident Report in accordance with instructions in the MN-401 and submit this report to the Yardmaster or employee-in-charge prior to completing his assignment.

**15-I(4)** When a train control apparatus failure occurs, train must not proceed until engineer has notified the conductor and when practicable conductor must be positioned in or adjacent to controlling cab to observe conditions ahead and communicate signals. If the conductor cannot be stationed with engineer, engineer must communicate to conductor, by radio or other means, each interlocking signal affecting the movement of their train by its name and location as soon as it is clearly visible. Conductor must repeat such transmission. Other members of the crew must be notified of train control apparatus failure.

**15-I(5)** When a train experiences a train control apparatus failure on another railroad, the engineer must notify the RTC prior to entering Metro-North territory, giving the nature of the failure. When a train destined for another railroad experiences a train control apparatus failure, the RTC will notify the person in control of that railroad prior to the train leaving Metro-North territory.

**15-I(6)** When a train control apparatus failure has occurred, the train control apparatus on that engine will be considered inoperative until repaired and tested by a QMP.

**15-J** OPERATION OF TRAINS WITH A TRAIN CONTROL APPARATUS FAILURE

**15-J(1)** From the point of failure to the next interlocking signal, a failed train will operate at **Restricted Speed**.

**15-J(2)** For all subsequent controlled blocks, the RTC must display the Absolute Block signal **[Rule 11-B(2)]** for failed trains. Prior to displaying the Absolute Block signal, the RTC must know that no other trains have been given signals or permission to enter the controlled block. The Absolute Block signal indicates that the controlled block ahead of the failed train is clear. Other trains may, on signal indication, be permitted to follow the failed train in the same controlled block.

**15-J(3)** When governed by the Absolute Block signal, failed trains will operate at:

- **Slow Speed** within interlocking limits;
- **MAS not exceeding 59 MPH** outside of interlocking limits, approaching interlocking signals prepared to stop.

**15-J(4)** When the RTC cannot display an Absolute Block signal, failed trains may, with verbal permission of the RTC, accept a Proceed Cab indication and proceed at **Restricted Speed.**

**RULE 16**
**BLUE SIGNAL PROTECTION OF WORKERS**

**16-A** Railroad workers who work on, under, or between rolling equipment must be provided with protection. Train and engine service employees are not required to have protection under this rule except when assigned to perform work on rolling equipment that is not part of the movement they have been assigned to operate.

**16-B** DEFINITIONS
In the application of this rule, the following definitions apply:

Effective Locking Device - A switch padlock that is vandal and tamper resistant and can be unlocked only by the class, craft, or group of employees for whom protection is being provided.

Mechanical Track - A track used primarily for servicing or repair of rolling equipment that is under the exclusive control of the Mechanical Department. A listing of all designated Mechanical Tracks is contained in the Timetable Special Instructions. Movements on Mechanical Tracks may be made only with the permission of the designated Mechanical Department employee. Maximum authorized speed on all mechanical tracks is **Restricted Speed not exceeding 5 MPH**.

Operator - The employee (RTC or yardmaster) in charge of remotely controlled switches.

Rolling Equipment - Locomotives, railroad cars, or one or more locomotives coupled to one or more cars.

Workers - One or more employees assigned to inspect, test, repair and service rolling equipment.

Worker-in-Charge - The foreman or other designated employee assigned to provide protection for a group of workers on rolling equipment. If there is a single worker on a train or engine, that worker assumes the duties of the worker-in-charge.

**16-C** OPERATING REQUIREMENTS

**16-C(1)** Equipment must not pass a blue signal.

**16-C(2)** Other equipment must not be placed on the same track so as to reduce or block the view of the derail and blue signal.

**16-C(3)** Rolling equipment protected by a blue signal must not be moved or coupled to, except as noted below.

On Mechanical Tracks, when directed by the worker-in-charge, rolling equipment may be repositioned and/or coupled to without removing the blue signal protection from the track where the rolling equipment is located. Before moving or coupling to equipment, employees working on or about the affected track must be informed of the movement, and the blue signals must be removed from the equipment to be moved or coupled.

**16-D** ESTABLISHING BLUE SIGNAL PROTECTION - MAIN TRACKS

**16-D(1)** Before going on, under, or between rolling equipment, workers must display a blue signal at each end of the rolling equipment, and must attach a blue signal in a readily visible location in the cab(s) on the controlling ends of the rolling equipment being protected.

**16-D(2)** On main tracks, when emergency work is to be performed on, under, or between rolling equipment and a blue signal is not available, the engineer and conductor of the train must be notified. The engineer must apply three-point protection.
**[Rule 7-S]**

**16-E** ESTABLISHING BLUE SIGNAL PROTECTION - OTHER THAN MAIN TRACKS

**16-E(1)** Before going on, under, or between rolling equipment on other than main tracks, protection must first be provided for the track where the rolling equipment is located, then protection must be provided on the rolling equipment where the work is to be performed.

**16-E(2)** If the track where rolling equipment is located is not a Mechanical Track and is under the control of a Yardmaster, the worker-in-charge will request permission to use the track from the Yardmaster, providing the following information:

- Last name and craft of worker-in-charge
- The number or other designation of track involved

The Yardmaster will record this information on the prescribed form, and inform the requesting employee of the time the Blue Signal information was recorded. The requesting employee must repeat this information back to the Yardmaster prior to fouling equipment. The Yardmaster will not permit any other occupancy or use of the track until released by the worker-in-charge.

**16-E(3)** Under all circumstances, access to the track where the rolling equipment is located must be prevented.

a. If switches providing access to the track are hand-operated, either:

- These switches must be lined against movement to the track involved and locked with an effective locking device; or
- A derail locked in the derailing position with an effective locking device must be provided. If a derail is used, it must be placed not less than **50 FEET** from the end of the rolling equipment for mechanical tracks, and not less than **150 FEET** from the end of the rolling equipment for all other tracks.

A blue signal must be displayed at each locked, hand-operated switch and each locked derail.

b. If switches providing access to the track are remotely controlled, the following steps must be followed:

1. The worker-in-charge will communicate with the operator and provide the following information:

   - Last name and craft of worker-in-charge
   - The number or other designation of track involved

   The operator will record this information on the prescribed form.

2. The operator must line switches against movement to the track involved and apply blocking device.

3. The operator will then report to the worker-in-charge that blocking devices have been applied, clearly indicating the track number or other designation of the track protected.

4. The worker-in-charge will not permit any work to be performed until informed by the operator that switches have been lined against movement and blocking devices applied.

c. If the switches providing access to the track are capable of being operated more than one way, all methods of operation of the switch must be protected.

**16-E(4)** PROTECTION OF EQUIPMENT ON WHICH WORK IS TO BE PERFORMED:

After protection is provided for the track where the equipment is located, a blue signal will be displayed in a readily visible location in the cab(s) on the controlling ends of the rolling equipment being protected.

When multiple workers or groups of workers are on a single piece of rolling equipment, each worker or group of workers must be identified on the blue signal in the cab(s) on the rolling equipment.

**16-E(5)** WHEN WORK IS COMPLETED:

a. The worker-in-charge must be certain that all workers are clear of protected rolling equipment prior to releasing protection.

b. When all workers are clear, blue signals will first be removed from the cab(s) of the rolling equipment.

c. If switches providing access to the track are hand-operated, switch locks and blue signal device will be removed. If derails were used to provide protection, derails will be placed in the non-derailing position and blue signals removed.

d. If switches providing access to the track are remotely controlled, the worker-in-charge originally requesting protection must provide the following information to the operator:

- Last name and craft of worker-in-charge
- The number or other designation of track released
- The time when blue signal protection is no longer required.

The operator must make a written record on the prescribed form of the removal of the blocking device protection. Records must be retained for 15 days following the removal of the protection.

e. If track is under the control of a Yardmaster, worker-in-charge will then provide the Yardmaster with the following information:

- Last name and craft of worker-in-charge
- The number or other designation of track released
- The time when use of the track is no longer required.

The Yardmaster will record all information regarding release of the track on the prescribed form.

f. When the worker-in-charge who requested protection is relieved from duty or otherwise unavailable, a supervisor of the department of that worker-in-charge may perform the steps to remove blue signal protection and release tracks. The supervisor will provide the operator and/or Yardmaster with the information required by paragraphs (d) and (e) above, along with the supervisor's name and reason why the original worker-in-charge is not available. This information will be recorded on the prescribed form.

**16-E(6)** On other than main tracks, when emergency work is to be performed on, under, or between rolling equipment, and a blue signal is not available, the engineer and conductor must be notified. The engineer must apply three-point protection. **[Rule 7-S]**

**RULE 17**
**EQUIPMENT**

**17-A** In matters pertaining to the operation of various types of equipment and the handling of defective equipment, unless otherwise specified in these rules, the Equipment Operating Instructions (MN-401) will apply.

For foreign railroads operating over Metro-North, unless otherwise specified in the rules, the equipment operating instructions and/or air brake instructions of the foreign railroad, by whatever title, will apply.

**17-B** Crew members will observe their train for defects that could affect safe operations. Crew members and employees working on or near the right-of-way will, when possible, observe passing and standing trains for defects.

Particular attention will be paid to:

- The running gear, including wheels, journals and other truck components, and draft gear components;
- Dragging equipment;
- Doors and the position of loads on lading on freight cars.

The following may be warning signs of a defects:

- Unusual noise
- Unusual smell
- Smoke from undercarriage
- Electrical arcing
- Poor ride quality for unknown reasons

**17-C** When safety-related defects on a train are detected or reported, the train will be brought to a stop, the RTC notified, and the crew will inspect the train.

When safety-related defects are observed on a passing or standing train, the person observing the defects will attempt to notify the crew of that train and the RTC.

When defects are noted that do not affect the safety of the operation, the RTC will be notified. The RTC will determine the location where the train should be inspected, and will issue appropriate instructions to the train crew.

All defects must be noted on the appropriate form on the equipment, in accordance with the MN-401.

**17-D** EN ROUTE EQUIPMENT DEFECTS

**17-D(1)** RUNNING GEAR DEFECTS

In accordance with federal regulations, running gear defects require the intervention of a Qualified Maintenance Person (QMP) to determine whether it is safe to operate the equipment, and under what conditions and restrictions.

Running gear defects are defects to any part of the equipment which involves a truck component, a draft system component, a wheel or a wheel component. Running gear defects do not include defects affecting the propulsion or power collection systems, such as traction motors or third rail apparatus.

When a running gear defect is detected, the train crew will contact the RTC and provide all pertinent information about the location and nature of the defect. The RTC will contact a QMP for instructions, and the train will not proceed beyond the next forward designated repair facility.

**17-D(2)** FLAT SPOTS ON WHEELS

The train crew is responsible for determining the length of flat spots which are discovered en route and whether there are other running gear defects.

If there is a flat spot of 2½ in. or less in length, and no other defects are detected, it shall not be considered a running gear defect and the train may proceed at **MAS.** The condition will be noted on Form ME-8 and reported to the Mechanical Department at the conclusion of the trip for corrective action.

If the flat spot is in excess of 2½ inches in length, or if there are two or more adjacent flat spots any one of which is over 2 inches, it will be considered a running gear defect, and Rule 17-D(1) will apply.

**17-D(3)** OTHER DEFECTS

Defects to other than the running gear, such as the air brake system, propulsion system, power collection system, cab signal system, car body, or interior car components, will be reported to the RTC and handled in accordance with the MN-401 or foreign railroad equipment operating or air brake instructions.

**17-E** DISPATCHING DEFECTIVE EQUIPMENT FROM TERMINALS

**17-E(1)** Defective equipment may be dispatched from terminals only as permitted by federal and company regulations.

**17-E(2)** When defective equipment is operated, a non-compliance tag (for locomotives and passenger equipment) or bad order tag (for freight equipment) must be placed in the operating cab of the defective piece of equipment, or if not equipped with an operating cab, in another location as designated by Company policy. This tag will indicate:

- Engine or car number;
- The nature of the defect;
- Destination where repairs will be made;
- Any speed or other movement restrictions;
- Location and date where inspection was made and non-compliance tag applied;
- Signature and title of the employee who prepared the tag.

A copy of the non-compliance or bad order tag must also be placed in the cab of the leading and trailing unit of the consist.

The Yardmaster or other employee in charge of train make-up at the terminal must be notified by the employee issuing the non-compliance or bad order tag. The Fleet Management Office must also be provided with this information.

**17-E(3)** The Yardmaster or other employee in charge at the terminal must ensure that the engineer knows that there is non-compliant equipment in the consist and has a copy of the non-compliance or bad order tags for all such equipment. The engineer will ensure that the conductor is aware of any movement restrictions on the train prior to departure.

**17-E(4)** When passenger equipment is found to be non-compliant with FRA regulations or MNR instructions and must be moved in non-revenue service to a designated repair facility, Form M Line 14 authority is required. The Form M will be addressed to the engineer and conductor operating the non-revenue movement, and will specify on Line 14 the identification of the defective unit, where the movement is authorized, any movement restrictions and the defect or reason for the restriction.

example: ***"Operate non-compliant equipment units 8465-8466 from Bridgeport Yard to New Haven. Do not exceed 20 MPH, 10 MPH when diverting, account defective air bags."***

A Form M is not required to move equipment with an en route failure from the point of failure to the nearest designated repair facility.

**RULE 18**
**HIGHWAY GRADE CROSSINGS**

**18-A** Automatic highway grade crossing warning devices are provided at locations and on tracks as indicated in the Timetable.

**18-B** When automatic highway grade crossing warning devices are missing, broken, or otherwise not working as intended, the RTC will issue a Stop and Warn order.

**18-B(1)** Stop and Warn orders are issued by Bulletin Order or by Form M Line 6. Stop and Warn orders are also in effect by Operating Rule or Timetable Special Instruction.

**18-B(2)** Once a Stop and Warn order is issued due to a reported malfunction, it will remain in effect until the warning devices have been certified as working as intended by authorized C&S employee.

**18-C** When trains are approaching a crossing and a crew member observes that the warning devices are not working as intended, the crew will take appropriate action for the safety of the train, highway vehicles and pedestrians. The RTC must be notified immediately.

**18-C(1)** Any employee who observes highway grade crossing warning devices not working as intended must immediately inform the RTC and, if possible, warn traffic of approaching trains until relieved by qualified personnel or otherwise directed by the RTC.

**18-D** PROCEDURES TO STOP AND WARN AT GRADE CROSSINGS

When a Stop and Warn order is in effect, the train must stop with the lead unit within 50 feet of the crossing.

**18-D(2)** After stopping, these actions will be taken:

| | IF | THEN |
|---|---|---|
| a. | • The crossing is equipped with both flashers and gates; **and**<br>• Automatic warning devices appear to be working as intended; **and**<br>• Automatic warning devices have been activated for at least 20 seconds; **and**<br>• The crossing is clear | • Engineer will sound engine horn signal **Rule 4-E(5)c**.<br>• Train may proceed across the crossing, not exceeding **15 MPH** until the lead unit is completely clear of the crossing. |
| b. | • Automatic warning devices are not working as intended; **and**<br>• There is a police officer or railroad employee wearing a reflectorized vest controlling traffic at the crossing; **and**<br>• The crossing is clear | • Engineer will sound engine horn signal **Rule 4-E(5)c**.<br>• Train may proceed across the crossing, not exceeding **15 MPH** until the lead unit is completely clear of the crossing. |
| c. | • The conditions in **(a)** or **(b)** above are not met | • A member of the train crew must be stationed on the ground with flagging equipment, and must stop all approaching vehicular and pedestrian traffic.<br>• Once traffic is stopped and the crossing is clear, the engineer will sound engine horn signal **Rule 4-E(5)c** and train may proceed across the crossing, not exceeding **15 MPH** until the lead unit is completely clear of the crossing.<br>• Crew member providing warning may return to train as soon as the lead unit is completely across the crossing. |

**18-E** LONG - TERM OUTAGE

In circumstances involving long-term outages, special procedures may be put into effect which require a qualified railroad employee or railroad police officer to manually warn highway and pedestrian traffic of train movements over the crossing. The following procedures will apply:

a. Bulletin Order, DTOBO (Section C) instruction or Form M Line 14 will be issued to all trains using the affected crossing(s), using the wording:

***Long - term outage Rule 18-E in effect (at location; on Line/Branch between milepost limits). MAS over crossings is ... MPH (if no speed is indicated, Slow Speed will apply).***

b. Trains will approach designated crossings sounding engine horn signal 4-E(5)c, and be prepared to stop if the engineer observes that the crossing is not staffed or is not clear.

c. The qualified employee or railroad police officer must have radio contact with the RTC and trains using the crossing, and must manually operate the crossing warning devices or stop all approaching traffic at least 60 seconds prior to the arrival of the train at the crossing. If traffic cannot be stopped, the employee or police officer must immediately contact the train and RTC.

d. If the traffic is stopped and the crossing is clear, the train may proceed over the crossing without stopping, not exceeding the speed specified in the Form M Line 14, Bulletin Order, or DTOBO, or at **Slow Speed** if no speed is specified. The speed restriction applies until the lead unit is completely clear of the crossing.

e. If the crossing is not staffed, Stop and Warn procedures **[Rule 18-D]** will apply.

**18-F** INTERRUPTION OF AUTOMATIC CROSSING WARNING DEVICES

**18-F(1)** At locations specified in the Timetable Special Instructions, apparatus is provided to manually or automatically interrupt the operation of automatic grade crossing warning devices.

**18-F(2)** Where manual interruption is available, it will be operated in accordance with directions provided in the Timetable Special Instructions or posted at the location. When the apparatus is operated manually, no movement may be made over the crossing until warning devices are manually activated or automatic operation of the crossing warning devices has been restored.

**18-F(3)** Where automatic interruption is in service, switching movements, movements occurring after a stop within the circuit for the crossing, and all movements operating at slow speed must be prepared to stop before entering the crossing unless warning devices are observed to be operating. If warning devices are not operating, Stop and Warn procedures **[Rule 18-D]** will apply.

**18-G** OPERATION OVER HIGHWAY GRADE CROSSINGS

**18-G(1)** A yellow stripe painted on the inside and outside of head, web, and base of both rails, yellow joint bars, End of Circuit signs, or signs reading "CC" or "X" indicate the point beyond which trains will operate automatic highway crossing warning devices.

**18-G(2)** To prevent unnecessary operation of automatic highway crossing warning devices, switches must not be left open or unlocked and cars must not be left standing within the operating limits any longer than necessary.

**18-G(3)** Cars left on tracks adjacent to highway crossings must be left as far from the crossing as conditions permit.

**18-G(4)** Crew member(s) must warn traffic of train movements over highway crossings whenever:

- Trains are switching over crossings that are not equipped with gates;
- A train or any part of a train is left standing such that it obscures the view of highway traffic. In such cases, traffic must be warned of movement of trains on adjacent tracks. If there are insufficient crew members to staff all affected crossings, crossings with the greatest highway traffic will be given priority.

**18-G(5)** When switching movements are made within crossing circuits, or when a train is stopped at a location that results in the unnecessary operation of automatic warning devices, crew members will make every effort, once it has been determined that there is no danger, to facilitate the movement of highway vehicles and pedestrians over the crossing.

**18-G(6)** Trains making scheduled or unscheduled stops within the operating limits of a crossing equipped with automatic crossing protection will approach the crossing prepared to stop until the engineer can ensure automatic warning devices have been activated for at least 20 seconds.

**18-G(7)** When a train or switching movement passes entirely over a crossing provided with automatic warning devices, it must not move in the opposite direction until warning devices have been activated for at least 30 seconds.

**18-G(8)** Employees must report to the RTC the location of any crossing control boxes with a yellow strobe light activated.

**18-H** NON-SHUNTING EQUIPMENT

Equipment that may not shunt track circuits must Stop and Warn **[Rule 18-D]** at grade crossings equipped with automatic warning devices.

**RULE 19**

**OPERATION OF SWITCHES, SIGNALS, AND INTERLOCKING APPLIANCES**

**19-A** HAND OPERATED AND POWER SWITCHES AND DERAILS

**19-A(1)** Employees operating or verifying the position of switches and derails must be qualified on their use, and are individually responsible for the position of switches and derails used. Before a train crew leaves the location where a main track switch was operated, all crew members must communicate with each other to confirm that the switch, and derail, if any, are locked in the normal position.

**19-A(2)** Switches connecting main tracks with sidings or yard tracks are in normal position when lined for movement on the main track. Switches connecting sidings with yard tracks are in normal position when lined for movement on the siding. In all other cases, there is no normal position for switches unless designated in the Timetable. Except on designated mechanical tracks, or as otherwise specified in the Timetable, the normal position of a derail is in the derailing position. When not in use, switches and derails must be in normal position and locked, if so equipped. If switch is used to clear a main track or siding, switch and derail, if any, must be in normal position, and, if so equipped, locked, before reporting clear.

**19-A(3)** To operate a switch equipped with electric lock:

1. Remove padlock for electric lock switch in main track; Equipment occupying main track must be not less than 10 feet nor more than 70 feet from the switch point;
2. After receiving lock release, operate the switch point for the electric lock switch;
3. Operate derail or switch in yard track.

To restore switch to normal after movement is complete:

1. Restore switch and derail in yard track to normal position.
2. Restore switch in main track to normal position.
3. Replace padlock.

**19-A(4)** Where main track switch targets are used, the normal position of main track switches will be indicated by a green target; diverging position of main track switches will be indicated by a red target.

**19-A(5)** After operating switches, employees must examine the switch points and know that they fit the rail properly, and if so equipped, that switch target corresponds with the switch's position. Where derails are in service, employees must observe that they are in the proper position before and after operation.

**19-A(6)** Switches and derails equipped with locks or hooks must be locked or hooked at all times except when in use. After locking or hooking switch or derail, lock or hook must be tested to ensure switch or derail is secured.

**19-A(7)** Equipment must not foul a track until it is determined that no other equipment is fouling intended route and that all switches and derails connected with the movement are properly lined. Before making movement over switch or derail it must be secured with lock or hook, if so equipped. After movement has been made, switches and derails must not be operated until equipment has passed the clearance point of the track. If a conflicting movement is seen approaching a switch, track must not be fouled nor switch or derail operated. An employee using a main track switch must be at least 20 feet away from the switch and, if safe, on the side of the track opposite the switch stand while equipment is approaching and passing. A switch must not be operated while equipment is fouling it, or standing or moving over it, nor shall movement be made over a derail in derailing position.

**19-A(8)** Hand-operated crossover switches are in corresponding position when both switches are lined for movement over the crossover, or both switches are lined for movement on the straight track. The switches of a crossover must be in corresponding position before either crossover switch is used and the movement must be completed before the position of either switch is changed. Hand-operated crossover switches must remain in corresponding position, except when:

a. Used to provide blue signal protection; or
b. Used for inaccessible track protection for roadway workers; or
c. Maintenance, testing or inspection of crossover switches is being performed in Centralized Traffic Control (CTC) territory; or
d. One crew is using both tracks connected by the crossover during continuous switching operations.

When not in use, crossover switches must remain in correspondence.

**19-A(9)** If switches or derails are found to be defective, or associated locks found to be missing or defective, report must be made to the person in charge of the switch or derail.

**19-A(10)** Equipment on a siding or yard track must not be left standing at a location where such equipment fouls a track. On tracks where clearance point is indicated, leave equipment beyond the clearance point. If clearance point is not indicated or visible, determine the clearance point by standing outside the rail of adjacent track and extend arm towards the equipment. When unable to touch equipment, leave equipment a sufficient distance beyond that point to ensure equipment is behind the clearance point.

**19-B** DUAL CONTROL SWITCHES

**19-B(1)** Locations where dual control switches are in service are listed in the Timetable Special Instructions.

**19-B(2)** When dual control switches are to be operated manually:

1. Train must stop at interlocking signal governing the switch to be operated.
2. RTC will instruct crew to operate dual control switch.
3. After the dual control switches have been operated and the entire route through the interlocking lined, the RTC will give train permission to pass stop signal (Rule 13-F).

**19-B(3)** To operate dual control switches:

1. Remove switch lock from both the selector and the hand-throw levers.
2. Move the selector lever to the hand operation position.
3. Operate the lever marked "hand throw" until the mechanism engages and the switch points move to the desired position. The lever must be operated even if the switch points appear to be properly lined. Ensure that the hand throw lever is fully in the keeper.
4. The selector lever must remain in the hand operation position until the entire train has passed through the switch.
5. After the entire train has passed through the switch, both the selector and the hand throw levers must be returned to the normal position and secured with switch locks.

**19-C** SIGNALS AND INTERLOCKING APPLIANCES

**19-C(1)** RTCs are the only employees permitted to operate the controls for signals and interlocking appliances. Qualified C&S employees may operate such controls, with permission of the RTC, only for test and inspection purposes, or in an emergency by direction of the RTC.

**19-C(2)** Blocking devices are used to prevent the operation of the controls for signals and interlocking appliances.

a. Blocking devices may be applied by means of pins, pushbuttons, or computer keypads or console control devices.

b. Only authorized blocking devices may be used.

c. Blocking devices will not be considered effective until the appropriate confirmation is displayed on the control console.

d. Blocking may be provided by any or all of the following means:
- The track to be protected is blocked and blocking devices applied;
- Signals leading to the protected track are placed in the Stop position and blocking devices applied;
- Switches are lined to prevent movement to the protected track and blocking devices applied.

e. Whenever the use of blocking devices is required, a record must be maintained.
- The abbreviations BDA for Blocking Device Applied and BDR for Blocking Device Removed, along with the time, must be recorded electronically or in red ink on the Record of Train Movements. If a blocking device is applied in conjunction with a Form M authority, the time applied must also be shown on the Form M.
- If the blocking devices are applied manually, the position and switch number of all affected switches must also be recorded. This is not required if panel blocking or keyboard blocking is used.

**19-C(3)** Maintainers must have the permission of the RTC prior to performing tests or work on any portion of the interlocking apparatus that could affect train movements.

a. Prior to performing any work, the RTC and the maintainer must have a clear understanding of what work is being performed and how train movements will be affected.

b. When requested, the RTC will provide protection for the maintainer in accordance with Rule 22(B).

**19-C(4)** If any component of the interlocking becomes inoperative, the approved blocking device for that component must be applied.

The RTC must report such incidents immediately to the Signal Control Desk, including the time of failure and all circumstances at the time of the failure. The RTC must also report indications such as Power Off, Entry Alarm, Smoke Alarm, and Code Line.

**19-C(5)** Form C&S 39 is used whenever signal equipment is removed from service or restrictions are placed on its use.

a. The C&S 39 must be written in a clear and understandable manner. Where applicable, the C&S 39 will indicate where jumpers have been applied or terminals opened.

b. Upon receipt of a C&S 39, the RTC must provide the necessary protection as required.

c. The RTC must sign and post a copy of the C&S 39, make an indication on the Record of Train Movements, and show all C&S 39s in effect on his transfer.

**RULE 20**
**RUSTY RAIL CONDITIONS**

**20-A** Rusty Rail conditions exist when the running surface of the rail is covered with rust, sand, or other substance that may interfere with the proper shunting of track circuits.

**20-B** If rusty rail conditions exist, the signal maintainer will issue Rusty Rail notification on Form C&S 39 to the RTC. Blocking devices must be applied on tracks and interlocking appliances affected. When necessary, they may be removed to permit a movement on the affected route but must be immediately re-applied to maintain protection.

**20-C** Only one train at a time may operate in the controlled block where Rusty Rail notification is in effect.

If Rusty Rail includes any portion of an interlocking, affected interlocking appliances must not be operated unless the route is known to be clear, and routes must be blocked before allowing movement.

**20-D** The RTC must verbally inform the engineer of Rusty Rail conditions on the route of the train, and must issue a Form M, Line 6 for the train to Stop and Warn at all highway grade crossings with automatic warning devices where Rusty Rail conditions exist.

**RULE 21**
**REMOVING TRACKS FROM SERVICE**

**21-A** Form M Line 3 must be used to take a track out of service where MBS or CTC rules are in effect.

**21-B** Before a track is taken out of service, it must be clear of all movements.

**21-C** The following procedure will be used for taking tracks out of service:

1. The RTC will apply blocking device protection for the affected track, and show the time applied on the Form M.

2. The Form M will be issued, by craft and name, to the foreman or employee-in-charge requesting use of the track.

**21-D** In CTC territory, where the limit of the track out-of-service is not protected by an interlocking signal, a secured barricade and stop sign **[Rule 11-G(1)]** must be placed at the limit of the out-of-service track. The location and type of protection must be shown on the Bulletin Order or Form M. Signals and switches will be blocked from the nearest interlocking protecting the out-of-service track.

To allow a train to use the in-service portion of track between the nearest interlocking and the out-of-service limit, the RTC must not display a signal for the movement. The location of the limit of the out-

of-service track must be shown in a Bulletin Order, or issued to the train by Form M.

Permission to pass the Stop Signal will be given in accordance with Rule 13-F, and this permission will include the length of track in service or the location of the out-of-service track limit.

**21-E** ADDITIONAL EQUIPMENT (INCLUDING WORK TRAINS) ENTERING OUT-OF-SERVICE TRACK

**21-E(1)** When additional equipment, or employees without equipment not under the supervision of the addressee of the Form M, are to enter the out-of-service track, permission of the addressee of the Form M taking the track out-of-service is required. The addressee must first read or show a copy of the Form M taking the track out-of-service to the employee-in-charge of the additional equipment or employees. The addressee will then write on his copy of the Form M, in the section of Line 3 labeled "ADDITIONAL EQUIPMENT AND EMPLOYEES authorized to use out-of-service track", the name of the employee-in-charge of the additional equipment or employees, the location where the equipment or employees will be working, and the time that the Form M was read or shown to the employee-in-charge.

**21-E(2)** If additional equipment is entering the out-of-service track at an interlocking, the RTC will not authorize the additional equipment to pass the Stop Signal governing entrance to the out-of-service track, in accordance with Rule 13-F, until he has confirmed that the employee-in-charge of the additional equipment has the permission of the employee-in-charge of the out-of-service track. A proceed interlocking signal will not be displayed for the movement of the additional equipment.

**21-F** When necessary to allow freight movements, other than work trains supporting the work being performed on the out-of-service track, into the out-of-service track to pick-up or deliver cars, the following procedure will apply:

1. The RTC must have the permission of the employee-in-charge of the out-of-service track.

2. All equipment must be clear of that portion of the out-of-service track to be used by the freight movement.

3. Freight movement must be authorized by Form M Line 1 (for a one way movement where the freight train will clear the out-of-service track upon reaching its destination) or Line 2 (for movement of the freight train in either direction on the out-of-service track between the points indicated). The name of the employee-in-charge of the out-of-service track who authorized the movement and the Form M

by which the track is out-of-service must be shown on the Form M Line 14, as follows:

example: ***Movement authorized by Foreman Jones per Form M No E-5 dated June 1, 2009.***

4. If there are obstructions such as bridge plates or temporary platforms on the track to be used for the freight movement, this information will be provided on Form M Line 14.

**21-G** Trains and track cars on out-of-service tracks must proceed at **Restricted Speed**; they must Stop and Warn at crossings equipped with automatic warning devices as prescribed by Rule 18-D.

**21-H** When two or more consecutive controlled blocks are removed from service, interlocking signals and interlocking rules at intermediate interlockings remain in service.

**21-I** To return an out-of-service track to service:

1. The addressee must contact the RTC no later than the time specified on Form M Line 3.

   If the track cannot be returned to service by the specified time, the addressee must contact the RTC prior to the time shown on Form M Line 3. One extension of time may be issued using Line 13 on the original Form M; subsequent extensions require the cancellation of the original Form M and issuance of a new Form M Line 3.

2. All equipment must be clear of the limits of the out-of-service track, including trains and additional equipment permitted to enter the track under Rule 21-E or Rule 21-F.

3. The addressee must ensure that additional employees permitted to work within the out-of-service limits under Rule 21-E are clear and know that the track is being returned to service.

4. The addressee will write the time that each employee-in-charge of additional equipment or employees reports clear of the out-of-service track on appropriate line in the lower section of Form M Line 3.

5. The addressee will notify the RTC of any speed or other restrictions on use of the track necessary for the safe operation of trains.

The RTC will then cancel the Form M per Rule 10-E.

**21-J** REMOVING TRACKS FROM SERVICE WHERE INTERLOCKING RULES ARE IN EFFECT

**21-J(1)** Where interlocking rules are in effect, tracks will be taken out-of-service with the verbal permission of the RTC.

**21-J(2)** Each work group performing separate tasks where interlocking rules are in effect must establish their own authority and working limits with the RTC.

**21-J(3)** The RTC must set signals governing entrance to the affected track to Stop and apply blocking devices to controls of all signals and switches leading to the protected track. Record of the application of blocking devices must be made in the Record of Train Movements or electronically.

**21-J(4)** The RTC will provide the employee requesting the track with the following information:

- Track designation
- Limits of Protection (between locations or at location)
- Time limits
- The time blocking devices were applied and the switches and signals blocked.

The employee must repeat this information to the RTC before the track will be considered out-of-service. The RTC will record this information and the name of the requesting employee in the Record of Train Movements or electronically.

**21-J(5)** Once permission is granted by the RTC, the track will remain out-of-service until the requesting employee reports clear.

**21-J(6)** When work is completed, the employee will notify the RTC that the track may be returned to service. The RTC will remove blocking devices and make notation of the time in the Record of Train Movements or electronically.

**21-K** REMOVING POWER FROM OUT-OF-SERVICE TRACKS

**21-K(1)** When necessary to remove AC or DC traction power from an out-of-service track, the track will first be removed from service, then the traction power will be removed.

**21-K(2)** The employee requesting power removal must contact the Power Director, specifying the tracks and territory where power is to be removed, the expected duration of the outage, and the purpose of the outage.

The Power Director will request a Plate Order from the RTC or other employee in charge of the track, in accordance with MN-290 OP **Rule EL 6.2** (for controlled track) or **Rule EL 6.3** (for non-controlled track).

**21-K(3)** After the Plate Order is issued, the Power Director will issue one of the following types of Clearance Forms to indicate that power has been removed.

- Form MP-260, which is issued only to qualified Class A Power Department Employees. Form MP-260 must be used in AC Territory, and may be used in DC territory at the discretion of the Power Director.
- Form MP-261, which is issued directly to the employee requesting power removal. Form MP-261 may be used only in DC territory.

**21-K(4)** WHEN THE MP-260 IS USED IN AC OR DC TERRITORY:

a. The MP-260 will be issued to the qualified Class A Power Department employee at the work site in accordance with Power Department instructions.

b. The qualified Power Department employee at the site will read and explain the Clearance Form to the conductor-flag, if assigned, and to the employee-in-charge of the workers at the site. Both the conductor-flag and the employee-in-charge must sign the MP-260 to indicate that they have read and understand the clearance.

c. The Class A Power Department employee is responsible for protecting all persons at the work site from hazards associated with the power system. The Class A employee must remain at the site while any work is being performed. Should the Class A employee be required to leave the work location for any reason, all work at the site must stop until the Class A employee returns.

d. When work is completed and the power may be restored, the conductor-flag and/or employee-in-charge will notify the Class A Power Department employee at the site. The Class A employee will notify the Power Director to cancel the clearance form. The Power Director will then contact the RTC or other employee-in-charge of the track to cancel the Plate Order, in accordance with **EL 6.2** (for controlled track) or **EL 6.3** (for non-controlled track).

**21-K(5)** WHEN THE MP-261 IS USED IN DC TERRITORY:

a. After the Plate Order is issued, the Power Director will issue a Electrical Clearance – Third Rail Territory (Form MP-261) to the employee requesting that power be removed from the third rail. The employee requesting third rail to be de-energized must be the

same person addressed in the Form M removing the track from service.

b. The Clearance (Form MP-261) will be issued as follows:

1. The Power Director will inform the employee that he is ready to issue a Form MP-261, and the employee will confirm that he is ready to copy the form.

2. The Power Director will dictate the Clearance Number, Date, name of the addressee and Line 1 of the Clearance Form in its entirety, providing:

   - The time the power was removed from the third rail,
   - The line and track designation,
   - The locations between which the power was removed.

   If the locations are within a designated yard or yard tracks, this information will be included on the "TRK" line.

   example ***Power has been removed from the following third rail at 0915 hrs: Hudson Line No. 2 TRK between CP 12 and CP 19.***

   or ***Power has been removed from the following third rail at 1005 hrs: Harlem Line North White Plains Yard No. 25 TRK betwen 20 Lead and End of Track.***

   In dictating and repeating the Clearance, numerals will be pronounced digit-by-digit.

3. The employee receiving the MP-261 will then repeat to the Power Director all information on Line 1.

4. When the above information is repeated accurately, the Power Director will state "Clearance repeated correctly at", and provide the time and his name. The receiving employee will write the time and the Power Director's name on Line 2 of the Clearance Form.

5. The third rail must be tested and confirmed to be de-energized by a qualified person. The addressee must read or show a copy of the MP-261 to the qualified person, who will then conduct the test and provide the addressee with the territory tested and the time. The addressee will enter this information on Line 3 of the MP-261, and have the qualified person sign the form or provide his name.

6. The Form MP-261 is not in effect, and power will not be considered de-energized, until Lines 1, 2, and 3 are completed in their entirety.

7. Line 4 of the Form MP-261 is used by the addressee to record:

   - The name of the employee-in-charge of any workers in the designated territory directly under the addressee's protection; and
   - The name of the conductor flag or employee-in-charge of any additional persons or equipment entering or working in the designated territory under Rule 21-E.

   Exception:
   - The Class A Power Department employee will be responsible for obtaining electrical clearance directly from the power director.
   - Non-MNR freight trains.

   For workers under the addressee's protection, prior to any work taking place, the addressee of the Form MP-261 must read and explain the clearance to the employees-in-charge. The addressee will then indicate the name of the employee-in-charge and his employee number (for company employees) or signature (for contractors) on Line 4 of the Form MP-261, along with the location where the work will take place and the time that the clearance was read. The employee-in-charge must inform all affected employees that the power is de-energized and the limits of the clearance.

   For additional persons or equipment in the designated territory under Rule 21-E, the conductor-flag or employee-in-charge of the additional persons must copy the heading and Lines 1, 2, and 3 of the Form MP-261 in effect. The addressee will show the name and employee number of the employee-in-charge, their location and the time the Form MP-261 was correctly repeated in the appropriate spaces on Line 4 of the Form MP-261.

   Exception: If the additional person is a Class A Power Department employee and so notifies the addressee, the addressee is not required to record the name and other information of the additional person on the Form MP-261. The Class A Power Department employee is not required to copy the MP-261, and will be responsible for obtaining his electrical clearance directly from the Power Director.

   The conductor-flag or employee-in-charge of the additional persons or equipment must read and explain the clearance to the employee-in-charge of the persons being protected, and must record the name, employee number or signature, and the time read and understood on his copy of the MP-261.

8. When power is to be restored, the addressee must contact all persons listed on Line 4 of the MP-261, informing them that the track is to be re-energized, and these persons must confirm to the addressee that all persons under their direction are clear of the third rail. The time that this notification is given and confirmed will be written in the appropriate space on Line 4. For contractors, the employee-in-charge will also sign the right-hand column of Line 4 acknowledging the receipt of notification of the release of the clearance.

   Conductor-flags or employees-in-charge of additional persons or equipment will ensure that all persons under their protection are notified of the release of clearance and are clear of the affected area, and will indicate this information on their copy of the Form MP-261, prior to acknowledging release of clearance to the addressee of the Form MP-261.

9. The addressee of the Form MP-261 will then contact the Power Director and inform him of his intention to release the clearance.

10. When the Power Director indicates he is ready to receive the information, the addressee will provide the Clearance number, date, his name, and will then read Line 5 of the Clearance form in its entirely, providing the name of the Power Director and the time and date the clearance is being released.

11. The Power Director must repeat to the addressee the Clearance number and date and the information on Line 5.

12. When the above information is repeated correctly, the addressee will state "Correctly repeated at" and provide the time repeated and his name.

c. Completed Form MP-261s must be retained for inspection by the addressee and conductor-flags and employees-in charge of additional persons or equipment for 2 days.

*SAMPLE ELECTRICAL CLEARANCE - FORM MP-261*

Metro-North Railroad **ELECTRICAL CLEARANCE – THIRD RAIL TERRITORY** FORM **MP-261**

Clearance No_____ Date _____ _____ , 20 _____

TO: _____
Qualified Employee

**1** **POWER HAS BEEN REMOVED** from the following third rail at _____ hrs: _____ LINE _____TRK between _____ and _____

**2** **CLEARANCE REPEATED CORRECTLY** at _____ hrs Power Director _____

**3** **THIRD RAIL HAS BEEN TESTED AND CONFIRMED TO BE DE-ENERGIZED on ____** TRK between _____ and _____ at _____ hrs. by Qualified person _____
Name or signature of personnel performing test.

**LINES 1, 2, & 3 MUST BE COMPLETED IN ORDER AND IN THEIR ENTIRETY BEFORE THIS CLEARANCE IS EFFECTIVE.**

**4** **CLEARANCE HAS BEEN READ AND EXPLAINED,** and is understood by the following individuals or Groups working in the designated territory:

| Name of worker or Employee-in-charge | Employee No (signature, if contractor) | Working at or between | Time read and understood | Time | NOTIFICATION OF CLEARANCE RELEASE Signature (Contractors only) |
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**5** **CLEARANCE IS RELEASED,** and Power Director _____ _____ is authorized to restore the power to the third rail shown on Line 1 at _____ hrs on _____ / _____ / _____ .

**6** **RELEASE REPEATED CORRECTLY** by the Power Director to the Addressee at _____ hrs.

Rev: Jan-11

**RULE 22**
**PROTECTION OF WORK AREAS**

**22-A** PROTECTION BY WORKING LIMITS STOP SIGNS

When work is to be performed adjacent to, or with the potential to foul main tracks, or when one track is out-of-service and it is necessary to provide protection of workers and equipment from trains on adjacent tracks, working limits may be established by Form M Line 4 or by Bulletin Order.

**22-A(1)** The working limits will be defined in the Bulletin Order or Form M by track and milepost location (miles and tenths of a mile). Working Limits Stop Signs **[Rule 11-F(3)]** must be placed to the right of the affected track at the start of the work zone and Working Limits Resume Speed Signs **[Rule 11-F(4)]** at the end of the work zone for each direction of traffic. The Approach Sign **[Rule 11-F(1)]** must be placed to allow trains operating at MAS passing the Approach Sign to safely stop prior to reaching the Working Limits Stop Sign.

Working Limits Resume Speed Signs may be moved as the work progresses; however, Working Limits Stop Signs must remain at the location designated in the Bulletin Order or Form M.

**22-A(2)** If there is an interlocking located between the Approach Sign and the Working Limits Stop Sign, a Diverting Approach Sign **[Rule 11-F(2)]** must be placed on each track where it is possible to divert to the restricted track.

**22-A(3)** The Bulletin Order or Form M designating the working limits will indicate the Mobile Unit number of the employee governing entrance to the working limits. Trains and track cars approaching the working limits will contact the designated Mobile Unit not later than when passing the Approach Sign or Diverting Approach Sign, providing their symbol number, direction of travel if an extra train and track.

example ***Metro-North No 1318 to Mobile Unit 402, approaching your working limits stop sign on Track 2.***

or ***CSX Extra 6843 East to Mobile Unit 402, approaching your working limits stop sign on Track 2.***

**22-A(4)** The RTC must not allow a train or track car to enter working limits at a hand operated switch or interlocking located between Working Limits Stop Signs, or allow a track car to be placed on the track between Working Limits Stop Signs, without first obtaining permission of the employee governing entrance to the working limits. At interlockings, blocking devices must be applied to prevent trains and track cars from being diverted into working

limits, but may be removed when permission is received from the employee-in-charge.

The RTC must also inform the engineer or track car driver that they will be entering working limits. The engineer or track car driver must contact the Mobile Unit in charge of the working limits for permission to proceed through working limits, and must not accept a proceed interlocking signal or other authorization from the RTC to enter working limits until permission from the Mobile Unit is received.

**22-A(5)** The employee governing entrance to the working limits must determine that all persons and equipment are clear of the affected track prior to giving trains or track cars permission to pass the Working Limits Stop Sign. When possible, the track should be cleared and permission granted so that trains incur minimum delay.

**22-A(6)** The employee governing entrance to the working limits, in giving permission to pass the Working Limits Stop Sign, will designate the allowable speed through the working limits. If no speed is designated, trains will operate at **Medium Speed** between the Working Limits Stop Sign and the Working Limits Resume Speed Sign.

**22-A(7)** Trains must immediately begin reduction to **Medium Speed** upon passing the Approach Sign or Diverting Approach Sign and must approach Working Limits Stop Signs prepared to stop except in the following cases:

1. Trains passing Diverting Approach Signs that are able to determine, by visual observation of the switch points or by communication with the RTC, that they are not diverting to the affected track may proceed at MAS.

2. Trains given permission to pass the Working Limits Stop Sign at MAS may proceed at MAS.

3. Trains given permission to pass the Working Limits Stop Sign and to operate at a speed higher than Medium Speed but less than MAS through the working limits must begin reduction to that designated speed upon passing the Approach Sign or Diverting Approach sign.

**22-A(8)** Trains will not pass the Working Limits Stop Sign unless authorized to proceed by:

- Verbal permission of the employee governing entrance to the working limits; or
- A proceed signal with a yellow flag by an employee stationed at the Working Limits Stop Sign.

Verbal permission will be given in the following format:

***No. _____ has permission to pass the Working Limits Stop Sign on No. __ track at MP__ in a _____ ward direction. Proceed at __ MPH (or "at MAS") through working limits.***

**22-A(9)** If no Working Limits Stop Sign is visible at the designated locations, trains will attempt to contact the designated Mobile Unit for permission to proceed. If the Mobile Unit cannot be contacted, the train will not enter the working limits, and will contact the RTC for instructions. If the Working Limits Resume Speed Sign is missing, the train may resume MAS after passing the next whole milepost following the location shown in the Bulletin Order or Form M as the end of the working limits.

**22-A(10)** In MBS Territory, when working limits are established by Bulletin Order or Form M Line 4, a Block(s) Clear indication on Form M Line 11 does not convey that the block is unoccupied within the working limits. Rules 22-A(1) through 22-A(9) apply.

**22-B** FOUL TIME

Foul time is a method of establishing working limits on a controlled track. Notification is given to the requesting employee by the RTC that no trains will operate within a specific segment of that track during a specified time period, and, except in MBS territory, that required blocking devices have been placed on the control console to protect the track that will be fouled.

**22-B(1)** Before foul time is authorized, the RTC must determine that no trains or track cars are approaching the location to be protected from the nearest interlocking or block limit on the affected track, and that no trains or track cars have been authorized to use the affected track.

The RTC must set signals governing entrance to the affected track to Stop and apply blocking devices to controls of all signals and switches leading to the protected track.

**22-B(2)** When the RTC instructs the person requesting foul time to report a train clear of their location prior to authorizing foul time, both the schedule number, if applicable, and the engine or track car number must be used for identification.

When the location requested for foul time includes track adjacent to a passenger station, a train will not be reported clear of the location until the entire train has cleared the length of the platform.

**22-B(3)** In granting foul time, the RTC will provide the employee with the following information:

- Track designation
- Limits of Protection (between locations or at location)
- Time limits
- The time blocking devices were applied and the switches and signals blocked.

The employee requesting foul time must repeat this permission to the RTC before the foul time becomes effective.

**22-B(4)** The employee requesting foul time must report clear by the end of the time limit authorized. If unable to clear by the designated time, the RTC must be notified as soon as possible.

Once foul time is granted by the RTC, it must be maintained until the protected employee reports clear of the track.

**22-C** ESTABLISHING WORKING LIMITS ON NON-CONTROLLED TRACK (INACCESSIBLE TRACK)

To establish working limits on non-controlled track, all access points to that track must be protected in one of the following ways:

- A switch or derail lined to prevent access to the working limits, secured with an effective securing device and properly tagged. The securing device and tag may be removed only at the direction of the employee in charge of the working limits.
- A remotely controlled switch aligned to prevent access to the working limits and blocked by a blocking device applied by the person who controls the switch. BDA must be confirmed by the employee applying the device before the protection is considered in effect, and the blocking device may not be removed until authorized by the employee requesting protection.
- The Roadway Worker in Charge of the working limits on the inaccessible track establishes working limits on a controlled track that connects directly with the inaccessible track.
- A disconnected rail or track barricade.
- A flagman assigned to protect the switch providing access to the working limits or to hold trains and track cars clear of the working limits.

Movements within working limits may be made only with permission of the employee-in-charge.

**22-D** CONDUCTOR-FLAGS

When conductor-flags are assigned to work areas where contractor or non-railroad employees are present, the following instructions apply:

**22-D(1)** The conductor-flag must be qualified on the physical characteristics for the territory.

**22-D(2)** For large work areas or work parties, other train service employees may be used to supplement the conductor-flag.

These employees work under the direction of the conductor-flag, and are subject to all rules and instructions applicable to conductor-flags.

**22-D(3)** Conductor-flags assigned to work areas are considered Roadway Workers in Charge, and are governed by the *Roadway Worker Safety Manual,* Form RW-1, including the provisions for Good Faith Challenges of On-Track Safety Procedures (Rule RW-11).

**22-D(4)** Conductor-flags and other train service employees assigned to work areas must have a radio and carry proper flagging equipment **[Rule 3-H]**.

**22-D(5)** Prior to commencing any work, the conductor-flag must conduct a safety briefing with other assigned train service employees and with all contractor employees at the work area. The briefing with the contractor employees must be documented on the Roadway Worker Safety Briefing Form, Form RWSB (Rule RW-3). When working conditions change, an additional safety briefing will be conducted.

**22-D(6)** The conductor-flag is responsible for ensuring that highway rail vehicles used by the contractor have a valid MNR inspection sticker.

**22-D(7)** The conductor-flag is responsible for contacting the RTC when tracks are to be taken out-of-service for use by the contractor, and will be the addressee on the Form M. When foul time is required, the conductor-flag will be the person that requests such time from the RTC, in accordance with Rule 22-B.

**22-D(8)** When power is removed from tracks which are being taken out-of-service, the conductor-flag will be employee requesting power removal, in the application of Rule 21-K.

**22-D(9)** Prior to contacting the RTC to relinquish a Form M taking tracks out-of-service, or release foul time, the conductor-flag must determine that all personnel and equipment are clear of the track and that there are no conditions present which could affect train movement.

**22-D(10)** The conductor-flag will provide warning to contractor employees of trains approaching the work area on adjacent tracks.

**22-D(11)** The conductor-flag and all other train service employees assigned to the work area must maintain constant vigilance of the work area and adjacent right-of-way. If they observe any person committing a violation of safety or operating rules, or any condition that could affect the safe movement of trains, immediate action must be taken to correct the situation, including, if necessary, stopping approaching or passing trains. The RTC must be notified immediately if any action is required which affects train operations.

**RULE 23**
**MOVEMENT OF TRACK CARS**

**23-A** Movement of track cars is governed by all rules applicable to trains, unless otherwise indicated, and all applicable Roadway Worker regulations.

**23-B** Foremen, track car drivers, and other MW employees designated by the Chief MW Officer are responsible for the movement of track cars.

**23-C** Employees who receive a Form M for track car movements must be qualified on the Operating Rules, Employee Timetable, and the physical characteristics of the railroad over which they operate.

Operators of individual pieces of MW equipment who are not qualified must operate under the direct supervision of a qualified MW employee.

**23-D** Only authorized individuals may ride in track cars.

**23-E** Prior to operating any track car, the foreman or track car driver must perform a visual inspection to determine that the track car is in safe condition. A brake test must be conducted immediately after starting movement. Any condition that may affect the safe operation of the track car must be corrected before proceeding.

**23-F** Track cars must not be placed on any track unless authorized by the employee who controls movement on that track.

**23-G** Form M Line 1 or Line 2 will be the authority for movement of track cars in CTC or MBS territory. A movement consisting of multiple track cars operating under the same Form M Line 1 or Line 2 authority is permitted only when track car group is under the direct supervision of the employee addressed on the Form M. The addressee may permit a track car to enter or clear the limits specified on the Form M enroute, provided that the RTC authorizes it, and only if employee addressed personally observes the track car entering or clearing the track.

**23-G(1)** When a track car is to operate over more than one main track, a separate form M must be issued for each track to be used.

**23-G(2)** When an interlocking is included within the limits shown on the Form M, interlocking rules and **Rule 23-K** will apply within all interlocking limits.

**23-G(3)** Prior to issuing Form M Line 1 or Line 2 authority, the RTC must put signals in Stop position and apply approved blocking devices to all switch and signal controls leading to the affected route.

**23-G(4)** When following a train or another track car, the RTC may issue Form M Line 1 authority for multiple blocks prior to all blocks being clear. Additional Form M Line 11 *Block(s) Clear* indications may be added by the RTC after the Form M is made effective.

Track cars operating under Form M Line 1 authority may enter a block for which it has not received Line 11 *Block(s) Clear* indication only if following a train or track car and under the provisions of Rule 23-H.

**23-G(5)** Track cars operating under Form M Line 2 authority must also have Line 11 *Block(s) Clear* indication for all blocks between the locations listed on Form M Line 2.

**23-G(6)** Track cars operating on out-of-service tracks do not require Form M Line 1 or Line 2 authority. The track car must have permission from the employee issued the Form M Line 3.

**23-H** In CTC territory only, track cars may be permitted to follow trains or other track cars in the same controlled block.

**23-H(1)** Form M, Line 1 authority must be used, and Line 1B completed.

**23-H(2)** Movement of the following track car will be at **Restricted Speed**, until the RTC issues an additional Form M Line 11 indication that the block(s) are clear. Movement in clear blocks may be made at Maximum Authorized Speed.

**23-H(3)** Track cars will not operate closer than 1000 feet behind a moving train, other than freight trains working with MW forces. Track cars will not operate less than 300 feet from a standing train on the same track.

**23-I** In MBS Territory, track cars are not permitted to follow trains or other track cars in the same block.

**23-J** In MBS territory, where a siding is located at the last named point authorized in the Form M Line 1 or Line 2, the track car may occupy the main track only to the first switch to enter the siding.

**23-K** Where interlocking rules are in effect, verbal permission of the RTC is required for movement of track cars.

**23-K(1)** Before granting permission for movement, the RTC must ensure that:

- The track(s) on which movement is to be made are clear of opposing movements;
- Signals governing opposing and following movements are in the Stop position; and

- Approved blocking devices are applied to all switch and signal controls leading to the affected tracks.

**23-K(2)** Proceed interlocking signals will not be displayed for track car movements. Verbal permission will be given by the RTC in accordance with Rule 13-F.

**23-K(3)** Track cars must report to the RTC when the movement is clear of the interlocking, in the format:

***TC (Unit identification) is (direction) of CP (location) on No ___ Track.***

Example: ***TC 2345 is west of CP 223 on No. 3 Track.***

**23-L** **Permission** of the RTC must be given for a track car to proceed one car length beyond interlocking limits into CTC or MBS territory for the purpose of making a reverse movement.

**23-M** A train must not be permitted to follow a track car into CTC or MBS territory. In an emergency, and only after the authorized time for the track car movement shown on Form M Line 1 has expired, a train may be permitted to follow a track car. Movement of the following train will be at **Restricted Speed.** The train must be issued Form M Lines 14 in the format:

***Proceed at Restricted Speed on ___ TRK from ___ to ___.***
***TC ___ is ahead in the block.***

**23-N** The track car driver must report to the RTC when the movement of the track car is unusually delayed.

**23-O** Upon arrival at destination, or prior to the expiration of the authorized time, or when so instructed by the RTC, the track car must be removed from the main track, and the track car driver must report clear to the RTC.

If the track car is required to clear the main track, the RTC will cancel the Form M. A new Form M must be issued for further movement.

**23-P** Track cars must display a white light to the front and a red light to the rear by night, when passing through tunnels, or at any time that visibility is limited. Track cars so equipped must display headlights on high beam at all times while moving on any track.

**23-Q** MAXIMUM AUTHORIZED SPEEDS FOR TRACK CARS

| Rule | Type of Track Car | Maximum Authorized Speed | | |
|---|---|---|---|---|
| | | Will operate at | Not exceeding (MPH) Forward | Backward |
| **23-Q(1)** | Rail Detector Car, Geometry Car, and Catenary Maintenance Vehicle | Psgr train speeds | **50** | **50** |
| **23-Q(2)** | Highway Rail Cars – Passenger type | Psgr train speeds | **50** | **25** |
| **23-Q(3)** | Highway Rail Cars – Truck type | Frt train speeds (NOTE 1) | **30** | **25** |
| **23-Q(4)** | All self-propelled machinery of a rotating type | Frt train speeds (NOTE 1) | **25** | **10** |
| **23-Q(5)** | Aerial towers. Truck-mounted hoisting equipment, other equipment with rigid highway-rail mounting | Frt train speeds (NOTE 1) | **20** | **20** |
| **23-Q(6)** | All other Track Cars not specified above | Frt train speeds (NOTE 1) | **25** | **10** |

NOTE 1 - Freight train speeds for trains hauled by MNR engines will apply.

**23-R** SPECIAL SPEED RESTRICTIONS FOR TRACK CARS

**23-R(1)** Track cars will not exceed **5 MPH**:

- Through crossovers, turnouts, and diamonds
- When passing standing trains

**23-R(2)** Track cars will not exceed **1 MPH:**

- Through self-guarded frogs
- Through switch point guards

**23-R(3)** Track cars will **STOP**, then proceed not exceeding **1 MPH** when diverging over spring frogs.

**23-R(4)** Track cars will **come to a safe stop** when being passed by a train on an adjacent track.

**23-R(5)** Track cars will **STOP** before proceeding over highway grade crossings, and will yield right-of-way to highway traffic. Maximum speed for track cars over highway grade crossings is **5 MPH**.

**23-R(6)** When operating under a Form M Line 1 or Line 2 authority, a track car in a multiple track car movement, other than the lead unit, must regulate its speed to permit stopping short of track car ahead.

**23-S** CRANES AND OTHER EQUIPMENT WITH BOOMS

**23-S(1)** When cranes are moved not under their own power, the boom must be secured in the trailing position.

**23-S(2)** When being moved, any part of pivoting equipment that may foul adjacent tracks must be in the secured position. Locking pins and hold downs must be in the secure position.

**23-S(3)** When pivoting equipment is moved on freight cars from one location to another, boom anchors and cables must be in place and locking devices fastened.

**23-S(4)** When pivoting equipment is moved during the progress of work on or near main tracks, stops must be used to prevent fouling adjacent tracks. The equipment operator must remain in cab.

**23-S(5)** When train movements are being made on adjacent tracks, booms must be securely anchored with center pin in place and the equipment operator must be in the cab.

**23-T** UNATTENDED TRACK CARS

Unattended Track Cars must be secured to prevent movement.