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# **UNION PACIFIC RAILROAD POLICY FOR MANAGING AGREEMENT PROFESSIONALS FOR SUCCESS (MAPS)**

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## **Section 1: GENERAL GUIDELINES:**

Union Pacific is committed to be a railroad where our customers want to do business, our employees are proud to work, shareholder value is created, and the safety of the public and our employees is our top priority.

All railroad professionals are expected to work safely, honestly, and to treat others with respect. Compliance with workplace rules and policies is necessary to meet the commitments of Union Pacific and to fulfill certain regulatory requirements.

The objective of this Policy is to provide a meaningful and effective process to address rule and policy violations in a consistent and fair manner. Coaching, conferencing, and training are tools to reinforce the importance and understanding of safe and professional conduct in the workplace. However, certain rule or policy violations and/or patterns of behavior may be so serious that suspension or dismissal from service is the Company's only option.

Union Pacific's Attendance Policies are separate from this Policy. The management of those policies, or other Company policies not listed here, will be governed under the terms and conditions of those separate policies.

This Policy applies to all agreement professionals and replaces all previous Company policies pertaining to discipline.



## Section 2: REPRESENTATION; COMPENSATION:

**2.1** This Policy does not alter the terms and conditions of the controlling collective bargaining agreement provisions pertaining to employees' right to a formal investigation.

**2.2** An employee charged with a rule or policy violation is eligible for a waiver of an investigative hearing and must be allowed the opportunity to discuss whether to waive or proceed with an investigative hearing with his/her designated Union Representative.

**2.3** Employees will be compensated under the terms of the controlling collective bargaining agreement provisions for actual time spent participating in coaching, conferences and training required under this Policy. If an employee is suspended from service due to a regulatory requirement, the employee will receive the straight time rate of pay for participation in required training.

## Section 3: RULE AND POLICY VIOLATIONS:

**3.1 Conduct:** Employees may be removed from service and subject to potential dismissal from employment for a single violation of **Rule 1.6, Conduct**<sup>1</sup> or other serious policy or rule violations as listed in [Appendix A](#).

**3.1.1** Employees who are found to be insubordinate or careless of the safety of themselves or others through repeated failures to comply with rules or policy, despite remedial coaching, conferencing or training events, will be charged with a violation of **Rule 1.6**, removed from service, and subject to dismissal pending an investigative hearing.

**3.1.2** Employees who commit a rule violation that results in property damage meeting or exceeding the FRA reportable accident or incident threshold in effect at the time of the incident<sup>2</sup>, will trigger a remedial training event or dismissal depending on the status of the employee's record.

**3.1.3** The Regional Vice President, Department Head or designee must be consulted prior to charging an employee with potential dismissal from service for violation of Rule 1.6

**3.2 Federal Law**<sup>3</sup>: Regulations that mandate removal from duty or require suspensions from service for certain rule or policy violations apply and are controlling for all crew members working in a position requiring an FRA license.

**3.2.1 Multiple FRA Revocations:** If an employee violates a decertification rule and there are two prior FRA license revocations on the employee's work history, regardless of which FRA license the employee was operating under at the time of the event, the employee may be charged with violation of Rule 1.6 under MAPS after evaluation of the employee's work history by the Superintendent and the Regional Vice President.

<sup>1</sup> 1.6: Conduct, Employees must not be: Careless of the safety of themselves or others, Negligent, Insubordinate, Dishonest, Immoral, Quarrelsome or Discourteous. Any act of hostility, misconduct, or willful disregard or negligence affecting the interest of the company or its employees is cause for dismissal and must be reported. Indifference to duty or to the performance of duty will not be tolerated. (Rule update April 7, 2010)

Note: "Discourteous" conduct charges may result in coaching, conference, training, and/or dismissal depending on the circumstances.

<sup>2</sup> The monetary threshold for reporting accidents/incidents involving railroad property damage is \$10,500 for accidents/incidents occurring during calendar year 2014. See 49 CFR §22519. Future updates will be published in the Federal Register.

<sup>3</sup> See 49 CFR §240.117, 119; 49 CFR §242.405



**3.3 Retention Periods:** Substantiated charges for rule or policy violations will remain on the employee's record for either thirty-six (36) months or, if the employee elects a waiver of hearing, for twenty-four (24) months. If the employee is not charged with a subsequent rule or policy violation during the 24 or 36 month retention period following the violation, the employee's record will be considered clear for purposes of determining progressive handling of subsequent violations.

The anniversary date of the violation will be used to determine record retention of rule and policy violations.

Documented coaching, conference and training events will become a permanent part of the employee's record.

**3.4 Coaching Events:** In lieu of charging an employee with a rule or policy violation, managers may formally coach the employee as specified in [Appendix A](#).

**3.5 Progressive Handling for Multiple Violations:** A violation of a rule or policy will result in either a coaching, conference or training event as described in [Appendix A](#). Rule or policy violations that trigger remedial training, regardless of rule category, will be taken into account for progression and can potentially lead to dismissal from service.

**3.5.1 Multiple documented coaching events:** After multiple documented coaching events, an employee may be subject to a conference, or a training event may be triggered based upon the status of the employee's record at that time, for failure to comply with instructions **Rule 1.13**.

**3.5.2 Training Event 1 or 2:** When an employee is found to be in violation of a rule or policy that triggers a first training event and the employee commits a subsequent triggering rule or policy violation during the retention period, the new retention period will start the date of the subsequent violation. However, if more than 24 months is remaining under the first retention period and the employee elects to waive the hearing for a subsequent triggering event, the retention period will be based on the time remaining from the first event.

**3.5.3 Dismissal:** An employee will be withheld from service pending an investigative hearing for the commission of a triggering rule or policy violation which occurs during the retention period for a second training event. Following an investigation, a determination will be made by the responsible supervising manager whether to permanently dismiss the employee from service subject to the approval of the Regional Vice President or Department Head.

**3.6 Root Cause Analysis:** Employees will be expected to provide the facts related to rule or policy violations for purposes of safety performance analysis and risk mitigation.

**3.7 Arbitration Decisions:** If a dismissed employee is returned to service as the result of a court decision or an arbitration decision or award, the conditions of the decision or award will be controlling for the purposes of adjusting the employee's record. If a decision or award is silent with regard to the employee's record, the employee's record will revert to the status of a second triggering/training event with a thirty-six (36) month retention period. The time spent in dismissed status will not apply to the retention period of a prior violation.



**3.8 Rule 1.5, Drugs and Alcohol:** Violations will be handled in accordance with existing regulatory, policy and collective bargaining agreement requirements. The time in dismissed status as the result of violation of Rule 1.5 is not taken into account for the purposes of computing the retention period for violations that were on the employee's record prior to returning to service from successful completion of the Employee Assistance Program (EAP).

An employee who is charged with a triggering rule or policy violation which also results in a violation of Rule 1.5 will not be eligible for the Employee Assistance Program and such violation of Rule 1.5 will be considered a termination offense.

#### **Section 4: TRAINING:**

**4.1 Requirements:** Employees will be required to participate in a conference prior to return to active duty and successfully complete any associated training at the direction of management. An employee may also be required to continue to participate in training prescribed by management after return to service. An employee's failure to successfully complete the required training may result in dismissal from service.

**4.2 Responsibilities:** Managers must conduct a conference with the employee in conjunction with a MAPS training event. Managers are responsible for ensuring that scheduling, delivery, and documentation of the conference and training is completed.

The employee may arrange for union representation when a conference is scheduled. The employee is responsible for compliance with the applicable Hours of Service reporting after participating in a conference or training session.

#### **Section 5: ADMINISTRATION:**

**5.1 Review:** The designated General Chairmen or National Union Officer representing employees covered by this Policy or the managers administering this Policy may request periodic review of the actions taken under this Policy with the Regional Vice President or equivalent departmental executive or their designee.



## APPENDIX A: MAPS Process Matrix

NOTE: Refer to the terms and conditions described within the Policy.

RULE CATEGORY		ACTION		
<b>Coaching Rules</b> <ul style="list-style-type: none"> <li>Multiple violations may trigger a rule 1.13 failure to comply with instructions</li> <li>See Section 3.1.2 property damage</li> </ul>		COACH		
<b>Critical Rules</b> <ul style="list-style-type: none"> <li>No prior conference or triggering event is retained on the employee's record</li> <li>Any resulting property damage must be below the FRA reportable monetary threshold</li> </ul>		CONFERENCE		
TRIGGERING EVENTS	<b>Critical Rules</b> <ul style="list-style-type: none"> <li>Employee had a critical rules conference in the prior 24 month period; or</li> <li>Violation occurs within a triggering event retention period; or</li> <li>Violation resulting in property damage meeting or exceeding FRA monetary threshold</li> </ul>	TRAINING 1	TRAINING 2	DISMISS
	<b>Decertification Rules (conductors &amp; engineers)*</b> <ul style="list-style-type: none"> <li>Suspend and comply with 49 CFR Part 240, 242 processes</li> </ul>			
	<b>Termination</b> <ul style="list-style-type: none"> <li>Rule 1.5 Drugs &amp; Alcohol, 1.6 Conduct, 1.7 Altercation, 1.12 Weapons,</li> <li>Violations of Ethics and Business Conduct Policy and its Associated Policies (see SSI Item 10I)</li> <li>Felony Conviction</li> <li>Overstaying leave of absence without authority</li> </ul>	DISMISS		

TRIGGERING EVENTS

**COACH or CONFERENCE:** No charge for violation.

**CRITICAL RULES:** Noncompliance could potentially result in serious or life-threatening consequences for employees or the public or could compromise safe railroad operations. This includes repeated or deliberate failure to comply with instructions.

**DECERTIFICATION RULES:** Noncompliance requires suspension/revocation of a train and engine service employee's FRA license; if the FRA thresholds for speed or FRA reporting threshold requirements under the controlling regulations are not satisfied, the rule violations will be treated as a "Critical Rule" under MAPS.

**TRIGGERING EVENT:** Progressive training events are triggered by a rule or policy violation charge. Rule or policy violations in any category triggering a Training event will be taken into account for purposes of progressive handling. A rule or policy violation which may result in dismissal is also a "triggering event". This rule category includes rules historically identified as "cardinal" rules. All rule violations meeting or exceeding the FRA reportable monetary threshold will be treated as triggering event violations.

\*See 49 CFR Part 240, 49 CFR Part 242, and Appendix E to Part 242 regarding regulatory requirements related to prohibited conduct for FRA certified engineers and conductors and suspension periods.



## APPENDIX B: MAPS Frequently Asked Questions

### General

#### 1) Why was the discipline policy changed?

The policy was changed to reinforce the importance of safe and professional conduct through learning opportunities such as coaching, conferencing and training. The policy was also changed to have a single, consistent, system wide standard for alternatives to suspension from service for all agreement professionals. The objectives for changing the policy also included simplifying the progressive process for addressing performance and behavior issues.

#### 2) Does this policy constitute a labor agreement?

No, this is a company policy.

### Transition

#### 3) What happens to SIP and other alternative discipline policies or programs?

This new MAPS Policy replaces these programs. Employees who have participated in an alternative discipline program prior to MAPS will transition to MAPS (see [Appendix D](#)).

#### 4) Will all suspensions from service be eliminated or reduced?

No. FRA certified professionals remain subject to the legal mandates and suspension requirements found in the regulations. For violations in other rule categories, employees may be drug tested and sent home with pay for one day and will not be suspended from service.

#### 5) How will alleged rule or policy violations that occurred before the effective date of the new policy be handled at the time the policy is implemented?

Incidents occurring prior to the effective date of this Policy will be handled under the discipline policy in effect at the time of the incident. Cases in progress on or after the date that the MAPS policy becomes effective will be managed to conclusion under the MAPS policy. The applicable collective bargaining agreement rules for disputing a rule or policy violation charge will not change under MAPS. Discipline issued prior to the effective date of MAPS will transition as described in Appendix D.

#### 6) Does proactive training count in the progression toward potential dismissal under the MAPS policy?

No. Proactive training is not the result of a triggering event violation or charge. An employee can attend proactive training multiple times and it will become part of the employee's permanent record but is not considered remedial training under the MAPS policy.

### Coaching, Conferencing, and Training

#### 7) Is informal coaching eliminated by this policy?

No. Managers are encouraged to provide agreement employees with positive feedback regarding their safe and professional work behaviors as well as coaching in lieu of formally charging an employee for an alleged rule violation in appropriate situations. Informal coaching events are not documented on the employee's record.





**8) Has anything changed regarding handling for field testing failures?**

No. The requirements under the federal regulations and company testing policies have not changed. The systems used to administer testing will be used to document coaching events under MAPS.

**9) Will employees be charged with a rule violation for a documented coaching event?**

No. Coaching events do not result in a charge notification that triggers a right to a formal hearing. See [Section 3.5.1](#).

**10) How many coaching events result in a charge for failure to comply with instructions?**

There is no specific number of events that will trigger a charge. A failure to comply charge will be based on periodic review of employees' testing/coaching history taking into account the nature of the rules, repeated events involving the same rule and/or behaviors indicating numerous failures to comply with operating rules after participating in coaching and training.

**11) Who is present at a conference?**

The agreement professional and the manager conducting the conference are in attendance. If the employee wants union representation in attendance, then it is the employee's responsibility to make the arrangements.

**12) How is a conference documented?**

A form signed by the manager and the employee is made part of the employee's work record by uploading the form into the Agreement Professional Document System (APDS).

**13) Who conducts required training events?**

A qualified manager designated by the department or service unit superintendent or equivalent department supervisor. Management also may have qualified agreement professional subject matter experts conduct portions of the training.

**14) How is training documented?**

Successful completion of training will be recorded electronically in the Learning Management System (LMS) and made a permanent part of the employee's training record.

**15) Are employees paid for time spent during a coaching, conference or training session?**

The sessions, including attendance at proactive MAPS training, will be conducted while the employee is on duty and under pay. The controlling collective bargaining agreements apply. Employees who are suspended due to a regulatory requirement will be paid at the straight time rate for attending mandatory training while in suspended status.

**16) If an employee is required to travel to attend training, will the employee be entitled to reimbursement for travel expenses if training takes place at a location other than the employee's reporting point?**

Yes, if the training takes place at an away-from-home terminal location. The Company will provide instructions regarding reimbursement for reasonable, necessary expenses.

**17) What if the employee fails to attend, actively participate or complete the training?**

The employee may be charged with failure to comply with instructions or insubordination. Failure to comply will move the employee to the next step in the MAPS Policy progression.



**18) Will managers and employees be required to meet prior to the employee returning to active duty after rule violation requiring participation in a conference and/or training event?**

Yes. Employees may be sent home for the remainder of the day with pay and must meet with a supervising manager prior to returning to service. The manager will be responsible for ensuring the scheduling, completion, and documentation of any training events.

**19) If an employee commits a rule violation that only requires a conference, will the employee be sent home for the day with pay?**

If the employee is observed committing the rule violation, then the employee will be drug tested and sent home with pay. A conference with a manager must take place prior to returning to service

## **Rule and Policy Violation Handling**

**20) What happens if an employee is charged with failure to comply as the result of coaching rule violations?**

The employee will be required to participate in a conference with a manager. A single failure to comply may also result in additional training. Multiple 1.13 violations may result in a careless of safety, indifference to duty or other appropriate charge under Rule 1.6. Repeated testing failures will be reviewed periodically and approval by the Regional Vice President, appropriate Department Head or designee is required prior to charging the employee with potential violation of Rule 1.13 or 1.6.

Managers should use coaching rules 1.3.1, 1.3.2 and 1.3.3 as appropriate to reinforce the importance of compliance with rules, regulations, and instructions. Repeated failures to follow rules, regulations and instructions may warrant a 1.13 charge.

**21) Does a violation of a Company policy (see SSI 10I) result in a dismissal charge?**

Charges issued for violations of Company policies are governed under the terms and conditions of those policies. Depending on the circumstances surrounding a violation, the employee may be charged with dismissal or some lesser charge, such as failure to comply.

**22) How is progressive handling of alleged rule or policy violations initiated?**

It is initiated when a charge notice for an investigation or hearing is issued.

**23) What are the retention periods for a rule or policy violation?**

Thirty-six month retention on the employee work record if a hearing is conducted and charges upheld or twenty-four months if the employee elects to waive a formal hearing.



**24) What if an employee triggers a second training event while on a 36 month retention period?**

If an employee's remaining retention period is greater than 24 months on their first triggering event as the consequence of a policy violation or a hearing in which the charge was upheld, and the employee triggers a second training event, then the employee moves to the next level of progression and the longer retention period will control.

For example, an employee is currently on Training 1 with 30 months remaining for 36 month retention. If that employee has another triggering event, and waives the hearing, the employee will progress to Training 2 with a 30 month retention period based on the date of the second violation. If the employee does not waive the hearing and charges are substantiated, the employee will progress to Training 2 with a new 36 month retention period, based on the date of the second violation.

**25) When does the record retention period for a rule or policy violation begin?**

It begins on the date of the event triggering the charge for a potential rule or policy violation. The anniversary date will be used to determine the end of the record retention period, e.g., a critical rule violation took place on March 1, 2014; the 24 month anniversary date is March 1, 2016.

**26) Does this policy change any time limits for initiating a charge or the right to an investigative hearing?**

No. Time limits and rights to hearings are controlled by applicable collective bargaining agreements and federal regulations.

**27) If a Rule 1.5, Drugs and Alcohol, violation coincides with another alleged rule violation, are the two violations handled together or separately?**

They are handled separately.

**28) Will an employee who tests positive for drugs or alcohol as the result of an incident involving a rule or policy violation resulting in remedial training or dismissal be eligible to participate in the Employee Assistance Program?**

No. The employee will be charged with violation of Rule 1.5 and, if proven, will be dismissed from service.

**29) In the event of multiple rules infractions related to a single event, how will the manager determine which course of action to follow, e.g., coaching, conference, training or termination?**

The highest level consequence, coaching, conference, training, or termination of employment, will control.

**30) May all train crew members be charged with responsibility for a decertification event, as defined by 49 CFR Parts 240/242, even if only one crew member's FRA certification is revoked?**

Yes. The rule violation will be handled as specified in [Appendix A](#) of the Policy.

**31) How should rule violations that don't meet the FRA reporting or speed thresholds requiring decertification be treated?**

The incident should be handled as a 'Critical' rule violation



**32) How should a rules violation identified from a ride or an event recorder be treated?**

If a decertification rule is potentially violated, the regulation governing decertification applies and will be handled in accordance with the MAPS progression. Non-decertification rules should be handled as coaching rule violations. If a review of the employee's testing record, Event recorder data, ride events or coaching record triggers a conference; the managers will schedule a conference at the earliest opportunity for failure to comply.

**33) Will violations of the attendance policy be included in the progressive handling of policy violations under MAPS?**

No. Attendance polices will be managed separately.

## **Dismissal and Reinstatement**

**34) Can an employee be dismissed for a single rule or policy violation?**

Yes. An incident can be so egregious or have such serious consequences that the employee can be removed from service and charged with a safety or conduct rule or policy violation.

**35) How many times can a TE&Y professional's FRA certification be revoked before they are permanently dismissed from employment with the Company?**

One, two or three times based on whether the employee's record includes other rules violations under the MAPS progression. In addition, if an employee's FRA certification is revoked three or more times during the employee's career, regardless of which class of license the employee was working under, the employee's work record will be reviewed by the Superintendent and RVP and the employee may be subject to a Rule 1.6 charge.

**36) What happens if a dismissal is overturned by the labor board?**

The situation is dependent on whether the employee is exonerated or returned without pay. [See Section 3.7](#)

**37) What training is required after decertification?**

Two-day rules class is required prior to returning to work in addition to participating in MAPS training. Employees will be paid during MAPS training and may be required to attend while suspended from service due to FRA decertification.

**38) Can an employee still be terminated for being absent without authority or leave?**

Yes, pursuant to the terms and conditions of the controlling collective bargaining agreement.



## APPENDIX C: GLOSSARY

**TRIGGERING EVENT:** Any rule or policy violation resulting in dismissal or remedial training under the MAPS progression. Employees who violate Rule 1.5, Drugs and Alcohol, in conjunction with a triggering event violation will not be eligible for a one time return to service opportunity through EAP and will be terminated from service.

**The following definitions, while not all inclusive or absolute, are intended to guide the determination of whether various acts by employees meet necessary criteria to be considered a violation of applicable Dismissal Rules:**

**ALTERCATION:** When an employee's actions cause or result in a quarrel characterized by physical activity such as pushing, shoving or fighting.

**CARELESS OF SAFETY:** When an employee's actions or failure to take action demonstrate an inability or an unwillingness to comply with safety rules as evidenced by repeated safety rules infractions. When an employee commits a specific rule(s) infraction that demonstrates a willful, flagrant, or reckless disregard for the safety of themselves, other employees, or the public.

**DISHONEST:** When an employee's actions or statements constitute lying, cheating, theft or deception.

**FELONY CONVICTION:** The conduct of an employee leading to the conviction of a felony in state or federal court is prohibited. Guilty pleas, diversion programs, deferred decisions or adjudication, and other alternative sentencing or adjudication procedures, regardless of local nomenclature, are considered convictions under this policy.

**FRAUD:** When an employee's actions or statements are intentional misrepresentations of fact for the purpose of deceiving others so as to secure unfair or unlawful gain.

**IMMORAL:** When an employee's actions are contrary to commonly accepted moral principles.

**INSUBORDINATION:** When an employee's actions or statements indicate a refusal (as opposed to a failure for cause) to carry out the instructions of a supervisor which are work, safety or policy related and which conform to accepted Company and industry practice, or when an employee demonstrates gross disrespect towards a supervisor. **NOTE:** Any failure to comply with Union Pacific's Drug and Alcohol Policy will be considered insubordination.

**NEGLIGENT:** An employee demonstrates negligence when his or her actions or failure to take action causes, or contributes to, the harm or risk of harm to the employee, other employees, the general public or company property.

**QUARRELSOME:** When an employee's continued behavior is inclined or disposed toward an angry verbal confrontation with others in the workplace.

**THEFT:** When an employee's action is intended to and/or results in the taking and/or removing of property or other items of value from the Company, its customers, or other employees without proper authority.



## APPENDIX D: Discipline Transition Plan to MAPS

### Discipline Level

Discipline levels under UPGRADE and alternative discipline programs (SIP/SAP) will be transitioned according to the guidelines below based on current level at the date of transition.

Current Level	MAPS Status	Next Triggering Event
<b>UPGRADE</b>		
Level 0 -2	No progression	
Level 3*	Conference	MAPS Training 1
Level 4/4C/4D*	MAPS Training 1	MAPS Training 2
<b>SIP/SAP</b>		
SIP1/SAP1 (Level 3)	Conference	MAPS Training 1
SIP1/SAP1 (Level 4+)	MAPS Training 1	MAPS Training 2
SIP2/SAP2	MAPS Training 2	Dismissal

\*Employees with a Level 3/4/4C rule violation that was handled through coaching or conference and did not result in SIP/SAP training will be at a Conference Level in MAPS.

### Retention Period

Retention periods under UPGRADE and alternative discipline programs will be transitioned according to the guidelines below

Original Retention Period	Time Served on Current Retention Period	MAPS Retention Period
Greater than two (2) years	Two (2) years or more	Event does not transition to MAPS
	Less than two (2) years	The difference between two years and the time served on current retention period. For example, if a retention period was set at 7 years, and an employee has served 15 months (1.25 years) of the retention, that employee will have 9 months (.75 years) remaining when the record is transitioned to MAPS.
Two years (2) or less than two (2) years	Any amount	Time remaining on original retention period

Retention for employees covered under the Intermodal Containers Transfer Facility (ICTF) Collective Bargaining Agreement will transition to MAPS on retention scheduled pursuant to the ICTF agreement

*NOTE: UPGRADE Level 4 violations resulting from a single event will transition to MAPS Status of MAPS Training 1 as described in the Discipline Level table above. The employee will remain at MAPS Training 1 for the remainder of his or her retention period, as described in the Retention Period table above, unless he/she has a subsequent triggering event in that retention period resulting in a change in MAPS status. Otherwise, he/she will remain at MAPS Training 1 until the retention period has expired. See Appendix B, Question and Answer 5.*



## APPENDIX E: Rules Matrix

Note: The rules and/or policies in effect at the time of the incident are controlling. Please refer to the applicable General Orders, and other official publications of policy or instructions.

\*Violation of rules not listed should be treated as a coaching or conference event unless the violation results in property damage meeting or exceeding the FRA reportable damage threshold or as described in Section 3.1.2.

RULE CATEGORY <sup>1</sup>	RESPONSIBLE RAILROAD PROFESSIONALS	RULE	DESCRIPTION
<b>Critical Rules</b>	<b>ALL EMPLOYEES</b>	<b>Rule</b>	<b>Triggering Events</b>
		1.13	Reporting and Complying with Instructions
		74.3	Cell Phone/Electronic Device
		74.5	Seat Belts
			Violations that result in property damage meeting or exceeding the FRA reportable monetary threshold
	<b>TRANSPORTATION</b>	<b>Rule</b>	<b>Triggering Events</b>
		1.47	Failure to Maintain Conductor's Log (Missing entries)
		2.21	Electronic Devices
		5.13	Blue Signal Protection
		6.5	Shoving Movements
		6.25	Movement Against the Current of Traffic
		6.27	Restricted Speed
		6.28	Movement on Other Than Main Track
		6.5.1	Remote Control Movements (Unprotected Shove)
		6.7	Remote Control Zone (Fouling an active RCL zone without permission)
		6.7A	Remote Control Zone – System Special Instructions (Failure to maintain a zone log when required)
		7.1	Switching Safely and Efficiently
		7.6	Securing cars, engines, trains, etc.
		32.1.1 32.1.4	
		32.1.2 32.1.3 32.2.1	Securing Cars, Engines, Trains, etc. (Failure to apply handbrakes, airbrakes, or locomotive brakes.)
		8.2 8.20 8.3 8.8 8.9.1	Switches and Derails (not resulting in FRA reportable incident)
		9.5	Stop Signal
		9.15	Track Permits
	10.1	Authority to Enter CTC Limits	
	15.2 Form B	Protection by Track Bulletin Form B	

<sup>1</sup> Employees who do not have any Critical Rule Category triggering events retained on their record will not be charged with a rule or policy violation and will be required to participate in a conference with a manager. If rule violation results in property damage meeting or exceeding the current FRA reportable property damage threshold, the rule violation will be handled as a triggering event.



	35.3.3 35.4.1 35.4.4	RCL Operations
	35.4.3	"Pitch and Catch" Operations (Failure to verbally confirm)
	81.2.2	Sufficient Distance (Failure to separate equipment required distance)
	81.4.2	Getting on and off Moving Equipment
	81.5.4	Understanding Between Crew Members
	81.8.1	Avoiding Fouling Hazards
	81.13.1	Working Between Equipment
	81.13.2	Coupler Adjustment (use of feet to adjust coupler)
	Item 8	Heavy and Mountain Grade Operations
	Item10K/8.3	Switch left open in non-signaled territory
<b>MAINTENANCE OF WAY/ ENGINEERING EMPLOYEES</b>	<b>Rule</b>	<b>Triggering Events</b>
	32.1.4 Brandt Truck	Operating & Air Brake Instructions (applies to any MofW or work equipment handling rail cars)
	42.2.2	Other Speed Requirements
	42.3	Main Track Authorization
	42.6	Grade Crossings
	74.2.1	Qualified Drivers
	74.6.1	Back-Up Moves
	78.8	Operating Booms Near Power Lines
	122.0	Bridge Worker Safety
	135.0	Lockout/Tagout Process for Roadway Machines and Work Equipment
	136.0	On-Track Safety
	137.0	Working at or Around Grade Crossings
	138.3.11	Rigging Loads
<b>MAINTENANCE OF WAY/ ENGINEERING EMPLOYEES GCOR &amp; MOW Rules</b>	<b>Rule</b>	<b>Triggering Events</b>
	2.21	Electronic Devices
	5.4	Flags for Temporary Track Conditions
	7.6/43.5	Securing Cars, Engines, Trains, etc.
	40.6/6.2.1	Train Location
	40.6/6.5	Handling Cars Ahead of Engine
	40.6/6.21.1	Protection Against Defects
	40.15/15.2	Protection by Track Bulletin Form B
	40.8/8.2	Position of Switches
	56.1.3	Compromising Signal Safety
<b>MAINTENANCE OF WAY/ENGINEERING EMPLOYEES Engineering Track Maintenance Field Manual</b>	<b>Rule</b>	<b>Triggering Events</b>





	4.13	Field Welding (Thermite)
	4.18	Rail Defects
	6.4.2	Whistle Signs
	6.4.3	Standard Highway Crossing Signs (Crossbucks)
	7.0	Track Buckling Prevention Guidelines
	8.2	Standards and Compliance
	8.6.17	Torch Cut Rail
<b>MAINTENANCE OF WAY/ENGINEERING EMPLOYEES Engineering Fire Prevention Plan</b>	<b>Rule</b>	<b>Triggering Events</b>
	2.0	Job Briefings
	4.1	Not conducting/documenting a fire risk assessment prior to hot work being conducted
	5.1.2	Not complying when fire risk is high
	5.2.3	
	5.3.2	
	5.4.3	
	5.5.3	
	5.6	
<b>INTERMODAL OPERATIONS</b>	<b>Rule</b>	
	2.21	Electronic Devices
	5.13	Blue flag protection: Working in/on rolling equipment under blue flag
	7.6	Securing Cars, Engines, Trains etc.
	32.1.1	
	32.1.2	
	32.1.3	
	32.1.4	
	32.2.1	
	74.12	
	81.23	Lockout Protection Required
	83.1.6	Adjustment of Containers on Chassis
	83.1.9	Intermodal Equipment Maintenance Repair Lockout / Tagout Procedures
	83.2.1	Speed Limits on Ramp
	83.2.2	Observing Stop Signs/Stop Lines
	83.3.2	Overhead Lifting
	83.3.4	Staying Clear of a Suspended Load
	83.3.5	Getting On and Off Intermodal Cars
	83.3.8	Crossing Platforms
	83.4.2	King Pin: Inspect to ensure locked
	83.4.3	Loading Container on Flat Car (COFC)
	83.4.5	Hitches
	83.5.4	Securing Containers
<b>MECHANICAL LOCOMOTIVE DEPT</b>	<b>Rule</b>	<b>Triggering Events</b>
	2.21	Electronic Devices



	5.13	Blue Signal Protection of Workmen
	6.5	Shoving Movements
	7.6	Securing Cars or Engines
	8.2 8.20	Switches and Derails (not resulting in FRA reportable incident)
	74.2.1	Qualified Drivers
	78.2	Lockout/Tagout
	80.14	Fall Protection
	81.4.2	Moving Equipment
	81.8.3	Impaired Clearances
	81.10.2	Using Mobile Equipment
	81.10.3	Using Locomotive
	81.10.4	One Person Operations
<b>MECHANICAL CAR DEPT</b>	<b>Rule</b>	<b>Triggering Events</b>
	2.21	Electronic Devices
	5.13	Blue Signal Protection of Workmen
	7.6	Securing Cars or Engines
	8.2 8.20	Switches and Derails (not resulting in FRA reportable incident)
	74.2.1	Qualified Drivers
	74.12	Off Road Vehicles
	76.3.14	Jacking Equipment
	76.3.15	Securing Jacked Equipment
	78.2	Lockout/Tagout
	80.14	Fall Protection
	81.4.2	Moving Equipment
	81.10.2	Using Mobile Equipment
	81.10.4	One Person Operations
	81.15	Car Doors
<b>SUPPLY/TELECOM DEPARTMENT</b>	<b>Rule</b>	<b>Triggering Events</b>
	70.6	Lifting and Moving Material
	74.2	Driver Requirements
	74.2.1	Qualified Drivers
	74.6	Back up Moves - Telecom
	75.3	Loading and Unloading Tractor Trailers
	75.7/136.0	Forklifts - Supply/On Track Safety - Telecom



**DECERTIFICATION EVENTS (CERTIFIED ENGINEERS AND CONDUCTORS):** Rule violations that do not result in revocation of FRA certification are treated as a Critical Rule under MAPS.

RULE/EVENT CATEGORY	FRA Regulation Applies to Certified Engineers and Conductors	RULE	DESCRIPTION
<b>Decertification</b>  <b>Triggering Events</b>	240.117(e)(1) 242.403(e)(1)		Stop before passing signal
		5.4.7	Display of Red Flag or Red Light
		9.5	Where Stop Must be Made
	240.117(e)(2) 242.403(e)(2)		Speed/Restricted Speed
		6.27	Movement at Restricted Speed <i>(When the Violation Results in a FRA Reportable Incident)</i>
		6.28	Movement on Other than Main Track <i>(When the Violation Results in a FRA Reportable Incident)</i>
		6.31	Maximum Authorized Speed <i>(exceeds speed by 10 MPH)</i>
	240.117(e)(3) 242.403(e)(3)		Air Brake Test
		30.3.2	Initial Terminal Air Brake Test
		30.4.1	1000 Mile Inspection Tests
		30.5.1	Transfer Train
		30.7.1	Application of Release Test
		38.1.2 thru 38.1.5	Passenger/Commuter Brake Tests
	240.117(e)(4) 242.403(e)(4)		Main Track Authorization
		6.3	Main Track Authorization
		15.2	Protection by Track Bulletin Form B
		6.32.2	Automatic Warning Device
		SSI Item 13.8.2	Action 1 - Failure to Stop
	240.117(e)(5) 242.403(e)(12)		Tampering
		1.23.1	Locomotive Mounted Safety Devices
	35.3.1	Operator Equipment	
240.117(e)(6) 242.403(e)(12)		Drug and Alcohol	
	1.5	Drug and Alcohol <i>(FRA Test, blood alcohol 0.04)</i>	



**\* DECERTIFICATION EVENTS (CERTIFIED CONDUCTORS):**

RULE/EVENT CATEGORY	FRA Regulation Applies to Certified Conductors and Must Result in an FRA Reportable Incident	*RULE	DESCRIPTION
<b>Decertification</b>  <b>Triggering Events</b>	242.403(e)(6) 218.99		Shoving or Pushing Movements
		6.5	Shoving Movements
	242.403(e)(7) 218.101		Leaving Rolling and On-Track Maintenance-of-Way Equipment in the Clear
		7.1	Switching Safely and Efficiently
		81.8.1	Avoiding Fouling Hazards
	242.403(e)(8) 218.103		Hand-Operated Switches, Including Crossover Switches
		8.2	Position of Derail Switches
		8.8	Switches Equipped with Locks, Hooks, or Latches
		8.9.1	Testing Spring Switch
		8.11	Switches in Sidings
		8.12	Hand-Operated Crossover Switches Attached to Main Track
		8.19	Automatic Switches Other than Main Track/ Radio Controlled Switches
		8.19.1	
		9.13	When Instructed to Operate Dual Control Switches by Hand Other than Main Track
		9.13.1	Hand Operation of Dual Control Switches Other than Main Track
	242.403(e)(9) 218.105		Additional Operational Requirements for Hand-Operated Main Track Switches
		8.3	Main Track Switches
		8.12	Hand-Operated Crossover Switches Attached to Main Track
		8.19	Automatic Switches Other than Main Track
		9.13	When Instructed to Operate Dual Control Switches by Hand Other than Main Track
		9.13.1	Hand Operation of Dual Control Switches Other than Main Track
		9.17	Entering Main Track at Hand-Operated or Spring Switch
		10.1	Authority to Enter CTC Limits
		Item 10K	Main Track Switches
	242.403(e)(10) 218.107		Additional Operational Requirements for Hand-Operated Crossover Switches
		5.13	Blue Signal Protection of Workmen
		8.12	Hand-Operated Crossover Switches Attached to Main Track
	242.403(e)(11) 218.109		Hand-operated Fixed Derails
	8.2	Position of Switches	
	8.20	Derail Location and Position	



**DISMISSAL EVENTS**

RULE/EVENT CATEGORY	RESPONSIBLE RAILROAD PROFESSIONALS	RULE POLICY	DESCRIPTION
<b>Dismissal Triggering Events</b>	<b>ALL EMPLOYEES</b>		
		1.5	Drugs and Alcohol (Rule "G")
		1.6; For a single incident or for progressive handling for multiple infractions per Section 3.3 of MAPS Policy	Conduct: Careless of Safety Negligent Insubordinate Dishonest Immoral Quarrelsome
		1.12	Weapons
		1.7	Altercation
		1.6.2	Felony Conviction
		Policies See SSI Item 10 I	Violations of Company policies including the Policy on Ethics and Business Conduct which incorporates other policies by reference including, but not limited to the EEO Policy, can result in discipline including dismissal from employment.
		Overstaying Leave of Absence without Authority	

