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Form FRA F 6180.177  
OMB Control No. 2130-0553  
OMB Approval Granted 06/05/2020  
OMB Approval Expires 06/30/2023

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

Start Form

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.

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

### 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:

**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:

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

3. 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.

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

Form FRA F 6180.177 OMB Control No. 2130-0553

Railroad:

Submission Period:

Total Number of PTC-required Train Miles (in thousands):

Total Number of Scheduled Attempts at Initialization During Reporting Period:

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."

Submit | Import

40% progress bar

Tenant Count: 0  
★ N/A

+ Tenant

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 disabling 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.
- 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.

+ Failure

Railroad:

Submission Period:

Total Number of PTC-required Train Miles (in thousands)

Total Number of Scheduled Attempts at Initialization During Reporting Period:

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."

Submit Import



Tenant Count: 1  
★ N/A

Tenant 1

+ Tenant

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.
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- *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.

Instructions for Reporting on Tenant Railroads

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 particular tenant railroad's operations, do not check the box 'Is the PTC System Governing This Tenant's Operations?' and do not enter any failures for that tenant railroad. Only add failures and write "0" if a tenant railroad did not experience any failures of that type during the reporting period.

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

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

## 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:  
Alaska Railroad Corporation (ARR)

Submission Period:  
July 2020

Total Number of PTC-required  
200

Total Number of Scheduled At  
1234

[Submit](#) [Import](#)

Report Complete  
Tenant Count: 0  
★ Alaska Railroad Corporation (ARR)

[+ Tenant](#)

Instructions and Definition

### 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 disabling 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.
- 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
Cut Outs	Kenai	2



[+ Failure](#)