

[Union Pacific Rules](#)

System Special Instructions

INTRO: Introduction to Special Instructions

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The General Code of Operating Rules, Air Brake and Train Handling Rules, and Safety Rules apply system wide unless modified by System Special Instructions. Timetable subdivision special instructions apply on the subdivision listed.

Observe all slower speed restrictions. Examples include subdivision speed restrictions, TCS train consist speed restrictions, tons per operative brake restrictions and locomotive maximum speed etc.

When operating on any foreign railroad:

- Respect all restrictions listed in UPRR System Special Instructions Item 2-A (parts 1, 2, and 9 through 12), Item 2-B, Item 2-C, and Item 14.
- Respect the foreign railroad's requirements that are more restrictive.

Rule Updated Date

May 1, 2014

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Rule : 1.6.1 Motor Vehicle Driving Records**Change Rule To Read :**

A certified conductor, engineer, employee seeking initial certification or employees qualified to drive commercial motor vehicles must report any arrest, citation or conviction to an employee assistance representative at (800)779-1212, within 48 hours for:

- Operating a motor vehicle while under the influence of or impaired by alcohol or a controlled substance.
- Refusal to undergo such testing when a law enforcement official seeks to find out whether a person is operating under the influence of alcohol or a controlled substance.

State-sponsored diversion programs, guilty pleas, and completed state actions to cancel, revoke, suspend, or deny a driver's license are considered convictions as applied to this rule.

Rule : 1.6.3 Notification of Deteriorating Vision or Hearing**Add note to read:**

Note: A certified conductor, engineer or employee seeking initial certification who has knowledge that a restriction listed on their FRA Certificate has been corrected or improved to meet the minimum acceptable requirement as outlined in federal regulations must report that fact immediately to the proper authority or the medical department (402-544-5234).

Rule : 1.12 Weapons**Application:**

Also refer to UPRR Policy to Address Violence & Abusive Behavior in the Work Place. Access the policy by using the link: <http://home.www.uprr.com/emp/ec/policy/violence.shtml>

Rule : 1.23.1 Locomotive-Mounted Safety Devices**Add new rule:****A. Tampering with or Disabling**

Employees are prohibited from:

- Tampering with or disabling any locomotive mounted safety device.
- Operating or failing to take appropriate action to prevent a train from being operated when the controlling locomotive of that train is equipped with a disabled safety device, except as provided in part C of this rule.

Safety devices include crew alertness devices, automatic cab signal devices, automatic train control/train stop devices, and audio, video and other recording devices concerning operations.

B. Inspection of Locomotive-Mounted Safety Devices

The engineer must make a visual inspection of accessible safety devices in the controlling locomotive cab, nose or vestibule, or in the cab control car when taking charge of a locomotive or train to ensure that:

- Nothing interferes with their intended function.
- Switches and breakers controlling the devices are in proper position.
- Seals, as appropriate, are properly applied.

- There is no apparent damage to the device.

If any exceptions are detected, immediately report them to the train dispatcher.

C. Operation of Trains with Defective or Disabled Locomotive-mounted Safety Devices

Locomotives or cab control cars with defective or disabled safety devices must not be operated as the controlling unit unless:

- Provided for in the operating rules,
or
- Authorized by the train dispatcher.

Rule : 1.27 Divulging Information

Add new last sentence reading :

Employees are responsible for all activity with their assigned User ID's and are responsible for protecting the confidentiality of information accessed. Sharing passwords is prohibited. Unauthorized use of another person's User ID and password is prohibited.

Rule : 1.33 Inspection of Freight Cars

Application:

1. When a defect is discovered, note the type of defect on proper tag and attach a tag on each side of the car.
2. Open top rail equipment loaded with wood chips or bark must be covered with approved netting.
3. When applicable, inspections required by Hazardous Materials Instructions must be completed.

Rule : 1.37 Open Top Loads

Change (combine) third and fourth bullets as shown:

- Occupied locomotive or occupied caboose.

Rule : 1.47 Duties of Crew Members

Change Rule To Read :

The conductor and the engineer are responsible for the safety and protection of their train and observance of the rules. They must ensure that their subordinates are familiar with their duties, determine the extent of their experience and knowledge of the rules, and instruct them, when necessary, on how to perform their work properly and safely. If any conditions are not covered by the rules, they must take precautions to provide protection.

When the conductor is not present, other crew members must obey the instructions of the engineer concerning rules, safety, and protection of the train.

A. Conductor Responsibilities

1. Supervises the Operation

The conductor supervises the operation and administration of the train (if trains are combined with more than one conductor on board, the conductor with the most seniority takes charge). All persons employed on the train must obey the conductor's

instructions, unless the instructions endanger the train's safety or violate the rules. If any doubts arise concerning the authority for proceeding or safety, the conductor must consult with the engineer who will be equally responsible for the safety and proper handling of the train.

2. Restrictions on Equipment

The conductor must advise the engineer and train dispatcher of any restriction placed on equipment being handled.

3. Calling Attention to Restrictions

The conductor must remind the engineer that the train is approaching an area restricted by:

- Limits of authority
- Track warrant
- Radio speed restriction

or

- Track bulletin.

The conductor must inform the engineer after the train passes the last station, but at least 2 miles from the restriction.

4. Freight Conductors

Freight conductors are responsible for the freight carried by their train. They are also responsible for ensuring that the freight is delivered with any accompanying documents to its destination or terminals. Freight conductors must maintain any required records.

5. Conductor Report Form

UPRR crews operating on a foreign railroad are required to properly complete a UPRR form or a foreign railroad form as required by UPRR rules. Foreign railroad crews operating on the UPRR are governed by that railroad's rule concerning awareness forms.

"Conductor Report Form" (FORM 20849) must be maintained as follows (**also see Item 10-K**):

a. Road freight conductors, including locals and switchers but not including yard or passenger conductors, are required to complete the Conductors Report. However, yard conductors performing road service on the main track (transfer, relief service, etc.) will be required to complete the Conductors Report Form.

Remote control operators are not required to maintain a Conductor Report Form except when required by Item 10-K.

The report will include:

- The name of other than Clear signals, speed of the train as head end passes and, as appropriate, a "Z" or "X".
- After passing an Approach or Diverging Approach signal the next signal must be entered regardless of signal indication including the speed of the train (even if the signal is Clear).
- Train defect detector results from all detectors (except "%" detectors) and mile post. "X" will identify in cab communication of results.
- Approaching temporary speed restrictions that affect the train. (Enter speed of restriction on form.)
- Approaching the end of authority unless additional authority has been granted to continue on the main track. If the additional authority contains a Box 2 (after arrival) it must be included on the form.

- Train delays.
- Restricted Speed documentation. Every 2 miles that the train is operating at Restricted Speed, enter mile post location, time, train speed, a "Z" to indicate that the information was communicated between crew members and amount of air brake application if any, (None, Minimum, 10#, etc.).
- On the main track in non-signaled territory, the time, train's milepost location, and speed every 5 miles and record an "X" to indicate that the information was communicated between crew members. (Comply with bullet 7 if operating at Restricted Speed).

Entries will be made when head end of train is at or about the mile post location of required entry. Entries will be sequential and legible.

EXAMPLES:

LOCATION	SIGNAL NAME OR TDD ANNOUNCEMENT	TIME	COMMENTS & DELAYS
87.3	AA	0535	X - 52 MPH
89.1	A	0543	Z - 33 MPH
Y091	S	0558	X - Stop - 8" delay
92.5	RP	0617	Z - 12 MPH
94.5	RS	0625	Z - 8 MPH - None
101.3	TSR	0643	Z - 30 MPH
103.3	ND	0657	X
115.0	XH	0715	Z - 15 MPH
129.0		0755	PU - 8 cars - 30"
135.0	EA	0840	Z

Note :

1. Abbreviations may be used. e.g. (Advance Approach = AA; Diverging Clear = DC; Diverging Approach = DA; Approach = A; Approach Diverging = AD; Restricting = R; Restricted Proceed = RP; Stop = S; Speed Restriction (temporary) = TSR; End of Authority = E/A; Crossing Restrictions (received enroute) = XG, XH, XS; Cab Red Zone = Z; In-Cab Communication = X; ND = No Defects; Restricted Speed = RS.
 2. Enter MP location where Cab Red Zone begins and/or in-cab communication takes place when other entries are required. However, entry may be made with signal entry when passing signal.
 3. Enter delays.
- b. The conductor's report must be completed (and signed to signify report is complete and accurate) on each trip or tour of duty. If the form is not available, record the information as required. Reports of the last 5 round trips (a minimum of 5 days) must be kept in your possession while on duty, and presented to a Manager upon request.
- c. Do not erase information entered on the form. If an error is made, cross out the entry and write the correct entry.

d. Conductors with a valid Class 1 "Certificate to Operate Locomotives": When conductors with a valid Class 1 "Certificate to Operate Locomotives" are allowed to operate the engine the time and location (beginning and ending) will be noted on the conductors report form. Entries on the form will not be required during this time period except entries required by Item 10 K.

B. Engineer Responsibilities

1. Operating the Engine

The engineer is responsible for safely and efficiently operating the engine. Crew members must obey the engineer's instructions that concern operating the engine. A student engineer or other qualified employee may operate the engine only under the direct and immediate supervision of the engineer. The engineer must closely monitor the employee's performance. The engineer must be in a position to take immediate action as necessary. Employee that operates an engine must have a current certificate in their possession.

2. Special Handling

The engineer must check with the conductor to determine if any cars or units in the train require special handling.

C. All Crew Members' Responsibilities

1. Crew Members in Control Compartment

Crew members in the control compartment must communicate to each other any restrictions or other known conditions and required actions that affect the safe operation of their train sufficiently in advance of such condition to allow the engineer to take proper action. If proper action is not being taken, crew members must remind engineer of such condition and required action.

Crew members in the control compartment must be alert for signals. Crew members must:

- Communicate clearly to each other the name of signals affecting their train as soon as signals become visible or audible.
- Continue to observe signals and announce any change of aspect until the train passes the signal.
- Communicate clearly to each other the speed of the train as it passes a signal with an indication other than Clear.
- Immediately remind the engineer of the rule requirement if the signal is not complied with.

2. Radio Transmission

Except when switching a crew member must transmit the engine number, direction, location and signal name (include track number in multiple main track CTC territory) when the head end of the train:

A. Passes a signal that requires:

- Being prepared to Stop at the next signal.
- Being prepared to pass next signal at Restricted Speed.
- or
- Restricted speed.

B. Stops for a signal that requires stopping.

However, instructions may be issued to identify locations where this radio transmission is not required.

3. Proper Action

If engineer and/or conductor fail to comply with a signal indication or take proper action to comply with a restriction or rule, crew members must immediately take action to ensure safety, using the emergency brake valve to stop the train, if necessary.

4. Performing Work

Before work is performed at a location, the crew must discuss how the work will be performed, which switches/derails will be used, what method will be used to pass signals, close clearances and any other safety related concerns. When work is completed, the crew will confirm that work was completed as planned, switches and derails are in proper position and any unforeseen safety concerns are properly reported.

Rule : 1.47.1 Cab Red Zone

Add new rule:

During a Cab Red Zone (CRZ), an environment must be created in the locomotive control compartment that focuses exclusively on controlling the train, verbally communicating restrictions, and proper application of the rules. The conductor must be in the control compartment unless required to perform other duties (i.e. to operate switches, be at a road crossing, passenger train duties, etc.).

A Cab Red Zone exists during critical times such as:

- Operating at Restricted Speed. (Does not apply when switching.)
- Operating on a signal that requires the train to:
 - Be prepared to Stop at the next signal.

or

- Pass the next signal at Restricted Speed
- Copying mandatory directives.
- Approaching a Form B restriction.
- Approaching a temporary speed restriction that affects the train.
- Approaching the end of the train's authority.

The following restrictions or conditions are required during a Cab Red Zone:




- Cab communication is restricted to immediate responsibilities for safe train operation.
- Radio communication with the dispatcher or other employees must be limited to the train's immediate movement or conditions that affect the safety of trains.
- A crew member other than the employee operating the controls will be required to handle radio communications when that crew member is in the control compartment.
Exception: Rule 33.6.1 (Operating Responsibilities with Manned Helper.)
- If proper action is not being taken, crew members must remind each other of the Cab Red Zone and/or take appropriate action to stop the train.





Application: As contained within this rule, approaching is defined as two miles from the restriction or end of the train's authority.

ITEM 19: Block and Interlocking Signals

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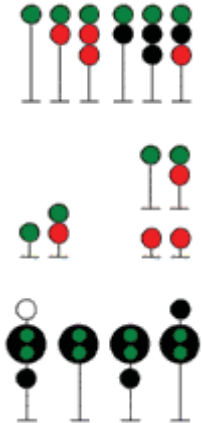

Explanation of symbols:  White light  Dark  Flashing color

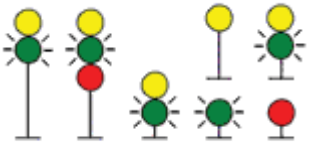
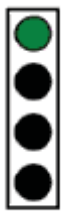
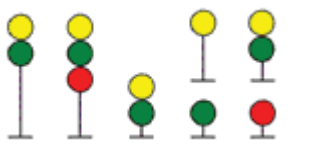
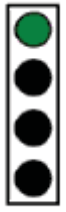
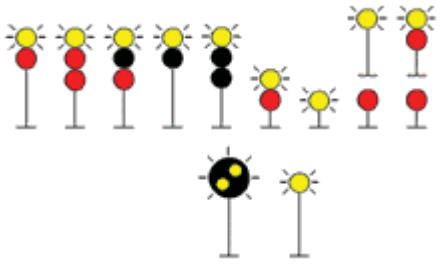

 "G" plate  Lunar light  Number plate  "C" plate

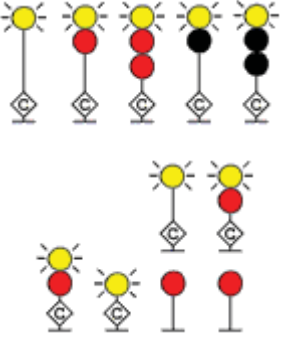

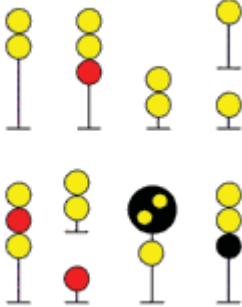
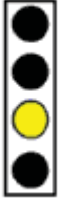
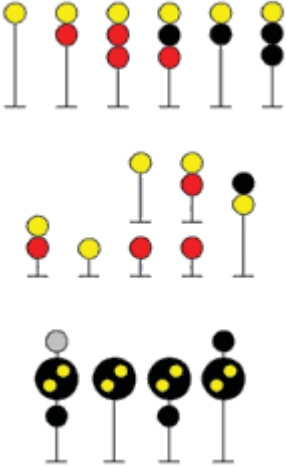
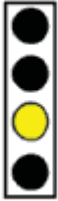


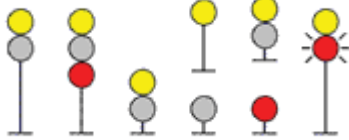

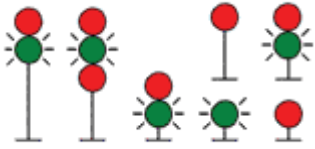

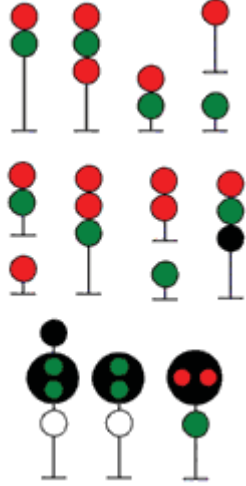

Color position signal head - When one color only is displayed in a color position signal head, it is to be considered the same as two lights.

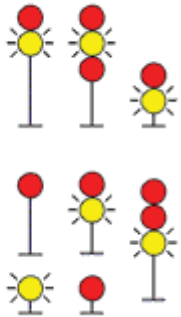

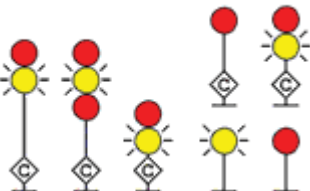

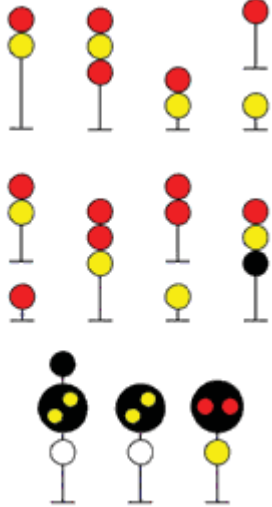

Unless otherwise specified or signal mast is shown with a number plate, signal aspects shown apply to signals with or without number plates.



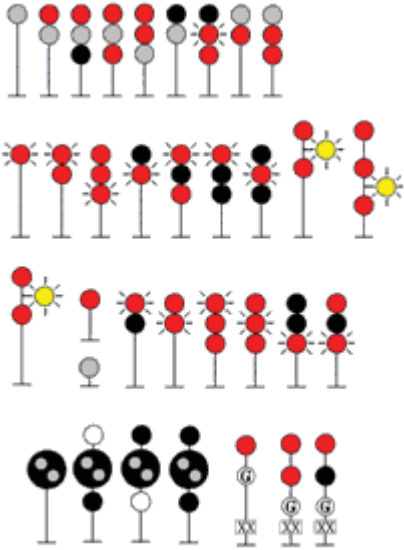

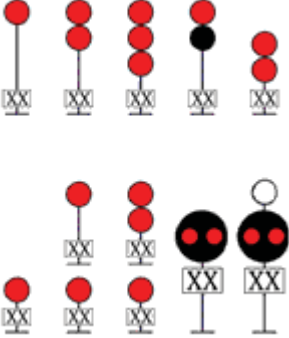

RULE	NAME	ASPECT	ACS	INDICATION
9.2.1	Clear			Proceed.
9.2.2	Approach Clear Sixty			Proceed. Freight trains exceeding 60 MPH must immediately reduce to 60 MPH. Passenger trains may proceed, but must be prepared to pass the next signal not exceeding 60 MPH. When signal governs the

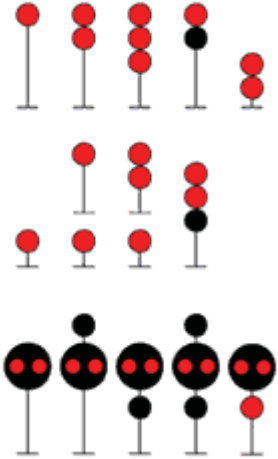




				<p>approach to a control point with a 60 MPH turnout speed be prepared to advance on diverging route.</p>
9.2.3	Approach Clear Fifty			<p>Proceed. Freight trains exceeding 50 MPH must immediately reduce to 50 MPH. Passenger trains may proceed, but must be prepared to pass the next signal not exceeding 50 MPH.</p> <p>When signal governs the approach to a control point with a 50 MPH turnout speed be prepared to advance on diverging route.</p>
9.2.4	Advance Approach			<p>Proceed prepared to stop at second signal. Freight trains exceeding 40 MPH must immediately reduce to 40 MPH. Passenger trains may proceed, but must be prepared to pass the next signal not exceeding 40 MPH.</p> <p>When signal governs the approach to a control point with a 40 MPH turnout speed be prepared to advance on normal or diverging route.</p> <p>When the next signal is seen to display an aspect more favorable than Diverging Approach or Approach, the requirement to proceed prepared to stop short of the second signal is no longer required.</p>
				<p>Proceed prepared to stop at second signal. Freight trains</p>



<p>9.2.4P</p>	<p>Advance Approach Passenger</p>	 <p>With diamond shaped "C" plate and with or without number plate</p>		<p>exceeding 40 MPH must immediately reduce to 40 MPH. Passenger trains may proceed, but must be prepared to pass the next signal not exceeding 60 MPH.</p> <p>When the next signal is seen to display an aspect more favorable than Diverging Approach or Approach, the requirement to proceed prepared to stop short of the second signal is no longer required.</p>
<p>9.2.5</p>	<p>Approach Diverging</p>			<p>Proceed prepared to advance on diverging route at next signal at prescribed speed through turnout.</p>
<p>9.2.6</p>	<p>Approach</p>			<p>Proceed prepared to stop before any part of train or engine passes the next signal. Freight trains exceeding 30 MPH must immediately reduce to 30 MPH. Passenger trains exceeding 40 MPH must immediately reduce to 40 MPH.</p> <p>When the next signal is seen to display a proceed indication, the requirement to proceed prepared to stop no longer applies. Speed may be resumed after leading wheels of train have passed signal.</p>

9.2.7	Approach Restricting			Proceed prepared to pass next signal at restricted speed, but not exceeding 15 MPH.
9.2.8	Diverging Clear Limited	 <p data-bbox="461 726 675 753">Without number plate</p>		Proceed on diverging route. Speed through turnout must not exceed 40 MPH
9.2.9	Diverging Clear	 <p data-bbox="461 1325 675 1352">Without number plate</p>		Proceed on diverging route not exceeding prescribed speed through turnout.
9.2.10	Diverging Advance Approach			Proceed on diverging route not exceeding prescribed speed through turnout and be prepared to stop at second signal. Freight trains exceeding 40 MPH must immediately reduce to 40 MPH. Passenger trains may proceed, but must be prepared to pass the next signal not exceeding 40 MPH. When the next signal is seen to display an aspect more favorable than Diverging Approach or Approach, the requirement to proceed prepared to stop short of the second signal

		 <p>Without number plate</p>		<p>is no longer required.</p> <p>When signal governs the approach to a control point with a 40 MPH turnout speed be prepared to advance on normal or diverging route.</p>
9.2.10P	<p>Diverging Advance Approach Passenger</p>	 <p>With diamond-shaped "C" plate and without number plate</p>		<p>Proceed on diverging route at prescribed speed through turnout prepared to stop at second signal. Freight trains exceeding 40 MPH must immediately reduce to 40 MPH. Passenger trains exceeding 60 MPH must immediately reduce to 60 MPH.</p> <p>When the next signal is seen to display an aspect more favorable than Diverging Approach or Approach, the requirement to proceed prepared to stop short of the second signal is no longer required.</p>
9.2.11	<p>Diverging Approach</p>			<p>Proceed on diverging route at prescribed speed through turnout prepared to stop before any part of train or engine passes the next signal. Freight trains exceeding 30 MPH must immediately reduce to 30 MPH. Passenger trains exceeding 40 MPH must immediately reduce to 40 MPH.</p> <p>When the next signal is seen to display a proceed indication, the requirement to proceed prepared to stop no longer applies. Speed</p>

		Without number plates		may be resumed after leading wheels of train have passed signal.
9.2.12	Diverging Approach Diverging	 <p>Without number plates</p>		Proceed on diverging route not exceeding prescribed speed through turnout prepared to advance on diverging route at the next signal at prescribed speed through turnout.
9.2.13	Restricting			Proceed at restricted speed, not exceeding prescribed speed through turnout when applicable.
9.2.14	Restricted Proceed			Proceed at restricted speed.

9.2.15	Stop	 <p>Without number plates</p>		<p>Stop before any part of train or engine passes the signal.</p>
9.2.16	Diverging Approach Clear Fifty	 <p>Without number plate</p>		<p>Proceed on diverging route at prescribed speed through turnout. Freight trains exceeding 50 MPH must immediately reduce to 50 MPH. Passenger trains may proceed, but must be prepared to pass the next signal not exceeding 50 MPH.</p> <p>When signal governs the approach to a control point with a 50 MPH turnout speed, be prepared to advance on diverging route.</p>
9.2.17	Clear Restricting	 <p>Lake St. Interlocking</p>		<p>Proceed at restricted speed, not exceeding 10 MPH.</p>

9.2.18	Approach Restricting	 <p>Lake St. Interlocking</p>		Proceed at restricted speed, prepared to stop.
9.2.19	Stop	 <p>Lake St. Interlocking</p>		Stop before any part of train or engine passes the signal.

Rule Updated Date

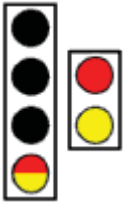


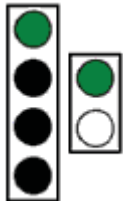
April 1, 2015

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ITEM 20: Automatic Cab Signals

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Item 20: Automatic Cab Signals

RULE	NAME	ASPECT	INDICATIONS
9.3.1	Restricting		Proceed at restricted speed.
9.3.2	Approach		Proceed prepared to stop before any part of train or engine passes the next signal. Freight trains exceeding 30 MPH must immediately reduce to 30 MPH. Passenger trains exceeding 40 MPH must immediately reduce to 40 MPH.
9.3.3	Advance Approach		Proceed prepared to stop at second signal. Freight trains exceeding 40 MPH must immediately reduce to 40 MPH. Passenger trains may proceed, but must be prepared to pass the next signal not exceeding 40 MPH.
9.3.4	Clear		Proceed.

Rule Updated Date