

# Federal Railroad Administration Office of Safety Headquarters Assigned Accident Investigation Report HQ-2005-68

Union Pacific (UP) Heber, California August 20, 2005

Note that 49 U.S.C. §20903 provides that no part of an accident or incident report made by the Secretary of Transportation/Federal Railroad Administration under 49 U.S.C. §20902 may be used in a civil action for damages resulting from a matter mentioned in the report.

FEDERAL RAILROAD AD		ΓΑΤΙΟΝ N (FRA)	FI	RA FAC	CTUAL	L RAILI	ROAI	D ACCIDE	NT	REPOR	Γ	I	FRA I	File#	HQ-2005	-68	
1 No	i Ti #1						Τ.	Alabahada Gad	_			11. D. 11.			id		
Name of Railroad Operating Train #1     Union Pacific RR Co. [UP ]								1a. Alphabetic Code  UP					1b. Railroad Accident/Incident No.				
2. Name of Railroad Operating Train #2								2a. Alphabetic Code					0805LA027  2b. Railroad Accident/Incident No.				
Union Pacific RR Co. [UP ]								UP					0805LA027				
3. Name of Railroad Responsible for Track Maintenance (single entry)								3a. Alphabetic Code					3b. Railroad Accident/Incident No.				
Union Pacific RR Co. [UP ]								UP					0805LA027				
4. U. S. DOT-AAR Grade Crossing Identification Number							5.	5. Date of Accident/Incident					6. Time of Accident/Incident				
				N/A	A			month 08		day 21	year 2005		10:3	80:	AM	PM X	
7. Type of Accident/Incident 1. Derailment 4. Side co									onation	13. Ot	ther			Code			
(single entry in code box) 2. Head on collision 5. Raking collision 3. Rear end collision 6. Broken Train c				-				C		Fire/violent ru Other impacts		(describe in) narrative)			12		
8. Cars Carrying 9. HAZMAT Cars			ii Train com	10. Cars Releasing					People		12. Division			<u> </u>			
<b>I</b> -			d/Derailed		HAZMAT					Evacuated							
0 13. Nearest City/Town		<u> </u>	0		0 14. Milepost			15. State		0 16. Count		Los Ange			Angeles		
13. Healest City 10 mi						nearest tenth	1)		Abbr.	Code	To. County						
Heber					Code	10 777 1	704.0			CA	RIAL						
17. Temperature (F) 18 (specify if minus)			18. Visibility (single entry) 1. Dawn 3. Dusk			19. Weath 1. Clea		ingle entry) 3. Rain	5	. Sleet	Code	20. Type of Track 1. Main 3			. Siding	Code	
90 ° F			2. Day 4. Dark			2. Clo		4. Fog		. Snow	1		Yard		. Industry	3	
21. Track Name/Number				2				ode 23. Annual Track				24. Time Table Direction Code				Code	
	Heber Passir	ng Track			Class (1-9, X)			Density in millio			ss tons .00		1. North 3.E 2. South 4. V			3	
					(	ODEDAT	ING T	RAIN#1									
25. Type of Equipment	1. Freight trai	in 4.	Work train 7.	. Yard/switc		A. Spec. N			26.	Was Equipme	ent	Code	27. Tı	rain Numb	er/Symbol		
Consist (single entry)	2. Passenger t		-	Light loco				1		Attended?	1						
3. Commuter train 6. Cut of cars 9. Maint./inspect. car  28. Speed (recorded speed, if available) Code 30. Method(s) of Operation (enter-							ter code	6   1. Yes 2. No					2 LKE34-19 30a. Remotely Controlled Locomotive?				
R - Recorded  R - Recorded  a. ATCS g. Automatic block													0= Not a remotely controlled operation				
E - Estimated		N CONT				Current of tra							1 = Remote control portable transmitter				
0 29. Trailing Tons (gros	s tonnage.	MPH		uto train sto ab signals	•	Γime table/tra Γrack warran							2 = Remote control tower operation 3 = Remote control portable				
29. Trailing Tons (gross tonnage, d. Cab signals j. Track warrant control k. Direct traffic control k. Direct traffic control k.													transmitter - more than one				
	I																
		3,505	f. It	nterlocking	l. Y	Yard limits		i	n	N/A	N/A N/A	r		control tra	nsmitter	0	
31. Principal Car/Unit		3,505 a. Initial and		·	l. N on in Train		c. Loade		n	32. If railro	ad employee(s	s) tested for d	remote drug/alo			Ť	
(1) First involved		a. Initial and		·			c. Loade		n	32. If railro	ad employee(s e number that	s) tested for d	remote drug/alo		Alcohol	Drugs	
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(1) First involved (derailed, struck, etc)  (2) Causing (if mean cause reported)  34. Locomotive Units  (1) Total in Train  (2) Total Derailed  36. Equipment Damage This Consist  40. Engineers/ Operators 0  Casualties to: Fatal  Nonfatal  52. Type of Equipment Consist (single entry)  55. Speed (recorded space)  R - Recorded E - Estimated  23	\$22,434.0  41. Firemen 0 46. Railroad E 0 0 1. Freight trai 2. Passenger 3. Commuter eed, if available	a. Initial and CSX  a. Head End  O  O  Number of C  Employees  in 4. train 5. train 6.	TA75255  O  Mid T b. Manual  O  O  T. Track, Signal, V & Structure I  rew Members  42. Conductors  O  47. Train Passens  O  O  Work train  Single car  Cut of cars  Cut of cars  9.  Code  57. M a. A b. A R  C. A	b. Positio  b. Positio  c. Remote  0  Way, Damage  2ers  Yard/switt Light locot Light locot Maint/insj ethod(s) of TCS uto train co uto train sto	d. Man  d. Man	Rear End nual e. R )  \$0.00  Solution  Solutio	emote  0  0  ING T  flow Eq  teter code  white code  file  ain order	d (yes/no)  no  N/A  35. Cars  (1) Total in  (2) Total De  38. Primary Cat Code  44. Engineer/Op Hrs:  49. EOT Device 1. Yes  51. Caboose Oc 1. Yes  RAIN # 2  uip. Code  (s) that apply)  m. Special in n. Other that s o. Positive to	Equipment of the second of the	32. If railro enter the the app.  33. Was this ment Consist  The consist of the c	ad employee(see number that copriate box. see number that coprise see number t	b) tested for d	remote drug/alde e in engers contributed e in contributed	? (Y/N)  Empt : Freight  22  5  ting Cause  Controlled emotely core e control per e control to	Alcohol 0  y d. Pass. 0  0  Mi Properly Arm 2. No  LKE35-21 L Locomotive introlled opera ortable transm	Drugs   0	
(1) First involved (derailed, struck, etc)  (2) Causing (if mean cause reported)  34. Locomotive Units  (1) Total in Train  (2) Total Derailed  36. Equipment Damage This Consist  40. Engineers/ Operators 0  Casualties to: Fatal  Nonfatal  52. Type of Equipment Consist (single entry)  55. Speed (recorded space)  R - Recorded E - Estimated  23	\$22,434.0 41. Firemen 0 46. Railroad E 0 0 1. Freight trai 2. Passenger t 3. Commuter	a. Initial and CSX  a. Head End  O  O  Number of C  Employees  in 4. train 5. train 6.	TAT5255  O  Mid T b. Manual  O  O  T. Track, Signal, V & Structure I  rew Members  42. Conductors  O  47. Train Passeng  O  Code  Single car  Cut of cars  Passeng  Cut of cars  A  Cut of cars  A  Cut of cars  A  Cut of cars  Cut of cars  A  Cut of cars  Cut of cars	b. Positio  b. Positio  c. Remote  0  Way,  Damage  Sers  Yard/swite  Light locor  Maint/inst ethod(s) of TCS  utto train co	on in Train  1  0  d. Man  0  43. Brak  48. Other  Ching (s). opect. car Operation g. A ontrol h. (c) opp i. T j. T ol k. l	Rear End nual e. R )  \$0.00  semen 0 r 0 OPERAT A. Spec. N  (en	emote  0  0  ING T  flow Eq  ter code  affic  ain order t control	d (yes/no)  no  N/A  35. Cars  (1) Total in  (2) Total De  38. Primary Cat Code  44. Engineer/Op Hrs:  49. EOT Device 1. Yes  51. Caboose Oc 1. Yes  RAIN # 2  uip. Code  (s) that apply)  m. Special in n. Other that s o. Positive to	Equipment of the second of the	32. If railro enter the app.  33. Was this ment Consist  Min 2. No d by Crew? 2. No Attended? 1. Yes extions on track rules	ad employee(see number that copriate box. see number that coprise see number t	b) tested for d	cemote drug/ald e in engers contribute de e in engre contribute de e in engers contribute de engre contrib	? (Y/N)  Empt 2. Freight  22  5  ting Cause  Controlled emotely core e control po	Alcohol  O  y d. Pass.  O  O  Mi Properly Arn  2. No  LKE35-21 Locomotive throlled opera ortable transn wer operation ortable than one	Drugs   0	

FORM FRA F 6180.39 (Revised July 2003)

3,857

DEPARTMENT OF TRANSPORTATION

101. Highway-Rail Crossing Users

104. Locomotive Auxiliary Lights?

106. Locomotive Headlight Illuminated?

0

1. Yes

0

2. No

2. No

FRA FACTUAL RAILROAD ACCIDENT REPORT FRA File# HQ-2005-68 FEDERAL RAILROAD ADMINISTRATION (FRA) OPERATING TRAIN #2 (CONTINUED) 58. Principal Car/Unit a. Initial and Number b. Position in Train 59. If railroad employee(s) tested for drug/alcohol use c. Loaded (1) First involved enter the number that were positive in Alcohol Drugs (derailed, struck, etc) UP(SP)2658 N/A the appropriate box. 1 0 (2) Causing (if mechanical 60. Was this consist transporting passengers? (y/n)cause reported) 0 0 N/A N Empty d. Pass. 61. locomotive Units a. Head Mid Train Rear End 62. Cars Loaded c. Freight d. Manual e. Remote a. Freight | b. Pass b. Manual c. Remote e. Caboose End (1) Total in Train (1) Total in Equipment Consist 1 0 0 0 0 0 (2) Total Derailed (2) Total Derailed 0 0 0 0 2 0 63. Equipment Damage 64. Track, Signal, Way. 65. Primary Cause 66. Contributing Cause & Structure Damage This Consist Code Code \$4,000 \$8,946 H404 H402 Number of Crew Members Length of Time on Duty 71. Engineer/Operator 67. Engineers/ 69. Conductors 70. Brakemen 72. Conductor Operators Hrs. Mins: Hrs: 30 30 77. Was EOT Device Properly Armed? 75. Other Casualties to: 73. Railroad Employees 74. Train Passengers 76. EOT Device? 1. Yes 2. No 2. No Fatal 0 0 0 78. Caboose Occupied by Crew? Nonfatal 3 0 0 1. Yes 2. No N/A Highway User Involved Rail Equipment Involved 79. Type 83. Equipment Code C. Truck-Trailer F. Bus J. Other Motor Vehicle 3. Train (standing) 6. Light Loco(s) Code D. Pick-Up Truck G. School Bus A. Auto K. Pedestrian 1. Train (units pulling) 4. Car(s) (moving) 7. Light Loco(s) (standing) B. Truck H. Motorcycle M. Other 2. Train (units pushing) 5. Car(s) (standing) 8. Other (specify in narrative) (spec. in narrative) N/A N/A 80. Vehicle speed 81. Direction 84. Position of Car Unit in Train (geographical) Code (est. MPH at impact) N/A 1. North 2. South 3. East 4. West N/A N/A Code Code 82. Position 85. Circumstance 1. Stalled on Crossing 2. Stopped on Crossing 3. Moving Over Crossing 1. Rail Equipment Struck Highway User 2. Rail Equipment Struck by Highway User N/A N/A 86a. Was the highway user and/or rail equipment involved 86b. Was there a hazardous materials release by Code Code in the impact transporting hazardous materials? 1. Highway User 2. Rail Equipment 3. Both 4. Neither 1. Highway User 2. Rail Equipment 3. Both 4. Neither N/A N/A 86c. State here the name and quantity of the hazardous materials released, if any. 87. Type of 1. Gates 4. Wig Wags 7. Crossbucks 10. Flagged by crew 88. Signaled Crossing Warning Code 89 Whistle Ban Code 2. Cantilever FLS 5. Hwy. traffic signals 11. Other (spec. in narr. Crossing 8. Stop signs 1. Yes Warning 3. Standard FLS 6. Audible 9. Watchman 12. None (See instructions for codes) 2. No. Code(s) N/A N/A N/A N/A N/A N/A N/A 3. Unknown N/A N/A 90. Location of Warning 92. Crossing Illuminated by Street 91. Crossing Warning Interconnected Code Code Code with Highway Signals Lights or Special Lights 1. Both Sides 2. Side of Vehicle Approach 1. Yes 1. Yes 3. Opposite Side of Vehicle Approach 2. No 2. No N/A N/A N/A 3. Unknown 3. Unknown 93. Driver's 94. Driver's Gender 95. Driver Drove Behind or in Front of Train 96. Driver Code Code Code and Struck or was Struck by Second Train 1. Drove around or thru the Gate Age 4. Stopped on Crossing 2. Stopped and then Proceeded 1. Male 1. Yes 2. No 3. Unknown 5. Other (specify in 3. Did not Stop 0 2. Female N/A N/A N/A narrative) 97. Driver Passed Standing 98. View of Track Obscured by (primary obstruction) Code Code Highway Vehicle 1. Permanent Structure 3. Passing Train 5. Vegetation (specify in narrative) 7. Other 2. Standing Railroad Equipment 4. Topography 6. Highway Vehicles 8. Not obstructed 2. No 3. Unknown 1. Yes N/A N/A 99. Driver Was Code 100 Was Driver in the Vehicle? Code Casualties to: Killed Injured 1. Killed 2. Injured N/A N/A 1. Yes 102. Highway Vehicle Property Damage 103. Total Number of Highway-Rail Crossing Users

(est. dollar damage)

Code

N/A

Code

N/A

\$0

105. Locomotive Auxiliary Lights Operational?

107. Locomotive Audible Warning Sounded?

1. Yes

(include driver)

2. No

2. No

Code

N/A

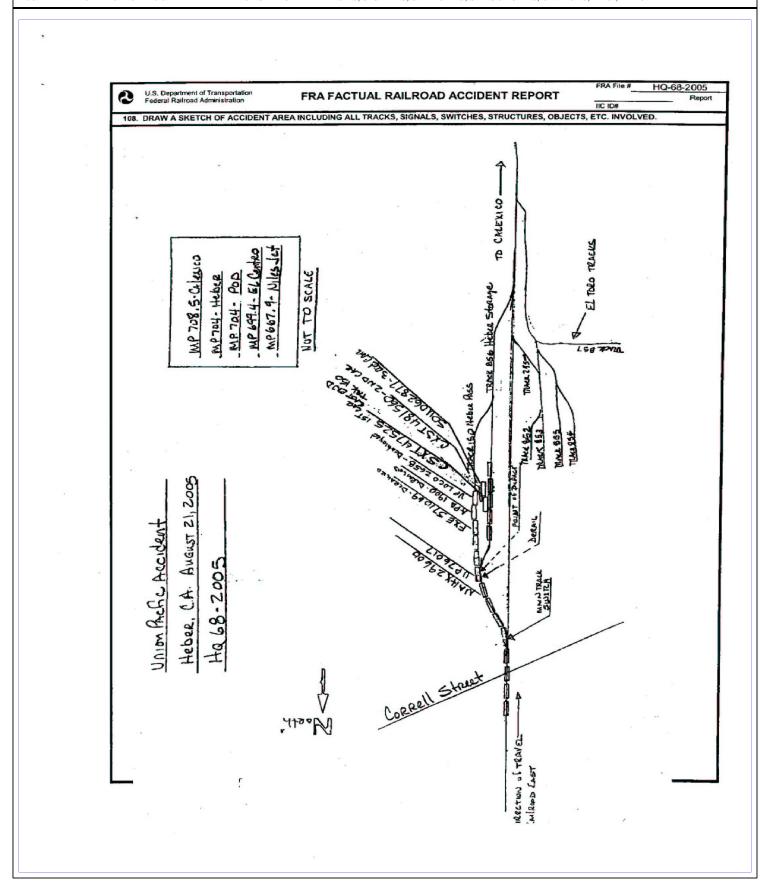
Code

N/A

FRA File #

HQ-2005-68

108. DRAW A SKETCH OF ACCIDENT AREA INCLUDING ALL TRACKS, SIGNALS, SWITCHES, STRUCTURES, OBJECTS, ETC., INVOLVED.



DEPARTMENT OF TRANSPORTATION FEDERAL RAILROAD ADMINISTRATION (FRA)

# FRA FACTUAL RAILROAD ACCIDENT REPORT

FRA File #

HQ-2005-68

#### 109. SYNOPSIS OF THE ACCIDENT

On August 21, 2005, at 10:30 p.m. PDT, an eastbound Union Pacific (UP) freight train LKE35-21 (Train # 2) operating on main line track and consisting of a single locomotive with 39 cars impacted an unattended standing cut of cars on the Heber passing track (MP704.0) at a recorded speed of 23 mph. The collision derailed three cars of Train # 2 and five of 22 cars set out by UP freight train LKE34-19 (Train #1) to derail. The three crew members of Train # 2 were transported by ambulance to a hospital where they were treated for multiple lacerations of their heads, arms and chests. There was no release of hazardous materials and no evacuation ordered.

UP's Calexico Subdivision operates in a timetable east-west direction between Niland Junction, MP 667.9 and Calexico, MP 708.5 in Imperial County, California. The method of operation is Track Warrant Authority (TWC), non-signaled territory. The dispatcher is located in San Bernardino, California. The subdivision is single main track with sidings and yard tracks. The maximum timetable speed at the point of impact is 10 mph, while main track speed is 40mph.

Damage was listed as follows: equipment, \$31,380, track, \$4,000.

At the time of the accident it was dark but clear and the temperature was 90 degrees F.

The accident was caused by the failure of Train #1's crew to re-line a switch back to the main track after completing switching operations on the Heber passing track and failure to comply with Timetable Special Instructions, Conductor's Report Form, TT/SSi Rule 1.47, Duties of Crew Members.

110. NARRATIVE

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FRA File #

HQ-2005-68

# Circumstances prior to the accident:

UP Train # 1 (LKE34-19)

On August 19, 2005, a crew consisting of an engineer and brakeman went on duty at 8:00 a.m. PDT at the El Centro (CA) Yard. The conductor received a late call and was on duty at 8:45 a.m. All three crew members received the statutory time off duty prior to reporting for duty.

At approximately 9:15 a.m., the crew received the required job briefing and paperwork and was instructed to run lite locomotives to Calexico, pick up interchange and industry cars in El Toro and switch at Heber, CA. The crew departed El Centro at 10:00 a.m., railroad west. In Calexico, they made some switching moves to assemble their train, made an air test, and departed Calexico with 68 cars, 12 loads and 56 empties for their return to Heber. Train #1operated railroad east from Calexico to Heber.

Geographically, El Centro is approximately 14.6 miles north of Heber and Calexico is approximately 4.5 miles south of Heber. All directions used in this report are UP timetable directions. Approaching the accident site, the track is tangent for over one-half mile and 0.35% descending grade. The area is rural.

During the trip to Heber, the engineer was at the controls of the locomotive and the other crew members were seated on the opposite side of the cab. The crew discussed the switching moves while en route. Upon arrival, the train stopped at the east end of Heber on the main track and cut the El Centro cars away from the locomotives. The brakeman got off the train, uncoupled the locomotives and applied hand brakes. The engineer, accompanied by the conductor, operated the lite locomotives on the main track west to the west end of Heber. The brakeman then lined and locked the switches at the east end of the passing track for the main track. The train would back up later to couple onto the cars left on the main track.

Following various switching moves, 22 cars were set on the Heber passing track. During the switching, the brakeman contacted the conductor, advised him that a crew van had arrived and asked if he needed any help applying the hand brakes on the cars on the passing and storage tracks. The conductor said he did not need help so the brakeman waited in the van for the conductor. After applying hand brakes on the cars, the conductor joined the brakeman in the van where they discussed the next switching moves and were taken to the head end of the train. After completing the work at Heber, the crew departed by train to do other industry work between Heber and El Centrol.

UP Train # 2 (LKE35-21)

On August 21, 2005, the crew consisting of an engineer, conductor and a brakeman, went on duty at 8:00 p.m. PDT at the El Centro Yard. All three crew members received the statutory time off prior to reporting for duty. At approximately 8:15 p.m., they received their required paper work and a job briefing from the manager on duty. They were instructed to perform switching operations in the El Centro Yard and proceed to Calexico to set out the interchange cars.

Train # 2 departed El Centro at approximately 10:00 p.m with a single locomotive and 39 cars. The train was operated railroad east with the engineer at the controls of the locomotive and the other crew members seated on the opposite side of the cab. As the train approached Heber, the locomotive engineer sounded the whistle at the quarter-mile whistle board for the Correll Road Crossing (MP 703.47) at a speed of 30 mph. While in the middle of Correll Road, the engineer asked the conductor if the switch at the west end of Heber was lined for the siding. Both the engineer and the conductor noticed that the switch was lined from the main to the siding. The engineer placed the train air brake controls in emergency.

The conductor yelled to the crew, "We're going to go into the siding and strike the cars! Lay down on the floor with your feet toward the front of the locomotive!" As the train was slowing down, it left the main track, entered the Heber passing track and collided with the cut of cars set out earlier by Train #1.

The Accident:

At 10:30 p.m. PDT, August 21, 2005, Train #2 collided with an unattended standing cut of cars on the Heber passing track (MP704.0) at a recorded speed of 23 mph. The collision derailed three cars of Train # 2 and five cars of Train # 1. All three crew members of Train # 2 were injured.

At impact, the engineer was laying down on the right side of the cab floor, the conductor was laying down in the middle and the brakeman was laying on the left side of the cab. After the collision, the conductor contacted the train dispatcher via radio and informed him of the accident. The crew helped each other out of the locomotive.

Paramedics from Heber and El Centro Fire Departments and Union Pacific managers arrived a short time later. After the crew members were examined by paramedics, they were transported to Pioneer Memorial Hospital in Brawley, California.

Post Accident Investigation:

On August 23, 2005, at 9:30 a.m. PDT, a California Public Utilities Commission (CPUC) Operating Practices Inspector interviewed the conductor and brakeman of Train #1. In the interview the conductor stated he was sure he had lined the main track switch and derail for main line movement at Heber. The railroad did not conduct reasonable cause testing on the crew of Train #1.

The investigation revealed the conductor of Train # 1 failed to release his Track Warrant at the end of his shift. It was not released until Sunday, August 21, 2005, at 7:04 a.m.

The railroad held a disciplinary investigation on Train #1's conductor and brakeman for General Code of Operating Rules violations for failure to comply with order/track warrant/track bulletin/timetable and motor car or on-track equipment rules. The conductor was allowed to take remedial (CORE) training and the brakeman received an admonishment. UP found the engineer was not to blame and did not conduct a discipline hearing on him.

DEPARTMENT OF TRANSPORTATION FEDERAL RAILROAD ADMINISTRATION (FRA)

# FRA FACTUAL RAILROAD ACCIDENT REPORT

FRA File # HQ-2005-68

Train #2's engineer was working light duty as of October 3, 2005 and returned to full duty on January 23, 2006. The conductor was working light duty as of November 1, 2005, received physical therapy and was released to full duty on February 17, 2006. The brakeman was expected to return to full duty on March 1, 2006.

After the accident, UP managers conducted an around-the-clock Safety Blitz to inform all Train, Yard and Engine (TY&E) personnel of the Revised System Special Instructions (TT/SSI). Throughout the week of September 6, 2005, CPUC and FRA Operating Practices Inspectors and UP managers conducted unannounced testing on TY&E crews on trains and in job briefings in the El Centro area.

Track Damage: \$4,000

Equipment Damage Estimate: \$31,380.

Operating Practices Follow-up: During the week of January 9, 2006, FRA and CPUC inspectors conducted an Emergency Order 24 and Operating Rules audit with UP operating officers in the El Centro area. Testing was conducted for specific rules that contributed to the accident, including general orders, general bulletins and circulars, use of switches and track warrant control. The audit disclosed employees were in compliance with EO 24 and UP General Code of Operating Rules.

### Probable Cause:

The accident was caused by the failure of Train #1's crew to re-line a switch back to the main track after completing switching operations on the Heber passing track and failure to comply with Timetable Special Instructions, Conductor's Report Form, TT/SSi Rule 1.47, Duties of Crew Members.

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