



## Biannual Report of Positive Train Control (PTC) System Performance

Public reporting burden for this information collection is estimated to average 12 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 FRA's Information Collection Clearance Officer via e-mail (*Hodan.Wells@dot.gov*) or telephone (202-493-0440). In any comments, please reference OMB Control No. 2130-0553, Docket No. FRA-2019-0075, and Regulation Identifier No. 2130-AC75.

OMB Approval Granted XX/XX/XXXX

OMB Approval Expires XX/XX/XXXX



## Form Instructions for the Bias

See 49 CFR § 236.1029(h) for the complete

### Reporting Deadlines Under 49 CFR § 236.

- **Host Railroads:** Each host railroad subject to 49 CFR § 236.1029(h) (49 CFR 236.1029(h) (1) and (2)) shall submit the information required by 49 CFR 236.1006(b)(4) to FRA by the following due date (calendar year). See 49 CFR § 236.1029(h)(1) and (2).  
- **Tenant Railroads:** Each tenant railroad that is subject to 49 CFR 236.1006(b)(4) or (5), shall submit the information required by 49 CFR 236.1006(b)(4) or (5) by **January 15** (for the reporting period of January 1 to June 30) and by **January 15** (for the reporting period of July 1 to December 31).

### General Instructions

1. There are three (3) sheets in this Excel file.
2. Railroad names should be consistently reported throughout the report.
3. The data in sheets "Data (1 of 2)" and "Data (2 of 2)" represent the number of enforcement actions during the reporting period of 2). See the sheets labeled "Sample Data (1 of 2)" and "Sample Data (2 of 2)".

### Form Information Instructions

Reporting Railroad Name:

Reporting Period:

Confidentiality Requested, If Any:

### Data (1 of 2) Instructions

This sheet contains the required performance data for the reporting period.

RailroadName

TrackSegment

SubsystemOrComponent

**EventTypeCode**

**TotalEvents**

**Data (2 of 2) Instructions**

This sheet contains operational data to no

**RailroadName**

**TrackSegment**

**TotalScheduledInitializations**

**TotalTrainsOperated**

**TotalTrainMiles**

**Submission Instructions**

When finished updating the Excel file with  
Submit the completed, saved Excel file ele

## Annual Report of PTC System Performance (Form FRA F 6180.152)

*See list of regulatory requirements for railroads' Biannual Reports of PTC System Performance (Form FRA F 6180.152).*

### 1029(h)

Under 49 U.S.C. § 20157 or 49 CFR part 236, subpart I, shall electronically submit a Biannual Report of PTC System Performance. The report shall be submitted in two parts: **July 31** (covering the period from January 1 to June 30), and **January 31** (covering the period from July 1 to December 31 of the prior calendar year).

A tenant railroad that operates on a host railroad's PTC-governed main line(s), unless the tenant railroad is currently subject to an exception under 49 CFR § 236.1029(h)(3), shall submit the information required under 49 CFR § 236.1029(h)(1) and (2) to each applicable host railroad by **July 15** (for the report covering the period from January 1 to June 30) and **January 15** (for the report covering the period from July 1 to December 31 of the prior calendar year). See 49 CFR § 236.1029(h)(3).

The following file that must be populated with data for a valid submission: Form Information, Data (1 of 2), and Data (2 of 2). Referenced throughout this form.

Data (2 of 2) should correspond with each other. For example, if PTC-governed "Tenant1" experienced PTC-related failures on "Segment1" and "Segment2," those events should be reported in "Data (1 of 2)," and the scale of operations should be reported in "Data (2 of 2)" in this Excel file for an example of a proper submission.

Enter the name of the host railroad submitting this form.

Select the applicable reporting period from the dropdown menu.

Indicate here if the reporting railroad requests partial or full confidentiality of the form data under 49 CFR § 209.11, or write "None".

Enter the PTC-governed track segment (e.g., territory, subdivision, district, main line, branch, or corridor), as it appears in the Implementation Plan.

Enter the railroad name for each event. This list should include the host railroad and any tenant railroad that experienced any PTC-related events (including initialization failures, cut outs, malfunctions, and intended enforcements) during the reporting period.

Enter the PTC-governed track segment (e.g., territory, subdivision, district, main line, branch, or corridor), as it appears in the Implementation Plan.

Use the following values to identify the sources or causes of the initialization failures, cut outs, and malfunctions:

- Locomotive Subsystem
- Wayside Subsystem
- Communications Subsystem
- Back Office Subsystem
- Non-PTC Component

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Use the following codes to represent the types of performance-related events that occurred during the reporting period:

I = Initialization Failures

C = Cut Outs

M = Malfunctions

E = Intended enforcements by the PTC system and any other instances in which the PTC system prevented an accident or incident

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Enter the total number of each type of performance-related event that occurred during the reporting period, separated by railroad segment.

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Normalize the frequency of performance-related events and help determine the rate at which they occur.

This list shall include the host railroad and any tenant railroad that experienced a performance-related event during the reporting period.

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Enter the PTC-governed track segments (e.g., territory, subdivision, district, main line, branch, or corridor), as it appears in the Implementation Plan.

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Enter the total number of scheduled attempts at PTC system initialization during the reporting period for each host railroad and tenant railroad, separated by track segment.

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Enter the total number of PTC-governed trains operated during the reporting period for each host railroad and tenant railroad, separated by track segment.

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Enter the total number of PTC-governed train miles during the reporting period for each host railroad and tenant railroad, separated by track segment.

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Save the data associated with the reporting period, save the file.

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Submit the data electronically to FRA, via FRA's Secure Information Repository (<https://sir.fra.dot.gov>) or another designated location.

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<b>Reporting Railroad Name:</b>
<b>Reporting Period:</b>
<b>Confidentiality Requested, If Any:</b>
<b>Provide a statement justifying the request for nondisclosure and referring to the specific legal authority claimed*:</b>
<b>Summary of any actions the host railroad and its tenant railroads are taking to continually improve the performance and reliability of the PTC system:</b>

\*If a railroad requests partial or full confidentiality, the requirements under § 209.11(d) regarding

[Proposed] Form FRA F 6180.152  
OMB Control No. 2130-0553


lentiality of this form, the railroad must also satisfy the other requirements under 49 CFR § 209.11, including ding labeling, redactions, and multiple versions, if applicable.

**RailroadName**

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**EventTypeCode**

**TotalEvents**

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**RailroadName**

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TotalScheduledInitializations

TotalTrainsOperated

TotalTrainMiles

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EventType	Label
I	Initialization Failure
C	Cut Out
M	Malfunction
E	Intended Enforcement

## Description

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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 an initialization failure for purposes of the reporting requirement under § 236.1029(h), unless the PTC system successfully passes the departure test during a subsequent attempt in the same location or before entering PTC territory.

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.

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.

Any intended enforcements by the PTC system and any other instances in which the PTC system prevented an accident or incident.

**RailroadName**

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Host1	Segment1
Host1	Segment1
Host1	Segment1
Host1	Segment1
Host1	Segment1
Host1	Segment1
Host1	Segment1
Host1	Segment2
Host1	Segment2
Host1	Segment2
Host1	Segment2
Tenant1	Segment1
Tenant1	Segment1
Tenant1	Segment2
Tenant1	Segment2
Tenant2	Segment1
Tenant2	Segment1
Tenant2	Segment1

	<b>EventTypeCode</b>	<b>TotalEvents</b>
Locomotive Subsystem	I	20
Locomotive Subsystem	C	15
N/A - Intended Enforcement	E	4
Communications Subsystem	M	42
Wayside Subsystem	M	12
Back Office Subsystem	C	4
Non-PTC Component	C	2
Locomotive Subsystem	M	12
Communications Subsystem	I	45
Communications Subsystem	M	37
Non-PTC Component	I	4
Locomotive Subsystem	I	18
Back Office Subsystem	C	15
Locomotive Subsystem	I	3
N/A - Intended Enforcement	E	4
Locomotive Subsystem	I	6
Back Office Subsystem	C	3
Non-PTC Component	M	10

**RailroadName**

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Host1	Segment1
Host1	Segment2
Tenant1	Segment1
Tenant1	Segment2
Tenant2	Segment1



<b>TotalScheduledInitializations</b>	<b>TotalTrainsOperated</b>	<b>TotalTrainMiles</b>
15000	7040	800100
14000	6800	720200
1000	750	50000
800	600	45000
500	350	15000