

# NORAC OPERATING RULES

Eighth Edition – January 1, 2003

NORTHEAST OPERATING RULES ADVISORY COMMITTEE

*The Definitions and Rules Listed Apply to Operating in the Chicago Area*

## **AUTOMATIC BLOCK SIGNAL SYSTEM (ABS)**

A block signal system in which the use of each block is governed by an automatic block signal, cab signal, or both.

## **BULLETIN ORDER (BO)**

A publication used to notify employees of changes to rules, procedures, or other instructions affecting the movement of trains. Bulletin Orders are issued periodically by the designated officer.

## **CONTROLLED SIDING (CS)**

A circuited siding in which both ends are controlled and governed by signals under the control of a Dispatcher or an Operator.

## **FORM D CONTROL SYSTEM (DCS)**

A block system, signaled or non-signalled, in which the movement of trains outside of yard limits is authorized by Form D.

## **SPEEDS**

### **Normal Speed:**

The maximum authorized speed.

### **Limited Speed:**

For passenger trains, not exceeding .....45 MPH;

For freight trains, not exceeding .....40 MPH.

### **Medium Speed:**

Not exceeding .....30 MPH.

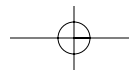
### **Slow Speed:**

Not exceeding .....15 MPH.

### **Restricted Speed:**

Refer to Rule 80 "Movement At Restricted Speed".

NOTE:In the application of Rule 80 Restricted Speed, trains other than passenger must not exceed.....15 MPH.



## OPERATING RULES

### S. SAFETY: FOLLOWING THE SAFE COURSE

Safety is of first importance. These rules provide for a safe and efficient operation. In case of doubt, the safe course must be followed.

#### 1. BULLETIN ORDERS

When reporting for duty, employees whose duties are affected by General Orders, Bulletin Orders and Division Notices must familiarize themselves with, and must comply with, those instructions pertaining to any portions of the territory on which they are qualified or ordered to operate. They must have a copy of each General Order and Bulletin Order WITH THEM WHILE ON DUTY.

At locations specified in the Timetable, employees reporting for duty must examine the Bulletin Board, then sign the Employees' Register. An employee must contact the Dispatcher if:

1. He does not have a copy of the current information affecting the movement of his train.
- OR**
2. He reports for duty at a location where no Employees' Register is located.

The Dispatcher must inform the employee of all information affecting the movement of his train. The receiving employee must record this information.

When a Bulletin Order or Division Notice is issued after the summary, a designated employee assigned to the Dispatcher's office must ensure that such information is properly posted at each Bulletin Board location. The Dispatcher must not consider these Bulletin Orders or Division Notices in effect at a Bulletin Board location until informed that the Bulletin Order or Division Notice is properly posted.

General Orders, Bulletin Orders and Division Notices will be numbered consecutively, prefixed by the number of the current Timetable, and will contain a subheading indicating the territory in which they apply.

#### 12. DAY AND NIGHT SIGNALS

Day signals must be displayed from sunrise to sunset, but if day signals cannot be plainly seen, night signals must be used. Night signals must always be used from sunset to sunrise.

The following signals will be used by employees performing flagging duties:

- Day Signals: A red flag and fusees.
- Night Signals: A white light and fusees.

#### 14. UNATTENDED FUSEES

If a train on a main track or controlled siding encounters an unattended fusee burning on a main track or controlled siding, or on a track next to a main track or controlled siding it must **stop**. It must then proceed at Restricted Speed until the head end is 1 mile beyond the fusee.

A train must not be stopped over a burning fusee if it can be avoided. If so stopped and the train cannot be moved, the fusee must be extinguished.

Fusees must not be placed on bridges or other structures that are liable to be damaged by fire.

#### 19. ENGINE WHISTLE OR HORN SIGNALS

- (b) two longs, one short, one long.
  2. Approaching locations where Roadway Workers may be at work on tracks, bridges and other points.
  3. Approaching and passing standing trains.

## **80. MOVEMENT AT RESTRICTED SPEED**

Movements made at Restricted Speed must apply the following three requirements as the method of operation:

1. Control the movement to permit stopping within one half the range of vision short of:
  - a. Other trains or railroad equipment occupying or fouling the track,
  - b. Obstructions,
  - c. Switches not properly lined for movement,
  - d. Derails set in the derailing position,
  - e. Any signal requiring a stop,

**AND**

2. Look out for broken rail and misaligned track.

**AND**

3. Do not exceed 20 MPH outside interlocking limits and 15 MPH within interlocking limits. This restriction applies to the entire movement, unless otherwise specified in the rule or instruction that requires Restricted Speed.

## **93. MOVEMENT WITHIN YARD LIMITS**

Yard limits are designated by Timetable and indicated by yard limit signs.

Within yard limits, movements may be made on a main track by verbal permission of the Dispatcher (or Operator when authorized by the Dispatcher).

The leading end of movement within yard limits must operate at Restricted Speed, with the following exceptions:

1. Passenger trains operating with Form D line 2 authority in non-signalled DCS territory may operate at Normal Speed.
2. Trains operating in ABS territory may operate according to signal indication when the signal is more favorable than Approach. Such movement must be prepared to stop at the next signal, within yard limits.

Within yard limits, movements against the current of traffic must not be made without permission of the Dispatcher, who must first ensure that no opposing movements have been authorized.

## **97. MOVEMENT ON A RUNNING TRACK**

Movement on a running track must be made at Restricted Speed, unless otherwise specified in the Timetable. Movement may begin only after receiving either signal indication or verbal permission of the employee governing movements on that track.

When movement has been completed, it must be reported clear. When clearing at an interlocking or TBS, no report is necessary.

## **98. MOVEMENT ON A TRACK NOT GOVERNED BY ABS, DCS OR INTERLOCKING RULES**

Movement on a track not governed by ABS, DCS or Interlocking rules must be made at restricted speed.

## 104. k. DUAL CONTROL SWITCHES

Dual control switches must not be hand-operated until permission is obtained from the Dispatcher or operator.

Dual control switches must be operated as follows:

1. Remove switch lock from both the "Selector" and "Hand Throw" levers.
2. Throw "Selector" lever to hand-operation position.
3. Operate "Hand Throw" lever until mechanism engages and switch points move with lever, then operate switch to desired position. This procedure must be followed, even if switch was originally in desired position.
4. Do not move "Selector" lever from hand operation position until entire movement has passed over switch.
5. Place "Hand Throw" and "Selector" levers in positions designated by the Dispatcher or Operator and secure with switch locks.

## 119. HAZARDOUS MATERIAL; EQUIPMENT OF EXCESSIVE WEIGHT OR DIMENSIONS

### b. Conductor's Responsibility

If the train will enter a main track, siding or running track, the Conductor must know that the Dispatcher has been notified of such equipment before the train leaves its initial terminal or out-lying point where such equipment is to be added.

Equipment of excessive dimension must not occupy or foul the main track, siding or running track without the Dispatcher permission.

## 121. INTERVENING TRACKS AT STATION PLATFORMS

### a. General Requirements

When a passenger train is receiving or discharging passengers across an intervening track, trains and track cars must not pass between that train and the station platform.

## 130. FLAG PROTECTION

### a. General Requirements

When flag protection is required, employees must go out in the proper direction(s) the distance prescribed in the table below. Temporary speed restrictions for the territory must be taken into account.

Where Maximum Authorized	Minimum Distance Required
Speed for track to protect is:	For Protection is:
20 MPH or less.....	1/4 Mile
Between 21 MPH and 30 MPH .....	1/2 Mile
Between 31 MPH and 40 MPH.....	1 Mile
Between 41 MPH and 90 MPH.....	1 1/2 Mile

Crew members providing flag protection must not permit other duties to interfere with the protection of their train. The Conductor and Engineer are responsible for protection of their train.

### b. Flag Protection against Trains on Adjacent Tracks

Three steps must be followed to provide flag protection against approaching trains on adjacent tracks as required by Rule 131, "Protecting Work Locations: Qualified Employee's Duties," Rule 132, "Protection in Unforeseen Conditions," or Rule 136, "Emergency Stops Protection."

Employees equipped with flagging equipment must:

1. Go out at least the distance prescribed by the table in section (a) of this rule.
2. Display a lighted fusee if they see or hear a train approaching.
3. Give a Stop Signal to approaching trains that may be affected.

The employee providing protection must remain at that location until recalled.

If the employee sees or hears a train approaching before he has reached the prescribed distance, he must immediately display a lighted fusee and continue toward the approaching train while giving a Stop Signal.

### **131. PROTECTING WORK LOCATIONS: QUALIFIED EMPLOYEE'S DUTIES**

Qualified employees assigned to protect work locations of railroad construction or private contractors whose operations may affect the safe movement of trains must take the five actions below.

#### **1. Secure Flagging Equipment**

Employees must secure proper flagging equipment according to Rule 12, "Day and Night Signals."

#### **2. Ensure that Tracks Are Not Fouled Without Permission**

Upon reporting for work each day, the employee must determine who is in charge of the workers. The employee must also ensure that all workers have been instructed not to foul any railroad track at any time without his permission.

#### **3. Get Permission to Foul Track**

When workers request permission to foul any specific track, the employee assigned to protect the work location must communicate with the employee in charge of the track to secure necessary permission.

#### **4. Report Failure to Comply by Workers**

If workers fail to comply with instructions of the employee, he must make an immediate report to the employee in charge of the track.

#### **5. Take Action if Safe Passage is Endangered**

If an event occurs that would interfere with the safe passage of trains, the employee must take immediate action to stop trains by radio communication to trains and the Dispatcher. If protection cannot be immediately ensured, or if communications fail, flag protection must be immediately provided as prescribed by Rule 130, paragraph (b), "Flag Protection Against Trains on Adjacent Tracks."

### **133. REMOVING A TRACK FROM SERVICE**

Whenever Form D line 4 is issued to remove a track from service, the following procedures will apply:

#### **a. Action Required Prior to Issuance**

The Dispatcher must not issue the Form D line 4 authority until:

1. The affected track is clear of movements that are not part of the work group.

#### **d. Operation Within Out-of-Service Limits**

The employee named in Form D line 4 is in charge of the out-of-service limits. ABS, CSS, DCS, and Interlocking rules do not apply within the out-of-service limits. All movements must operate at Restricted Speed. Interlocking switches within the out-of-service limits must not be operated without permission of the employee in charge.

Continue on next page

### e. Additional Equipment Entering or Leaving Out-of-Service Limits

1. Additional equipment may enter the out-of-service limits after:
  - a) The person in charge of the additional equipment has received permission from the employee in charge of the out-of-service limits. The employee in charge of the out-of-service limits must show or read his copy of the Form D line 4 to the person in charge of the additional equipment unless the limits are published by Bulletin Order.
  - b) If movement to the out-of-service limits will involve passing a Stop Signal, the Dispatcher or Operator may then authorize movement in accordance with Rule 241.
2. The employee in charge of the out-of-service limits must make a written record, which includes:
  - a) The name of the person in charge of the additional equipment, or train identification,
  - b) Time permission to enter is given,
  - c) Time determined the additional equipment is clear of limits.

### 135. PROTECTION BY STOP SIGNS WHEN AN IN-SERVICE TRACK IS OBSTRUCTED FOR MAINTENANCE

Whenever Form D line 5 is to be issued, in accordance with item 1 of Rule 132, "Protection When Fouling or Working on a Track," the following procedures will apply. The "Working Limits" refers to the area designated by Form D line 5 or Bulletin Order, which must be identified by a whole mile post, station, or other physical characteristic location.

#### a. Addressees

Form D line 5 must be issued to both:

1. The employee requesting to obstruct the track,
- AND**
2. Trains approaching the obstructed track.

**EXCEPTION:** When the Working Limits is published by Bulletin Order, issuance of Form D to approaching trains is not required.

#### b. Required Use of Signs

The approach to the Working Limits must be indicated by an Approach Sign. The Approach Sign indication will not apply when permission is received to proceed passed the stop sign.

The Working Limits must be indicated by a Stop Sign and a Working Limits Resume Speed Sign. A Working Limits Speed Limits Sign may be substituted for the Stop Sign when the track is not obstructed.

#### d. Movements within Working Limits

A train must not enter the Working Limits until permission has been received from the employee in charge, unless a Working Limits Speed Limit Sign is displayed. The employee in charge must not authorize a train to enter the Working Limits or display a Working Limits Speed Limit Sign until he has been assured that the track through the Working Limits is not obstructed, and all Road Workers have been notified. Trains must not exceed 30 MPH through the Working Limits, unless directed by the employee in charge to operate at a higher or lower speed.

**Exception:** Trains and track cars that will be performing maintenance within the Working Limits:

1. May be admitted by the employee in charge while the Working Limits is still obstructed.

2. Must operate at Restricted Speed (ABS, DCS and CSS rules do not apply to such movements).
3. Must not leave the Working Limits without proper authority.

#### **e. Interlocking Switches within Working Limits**

Dispatchers or Operators controlling interlocking switches within the Working Limits must line such switches for movements within the Working Limits and must apply blocking devices to the controls of those switches. These blocking devices must not be removed without permission of the employee in charge of the Working Limits. This requirement does not relieve employees operating within the Working Limits from complying with interlocking signal indications.

Before displaying a signal for a train to divert into the Working Limits, the Dispatcher must confirm with the Engineer that the train has permission to enter the Working Limits.

#### **f. Trains in the Working Limits when Bulletin Order Item Becomes Effective**

Any train that is in the Working Limits when the Bulletin Order item becomes effective may continue at normal speed through the Working Limits. The Dispatcher must not issue Form D line 5 until the limits are clear of movements that are not part of the work group.

### **136. EMERGENCY STOPS: PROTECTION**

#### **a. Radio Transmission**

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. Train TV-24 engine 6605 is in emergency moving east on No.2 track at MP 78.”

Following the emergency transmission, the Dispatcher must be notified.

#### **b. Flag Protection**

After the train has stopped, crew members must immediately provide flag protection in both directions on all main tracks and controlled sidings, including those of a foreign railroad. This protection must follow the guidelines of Rule 130, paragraph (b), “Flag Protection against Trains on Adjacent Tracks,” and will be maintained until:

1. It is known that tracks are not obstructed

**OR**

2. Full protection has been provided by the Dispatcher or Operator.

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 promptly to the Dispatcher or Operator.

#### **c. Other Train Movements**

All trains receiving information that a train is in emergency on an adjacent track will be governed as follows:

1. A train that is operating in the same direction as the train reported in emergency must operate at Restricted Speed from 1 mile before the reported location until reaching the head end of that train.
2. A train that is operating in the opposite direction of the train reported in emergency must operate at Restricted Speed from the head end of the train in emergency to a point 1 mile beyond the rear end of that train.

## **138. HIGHWAY CROSSING WARNING**

### **a. Activating/Reactivating Crossing Warning**

The point at which automatic crossing warning is activated or reactivated may be designated in any of three manners:

1. A sign or post lettered "CC."
2. Yellow joint bars.
3. Yellow stripes painted on the inside and outside of the head, web, and base of both rails.

On tracks other than main tracks or controlled sidings, movement over this point will activate the automatic highway crossing warning.

On a main track or controlled siding, movement over this point will reactivate the operation of automatic highway crossing warning that has been interrupted because of a train's delay or stop.

### **b. Avoiding Unnecessary Operation**

Two steps will avoid unnecessary operations of automatic highway crossing warning:

1. Engines or cars must not be allowed to stand longer than necessary.
2. Switches must not be left open or unlocked within the operating limits of such protection.

If necessary, the train must be cut or the automatic crossing warning interrupted with paragraph (h) of this rule.

### **c. Malfunction**

Notify the Dispatcher immediately if you discover automatic highway crossing warning devices that are not functioning properly.

The Dispatcher must notify all trains that will operate over the affected crossing. The notification must include the type of malfunction and the details of any on-ground personnel that are known to be at the crossing, by item number listed below.

Comply with the following when notified by the Dispatcher of an automatic highway crossing warning device that is malfunctioning:

A flagger is an employee equipped by day with a red flag and a high visibility garment, and at night with a white light or fusee and a high visibility retro-reflective garment.

For shoving movements not headed by a locomotive or cab car, follow the requirements in Item 1 above.

### **d. Obscured View of Highway**

When equipment is standing and obscuring highway traffic's view, an employee must warn the highway traffic against movement on adjacent tracks. Equipment stored on tracks close to a public crossing must be placed so as to permit a clear view for highway traffic using the crossing. Where space permits, equipment must be placed at least 300 feet from the crossing.

### **e. Cars Not Headed by Engine at a Crossing without Automatic Highway Crossing Warning**

If cars not headed by an engine are to be moved over a highway crossing at grade not equipped with automatic warning devices or a designated employee, a member of the crew must provide warning for highway traffic.

Item	If the malfunction is	And there is	Requirement(s)
1.	An activation failure or undetermined.	No flagger or railroad police officer providing warning at the crossing.	Stop. Make certain that a crew member provides on-ground warning at the crossing, and do not exceed 15 MPH until the leading end operates through the crossing.
2.	A false activation or a partial activation.	No flagger or railroad police officer providing warning at the crossing.	Do not exceed 15 MPH.
3.	Any type of failure.	A flagger present, but not one for each direction of traffic.	Do not exceed 15 MPH.
4.	Any type of failure.	A flagger for each direction of traffic, or a railroad police officer providing warning at the crossing.	Proceed at normal speed.

#### **f. On-Ground Warning by Employees**

When an employee is required to provide on-ground warning at a highway crossing, he must give Stop Signals to pedestrian and highway traffic until the leading end of the train is through the crossing. Stop Signals must be given with a red flag or fusees by day, and fusees or a white light at night.

#### **g. Six Conditions that Require Special Procedure**

Under six conditions, a train must not foul a highway crossing equipped with automatic warning devices until it is ascertained that the warning devices have been operating at least 20 seconds, or the gates (if equipped) are in the horizontal position.

These six conditions are:

##### **1. Making a Reverse Movement**

When a train passes entirely over a highway crossing and then is going to make a reverse move.

EXCEPTION: If the entire train has cleared the crossing by at least 1.2 miles, it may make a reverse move over the crossing without following special procedures.

##### **2. Approaching at Restricted Speed**

When a train is approaching at Restricted Speed.

##### **3. Increasing Speed in an Approach Circuit with Automatic Interruption**

When a train stops or increases speed by more than 5 MPH within 0.6 miles of a highway crossing equipped with an apparatus that will automatically interrupt the operation of the crossing warning, including motion sensing detectors.

##### **4. Passing Warning Device Reactivation Point on Main Track or Controlled Siding**

When a train proceeds past a warning device reactivation point (See item "a" of this rule) on a main track or controlled siding, after having been stopped or delayed within 1.2 miles of the crossing.

Rule 138 g. continued on next page.

Rule 138 g. continued

### **5. Passing Warning Device Activation Point on Track Other than Main Track or Controlled Siding**

When a train proceeds past a warning device activation point (See item "a" of this rule) on other than a main track or controlled siding.

### **6. Performing Switching within 1.2 Miles of Crossing**

When a train has performed switching within 1.2 miles of the crossing.

If the automatic highway crossing warning is not operating, the movement must not be made until warning is provided by on-ground personnel.

### **h. Manual Interruption of Warning Device**

At locations where apparatus is provided to manually interrupt the operations of highway crossing warning, instructions are posted as "Raise" and "Lower" buttons are marked for each track.

When the apparatus is operated manually, no movement may be made over the crossing until:

1. Warning is provided by on-ground personal.

**OR**

2. The automatic operation of this warning has been reestablished and operating for at least 20 seconds.

**OR**

3. If equipped with gates, they are in the horizontal position and crossing lights are flashing.

Whenever crossing warning is operated manually or manually interrupted, it must be restored to normal after movement is completed. Control box must be locked.

At crossing where the apparatus interrupts automatic warning on adjacent tracks, the employee interrupting the warning must remain at the crossing to reestablish automatic warning to normal operation when a train is approaching on an adjacent track.

## **141. INACCESSIBLE TRACK**

Roadway Workers may establish working limits on a track not controlled by the Dispatcher or Operator, by making the track inaccessible at each possible point of entry through one of the following means:

1. A switch or derail aligned to prevent access to the working limits and secured with an effective securing device, and properly tagged. The effective securing device and tag may be removed only by direction of the employee in charge of the working limits.
3. A disconnected rail.
4. A flagman assigned to hold trains and equipment clear of the working limits.

Movements within working limits may be made only with permission of the employee in charge.

## **MOVEMENT PERMIT FORM D**

The Dispatcher issues Form D's to restrict or authorize movements. Form D's are also issued to convey instructions in situations not covered in the Operating Rules.

## **165. FORM D DELIVERY**

### **b. Dictation of Form D by Radio, Telephone or in Person**

Form D's may be dictated only to employees who are qualified on the Operating Rules. Form D's must not be dictated to or copied by an employee operating the controls of a moving train.

When dictating and repeating Form D's, employees must read aloud and plainly pronounce all applicable preprinted and written portions. Numerals in lines 1 through 13 of form D's must be pronounced digit by digit. For example, "105" will be pronounced "one-zero-five."

Before dictating a Form D, the Dispatcher must specify the number of copies to be made if more than one copy is required. The Dispatcher must not give "Time Effective" until Form D has been repeated correctly. Once the Dispatcher has given his name, receiving employees must repeat immediately from their copy in the same order they were addressed, unless otherwise directed. Employees must listen while other addressees repeat Form D and call attention to any discrepancies. Once all addressees have repeated the Form D correctly, the Dispatcher will give "Time Effective," which must be then be repeated by the receiving employees.

When a Form D is dictated to an employee on a train, the receiving employee must ensure that employees on the train who are addressed in the Form D receive a copy of it before reaching the first location where employees must act upon Form D. If physical delivery of the Form D is not practical, the receiving employee must dictate the Form D information to other employees addressed, who must copy and repeat the Form D information.

When Form D's are relayed by employees, the dictating employee must follow the procedures outlined above for Dispatchers. "Time Effective" must not be transmitted until the receiving employee correctly repeats the Form D.

### **c. Electronic Transmission of Form D**

Employees receiving a Form D by electronic transmission must examine each copy for completeness and legibility. They must communicate with the Dispatcher to verify the number and date of each Form D received.

## **166. READING AND COMPLYING WITH FORM D**

Employees addressed must immediately read the Form D and are responsible for compliance with its requirements. When practical Form D must be shown to other employees on the train or track car. These employees must read the Form D and remind employees addressed of the requirements of the Form D if necessary.

## **167. COMMUNICATION FAILURE**

If communication fails before a Form D has been given a "Time Effective," trains addressed must not proceed nor be given permission to proceed until communication has been reestablished.

## **168. ERRORS DISCOVERED**

If an error is discovered in a Form D before "Time Effective" has been given, the Dispatcher must direct receiving employees to destroy their copies. The Dispatcher must reissue the Form D under another number.

If an error is discovered in a Form D after the "Time Effective" has been given, the Form D must be cancelled.

## 169. ADDITIONS TO FORM D

Once a Form D has been given a "Time Effective," only the following information may be added to the Form:

1. Form D cancellation information. See Rule 177, "Cancelling Form D's".
2. Track is clear information. See Rule 805 "Track car Following other Movements."
3. Additional line 2 authorities. See Rule 400, "Occupying DCS Territory" and Rule 804, "Additions to Form D Line 2."
4. Additional line 3 authorities. See Rule 804 "Additions to Form D Line 2."

## 173. DELIVERY TO RELIEVING CONDUCTOR OR ENGINEER

When a Conductor or Engineer is relieved, all Form D's and instructions that have not been fulfilled or canceled must be delivered to the relieving Conductor or Engineer. The relieving Conductor and Engineer must compare these Form D's and instructions to confirm that the information in them is the same.

The relieving crew must contact the Dispatcher if they are unable to communicate with the crew they are to relieve. The Dispatcher must ensure they have received all instructions affecting the movement of their train before proceeding.

## 174. RECEIVING A FORM D AT A TEMPORARY BLOCK STATION (TBS)

When a TBS is placed in service, approaching trains must be notified by Form D line 10 or Bulletin Order. Trains must approach a TBS prepared to stop. They must not pass a TBS or foul associated hand-operated switches without receiving a hand signal to proceed from the Operator or verbal permission from the Dispatcher. They must receive a Form D before departing a TBS on a main track.

If a train passes the last holding point (interlocking, TBS or controlled point) in approach to the TBS while it is still open, and the train reaches the TBS after it is scheduled to be closed, it must approach the closed TBS prepared to stop. It must not pass this location without verbal permission of the Dispatcher.

The Operator at a TBS must contact the Dispatcher for instructions prior to permitting a train to depart the TBS. When no Form D's have been issued by the Dispatcher for a train, the Operator must issue an unnumbered Form D addressed to the train. The Form D must be completed as follows:

1. The address and date portion must be completed.
2. "None" must be written in the delivery portion.
3. "Time Effective" must be indicated.
4. The Operator must sign his name in the place of the Dispatcher.

## 176. EFFECTIVE PERIOD OF A FORM D

Form D's are in effect until fulfilled or until cancelled.

Form D's which have been fulfilled or cancelled must be marked with an "X" then retained and held available for inspection for a period of 7 days.

## 177. CANCELLING FORM D'S

Form D's which need to be cancelled will usually be cancelled on the same form. Under some conditions, however, a Form D must be cancelled by a separate Form D.

### **a. Cancelling a Form D on the Same Form**

A Form D will be cancelled on the same form, as follows:

1. The Dispatcher must contact the addressee(s) and state his intent to cancel the Form D.
2. The Dispatcher must state the Form D number and date, the cancellation time and date, and his initials.
3. The Dispatcher and the addressee(s) must record all cancellation information on the appropriate section of their copy of the Form D.
4. The addressee must repeat the Form D number and date, and all cancellation information to the Dispatcher.
5. The Dispatcher must ensure that all cancellation information is repeated correctly.

When cancellation information is transmitted to an employee on a train, the receiving employee must ensure that all addressed employees on the train receive the cancellation information and mark their Form D accordingly.

Operators who have received a copy of the original Form D may be directed by the Dispatcher to relay cancellation information to other employees.

### **241. PASSING A STOP SIGNAL**

To pass a Stop Signal, a train must have verbal permission of the Dispatcher (or Operator when authorized by the Dispatcher). Permission must not be given or accepted until the train has stopped at the signal. A member of the crew must contact the Dispatcher or Operator and follow his instructions.

#### **a. Giving Permission to Pass**

The Dispatcher (or Operator) must give permission to pass a Stop Signal in the following manner:

*“No 5316 engine 4129 pass Stop Signal on No. 2 track at Rare and proceed east to No. 1 track.”*

The receiving employee must repeat this permission and the Dispatcher or Operator must then confirm it.

#### **b. Movement After Permission Has Been Confirmed**

After permission has been confirmed, the train must operate at Restricted Speed until the entire train has cleared all interlockings or spring switches and the leading wheels have:

1. Passed a more favorable fixed signal,
- OR**
2. Entered Non-signaled DCS territory.

#### **d. Stopped at a Signal Protecting Moveable Bridge**

Under the following conditions, a qualified employee must determine that the rails are properly lined and the bridge is safe for movement before verbal permission is given to pass the signal:

1. When the signal cannot be displayed for the first movement over a bridge after the bridge has been closed, regardless of bridge lock indication.
- OR**
2. At any time a bridge unlock indication is received.

## **242. ABSENT OR IMPERFECTLY DISPLAYED SIGNALS**

If a fixed signal is absent from the place where it is usually shown, movement must be governed by the most restrictive indication that can be given by that signal. This absence must be reported to the Dispatcher immediately.

Imperfectly displayed signals must be reported to the Dispatcher or Operator as soon as practical, without delay to the train.

Imperfectly displayed signals must be regarded as the most restrictive indication that can be given by that signal. The following exceptions apply to color light signals, position light signals, color position light signals and semaphore signals:

### **1. Signal Indication Governs**

If only one indication is possible, this indication will govern.

### **2. Restricting Signal Indication Applies**

If more than one indication is possible, and it can be determined that all possible indications are more favorable than Stop and Proceed, trains may proceed as though a Restricting Signal were displayed.

## **243. NEXT GOVERNING SIGNAL**

Trains may operate according to the indication of the next fixed signal governing the movement when the following conditions have been met:

1. The next governing signal can be plainly seen,

**AND**

2. The train is not required by rule or the previous signal indication to operate at Restricted Speed.

If governed by a signal displaying Limited Clear, Medium Clear, Medium Approach Medium, Medium Approach, Slow Clear, or Slow Approach, speed must not be increased until the entire train is clear of all interlocking or spring switches.

## **251. TRACK SIGNALLED IN ONE DIRECTION**

When track is signalled in only one direction, signal indication will be the authority for trains to operate with the current of traffic. Movements against the current of traffic will be governed by non-signalled DCS rules.

## **261. TRACK SIGNALLED IN BOTH DIRECTIONS**

Signal indication will be the authority for a train to operate in either direction on the same track.

At a hand-operated switch that is not equipped with an electric lock, a train may clear the main track only where maximum authorized speed on the main track over this switch is 20 MPH or less.

**EXCEPTION:** Trains may clear at a hand-operated switch on a controlled siding with no intermediate signals and a maximum speed that does not exceed 30 MPH.

## **278. PLACEMENT OF SIGNS**

The following signs must be placed at braking distance from the restriction to which they apply:

1. Approach Speed Limit Sign (Rule 296a).
2. Approach Permanent Speed Limit Sign (Rule 296).

### 3. Approach Sign (Rule 297).

The following signs must be placed in both directions protecting the track affected, to the right of and adjacent to the track requiring protection:

1. Approach Speed Limit Sign (Rule 296a).
2. Speed Limit Sign (Rule 296b).
3. Resume Speed Sign (Rule 296c).
4. Approach Sign (Rule 297).
5. Stop Sign (Rule 297a).

The following signs may be used on tracks adjacent to a track requiring protection. Signs will be in effect only when movement is routed to the track requiring protection.

1. Diverging Approach Speed Limit Sign (Rule 296d).
2. Diverging Approach Sign (Rule 297d).

## FORM D CONTROL SYSTEM

Form D Control System (DCS) Rules apply only where designated by Time table, Bulletin Order, or Form D line 6. Their purpose is to control the movement of trains. DCS Rules may be used in signalled territory or non-signalled territory. (Signaled territory is territory where ABS Rules are in effect for the direction of movement, and non-signalled territory is territory where ABS rules are not in effect for the direction of movement). Form D line 2 is required for movement in DCS territory.

### 400. OCCUPYING DCS TERRITORY

#### a. Form D Authority

A train must not occupy DCS territory outside yard limits without Form D line 2 authority. All Operators involved must receive a copy of the Form D. Form D line 2 may be issued into or through yard limits in lieu of verbal permission. All other provisions of Rule 93, "Movement within Yard Limits," apply. Three exceptions to Form D line 2 requirements are:

1. Paragraph d of this rule, "Entering DCS Territory at a Hand-operated Switch."
2. Rule 503, "Train Movement against Current of Traffic at an Interlocking."
3. Movement at an interlocking may be made one train length beyond the home signal on verbal permission of the Dispatcher.

The limits of the Form D authority must be designated by station names or whole mile post numbers. However, when a train is authorized to enter DCS territory at a hand-operated switch that is not at a station or whole mile post, the location of the originating hand-operated switch may be used as the beginning of the Form D line 2 authority.

The following table describes the limit of the authority when line 2 ends at a station:

When line 2 ends at:	The authority ends at:
An interlocking or controlled point signal	The home signal or controlled point signal.
Hand-operated switch(es).	The fouling point of the first switch where opposing movements can clear.
Other stations.	The station sign.

Continued on next page

Before issuing a Form D authority in non-signalled DCS territory, the Dispatcher must determine that the track to be used is clear for passenger trains and clear outside of yard limits for other trains.

Overlapping Form D authorities for opposing movements must not be issued.

### **c. Additions to Form D line 2**

The Dispatcher may direct addressee(s) to add additional line 2 authorities to a specific direction Form D which is still in effect.

In non-signalled DCS territory, these additions may be issued only after the Dispatcher has determined that the track to be used is clear, as outlined in paragraph (a) of this rule.

Additional line 2 authorities will be added to an effective Form D as follows:

1. The Dispatcher must contact the addressee(s), state his intent to give them an additional line 2 authority, and state the number and date of the Form D to which the line 2 authority will be added.
2. The Dispatcher will then transmit the additional line 2 authority and his initials. The addressee(s) will repeat the authority. The Dispatcher must not transmit the "time" of the addition to the addressee(s) until they have correctly repeated the authority. The addressee(s) must not act upon the additional authority until they receive the "time" of the addition.
3. The Dispatcher and the addressee(s) must record all additional information on line 2 of their Form D.

When an additional line 2 authority is transmitted to an employee on a train, the receiving employee must ensure that all addressed employees on the train receive the additional information and mark their Form D accordingly. When additional line 2's are relayed by employees, the dictating employee must not transmit the "time" of the addition until the receiving employee has correctly repeated the authority.

### **d. Entering DCS Territory at a Hand-operated Switch**

The Dispatcher (or Operator when authorized by the Dispatcher) may verbally authorize a train to enter DCS territory at a hand-operated switch, in order to clear the switch and proceed in the opposite direction. Before verbally authorizing the move, the Dispatcher must ensure that:

1. The segment of track to be used is clear of opposing movements  
**AND**
2. The train has received a Form D for movement in the opposite direction. The movement is limited to one train length beyond the switch, and must be made at Restricted Speed with a crew member preceding the movement and providing flag protection.

This move is limited to one train length beyond the switch, and must be made at Restricted Speed with a crew member preceding the movement and providing flag protection.

## **401. OPERATING IN NON-SIGNALLED DCS TERRITORY**

### **b. Approaching Home Signals, Controlled Point Signals, and Signals at the Beginning of ABS Territory**

Trains must approach home signals, controlled point signals, and signals at the beginning of ABS territory prepared to stop, unless a distant signal is in service. If a train is delayed after passing a distant signal, it must approach the home signal or controlled point signal prepared to stop.

## **402. OPERATING IN SPECIFIED DIRECTION**

### **a. Reverse Movement in Non-signalled DCS Territory**

To make a reverse movement in non-signalled DCS territory, a train authorized by Form D line 2 to operate in a specified direction must follow one of the procedures listed below:

1. The train must receive another Form D, line 2.

**OR**

2. The train must receive verbal permission from the Dispatcher and must proceed at Restricted Speed. The Dispatcher must specify the location to which the train is authorized to reverse. The Dispatcher must not authorize the train to reverse beyond the last point by which it was reported clear. A crew member must be stationed on the leading end of the movement to observe conditions ahead and take action to properly control the movement of the train.

**OR**

3. The movement must be preceded by a crew member and must proceed at Restricted Speed. Reverse movement must not go beyond the last whole mile post or station.

**OR**

4. If a train is operating against the current of traffic, the dispatcher may verbally authorize it to operate with the current of traffic according to ABS Rules. Before granting permission, the Dispatcher must ensure that the track to be used is clear of opposing movements, and must cancel the Form D line 2.

### **c. Clearing DCS Territory**

When a train operating in a specified direction clears the limits of its line 2 authority, the line 2 authority is fulfilled. When a train leaves the track specified on its Form D line 2 authority at a hand-operated switch and that switch has been restored to normal position, the movement has cleared. A new Form D must be issued for any further movement.

### **403. OPERATING IN BOTH DIRECTIONS**

A train authorized by Form D line 2 to operate in both directions has exclusive occupancy of the track, and may operate in either direction. The Dispatcher must not authorize other movements into the line 2 limits. The line 2 authority remains in effect until cancelled.

Switches within the designated limits may be left in reverse position and unattended. Before the Form D is cancelled, however, the Conductor must ensure that all switches used by his crew are locked in normal position.

If a crew is relieved while their Form D line 2 is still in effect, the crew being relieved must the new crew of any switches left reversed. If physical contact cannot be made with the new crew, the Dispatcher must be notified of any switches left reversed, and the new crew must check with the Dispatcher to obtain this information before proceeding.

#### 405. REPORTING TO DISPATCHER OR OPERATOR

The crew of a train must ensure that the Dispatcher or Operator is promptly notified when their train has:

1. Entered DCS territory, except when entering at an interlocking, controlled point, or TBS.

**OR**

2. Cleared the limits of their specified direction line 2 authority, except when clearing at an interlocking station or TBS, or when verbally relieved from clearing by the Dispatcher.

Trains may be reported clear of DCS territory or intermediate points only after an employee has determined that the rear car has cleared by one of the following means:

1. Observing the marker.
2. Observing the last car number.
3. Observing the telemetry device indication on the head end to ensure that air pressure indicates brake pipe continuity, once the head end of the train is 3 miles beyond the clearing point.
4. Receiving a correct axle count from an equipment defect detector. This method may be used only when the axle count from the detector agrees with the count of a previous detector or with an actual axle count made by a crew member.

#### 406. ABS FAILURE: NON-SIGNALLED DCS SUBSTITUTION

##### a. Form D line 6 or Bulletin Order

When an ABS failure occurs, non-signalled DCS rules may be substituted by Bulletin Order or Form D line 6.

All trains and Operators affected must receive a copy of the Form D line 6 or Bulletin Order.

Interlocking or CP signals governing entrance to or within the affected track may be displayed to authorize movements that have received Form D line 2 authority. Signal indication will govern movement within interlocking limits or CP only.

##### b. Rules-in-effect

ABS rules do not apply when non-signalled DCS rules are substituted for ABS.

##### c. Highway Grade Crossings

Unless otherwise instructed by Bulletin Order or Form D line 13, trains must stop and provide on-ground protection at highway grade crossings equipped with automatic warning devices, unless:

1. The automatic warning device has been operating at least 20 seconds

**OR**

2. If equipped with gates, they are in the horizontal position.

The leading end of the movement must not exceed 15 MPH over the crossing.

##### d. Form D Line 7: Interlocking or Controlled Point Removed from Service

Interlocking and controlled point signals remain in service unless otherwise specified by Bulletin Order or Form D line 7. Before the Dispatcher issues Form D line 7 or before the Bulletin Order becomes effective, the Dispatcher must ensure that switch points at interlockings or controlled points to be removed from service have been spiked or wedged for the route to be used. If the route to be used is diverting, Form D line 1 or Bulletin Order item must be issued to indicate speed over diverting route.

Interlockings that include a movable bridge or railroad crossing at grade must not be removed from service in this manner.

## **AUTOMATIC BLOCK SIGNAL SYSTEM**

Automatic Block Signal (ABS) Rules apply only where designated by Timetable or Bulletin Order. Their purpose is to control the movement of trains in territory where the entrance to each block is governed by fixed signal, cab signals, or both. ABS signals convey to trains the occupancy and/or condition of the track ahead of them. Under normal conditions train movements are authorized by these signals.

### **500. OCCUPYING OR FOULING A BLOCK**

A train must not enter or foul ABS territory without a proceed indication on a controlled signal or verbal permission of the Dispatcher (or operator when authorized by the Dispatcher). When verbal permission to enter Rule 261 territory, the permission must include an authorized direction of movement.

#### **a. Crew Responsibility at Hand-operated Switch**

After permission is received to enter a block at a hand-operated switch, crew members must take the following action to ensure adequate signal protection:

1. At switch(es) not equipped with a bolt lock or an electric lock, a crew member must promptly operate the switch(es), and then wait 5 minutes before starting train movement. If a train is seen or heard approaching on a track to be occupied before 5 minutes has elapsed, switch(es) must be secured in normal position. Permission must again be obtained from the Dispatcher or Operator to occupy the main track.
2. At switch(es) equipped with a bolt lock but not an electric lock, a crew member must promptly operate the bolt lock and then wait 5 minutes before operating switch(es).
3. At switch(es) equipped with an electric lock train movement may begin as soon as the switch(es) have been properly lined.

#### **b. Relief from 5 Minute Wait**

The Dispatcher (or Operator when authorized by the Dispatcher) may relieve crew members from the 5 minute waiting period. To do so, the dispatcher must determine that no train is moving or has been authorized to move in the direction of the switch(es) from the last TBS, interlocking or controlled point. When switch(es) have been lined for movement, a member of the crew must immediately notify the Dispatcher or Operator. The Dispatcher must not authorize the movement of a train from the last TBS, interlocking or controlled point until the notification has been received.

#### **c. Speed Entering Block Between Signals**

A train entering a block between signals must proceed at Restricted Speed until the entire train has entered the block and the leading wheels has passed the next block signal.

### **501. REVERSE MOVE WITHIN THE LIMITS OF THE SAME BLOCK**

A train may make a reverse move, at Restricted Speed, within the limits of the same block when preceded by a crew member, who must be prepared to stop an opposing movement operating at Restricted Speed.

The Dispatcher (or Operator when authorized by the Dispatcher) may permit a train to make a reverse move, at Restricted Speed, within the limits of the same block, without a crew member preceding the movement. A crew member must be stationed on the leading end of the movement to observe conditions ahead and take action to properly control the movement of the train.

Before permission is granted, the Dispatcher must determine that the track to be used is clear of opposing movements and that the blocking devices are applied to protect against opposing movements.

## 502. REVERSE MOVE BEYOND THE LIMITS OF THE BLOCK

### a. On Tracks Where Rule 251 is in Effect

Where Rule 251 is in effect, a train must not make a reverse movement beyond the limits of the block without Form D line 2 authority, as prescribed by non-signalled DCS Rules.

### b. On Tracks Where Rule 261 is in Effect

Where Rule 261 is in effect, a train must not make a reverse movement beyond the limits of the block without verbal permission of the Dispatcher (or Operator when authorized by the Dispatcher).

Verbal permission to re-enter must be given in the following manner:

*“No. 5306 engine 4129 reverse direction on No. 2 track at MP 5 and proceed west to MP 6.”*

Movement must operate at Restricted Speed until governed by a more favorable signal.

## 503. TRAIN MOVEMENT AGAINST THE CURRENT OF TRAFFIC

The Dispatcher (or Operator when authorized by the Dispatcher) may verbally authorize movement against the current of traffic at an interlocking. This movement is limited to one train length beyond the home signal.

## 504. DELAY IN A BLOCK

### a. Trains Making Stops Other Than Station Stops

If a train that has passed a signal stops for any reason other than a passenger train making a station stop, it must proceed at Restricted Speed. The train may resume the speed authorized by the last signal received when:

1. The next signal is seen to display a proceed indication

**AND**

2. The track is known to be clear to the next signal.

## 505. CLEARING A BLOCK, SWITCHES RESTORED TO NORMAL POSITION

### a. After Train Clears a Block: Reporting Clear

When a train clears a block at a hand-operated switch or crossover, and the switch(es) have been restored to normal position, it must be reported clear to the Dispatcher or Operator by the Conductor, Engineer or member of the crew authorized by the Conductor or Engineer.

**b.** When hand-operated switch(es) have been restored to normal position, even though the train has not been reported clear of the block, it must not again enter that block without permission of the Dispatcher or Operator.

## 508. AUTOMATIC BLOCK SIGNAL USED IN NON-ABS TERRITORY

An automatic block signal used in non-ABS territory will indicate the condition of the track between that signal

**AND**

1. The next signal.

**OR**

2. The “End Automatic Block” sign.

### **610. STOPPED IN AN INTERLOCKING BY DISPATCHER OR OPERATOR**

If the Dispatcher or operator stops a train while it is moving through an interlocking, the train must not move in either direction until it has received the proper signal or permission from the Dispatcher or Operator

### **611. STOPPED LESS THAN ONE ENGINE LENGTH BEYOND INTERLOCKING SIGNAL**

If a train stops less than one engine length beyond an interlocking signal, it must not proceed without permission from the Dispatcher or Operator.

### **612. REVERSING DIRECTION WITHIN AN INTERLOCKING**

To reverse direction within the limits of an interlocking, trains must have either:

1. Proper interlocking signal.

**OR**

2. Permission of the Dispatcher or Operator. When permission is given, the route must not be changed until it is known that the movement has been completed.

### **707. EMERGENCY COMMUNICATIONS**

All employees shall give absolute priority to emergency communications. Except in answering or aiding a station in distress, employees shall refrain from sending any communication until certain that no interference will result to the station in distress.

“**EMERGENCY**” transmitted three times to obtain use of radio channels for initial report of conditions endangering train movements.

### **713. RADIO COMMUNICATION CONCERNING PASSING TRAINS**

A Dispatcher or Operator may accept information regarding the movement of a train from:

1. The Conductor or Engineer of another train.

**OR**

2. A track car driver.

**OR**

3. Another qualified employee.

When necessary to report the passage of a train prior to fouling or occupying a track, employees must identify the passing train by engine number and proper marker display. Dispatchers or Operators must not give permission for a train to foul or occupy a track until this information is received.

## TRAIN SERVICE EMPLOYEES

### 941. CONDUCTORS: AUTHORITY AND RESPONSIBILITIES

Conductors have general charge of the train to which they are assigned, and all persons employed thereon are subject to their instructions. They are responsible for all of the following:

1. The prompt movement of their train.
2. The safety and care of their train and the passengers and commodities carried.
3. The vigilance, conduct and proper performance of duty of the persons employed thereon.
4. The observance and enforcement of all rules and instructions.

Whenever necessary, Conductors must instruct crew members concerning the proper performance of their duties.

Conductors must report all delays on the prescribed form.

### 942. POSITION OF CONDUCTOR AND TRAINMEN ON FREIGHT TRAINS

When occupying an engine consist of a freight train or engine movement, the Conductor must ride in the lead unit. The Trainmen must also ride in the lead unit, unless instructed by the Conductor to ride elsewhere.

## ENGINE SERVICE EMPLOYEES

### 950. RECEIVING INSTRUCTIONS; GOVERNING INSTRUCTIONS

Engine Service Employees report to and receive instructions from the Superintendent or other designated officer. They will be governed by current mechanical, electrical, and air brake instruction pertaining to the safety, inspection, preparation and operation of trains and engines. Engineers must be qualified on the physical characteristics of the territory over which they are to operate.

### 957. ACTING AS PILOT

While acting as a Pilot, Engine Service Employees will operate the engine, unless otherwise instructed. In the absence of a qualified Conductor they must perform the duties of Conductor and conform to the rules relating to that position. They may enlist the assistance of crew members in any duties relative to the prompt and safe movement of their trains. They will promptly report irregularities or failures.