

**Statutory Notification of PTC System Failures (Form FRA 6180.177)**  
Screenshots of the Proposed Web Form

# Please sign in

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Change Password

# Statutory Notification (PTC) System Failures

Pursuant to 49 U.S.C. § 20157(j)(4), each host railroad operating an FRA-certified PTC system on its PTC-governed main lines, including cut outs, and malfunctions that occur on its PTC-governed main lines, must submit a failure-related notification on a quarterly basis by the due dates in the following table, during the ongoing implementation process. A host railroad must begin submitting monthly notifications (see above) immediately after it finishes fully implementing an FRA-certified and interoperable PTC system on all its PTC-mandated main lines.

...ed Form FRA F 6180.177—of any PTC system initialization failures, cut outs, and malfunctions that occurred on its PTC-governed main lines. The reporting requirement is temporary and expires on December 31, 2021.<sup>1</sup>

### Reporting Frequency and Due Dates:

- **Any Fully Implemented PTC Systems:** By the 15th of each month following the end of the month during the prior calendar month, if the host railroad has fully implemented the PTC system on all its PTC-mandated main lines.
- **Any Other FRA-certified PTC Systems:** If a host railroad is operating an FRA-certified PTC system but is still in the process of fully implementing the PTC system on its required main lines, it must submit a failure-related notification on a **quarterly** basis by the due dates in the following table, during the ongoing implementation process. A host railroad must begin submitting monthly notifications (see above) immediately after it finishes fully implementing an FRA-certified and interoperable PTC system on all its PTC-mandated main lines.

Change Password
✕

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Old Password

New Password

Repeat New Password

Cancel
Submit

Period	Coverage Period	Due Date
Q1	January 1 - March 31	April 30
Q2	April 1 - June 30	July 31
Q3	July 1 - September 30	October 31
Q4	October 1 - December 31	January 31

### PTC Access Request



Full Name:

Email Address:

Position/Title:

Railroad Name:

Cancel

Submit

Change Password

# Statutory Notification of Positive Train Control (PTC) System Failures

Start Form

Pursuant to 49 U.S.C. § 20157(j)(4), each host railroad operating an FRA-certified PTC system must notify FRA—using this mandatory, web-based Form FRA F 6180.177—of any PTC system initialization failures, cut outs, and malfunctions that occur on its PTC-governed main lines, including those experienced by its tenant railroads. This statutory reporting requirement is temporary and expires on December 31, 2021.<sup>1</sup>

### Reporting Frequency and Due Dates:

- **Any Fully Implemented PTC Systems:** By the 15th of each month, a host railroad must submit a **monthly** notification of any PTC system initialization failures, cut outs, and malfunctions that occurred during the prior calendar month, if the host railroad has fully implemented an FRA-certified and interoperable PTC system on all its PTC-mandated main lines.<sup>2</sup>
- **Any Other FRA-certified PTC Systems:** If a host railroad is operating an FRA-certified PTC system but is still in the process of fully implementing the PTC system on its required main lines, it must submit a failure-related notification on a **quarterly** basis by the due dates in the following table, during the ongoing implementation process. A host railroad must begin submitting monthly notifications (see above) immediately after it finishes fully implementing an FRA-certified and interoperable PTC system on all its PTC-mandated main lines.

Period	Coverage Period	Due Date
Q1	January 1 - March 31	April 30
Q2	April 1 - June 30	July 31
Q3	July 1 - September 30	October 31
Q4	October 1 - December 31	January 31



Period	Coverage Period	Due Date
Q1	January 1 - March 31	April 30
Q2	April 1 - June 30	July 31
Q3	July 1 - September 30	October 31
Q4	October 1 - December 31	January 31

**Request for Confidentiality, If Any:**

Consistent with 49 CFR § 209.11, if a railroad requests partial or full confidentiality of this data, do all of the following steps:

- Indicate so by checking this box
- Provide a statement justifying nondisclosures and referring to the specific legal authority claimed:

- In addition to submitting this web form, submit the data upload template with redactions and labels, meeting the requirements under 49 CFR § 209.11(d), to the [FRA Secure Information Repository \(SIR\)](#).

<sup>1</sup>Specifically, 49 U.S.C. § 20157(j)(4) states that this temporary reporting requirement ends one year after the last Class I railroad obtains PTC System Certification from FRA and finishes fully implementing a PTC system on all its required main lines.

<sup>2</sup>For example, the notification regarding PTC system initialization failures, cut outs, and malfunctions during April 2020 would be due by May 15, 2020, for the subset of host railroads that have fully implemented an FRA-certified and interoperable PTC system as of that reporting period.

Public reporting burden for this information collection is estimated to average 1 hour per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. According to the Paperwork Reduction Act of 1995, a federal agency may not conduct or sponsor, and a person is not required to respond to, nor shall a person be subject to a penalty for failure to comply with, a collection of information unless it displays a currently valid OMB control number. The valid OMB control number for this information collection is 2130-0553. All responses to this collection of information are mandatory. Send comments regarding this burden estimate or any other aspect of this collection, including suggestions for reducing this burden to OMB's Office of Information and Regulatory Affairs, Attn: FRA OMB Desk Officer.

# Statutory Notification of Positive Train Control (PTC) System Failures

Form FRA F 6180.177 OMB Control No. 2130-0553

Railroad:

Total Number of PTC-required Train Miles:

Safety Measures in Place: 49 U.S.C. § 20157(j)(4) requires a railroad to provide in this notification "a description of the safety measures the affected railroad . . . has in place."

Submission Period:

Total Number of Scheduled Attempts at Initialization During Reporting Period:

Submit Import

Instructions and Definitions

40%

Tenant Count: 1

N/A

+ Tenant

### Failure Types

- Failure to Initialize:** Any instance when a PTC system fails to activate on a locomotive or train, unless the PTC system successfully activates during a subsequent attempt in the same location or before entering PTC territory. For the types of PTC systems that do not "initialize" by design, a failed departure test is considered a "failure to initialize" for purposes of this reporting requirement, unless the PTC system successfully passes the departure test during a subsequent attempt in the same location or before entering PTC territory.
- Cut Out:** Any instance when a PTC system fails to activate on a locomotive or train, unless the PTC system successfully activates during a subsequent attempt in the same location or before entering PTC territory. For the types of PTC systems that do not "initialize" by design, a failed departure test is considered a "failure to initialize" for purposes of this reporting requirement, unless the PTC system successfully passes the departure test during a subsequent attempt in the same location or before entering PTC territory.
- Malfunction:** Any instance when a PTC system, subsystem, or component fails to perform the functions mandated under 49 U.S.C. 20157(i)(5), 49 CFR part 236, subpart I, or the applicable host railroad's PTC Safety Plan.

Failure Type	Subdivision	Number of Failures
Under 49 U.S.C. § 20157(j)(4)	As Reported in the Host Railroad's PTC Implementation Plan (PTCIP)	During Reporting Period

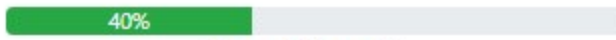
You have not added any failures. An entry is required.



Railroad:

Submission Period:

Submit Import



Tenant Count: 1

N/A

+ Tenant

Total Number of PTC-required Train Miles

Total Number of Scheduled Attempts at Initialization During Reporting Period:

Instructions and Definitions

Failure Types

- *Failure to Initialize:* Any instance when a PTC system fails to activate on a locomotive or train, unless the PTC system successfully activates during a subsequent attempt in the same location or before entering PTC territory. For the types of PTC systems that do not "initialize" by design, a failed departure test is considered a "failure to initialize" for purposes of this reporting requirement, unless the PTC system successfully passes the departure test during a subsequent attempt in the same location or before entering PTC territory.
- *Cut Out:* Any instance when a PTC system fails to activate on a locomotive or train, unless the PTC system successfully activates during a subsequent attempt in the same location or before entering PTC territory. For the types of PTC systems that do not "initialize" by design, a failed departure test is considered a "failure to initialize" for purposes of this reporting requirement, unless the PTC system successfully passes the departure test during a subsequent attempt in the same location or before entering PTC territory.
- *Malfunction:* Any instance when a PTC system, subsystem, or component fails to perform the functions mandated under 49 U.S.C. 20157(i)(5), 49 CFR part 236, subpart I, or the applicable host railroad's PTC Safety Plan.

Safety Measures in Place: 49 U.S.C. § 20157(j)(4) requires a railroad to provide in this notification "a description of the safety measures the affected railroad . . . has in place."

Failure Type	Subdivision	Number of Failures
Under 49 U.S.C. § 20157(j)(4)	As Reported in the Host Railroad's PTC Implementation Plan (PTCIP)	During Reporting Period

You have not added any failures. An entry is required.

+ Failure



# Statutory Notification of Positive Train Control (PTC) System Failures

Form FRA F 6180.177 OMB Control No. 2130-0553

Railroad:

Metro North Commuter Railroad Company

Total Number of PTC-required Train Miles

5132423

Safety Measures in Place:

Our safety measures are all spelled out here. They're quite good however we're always improving.

Submission Period:

February 2020

Total Number of Scheduled Attempts at Initialization During Reporting Period:

21513453

Submit Import

+ Instructions and Definitions

Report Complete

Tenant Count: 1

Metro North Commuter Railroad Com... ✓

+ Tenant

Failure Type	Subdivision	Number of Failures	
Under 49 U.S.C. § 20157(j)(4)	As Reported in the Host Railroad's PTC Implementation Plan (PTCIP)	During Reporting Period	
Cut Outs	ABC	1	
Failures to Initialize	ABC	2	
Malfunctions	XYZ	3	

+ Failure

# Statutory Notification of Positive Train Control (PTC) System Failures

Form FRA F 6180.177 OMB Control No. 2130-0553

Railroad:  
Metro North Commuter Railroad Company

Submission Period:  
February 2020

Submit Import

98%  
Tenant Count: 2

★ Metro North Commuter Railroad Com... ✓

N/A

+ Tenant

Total Number of PTC-required Train Miles  
5132423

Total Number of Scheduled Attempts at Initialization During Reporting Period:  
21513453

+ Instructions and Definitions

Tenant Name:  
Tenant Name

Is the PTC System Governing This Tenant's Operations?

Total Number of Trains Operated on Host Railroad's PTC-governed Main Lines During Reporting Period

Safety Measures in Place:  
Our safety measures are all spelled out here. They're quite good however we're always improving.

Failure Type	Subdivision	Number of Failures
Under 49 U.S.C. 5 20157(j)(4)	As Reported in the Host Railroad's PTC Implementation Plan (PTCIP)	During Reporting Period

You have not added any failures. An entry is required.

+ Failure

Railroad: Metro North Commuter Railroad Compan

Submission Period: February 2020

Submit Import

Report Complete Tenant Count: 2

Metro North Commuter Railroad Com...

Tenantantant

+ Tenant

Total Number of PTC-required Train Miles: 5132423

Total Number of Scheduled Attempts at Initialization During Reporting Period: 21513453

+ Instructions and Definitions

Tenant Name: Tenantantant

Is the PTC System Governing This Tenant's Operations? [checked]

Total Number of Trains Operated on Host Railroad's PTC-governed Main Lines During Reporting Period: 24

Safety Measures in Place: Our safety measures are all spelled out here. They're quite good however we're always improving.

Failure Type	Subdivision	Number of Failures	
Under 49 U.S.C. § 20157(j)(4)	As Reported in the Host Railroad's PTC Implementation Plan (PTCIP)	During Reporting Period	
Cut Outs	FSA	1	
Failures to Initialize	GFS	2	
Malfunctions	MMW	3	

+ Failure



# Statutory Notification of Positive Train Control (PTC) System Failures

Form FRA F 6180.177 OMB Control No. 2130-0553

Railroad:

Metro North Commuter Railroad Company

Total Number of PTC-required Train Miles

5132423

Safety Measures in Place:

Our safety measures are all spelled out here. They're quite good however we're always improving.

Submission Period:

February 2020

Total Number of Scheduled Attempts at Initialization During Reporting Period:

21513453

Submit Import

+ Instructions and Definitions

99% Tenant Count: 2

Metro North Commuter Railroad Com... ✓

N/A [trash] [cancel]

+ Tenant

Tenant Name:

Tenant Name

Is the PTC System Governing This Tenant's Operations?

Railroad: Metro North Commuter Railroad Company

Submission Period: February 2020

Submit Import

Report Complete Tenant Count: 2

Metro North Commuter Railroad Com...

Tenantantant

+ Tenant

Total Number of 5132423

Total Number of Reporting Period 21513453

+ Instructions

Tenant Name: Tenantantant

Is the PTC System Governing This Tenant's Operations? [checked]

Total Number of Trains Operated on Host Railroad's PTC-governed Main Lines During Reporting Period 24

Failure Type	Subdivision	Number of Failures
Under 49 U.S.C. § 20157(j)(4)	As Reported in the Host Railroad's PTC Implementation Plan (PTCIP)	During Reporting Period
Cut Outs	FSA	1
Failures to Initialize	GFS	2
Malfunctions	MMW	3

+ Failure

### Confirm Submission

By clicking "Submit Form", you are confirming that all ptc system failures that occur on PTC-governed main lines, including those experienced by tenant railroads, for the selected reporting period have been reported in this form.

Return to Form Submit

Railroad: Metro North Commuter Railroad Company

Submission Period: February 2020

Submit Import

Report Complete Tenant Count: 2

Metro North Commuter Railroad Com...

Tenantanant

+ Tenant

Total Number of 5132423

Total Number of Reporting Period 21513453

+ Instructions and Definitions

Tenant Name: Tenantanant

Is the PTC System Governing This Tenant's Operations?

Total Number of Trains Operated on Host Railroad's PTC-governed Main Lines During Reporting Period 24

Failure Type	Subdivision	Number of Failures
Under 49 U.S.C. § 20157(j)(4)	As Reported in the Host Railroad's PTC Implementation Plan (PTCIP)	During Reporting Period
Cut Outs	FSA	1
Failures to Initialize	GFS	2
Malfunctions	MMW	3

+ Failure

**Submission Status**

Your submission has been successfully processed.

Ok



**Statutory Notification of PTC System Failures (Form FRA 6180.177)**  
Screenshots of the Proposed Excel Template for Bulk Upload to the  
Web Form



## Sample Excel upload sheet

**Note: data is not real data and is just serving as an example**

IsTenant	OrganizationName	IsPTCGoverned	TotalTrainsOperatedOnHost	FailureTypeCode	Subdivision	TotalFailuresDuringPeriod
FALSE	ABCD	TRUE	32	M	AMBOY	19
FALSE	ABCD	TRUE	32	C	AMBOY	10
FALSE	ABCD	TRUE	32	I	AMBOY	10
TRUE	ACADIANA RAILWAY COMPANY	TRUE	4	C	CROWLEY LINE	8
TRUE	ACADIANA RAILWAY COMPANY	TRUE	4	I	CROWLEY LINE	1
TRUE	ACADIANA RAILWAY COMPANY	TRUE	4	M	CROWLEY LINE	17
TRUE	ACADIANA RAILWAY COMPANY	TRUE	4	C	OPELOUSAS LINE	17
TRUE	ACADIANA RAILWAY COMPANY	TRUE	4	I	OPELOUSAS LINE	12
TRUE	ACADIANA RAILWAY COMPANY	TRUE	4	M	OPELOUSAS LINE	17
TRUE	ADIRONDACK SCENIC RAILROAD	TRUE	43	C	ADIRONDACK	10
TRUE	ADIRONDACK SCENIC RAILROAD	TRUE	43	C	SYSTEM	7
TRUE	ADIRONDACK SCENIC RAILROAD	TRUE	43	I	ADIRONDACK	18
TRUE	ADIRONDACK SCENIC RAILROAD	TRUE	43	I	SYSTEM	3
TRUE	ADIRONDACK SCENIC RAILROAD	TRUE	43	M	ADIRONDACK	10
TRUE	ADIRONDACK SCENIC RAILROAD	TRUE	43	M	SYSTEM	17
TRUE	ALEXANDRIA TRAINS	FALSE				
TRUE	ABERDEEN RAILROAD	TRUE	12	C	PIEDMONT	15
TRUE	ABERDEEN RAILROAD	TRUE	12	I	PIEDMONT	1
TRUE	ABERDEEN RAILROAD	TRUE	12	M	PIEDMONT	5
TRUE	ABERDEEN RAILROAD	TRUE	12	C	SANDHILLS	12
TRUE	ABERDEEN RAILROAD	TRUE	12	I	SANDHILLS	0
TRUE	ABERDEEN RAILROAD	TRUE	12	M	SANDHILLS	6



## Instructions for Bulk Upload Submitted Data

See the sample submission tab in this template for examples of a proper submission

### Excel Requirements

**The FailureData tab must be the first tab in the spreadsheet**  
**The FailureData tab column order should not be changed**

A value should be submitted for each field in a record for all PTC Governed tenants. Blank or invalid data loaded by bulk upload will be required to be set individually and manually in the application.

### Spreadsheet Field Instructions -- All records

<b>IsTenant</b>	Set to TRUE for all tenant records, including non-governed tenants, FALSE for the submitting railroad.
<b>OrganizationName</b>	Enter any value for the submitting railroad. (The submitter name will be selected from a list using the application.)
<b>IsPTCGoverned</b>	A host railroad's PTCIP is the source for the list of its PTC-governed tenant railroads. If a PTC system is not yet governing a tenant railroad's operations enter FALSE. Enter TRUE for governed tenants.

### Spreadsheet Field Instructions -- Submitter and Governed Tenants

<b>TotalTrainsOperatedOnHost</b>	Enter an integer value.
<b>FailureTypeCode</b>	Use the following codes to represent the failure type for a failure record I = Initialization Failures C = Cutouts M = Malfunctions
<b>Subdivision</b>	Enter the subdivision name up to a 100 character limit.
<b>TotalFailuresDuringPeriod</b>	Enter an interger value. Use 0 if the tenant did not experience any failures of that type during the reporting

### Upload Spreadsheet Data

When the Excel file data is complete and saved, click the Import Failure Reports button on the main screen. Select the .XLS or .XLSX file to be loaded and clock Open.

## Data reference for Excel upload sheet

FailureType	Label	Description
I	Failures to Initialize	Failures to Initialize: Any instance when a PTC system fails to activate on a locomotive or train, unless the PTC system successfully activates during a subsequent attempt in the same location or before entering PTC territory. For the types of PTC systems that do not “initialize” by design, a failed departure test is considered a “failure to initialize” for purposes of this reporting requirement, unless the PTC system successfully passes the departure test during a subsequent attempt in the same location or before entering PTC territory.
C	Cut Outs	Any cut out of a PTC system, subsystem, or component en route, including when the PTC system cuts out on its own or a person cuts out the system, unless the cut out was necessary to exit PTC-governed territory and enter non-PTC territory.
M	Malfunctions	Any instance when a PTC system, subsystem, or component fails to perform the functions mandated under 49 U.S.C. 20157(i)(5), 49 CFR part 236, subpart I, or the applicable host railroad’s PTC Safety Plan.