



Quarterly Report of Positive Train Control (PTC) System Performance

Public reporting burden for this information collection is estimated to average 24 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 Quarterly

See 49 U.S.C. § 20157(m) and 49 CFR § 236.1006(b)(4) or (5)

Reporting Deadlines Under 49 U.S.C. § 20157(m)

- **Host Railroads:** Each host railroad subject to 49 U.S.C. § 20157(m)(3) shall submit the information required by 49 U.S.C. § 20157(m)(3) to FRA by the following due date: (1) for the reporting period from July 1 to September 30, and (2) for the reporting period from October 1 to December 31. See 49 U.S.C. § 20157(m)(3).

- **Tenant Railroads:** Each tenant railroad subject to 49 U.S.C. § 20157(m)(4) or (5), shall submit the information required by 49 U.S.C. § 20157(m)(4); 49 CFR § 236.1006(b)(4) or (5).

General Instructions

1. There are three (3) sheets in this Excel spreadsheet.
2. Railroad names should be referenced correctly in the "Reporting Railroad Name" field.
3. The data in sheets "Data (1 of 2)" and "Data (2 of 2)" represent the number of PTC system enforcements during the reporting period (2 of 2)." See the sheets labeled "Sample Data (1 of 2)" and "Sample Data (2 of 2)".
4. See 49 U.S.C. § 20157(m) and 49 CFR § 236.1006(b)(4) or (5) for more information regarding the reporting requirements for PTC System Performance (Form FRA-PTC-1000).

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

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

Quarterly Report of PTC System Performance (Form FRA F 6180.152)

6.1029(h) for the complete list of requirements for railroads' Quarterly Reports of PTC System Performance (Form FRA F 6180.152).

49 CFR § 236.1029(m) and/or 49 CFR § 236.1029(h)

Under 49 U.S.C. § 20157 or 49 CFR part 236, subpart I, shall electronically submit a Quarterly Report of PTC System Performance. Reporting periods are: **April 30** (covering the period from January 1 to March 31), **July 31** (covering the period from April 1 to June 30), **October 31** (covering the period from October 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)(1) and (2) to each applicable host railroad on a continuous basis, shall report the information required under 49 CFR § 236.1029(h)(1) and (2) to each applicable host railroad on a continuous basis. See 49 CFR § 236.1029(h)(4).

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

Data (1 of 2) and Data (2 of 2) should 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 49 CFR § 236.1029(h), or the sheets labeled "Statutory Text" and "Regulatory Text," for the complete list of requirements for railroads' Quarterly Reports of PTC System Performance (Form FRA F 6180.152).

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 any 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 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

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entality 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 it is reasonable to assume 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 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 Incident | 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 Incident | P | 1 |
| N/A - Enforcement or Prevented Incident | E | 3 |
| Communications | M | 5 |
| Communications | I | 3 |
| Locomotive | I | 18 |
| Back Office | C | 15 |
| Locomotive | I | 3 |
| N/A - Enforcement or Prevented Incident | 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 |

Primary Reference — 49 U.S.C. § 20157(m) — Reports on PTC System Performance

(m) REPORTS ON POSITIVE TRAIN CONTROL SYSTEM PERFORMANCE.—

(1) **IN GENERAL.**—Each host railroad subject to this section or subpart I of part 236 of title 49, Code of Federal Regulations, shall electronically submit to the Secretary of Transportation a Report of PTC System Performance on Form FRA F 6180.152. The report shall be submitted on or before the applicable due date set forth in paragraph (3) and contain the information described in paragraph (2), which shall be separated by the host railroad, each applicable tenant railroad, and each positive train control segment, consistent with the railroad's positive train control Implementation Plan described in subsection (a)(1).

(2) **REQUIRED INFORMATION.**—Each report submitted pursuant to paragraph (1) shall include, for the applicable host railroad, the following information:
(A) the number of positive train control system initialization failures, disaggregated by the number of initialization failures for which the source or cause was the onboard subsystem, the wayside subsystem, the communications subsystem, the positive train control system, or a non-positive train control component;
(B) the number of positive train control system cut outs, disaggregated by each component listed in subparagraph (A) and the source or cause of such cut outs;
(C) the number of positive train control system malfunctions, disaggregated by each component listed in subparagraph (A) and the source or cause of such malfunctions;
(D) the number of enforcements by the positive train control system;
(E) the number of enforcements by the positive train control system in which it is reasonable to assume an accident was prevented;
(F) the number of scheduled attempts at initialization of the positive train control system;
(G) the number of train miles governed by the positive train control system; and
(H) a summary of any actions the host railroad and its tenant railroads are taking to reduce the frequency and severity of failures, cut outs, and malfunctions, such as any actions to correct or eliminate systemic issues and specific problems.

(3) **DUE DATES.**—

(A) **IN GENERAL.**—Except as provided in subparagraph (B), each host railroad shall electronically submit the report required by paragraph (1) not later than—

(i) April 30, for the period from January 1 through March 31;

(ii) July 31, for the period from April 1 through June 30;

(iii) October 31, for the period from July 1 through September 30; and

(iv) January 31, for the period from October 1 through December 31 of the prior calendar year.

(B) **FREQUENCY REDUCTION.**—Beginning on the date that is 3 years after the date of enactment of the Passenger and Rail Safety Act of 2021, the Secretary shall reduce the frequency with which host railroads are required to submit reports described in paragraph (1) to not less frequently than twice per year, unless the Secretary—

(i) determines that quarterly reporting is in the public interest; and

(ii) publishes a justification for such determination in the Federal Register.

Performance

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support required under

High Speed Rail Expansion
submit the report

Additional Reference — 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 submit a Biannual Report of PTC System Performance on Form FRA F 6180.152, containing the following information for each applicable reporting period, separated by the host railroad, each applicable tenant railroad, and each PTC-governed territory (e.g., territory, subdivision, district, main line, branch, or corridor), consistent with the railroad's PTC 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 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 source 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 summary of the 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.

(3) Each host railroad shall electronically submit a Biannual Report of PTC System Performance (Form FRA F 6180.152) 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 exempt from PTC under an exception under § 236.1006(b)(4) or (5), shall submit the information required under paragraphs (h)(1)(i) through (vii) 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 submit the metric required under paragraph (h)(1)(iv) not later than January 31, 2023.

Performance

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