



Biannual Report of Positive Train Control (PTC) System Performance

Public reporting burden for this information collection is estimated to average 48 hours 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 Office of Management and Budget (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. 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 FRA (49 CFR 6180.152) to FRA by the following due date (calendar year).

See 49 CFR § 236.1029(h)(3).

- **Tenant Railroads:** Each tenant railroad subject to FRA (49 CFR 236.1006(b)(4) or (5)), shall submit the information by the following due date.

See 49 CFR § 236.1029(h)(4).

General Instructions

1. There are three (3) sheets in this Excel file.
2. Railroad names should be referenced correctly.
3. The data in sheets "Data (1 of 2)" and "Incidents and Enforcements during the reporting period (2 of 2)." See the sheets labeled "Sample Data".
4. See 49 CFR § 236.1029(h), or the sheet titled "FRA F 6180.152".

Form Information Instructions

Reporting Railroad Name:

Reporting Period:

Confidentiality Requested, If Any:

Data (1 of 2) Instructions

This sheet contains the required performance data.

RailroadName

TrackSegment

Subsystem

EventTypeCode

TotalEvents

Data (2 of 2) Instructions

This sheet contains operational data to no

RailroadName

TrackSegment

TotalScheduledInitializations

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. Reporting periods: **July 31** (covering the period from January 1 to June 30), and **January 31** (covering the period from July 1 to December 31).

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)(1) and (2) to each applicable host railroad on a continuous basis.

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

Data (2 of 2) should correspond with each other. For example, if PTC-governed "Tenant 1" experienced any PTC-related failures on "Segment 1" and "Segment 2," 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.

See the "Regulatory Text" tab for the complete list of regulatory requirements for railroads' Biannual Reports of PTC System Performance.

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 PTC-related data.

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 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 PTC Implementation Plan.

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

- Locomotive
- Wayside
- Communications
- Back Office
- Non-PTC Component
- N/A - Enforcement or Prevented Incident

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 = Any enforcements by the PTC system

P = Any specific instances in which the PTC system prevented an accident or incident

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

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.

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

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.

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

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

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



Reporting Railroad Name:
Reporting Period:
Confidentiality Requested, If Any:
If applicable, provide a statement justifying the request for nondisclosure and referring to the specific legal authority claimed*:
Summary of any actions the host railroad and its tenant railroads are taking to reduce the frequency and rate of initialization failures, cut outs, and malfunctions, such as any actions to correct or eliminate systemic issues and specific problems:

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

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

EventTypeCode

TotalEvents

RailroadName

TotalScheduledInitializations **TotalTrainMiles**

EventType	Label
I	Initialization Failure
C	Cut Out
M	Malfunction
E	Enforcement
P	Prevented Accident or Incident

Description

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 with authorization), 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 enforcements by the PTC system.

Any specific instances in which the PTC system prevented an accident or incident.

RailroadName

Host 1	Segment 1
Host 1	Segment 1
Host 1	Segment 1
Host 1	Segment 1
Host 1	Segment 1
Host 1	Segment 1
Host 1	Segment 1
Host 1	Segment 2
Host 1	Segment 2
Host 1	Segment 2
Host 1	Segment 2
Host 1	Segment 2
Host 1	Segment 3
Host 1	Segment 3
Host 1	Segment 3
Host 1	Segment 3
Tenant 1	Segment 1
Tenant 1	Segment 1
Tenant 1	Segment 2
Tenant 1	Segment 2
Tenant 2	Segment 1
Tenant 2	Segment 1
Tenant 2	Segment 1
Tenant 3	Segment 3

	EventTypeCode	TotalEvents
Locomotive	I	20
Locomotive	C	15
N/A - Enforcement or Prevented Event	E	2
Communications	M	42
Wayside	M	12
Back Office	C	4
Non-PTC Component	C	2
Locomotive	M	12
Communications	I	45
Communications	M	37
Non-PTC Component	I	4
N/A - Enforcement or Prevented Event	P	1
N/A - Enforcement or Prevented Event	E	3
Communications	M	5
Communications	I	3
Locomotive	I	18
Back Office	C	15
Locomotive	I	3
N/A - Enforcement or Prevented Event	E	1
Locomotive	I	6
Back Office	C	3
Non-PTC Component	M	10
Back Office	C	2

RailroadName

Host 1	Segment 1
Host 1	Segment 2
Host 1	Segment 3
Tenant 1	Segment 1
Tenant 1	Segment 2
Tenant 2	Segment 1
Tenant 3	Segment 3

TotalScheduledInitializations	TotalTrainMiles
15000	800100
14000	720205
900	440004
1000	50015
800	45123
500	15000
200	9305

49 CFR § 236.1029(h) -- Biannual Report of PTC System Performance

(h) *Biannual Report of PTC System Performance.* (1) Each host railroad subject to 49 U.S.C. 20157 or this subpart shall electronically submit a Biannual Report of PTC System Performance on Form FRA F 6180.152, containing the information for the applicable reporting period, separated by the host railroad, each applicable tenant railroad, and each applicable governed track segment (e.g., territory, subdivision, district, main line, branch, or corridor), consistent with the host railroad's Implementation Plan:

(i) The total number of PTC system initialization failures, and subtotals identifying the number of initialization failures by source or cause was the onboard subsystem, wayside subsystem, communications subsystem, back office subsystem, or a non-PTC component;

(ii) The total number of PTC system cut outs, and subtotals identifying the number of cut outs where the source of the failure was the onboard subsystem, wayside subsystem, communications subsystem, back office subsystem, or a non-PTC component;

(iii) The total number of PTC system malfunctions, and subtotals identifying the number of malfunctions where the cause was the onboard subsystem, wayside subsystem, communications subsystem, back office subsystem, or a non-PTC component;

(iv) The number of enforcements by the PTC system;

(v) The number of specific instances in which the PTC system prevented an accident or incident;

(vi) The number of scheduled attempts at initialization of the PTC system; and

(vii) The number of train miles governed by the PTC system.

(2) A host railroad's Biannual Report of PTC System Performance (Form FRA F 6180.152) shall also include a description of the actions the host railroad and its tenant railroads are taking to reduce the frequency and rate of initialization failures and malfunctions, such as any actions to correct or eliminate systemic issues and specific problems.

(3) Each host railroad shall electronically submit a Biannual Report of PTC System Performance (Form FRA F 6180.152) on the following due dates: 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).

(4) Each tenant railroad that operates on a host railroad's PTC-governed main line(s), unless the tenant railroad is subject to an exception under § 236.1006(b)(4) or (5), shall submit the information required under paragraph (h)(1) of this section to each applicable host railroad on a continuous basis.

(5) Any railroad operating a PTC system classified under FRA Type Approval Nos. FRA-TA-2010-001 or FRA-TA-2010-002 shall begin submitting the metric required under paragraph (h)(1)(iv) not later than January 31, 2023.

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A-2013-003 must