



[Union Pacific Rules](#)

## **UPRR - General Code of Operating Rules**

**Seventh Edition**

**Effective April 1, 2015**

**Includes Updates as of November 10, 2015**

**PB-20280**

[1.0: GENERAL RESPONSIBILITIES](#)

[2.0: RAILROAD RADIO AND COMMUNICATION RULES](#)

[3.0: Section Reserved](#)

[4.0: TIMETABLES](#)

[5.0: SIGNALS AND THEIR USE](#)

[6.0: MOVEMENT OF TRAINS AND ENGINES](#)

[7.0: SWITCHING](#)

[8.0: SWITCHES](#)

[9.0: BLOCK SYSTEM RULES](#)

[10.0: RULES APPLICABLE ONLY IN CENTRALIZED TRAFFIC CONTROL \(CTC\)](#)

[11.0: RULES APPLICABLE IN ACS, ATC AND ATS TERRITORIES](#)

[12.0: RULES APPLICABLE ONLY IN AUTOMATIC TRAIN STOP SYSTEM \(ATS\) TERRITORY](#)

[13.0: RULES APPLICABLE ONLY IN AUTOMATIC CAB SIGNAL SYSTEM \(ACS\) TERRITORY](#)

[14.0: RULES APPLICABLE ONLY WITHIN TRACK WARRANT CONTROL \(TWC\) LIMITS](#)

[15.0: TRACK BULLETIN RULES](#)

[16.0: RULES APPLICABLE ONLY IN DIRECT TRAFFIC CONTROL \(DTC\) LIMITS](#)

[17.0: RULES APPLICABLE ONLY IN AUTOMATIC TRAIN CONTROL \(ATC\) TERRITORY](#)

[GLOSSARY: Glossary](#)

- [1.16: Subject to Call](#)
- [1.17: Hours of Service Law](#)
- [1.18: Unauthorized Employment](#)
- [1.19: Care of Property](#)
- [1.20: Alert to Train Movement](#)
- [1.21: Occupying Roof](#)
- [1.22: Unauthorized Persons on Equipment](#)
- [1.23: Altering Equipment](#)
- [1.23.1: Locomotive-Mounted Safety Devices](#)
- [1.24: Clean Property](#)
- [1.25: Credit or Property](#)
- [1.26: Gratuities](#)
- [1.27: Divulging Information](#)
- [1.28: Fire](#)
- [1.29: Avoiding Delays](#)
- [1.30: Riding Engine](#)
- [1.31: Repairs to Foreign Cars](#)
- [1.32: Overheated Wheels](#)
- [1.33: Inspection of Freight Cars](#)
- [1.34: Flat Spots](#)
- [1.35: Dump Doors](#)
- [1.36: Excessive Dimension Loads](#)
- [1.37: Open Top Loads](#)
- [1.38: Shipments Susceptible to Damage](#)
- [1.39: Accuracy of Speed Indicator](#)
- [1.40: Reporting Engine Defects](#)
- [1.41: Engines Coupled to Occupied Passenger Cars](#)
- [1.42: Trains Detoured](#)
- [1.43: Stopped in Tunnels](#)
- [1.44: Duties of Train Dispatchers](#)
- [1.45: Duties of Control Operators and Operators](#)
- [1.46: Duties of Yardmasters](#)
- [1.47: Duties of Crew Members](#)
- [1.47.1: Cab Red Zone](#)
- [1.47.2: Training and Familiarization](#)
- [1.48: Time](#)

## **1.1: Safety**

Safety is the most important element in performing duties. Obeying the rules is essential to job safety and continued employment.

**Rule Updated Date**

April 7, 2010

[^Top](#)

### **1.1.1: Maintaining a Safe Course**

In case of doubt or uncertainty, take the safe course.

**Rule Updated Date**

April 7, 2010

[^Top](#)

### **1.1.2: Alert and Attentive**

Employees must be careful to prevent injuring themselves or others. They must be alert and attentive when performing their duties and plan their work to avoid injury.

**Rule Updated Date**

April 7, 2010

[^Top](#)

### **1.1.3: Accidents, Injuries, and Defects**

Report by the first means of communication any accidents; personal injuries; defects in tracks, bridges or signals; or any unusual condition that may affect the safe and efficient operation of the railroad. Where required, furnish a written report promptly after reporting the incident.

**Rule Updated Date**

April 7, 2010

[^Top](#)

### **1.1.4: Condition of Equipment and Tools**

Employees must check the condition of equipment and tools they use to perform their duties. Employees must not use defective equipment or tools until they are safe to use. Employees must report any defects to the proper authority.

**Rule Updated Date**

## System Special Instructions

Effective Date: April 1, 2015

[^Top](#)

### 1.2.6: Statements

Except when authorized by the proper manager:

- Information concerning accidents or personal injuries that occur to persons other than employees may be given only to an authorized representative of the railroad or an officer of the law.
- Information about the facts concerning the injury or death of an employee may be given only to a person in interest such as the injured employee, an immediate relative of the injured or deceased employee, an authorized representative of the railroad, or an officer of the law.
- Information in the files or in other privileged or confidential reports of the railroad concerning accidents or personal injuries may be given only to an authorized representative of the railroad.

#### Rule Updated Date

April 7, 2010

[^Top](#)

### 1.2.7: Furnishing Information

Employees must not withhold information, or fail to give all the facts to those authorized to receive information regarding unusual events, accidents, personal injuries, or rule violation.

#### Rule Updated Date

April 7, 2010

[^Top](#)

## 1.3: Rules

#### Rule Updated Date

April 7, 2010

[^Top](#)

### 1.3.1: Rules, Regulations, and Instructions

**Safety Rules.** Employees must have a copy of, be familiar with, and comply with all safety rules issued in a separate book or in another form.

**General Code of Operating Rules.** Employees governed by these rules must have a current copy they can refer to while on duty.

**Hazardous Materials.** Employees who in any way handle hazardous materials must have a copy of the instructions or regulations for handling these materials. Employees must be familiar with and comply with these instructions or regulations.

**Air Brakes.** Employees whose duties are affected by air brake operation must have a copy of the files and instructions for operating air brakes and train handling. Employees must know and obey these rules and instructions.

**Timetable and Special Instructions.** Employees whose duties are affected by the timetable and special instructions must have a current copy they can refer to while on duty.

**Train Dispatchers and Control Operators.** The train dispatchers and control operators must have a copy of rules and instructions for train dispatchers and control operators. They must be familiar with and obey those rules and instructions.

**Rules, Regulations and Instructions.** Employees must be familiar with and obey all rules, regulations, and instructions and must attend required classes. They must pass the required examinations. Examinations are required to be passed biennially or more often when necessary to ensure employees are familiar with all rules, regulations and instructions.

**Explanation.** Employees must ask their supervisor for an explanation of any rule, regulation, or instruction they are unsure of.

**Issued, Cancelled, or Modified.** Rules may be issued, canceled, or modified by track bulletin, general order, or special instructions. When there is a conflict, subdivision special instructions takes precedence over system special instructions.

**Application:**

Examinations are required to be passed biennially or more often when necessary to ensure employees are familiar with all rules, regulations and instructions.

**Issued, Canceled, or Modified**

When there is a conflict, subdivision special instructions takes precedence over system special instructions.

**Rule Updated Date**

April 1, 2015

**System Special Instructions**

Effective Date: April 1, 2015

[^Top](#)

### **1.3.2: General Orders**

General Orders:

- Are numbered consecutively.
- Are issued and cancelled by the designated manager.
- Contain only information and instructions related to rules or operating practices.
- Replace any rule, special instruction, or regulation that conflicts with the general order.

## **Rule Updated Date**

April 7, 2010

[^Top](#)

## **1.10: Games, Reading, or other Media**

Employees on duty must not:

- Play games.
- Use personal electronic devices other than provided for in Rule 2.21 (Electronic Devices).  
or
- Read magazines, newspapers, or other literature not related to their duties when:
  - o On a train or engine,
  - o Performing safety related activities,or
- o It would delay or interfere with required duties.

This does not prohibit employees from having such material enclosed in their personal luggage.

## **Rule Updated Date**

April 1, 2015

[^Top](#)

## **1.11: Sleeping**

Employees must not sleep while on duty, except as outlined under Rule 1.11.1(Napping). Employees reclined with their eyes closed will be in violation of this rule.

## **Rule Updated Date**

April 7, 2010

[^Top](#)

### **1.11.1: Napping**

**TE&Y and Engineering employees, except those working in passenger or commuter service are permitted to nap while on duty when it does not cause a delay to the operations or interfere with the performance of safety-related duties, the safety of the employee , coworkers , or the public under the following conditions:**

- The employee has reported on duty and completed all necessary preparations for duty including a job briefing. These duties include reviewing all general orders, track warrants, track bulletins, and all other paperwork.
- The employee responsible for notifying a napping employee work is ready to proceed should allow at least 15 minutes for the napping employee to recover from grogginess which may occur after awaking. Another job briefing must not

occur during the 15 minute recovery period, but must take place prior to proceeding with work to ensure all employees are prepared to perform service after the operational delay has concluded.

- The napping employee is relieved of all duties during the napping period. Employees being transported to or from their job duties may nap when no safety sensitive duties are being performed by another employee.

#### **Transportation Employee Requirements:**

- When napping in a designated napping facility, one member of the assigned crew or work team must remain awake at all times to perform any work related duties including ensuring that all employees are ready to commence work promptly after the delay has ended. If the entire crew requests time to nap, the supervisor on duty may grant the request if doing so does not jeopardize the safety of the employees, the public, or train operations and will be responsible for ensuring the crew is ready to commence work promptly after the delay has ended.
- A job briefing must be conducted to review the conditions of the napping period and to reach agreement as to who will nap and who must remain awake. The employee's supervisor or co-worker has the right and responsibility to refuse to allow another employee to take a nap if doing so could jeopardize safety or cause undue delay to operations.
- Before napping is allowed **on a locomotive:**
  1. The employee in charge of the locomotive controls must:
    - Make at least a 10 pound brake pipe reduction.
    - Place generator field switch in the "OFF" position.
    - Center and remove the reverser, if removable.
  2. The employee who is to remain awake must remain on the locomotive while others on the locomotive are napping, except when inspecting passing trains.

#### **Engineering Employee Requirements:**

- Employee must request a nap from their immediate supervisor and identify the location where the nap is to take place. The supervisor may grant the request if doing so does not jeopardize the safety of employees, the public or train operations. In no case may the employee nap foul of any track or in an area where equipment is operating.
- Before napping is allowed **on maintenance of way equipment:** The operator of the equipment must ensure the equipment is properly tied down, secured against movement and adequately ventilated.
- When on a road in a company vehicle, at least one employee in addition to the employee driving the vehicle must stay awake to help the driver identify potential hazards ahead.

#### **Rule Updated Date**

May 27, 2015

#### **General Order**

Effective Date: May 27, 2015

[^Top](#)

## **1.12: Weapons**

Continued failure by employees to protect their employment will be cause for dismissal.

**Rule Updated Date**

April 7, 2010

[^Top](#)

## **1.16: Subject to Call**

Employees subject to call must indicate where they can be reached and must not be absent from their calling place without notifying those required to call them.

**Rule Updated Date**

April 7, 2010

[^Top](#)

## **1.17: Hours of Service Law**

Employees must be familiar and comply with the requirements of the federal hours of service law. Employees are expected to use off-duty time so they are prepared for work.

If an employee is called to report for duty before legal off-duty time has expired, before accepting the call to work the employee must notify the individual making the call that off-duty time has not expired.

### **A. Notification**

When communication is available, employees must notify the train dispatcher or another authority of the time the law requires them to be off duty. Employees must provide notification early enough that they may be relieved, or transportation provided, before they exceed the hours of service.

### **B. Exceeding the Law**

Employees must not exceed the hours of service law without proper authority. However, they must not leave trains, engines, or cars on the main track without proper protection. Employees must secure trains properly and, if possible, before they exceed the hours of service. Except as provided by this paragraph, employees are then relieved of all duties.

**Rule Updated Date**

April 7, 2010

[^Top](#)

## **1.18: Unauthorized Employment**

Employees must not engage in another business or occupation that would create a conflict of interest with their employment on the railroad or would interfere with their availability for service or the proper performance of their duties.



When made aware of emergency responders on, under or between railroad equipment, train dispatcher or supervisor must arrange for a qualified employee to inspect all affected equipment to verify proper securement as soon as practical.

**Rule Updated Date**

April 1, 2015

[^Top](#)

## **1.23: Altering Equipment**

Without proper authority, employees must not alter, nullify, change the design of, or in any manner restrict or interfere with the normal function of any device or equipment on engines, cars, or other railroad property, except in the case of an emergency. Employees must report to the proper supervisor changes made in an emergency.

**Rule Updated Date**

April 7, 2010

[^Top](#)

### **1.23.1: Locomotive-Mounted Safety Devices**

#### **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:

When possible, train or engine crews wanting to stop the train to eat must ask the train dispatcher at least one hour and thirty minutes before the desired stop.

**Rule Updated Date**

April 7, 2010

[^Top](#)

### **1.30: Riding Engine**

When possible, crew members on the head end of freight trains must ride in the control compartment of the engine.

When riding on the head end, the conductor will ride in the control compartment.

**Rule Updated Date**

April 7, 2010

[^Top](#)

### **1.31: Repairs to Foreign Cars**

Crew members who repair foreign cars must report the repairs on the prescribed form.

**Rule Updated Date**

April 7, 2010

[^Top](#)

### **1.32: Overheated Wheels**

When overheated wheels are found on a train, the train must be stopped and held a minimum of 10 minutes to allow the heat to equalize through the wheel.

**Rule Updated Date**

April 7, 2010

[^Top](#)

### **1.33: Inspection of Freight Cars**

When personnel are not on duty primarily to inspect freight cars, each car placed in the train may be moved after it receives a safety inspection as follows:

## [Union Pacific Rules](#)

UPRR - General Code of Operating Rules

### **4.0: TIMETABLES**

- [4.1: New Timetable](#)
- [4.1.1: Notice of New Timetable](#)
- [4.2: Special Instructions](#)
- [4.3: Timetable Characters](#)

#### **4.1: New Timetable**

The moment a new timetable goes into effect, it will replace the previous one.

##### **Rule Updated Date**

April 7, 2010

[^Top](#)

#### **4.1.1: Notice of New Timetable**

At least 24 hours before a new timetable goes into effect, notification will be made by general order. A track bulletin will also be issued at least 24 hours before the new timetable goes into effect and continue for 6 days after the effective date.

##### **Rule Updated Date**

April 7, 2010

[^Top](#)

#### **4.2: Special Instructions**

Special instructions will replace any rule or regulation with which they conflict.

##### **Rule Updated Date**

April 7, 2010

[^Top](#)

#### **4.3: Timetable Characters**

Timetable characters are letters and symbols located in the timetable station column. These letters and symbols indicate the special conditions at specific locations (such as yard limits and manual interlockings). A timetable station column may also

[^Top](#)

### **6.2.1: Train Location**

Trains who receive authority to occupy the main track after the arrival of a train or to follow a train, must ascertain the train's location by one of the following methods:

- Direct communication with a crew member of the train.  
or
- Receiving information about the train from the train dispatcher or control operator.

#### **Rule Updated Date**

April 1, 2015

#### **System Special Instructions**

Effective Date: April 1, 2015

[^Top](#)

### **6.3: Main Track Authorization**

Do not occupy main tracks unless authorized by one of the following:

- Rule 6.13 (Yard Limits)
- Rule 6.14 (Restricted Limits)
- Rule 6.15 (Block Register Territory)
- Rule 9.14 (Movement with the Current of Traffic)
- Rule 9.14.2 (Controlled Block System CBS)
- Rule 9.15 (Track Permits)
- Rule 10.1 (Authority to Enter CTC)
- Rule 14.1 (Authority to Enter TWC)
- Rule 14.6 (Movement Against the Current of Traffic)
- Rule 15.3 (Authorizing Movement Against the Current of Traffic)
- Rule 15.4 (Protection When Tracks Removed from Service)
- Rule 16.1 (Authority to Enter DTC)
- At manual interlockings, verbal authority from the control operator or a controlled signal that indicates proceed
- Special instructions or general order

When unable to obtain authority and it is necessary to foul or occupy a main track in ABS, protection must be provided in both directions as outlined under Rule 9.17.1 (Signal Protection in ABS by Lining Switch).

Written authorities that are no longer in effect must be retained until the end of tour of duty, unless otherwise instructed by the train dispatcher.

## **Joint Authority**

When a train or employee receives authority joint with an employee(s), the train or employee must not occupy the overlapping limits until:

- Working limits are described and permission is received to enter the overlapping limits from the employee(s) listed on the authority.  
or
- Advice is received from the train dispatcher or control operator that the employee(s) have reported clear of the limits.

When a train receives joint authority, movements must be made at restricted speed.

## **Rule Updated Date**

April 1, 2015

## **System Special Instructions**

Effective Date: April 1, 2015

[^Top](#)

## **6.3.1: Train Coordination**

Train Coordination provides for men or equipment to use a train's authority to establish working limits. The employee must contact the train's engineer to request use of Train Coordination.

To establish working limits:

- The train must be in view and stopped.
- The employee in charge of working limits will communicate with the engineer who will notify other crew members that working limits are to be established.
- The engineer will make movements only as permitted by the employee in charge until the working limits have been released to the engineer.
- The train will not release its authority within the limits until those working limits have been released by the employee in charge.

## **Establish Working Limits**

Working limits may be established within a train's authority limits as follows:

### **A. DTC or TWC Territory**

1. With a train having authority to move in either direction that is not joint.  
or
2. With a train having authority to move in one direction only, working limits must not be established:
  - Behind the train.

**Application:**

In ATC territory "within same signaled block" only applies where continuous block signal territory is designated.

**Rule Updated Date**

April 1, 2015

**System Special Instructions**

Effective Date: April 1, 2015

[^Top](#)

## **6.4.2: Movements Within Control Points or Interlockings**

### **A. Control Points or Manual Interlockings**

**Control Points Outside Manual Interlockings.**

Except within track and time limits, if movement stops while the trailing end is between the outer opposing absolute signals of a control point, the movement must not change direction without permission from the control operator. However, after a job briefing has been conducted and the control operator has a clear understanding of all movements to be made and tracks to be used, the control operator may grant permission for all movements.

**Manual Interlockings**

If movement stops while the trailing end is between the outer opposing absolute signals of a manual interlocking, the movement must not change direction without permission from the control operator.

### **B. Automatic Interlockings**

At an automatic interlocking, the train movement may change direction within the limits of the interlocking if it continuously occupies at least one car length of the limits.

**Rule Updated Date**

April 1, 2015

**System Special Instructions**

Effective Date: April 1, 2015

[^Top](#)

## **6.5: Shoving Movements**

[^Top](#)

### **6.21.2: Water Above Rail**

Do not operate trains and engines over tracks submerged in water until the track has been inspected and verified as safe.

Operate engines at 5 MPH or less when water is above the top of the rail. If water is more than 3 inches above the top of the rail, a mechanical department supervisor must authorize the movement.

#### **Rule Updated Date**

April 7, 2010

[^Top](#)

### **6.21.3: Track Obstruction/Unusual Conditions**

When a train is instructed by the Train Dispatcher in the words, "BETWEEN (location) AND (location) BE GOVERNED BY RULE 6.21.3", within specified limits, train must proceed at a speed which will permit stopping short of slide, rock, washout or debris on track.

#### **Rule Updated Date**

April 1, 2015

#### **System Special Instructions**

Effective Date: April 1, 2015

[^Top](#)

### **6.22: Maintaining Control of Train or Engine**

Crew members must consider train or engine speed, grade conditions, and air gauge indications to determine that the train or engine is being handled safely and is under control. If necessary, take immediate action to bring the train or engine under control.

#### **Rule Updated Date**

April 7, 2010

[^Top](#)

### **6.23: Emergency Stop or Severe Slack Action**

When a train or engine is stopped by an emergency application of the brakes or severe slack action occurs while stopping, take the following actions:

April 7, 2010

[^Top](#)

## **6.31: Maximum Authorized Speed**

All crew members are responsible for knowing and not exceeding the maximum authorized speed for their train. Passenger speed is applicable only to trains consisting entirely of passenger equipment.

When possible, a crew member must promptly notify the train dispatcher of any condition that will delay or prevent the train from making usual speed.

### **Rule Updated Date**

May 1, 2014

[^Top](#)

### **6.31.1: Permanent Speed Restrictions**

Permanent speed restrictions must not be exceeded until the rear of the train clears the limits of the restriction, unless otherwise specified.

### **Rule Updated Date**

April 7, 2010

[^Top](#)

## **6.32: Road Crossings**

### **Rule Updated Date**

April 7, 2010

[^Top](#)

### **6.32.1: Cars Shoved, Kicked, or Dropped**

When cars are shoved or kicked over road crossings at grade (except those used exclusively by railroad employees), a crew member must be on the ground at the crossing to warn traffic until the crossing is occupied. Make any movement over the crossing as directed from that crew member. Such warning is not required when gates are known to be in the fully lowered position.

### **Rule Updated Date**

April 1, 2015



- [9.17.1: Signal Protection in ABS by Lining Switch](#)
- [9.18: Electrically Locked Switches and Derails](#)
- [9.19: Leaving Equipment in Signal System](#)
- [9.20: Clear Track Circuits](#)
- [9.21: Overlap Circuits](#)
- [9.22: Standing on Sanded Rail](#)
- [9.23: Suspension of Block System](#)
- [9.23.1: Guidelines While Block System Is Suspended](#)
- [9.24: Call Lights](#)

## 9.1: Signal Aspects and Indications

Distant, block, and interlocking signal aspects and indications are shown in the special instructions.

Signal aspects are identified by the position of semaphore arms, color of lights, flashing of lights, position of lights, or any combination. Aspects may be qualified by marker plate, number plate, letter plate, or marker light.

Signals may display color light aspects or semaphore arms and color lights.

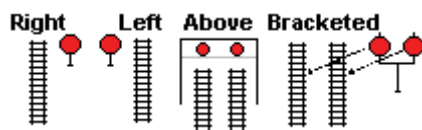
### Rule Updated Date

April 7, 2010

[^Top](#)

## 9.2: Location of Signals

When viewed from the train, block and interlocking signals are generally to the right of the track. However, they may be located to the left or above the track. To display indications for two tracks, two bracketed signals may be located on a supporting mast. The signal to the right governs the track to the right, and the signal to the left governs the track to the left.



[Diagram A]

### Rule Updated Date

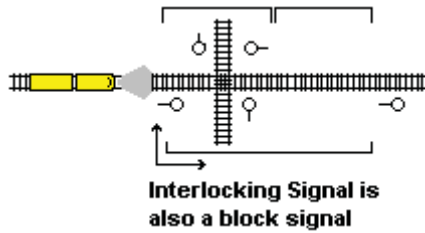
April 7, 2010

[^Top](#)

## 9.3: What Signals Govern

Block signals, cab signals, or both govern the use of blocks.

Interlocking signals govern the use of interlocking routes. Where a track is signaled beyond the interlocking limits in the direction of movement, the interlocking signal is also a block signal.



[Diagram A]

All other rules, where required, remain in effect when complying with the indication of block and interlocking signals.

#### **Rule Updated Date**

April 7, 2010

[^Top](#)

### **9.4: Improperly Displayed Signals or Absent Lights**

Except as shown in block, cab, and interlocking signal aspects in the special instructions, if a light is absent, a white light is displayed where a colored or lunar light should be, or additional colored or lunar lights are displayed, regard a block or interlocking signal as displaying the most restrictive indication it can give. However, when the semaphore arm position is plainly seen, that aspect will govern.

#### **Rule Updated Date**

April 7, 2010

[^Top](#)

### **9.5: Where Stop Must Be Made**

When movement is being made beyond a block signal requiring a train to be prepared to stop at the next signal, the stop must be made before any part of a train passes the block signal requiring the train to stop.

If a train overruns any block signal that requires it to stop, the crew must:

- Warn other trains at once by radio.
- Stop the train immediately.
- Report it to the train dispatcher.

#### **Rule Updated Date**

April 7, 2010

[^Top](#)

[^Top](#)

## **9.7: Failure to Display Most Restrictive Indication**

When a block is occupied, or when a switch protected by a signal is changed from its normal position and that signal fails to display its most restrictive indication, regard the signal as displaying Stop. The train must stop immediately, and employees must warn others by radio of the exact location and status of the train. Contact the train dispatcher or control operator and do not move the train without permission.

### **Rule Updated Date**

April 7, 2010

[^Top](#)

## **9.8: Next Governing Signal**

A train may comply with the next signal's indication when its aspect can be clearly seen and the signal governs the track where movement is occurring or will be made. This does not apply when a rule or previous signal indication requires movement at restricted speed.

**This rule does not apply on UPRR. Comply with the signal indication until passing the next governing signal.**

### **Rule Updated Date**

April 1, 2015

### **System Special Instructions**

Effective Date: April 1, 2015

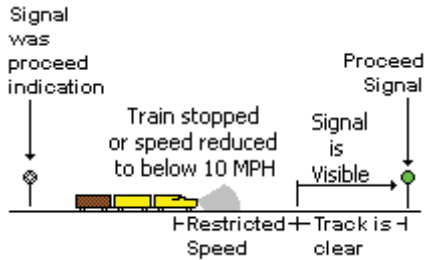
[^Top](#)

## **9.9: Train Delayed Within a Block**

If a train has entered a block on a proceed indication that does not require restricted speed, and the train stops or its speed is reduced below 10 MPH, the train must:

### **A. ABS**

Proceed at restricted speed. The train must maintain this speed until the next signal is visible, that signal displays a proceed indication, and the track to that signal is clear.



[Diagram A]^

## B. CTC or Manual Interlocking Limits

Proceed prepared to stop at the next signal until the next signal is visible and that signal displays a proceed indication.

Passenger trains operating in push/pull service must not exceed 40 MPH until the next signal is visible and that signal displays a proceed indication.

## C. ACS

Operate according to cab signal indication.

### Rule Updated Date

April 1, 2015

### System Special Instructions

Effective Date: April 1, 2015

[^Top](#)

## 9.9.1: Approach to Automatic Interlocking

A train must proceed prepared to stop at the interlocking signal when:

- Moving below 25 MPH and passing a signal that governs the approach to an automatic interlocking.
- or
- Speed is reduced to below 25 MPH after passing a signal that governs the approach to an automatic interlocking.

The train must continue to move prepared to stop at the interlocking signal until the train reaches a point approximately 1,000 feet from that signal. If the interlocking signal then indicates proceed, the train may resume speed.

### Rule Updated Date

April 7, 2010

[^Top](#)

## 9.10: Initiating Movement Between Signals

Effective Date: April 1, 2015

[^Top](#)

## 9.12: Stop Indications

### Rule Updated Date

April 7, 2010

[^Top](#)

### 9.12.1: CTC Territory

At a signal displaying a Stop indication, if no conflicting movement is evident, the train will be governed as follows:

- A crew member must immediately contact the control operator unless the train is:
  - Within track and time limits.
  - or
  - Entering track and time limits from any point other than either end of the track and time limits.
- Before authorizing the train to proceed, the control operator must know that the route is properly lined and no conflicting movement is occupying or authorized to enter the track between that signal and the next absolute signal governing movement or the end of CTC where applicable.
- When the train receives these instructions, "After stopping, (train) at (location) has authority to pass signal displaying Stop indication," specifying the route where applicable. The train must move at restricted speed.
- If the signal governs movement over a drawbridge, a crew member must verify that the bridge is in the proper position for the train to pass.

### Exception

**Conflicting Movement.** When the control operator has stopped a conflicting movement, he may then authorize another train to proceed in the same limits, advising both crews of movement to be made. If the stopped movement is later permitted to proceed, that train must move at restricted speed until its leading wheels have passed the next governing signal or the end of the block system.

### Rule Updated Date

April 1, 2015

[^Top](#)

### 9.12.2: Manual Interlockings

At a signal displaying a Stop indication, if no conflicting movement is evident, the train will be governed as follows:

- A crew member must immediately contact the control operator.

- Before authorizing the train to proceed, the control operator must know that the route is properly lined and no conflicting movement is occupying or authorized to enter the track between that signal and the next absolute signal governing movement or the end of interlocking limits where applicable.
- The control operator may authorize the train to proceed by using hand signals or the following instructions, "After stopping, (train) at (location) has authority to pass signal displaying Stop indication," specifying the route where applicable. The train must move at restricted speed.
- If the signal governs movement over a drawbridge, a crew member must verify that the bridge is in the proper position for the train to pass.

Before proceeding into or continuing in CTC territory, the manual interlocking control operator must be sure that the CTC control operator has given authority to proceed.

### **Exception**

**Conflicting Movement.** When the control operator has stopped a conflicting movement, he may then authorize another train to proceed, advising both crews of movements to be made. If the stopped movement is later permitted to proceed, that train must move at restricted speed until its leading wheels have passed the next governing signal or the end of the block system.

### **Rule Updated Date**

April 7, 2010

[^Top](#)

## **9.12.3: Automatic Interlockings**

At a signal displaying a Stop indication, the crew will be governed by instructions in the release box, special instructions, or other instructions. After complying with the instructions that allow the train to proceed, if signal continues to display a Stop indication, the train must move at restricted speed. However, if there is a conflicting movement, the train must not proceed until the movement has passed or stopped, and both crews agree on the next movement.

### **Rule Updated Date**

April 7, 2010

[^Top](#)

## **9.12.4: ABS Territory**

At a signal displaying a Stop indication outside interlocking limits, the train will be governed as follows:

### **A. Main Track**

On a main track, except where Rule 9.14 ( Movement with the Current of Traffic) is in effect, after stopping, a train authorized beyond the signal may proceed at restricted speed under any of the following conditions:

1. Authority beyond the signal is joint with other trains or employees.
2. To permit an engine, with or without cars, to couple to its train or to a standing cut of cars, if the track between the engine and cars is clear.

## Union Pacific Rules

### UPRR - General Code of Operating Rules

## **10.0: RULES APPLICABLE ONLY IN CENTRALIZED TRAFFIC CONTROL (CTC)**

- [10.1: Authority to Enter CTC Limits](#)
- [10.2: Clearing Through Hand-Operated Switches](#)
- [10.3: Track and Time](#)
- [10.3.1: Protection of Limits](#)
- [10.3.2: Protection of Machines, Track Cars, or Employees](#)
- [10.3.3: Joint Track and Time](#)
- [10.3.4: Track and Time Acknowledgment](#)

### **10.1: Authority to Enter CTC Limits**

CTC limits are designated in the timetable. Sidings within CTC limits are controlled sidings and are governed by CTC rules. A train must not enter or occupy any track where CTC is in effect unless a controlled signal displays a proceed indication or the control operator authorizes:

- Movement past a Stop indication under Rule 9.12.1 (CTC Territory).
- A train to enter track between block signals as follows: "(Train) at (location) has authority to enter (track) and proceed (direction)." After entering the track, the train is authorized to move only in the direction specified.

or

- Track and Time under Rule 10.3 (Track and Time).

### **Signal Governing Movement Over a Hand-Operated Switch**

If a signal governs movement over a hand-operated switch that is not electrically locked, the control operator must authorize the train to enter or occupy any track where CTC is in effect before the switch is opened. After the switch is opened, if the signal does not display a proceed indication, a crew member must wait 10 minutes at the switch. After the 10 minute wait if the signal does not display a proceed indication, move the train at restricted speed and notify the control operator.

However, if the block to be entered is occupied by its own standing train or when the hand-operated switch remains open, the movement may, after stopping, pass an absolute signal displaying a Stop indication without waiting 10 minutes and without contacting the control operator.

**Rule Updated Date**

April 1, 2015

**System Special Instructions**

Effective Date: April 1, 2015

[^Top](#)

**15.1: Track Bulletins**

Track bulletins must not be changed unless specified by Rules 15.1.1 (Changing Address of Track Warrants or Track Bulletins) or Rule 15.13 (Voiding Track Bulletins). The train dispatcher will issue track bulletins as required. Track bulletins will contain information on all conditions that affect safe train or engine movement. Forms other than track bulletin Forms A and B may be used when necessary.

**Receipt and Comparison of Track Bulletins**

At their initial station, unless otherwise instructed by the train dispatcher, the conductor and engineer must receive track bulletins affecting their train's movement:

- By a track warrant, unless the track warrant shows 'NONE' or 'NO.'
- or
- In a manner designated by special instructions. All rules that apply to track bulletins also apply.

The conductor and engineer must have copies of all track bulletins and other instructions required. Each crew member must read and understand them.

All crew members are responsible for complying with the requirements of track bulletins and reminding each other of those requirements.



At the initial station, when outbound crew members receive track warrants and track bulletins from inbound crew members, the conductor and engineer must compare the track warrants and track bulletins with each other and with the train dispatcher before proceeding.

At locations where track warrants listing track bulletins are received by printer or fax, crew members must verify that route description, if printed, covers the intended route of their train and that the track warrant includes the correct train ID and train symbol of their train. If it does not, contact the train dispatcher and determine if the track warrant is valid. Also, crew members must check the date and "OK" time on the track warrant and if the track warrant is over 4 hours old, contact the train dispatcher and determine if additional track bulletins are needed.

**Note:** After receiving track warrant, if a crew is assigned to operate a train with a train symbol different than the one listed on their track warrant, the above applies.

**Application:**

Having a copy of the '**Track Condition Summary**' meets the requirement of having a copy of the bulletins listed.

**Rule Updated Date**

April 1, 2015

**System Special Instructions**

Effective Date: April 1, 2015

[^Top](#)

### **15.1.1: Changing Address of Track Warrants or Track Bulletins**

If the address must be changed on a track warrant used to deliver track bulletins only or a track bulletin that does not grant authority according to Rule 15.3 (Authorizing Movement Against the Current of Traffic), the train dispatcher may verbally change the train symbol, engine identification, direction, or date. However, crews performing yard or hostling service, using the main track at a yard or terminal, may change the engine number or train symbol on track warrants or track bulletins received from the train dispatcher without communicating with the train dispatcher.

**Rule Updated Date**

April 1, 2015

**System Special Instructions**

Effective Date: April 1, 2015

[^Top](#)

## [Union Pacific Rules](#)

UPRR - General Code of Operating Rules

### **GLOSSARY: Glossary**

- [19.GL: GENERAL CODE OF OPERATING RULES GLOSSARY](#)

## **19.GL: GENERAL CODE OF OPERATING RULES GLOSSARY**

### **Abbreviations**

**Use only the following abbreviations:**

**ABS** Automatic Block Signal System

**ACS** Automatic Cab Signal System

**AMTK** Amtrak

**ATC** Automatic Train Control

**ATS** Automatic Train Stop

**AUTH** Authority

**BO** Bad Order

**BRN** Branch

**BRT** Block Register Territory

**C** Center

**C & E** Conductor and Engineer

**COFC** Container on Flat Car

**CONDR** Conductor

**CP** Control Point

**CTC** Centralized Traffic Control

**DCS** Dual Control Switch

**DISPR** Dispatcher

**DIST** District

**DIV** Division

**DT** Double Track

**DTC** Direct Traffic Control

**E** East

**ENG** Engine

**ENGR** Engineer

**ESS** East Siding Switch

**EWD** Eastward

**FRT** Freight

**HER** Head End Restriction

**IM** Intermodal

**JCT** Junction

**MAX** Maximum

**MMT** Multiple Main Track  
**MP** Mile Post  
**MPH** Miles Per Hour  
**MT** Main Track  
**MW** Maintenance of Way  
**N** North  
**NO** Number  
**NSS** North Siding Switch  
**NWD** Northward  
**OK** Correct  
**OOS** Out of Service  
**OPR** Operator  
**ORIG** Originating  
**PSGR** Passenger  
**RC** Radio Channel  
**RCO** Remote Control Operator  
**RCZ** Remote Control Zone  
**RECD** Received  
**RE** Region  
**S** South  
**SDG** Siding  
**SI** Special Instructions  
**SSI** System Special Instructions  
**SSS** South Siding Switch  
**SUB** Subdivision  
**SUBDIV** Subdivision  
**SUPT** Superintendent  
**SW** Switch  
**SWD** Southward  
**TOFC** Trailer on Flat Car  
**TRK** Track  
**TRN** Train  
**TWC** Track Warrant Control  
**W** West  
**WSS** West Siding Switch  
**WWD** Westward  
**XO** Crossover  
**YD** Yard  
**YL** Yard Limits  
**YM** Yardmaster

Use the normal abbreviations for names of months.

**ABS**

*See Automatic Block Signal System.*

**Absolute Block**

A length of track that no train is permitted to enter while the track is occupied by another train.

**Absolute Signal**

A block or interlocking signal without a number plate, or designated by an A marker.

**ACS**

*See Automatic Cab Signal System.*

**Adjacent Track**

Parallel tracks that are not separated by a single lane roadway or similar distance are considered adjacent tracks.

**Note:** This definition only applies when determining if Track Breach Protection is required.

**Articulated**

Permanently connected multiple unit cars that share a common truck.

**ATC actuator**

An ATC brake applying apparatus.

**ATS**

*See Automatic Train Stop System.*

**Automatic Block Signal System (ABS)**

A series of consecutive blocks governed by block signals, cab signals, or both. The signals are activated by a train or by certain conditions that affect the block use.

**Automatic Cab Signal System (ACS)**

A system that allows cab signals and the cab warning whistle to operate automatically.

**Automatic Train Control (ATC)**

A system to enforce compliance with cab signal indications. If the train exceeds a predetermined speed for a given cab signal indication and speed is not reduced at a sufficient rate, brakes are automatically applied.

**Automatic Train Stop System (ATS)**

A system activated by wayside inductors positioned to apply the brakes automatically until the train stops.

**Block**

A length of track:

- Between consecutive block signals
- Between a block signal and the end of block system limits
- or
- In ATC limits, the use of which is governed by cab signals and/or block signals.

**Block Register Territory (BRT)**

A method of operation in non-signaled territory where trains, men, and equipment are authorized to occupy the main track in limits designated by the timetable.

**Block Signal**

A fixed signal at the entrance of a block that governs trains entering and using that block.

**Block System**

A block or series of consecutive blocks within ABS, ACS, CTC, or interlocking limits.

**Breach**

To enter an area between two adjacent tracks.

**BRT**

*See Block Register Territory.*

**Cab Red Zone**

A "Cab Red Zone" (CRZ) exists during critical times or when multiple tasks are occurring. During a Cab Red Zone, 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.

**Cab Signal**

A signal in the engineer's compartment or cab that indicates a condition affecting train movement. Cab signals are used with interlocking or block signals or without block signals.

**Cars**

Railroad cars.

**Centralized Traffic Control (CTC)**

A block system that uses block signal indications to authorize train movements.

**Clearance Point**

The location closest to a switch where it is safe for equipment, and a person riding the side of equipment unless prohibited, to pass equipment on an adjacent track.

**Conductor**

Crew member in charge of train or yard crew.

**Control Operator**

Employee assigned to operate a CTC or interlocking control machine or authorized to grant track permits.

**Control Point**

The location of absolute signals controlled by a control operator.

**Controlled Siding**

A siding within CTC or interlocking limits where a signal indication authorizes the siding's use.

**Controlled Signal**

An absolute signal controlled by a control operator.

**Crew Member**

Conductors, assistant conductors, brakemen, engineers, remote control operators, yard engine foremen, switchmen, and yard helpers.

**Crossings at Grade**

Crossings that intersect at the same level.

**Crossover**

A combination of two switches that connect two adjacent tracks, normally used for crossover movements.

**CTC**

*See Centralized Traffic Control.*

**Current of Traffic**

The movement of trains in one direction on a main track, as specified by the rules.

**Direct Traffic Control (DTC)**

A DTC block or a series of DTC blocks where the train dispatcher authorizes track occupancy.

**Distant Signal**

A fixed signal outside a block system that governs the approach to a block signal, interlocking signal, or switch point indicator. A distant signal does not indicate conditions that affect track use between the distant signal and block or interlocking signals or between the distant signal and switch point indicator. A distant signal is identified by a D.

**Double Track**

Two main tracks where the current of traffic on one track is in a specified direction and in the opposite direction on the other.

**Dual Control Switch**

A power-operated switch, moveable point frog, or derail that can also be operated by hand.

**DTC**

*See Direct Traffic Control.*

**DTC Block**

A length of main track specified by name. DTC block name and limits are identified by wayside signs reading, Begin (name) Block and End (name) Block and by mile post location in the timetable.

**Electric Switch Lock**

An electrically controlled lock that restricts the use of a hand-operated switch or derail.

**Electronic Device**

An electronic or electrical device used to conduct oral, written, or visual communication; place or receive a telephone call; send or read an electronic mail message or text message; look at pictures; read a book or other written material; play a game; navigate the Internet; navigate the physical world; play, view, or listen to a video; play, view or listen to a television broadcast; play or listen to music; execute a computational function; or, 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 or another employee from a safety related task.

**Engine**

A unit propelled by any form of energy or more than one of these units operated from a single control. Engines are used in train or yard service. Rules that apply to engines also apply to cab control cars.

**Engineer**

Also includes student engineers, firemen, hostlers, and remote control operators.

**Equipment**

Railroad equipment.

**Equipment Fouling a Track**

The end of rolling equipment or on-track maintenance of way equipment left between the clearance point and the switch points leading to the track on which the equipment is standing.

**Fixed Signal**

A signal that is fixed to a location permanently and that indicates a condition affecting train movement.

**Flagman**

Any employee providing flag protection as outlined in Rule 6.19 (Flag Protection) and for other purposes as outlined in the rules.

**Foreman**

Employee in charge of work.

**Gravity Switch**

A switching process using gravity to reposition cars on the opposite end of a locomotive, without using locomotive to start movement of cars. See Rule 7.7.1.

**Humping Cars**

Allowing cars to roll under their own momentum during cresting operations at a hump yard.

**Interlocking Limits**

The tracks between outer opposing absolute signals of an interlocking.

**Interlocking Signals**

The fixed signals of an interlocking that govern trains using interlocking limits.

**Jump Frog**

A main track frog designed for use with low traffic turnouts. The main track side is made up of an unbroken rail and the turnout side carries the wheel over the main track rail by supporting the flange of the wheel.

**Kicking Cars**

To shove a car a short distance and uncouple it in motion.

**Main Track**

A track extending through yards and between stations that must not be occupied without authority or protection.

**Men or Equipment**

A term referring to Engineering Department employees and their related equipment.

**Multiple Main Tracks**

Two or more main tracks that are used according to the timetable.

**Pilot**

An employee assigned to a train to assist an engineer or conductor who is unfamiliar with the rules or the portion of railroad the train will operate on.

**Proceed Indication**

Any block signal indication that allows a train to proceed without stopping.

**Radio**

As used in these rules it also applies to wireless communication devices when used in railroad operations.

**Radio Blocking**

A method to establish an absolute block for a following train in non-signal territory by direct communication with a preceding train.

**Radio Speed Restriction**

A speed restriction received from the train dispatcher while enroute.

**Railroad Operating Employee**

An individual who is engaged in or connected with the movement of a train including a hostler, a train employee providing commuter or inter-city rail passenger transportation, or is subject to hours of service governing trains service employees.

**RCO**

See Remote Control Operator

**RCZ**

See Remote Control Zone

**Remote Control Operator (RCO)**

An employee who may operate an engine with or without cars by means of a remote control transmitter.

**Remote Control Transmitter**

A device that gives the remote control operator control of a remote control engine.

**Remote Control Zone (RCZ)**

A portion of track(s) within definite limits designated in the timetable special instructions.

**Restricted Limits**

A portion of main track designated by restricted limits signs and timetable special instructions or a track bulletin.

**Reverse Movement**

A movement opposite the authorized direction.

**Siding**

A track connected to the main track and used for meeting or passing trains. Location of sidings are shown in the timetable.

**Signal Aspect**

The appearance of a fixed or cab signal.

**Signal Indication**

The action required by the signal aspect.

**Single Track**

A main track where trains are operated in both directions.

**Special Instructions**

Instructions contained in the timetable or other publication.

**Spring Switch**

A switch with a spring mechanism that returns the switch points to the original position after they are trailed through.

**Spur Track**

A track connected to another track at only one end, also referred to as a stub track.

**Station**

A place designated by name in the timetable station column.



**Stowed**

When required by rule 2.21, electronic devices including cell phones, laptops, cameras, DVD's, etc., must be turned off and placed out of sight in the employee's grip, luggage, back pack, etc. Electronic devices placed in pockets or device holsters are not considered as being stowed.

**Switch Point Indicator**

A light type indicator used during movement over certain switches to show that switch points fit properly.

**Switch Providing Direct Access**

A switch that if used by rolling equipment could permit the rolling equipment to enter the track and couple to equipment.

**Timetable**

A publication with instructions on train, engine, or equipment movement. It also contains other essential information.

**Track Bulletin**

A notice of conditions affecting train movement. It may also authorize movement against the current of traffic where Rule 9.14 (Movement with the Current of Traffic) is in effect.

**Track Occupancy Indicator**

An indicator that tells whether a length of track is occupied or not.

**Trackside Warning Detector**

A device that indicates conditions such as overheated journals, dragging equipment, excess dimensions, shifted loads, high water, or slides.

**Track Warrant Control (TWC)**

A method to authorize train movements or protect men or machines on a main track within specified limits in a territory designated by the timetable.

**Train**

One or more engines coupled, with or without cars, displaying a marker, and authorized to operate on a main track. A term that when used in connection with speed restrictions, flag protection, and the observance of all signals and signal rules also applies to engines.

**Train Coordination**

Working limits established by a roadway worker through the use of a train's authority on a main track or other track where specific authority is required from a control operator or train dispatcher.

**Train Dispatcher**

Employee assigned to operate a CTC or interlocking machine, transmit or deliver orders affecting train movements, and supervise train movements and any employees connected with that movement, including control operators.

**Train ID**

Trains will be identified by initials and engine number, adding the direction when required. When an engine consists of more than one unit or when two or more engines are coupled, the number of one unit only will be illuminated as the identifying number. The identifying number will be the number of the lead unit, unless changing direction during a trip or tour of duty when that unit is no longer the lead unit.

**TWC**

*See Track Warrant Control.*

**Variable Switch**

A switch identified by a V or a bowl painted yellow. When trailed through, the switch points remain lined in the position they were forced.

**Whistle Quiet Zone**

A designated portion of track, that includes road crossing(s) at grade where whistle signal (7) is not regularly sounded.

**Working Limits**

A segment of track within definite boundaries on which movements may be made only as permitted by the employee in charge. Boundaries may be established using mile posts, station signs, timetable locations, or clearly identifiable points.

**Yard**

A system of tracks, other than main tracks and sidings, used for making up trains, storing cars, and other purposes.

**Yard Access Crossing**

A grade crossing that is located within the physical confines of a railroad yard and is either:

- Open to unrestricted public access;  
or
- Open to persons other than railroad employees going about their normal duties, e.g., business guests or family members.

**Yard Limits**

A portion of main track designated by yard limit signs and timetable special instructions or a track bulletin.

**Rule Updated Date**

April 1, 2015

**System Special Instructions**

Effective Date: April 1, 2015

[^Top](#)