

PART 233 - SIGNAL SYSTEM REPORTING REQUIREMENTS

**§ 233.1 Scope.**

This section identifies the systems, methods, and appliances that are subject to the reporting requirements.

**Application:**

This rule subjects automatic block signal systems, traffic control systems, interlockings, automatic train stop, train control, and cab signal systems or other similar appliances, methods, and systems to the reporting requirements of this part. An automatic block signal system is a block signal system wherein the use of each block is governed by an automatic block signal, cab signal, or both.

A traffic control system is a block-signal system under which train movements are authorized by block signals or cab signals whose indications supersede the superiority of trains for both opposing and following movements on the same track.

A nonautomatic block signal system is a term used to denote any method of maintaining an interval of space between trains as distinguished from an automatic block signal system, a traffic control system, an automatic cab signal system without roadway signals, or time interval system.

An automatic train stop system is a system so arranged that its operation will automatically result in the application of the brakes until the train has been brought to a stop.

An automatic train control system is a system so arranged that its operation will automatically result in the following:

- (a) A full service application of the brakes which will continue either until the train is brought to a stop, or under control of the engineman, its speed is reduced to a predetermined rate.
- (b) When operating under a speed restriction, application of the brakes when the speed of the train exceeds the predetermined rate and which will continue until the speed is reduced to that rate.

Automatic train control systems includes those systems referred to as speed control systems.

An automatic cab signal system is a system which provides for the automatic operation of the following:

- (a) Cab signal, a signal located in engineer's compartment or cab, indicating a condition affecting the movement of a train and used in conjunction with interlocking signals and in conjunction with or in lieu of block signals, and
- (b) Cab indicator, a device located in the cab which indicates a condition or a change of condition of one or more elements of the system.

**§ 233.3 Application.**

This section makes this part applicable to each common carrier by rail subject to the Signal Inspection Act, 49 U.S.C.26.

Application:

Applies to each railroad that is part of the general rail system engaged in interstate commerce. Does not apply to rapid transit system or privately-owned system not transporting interstate commerce.

Does not apply to automatic classification yards or to highway-rail grade crossing warning devices.

**§ 233.5 Accidents resulting from signal failure.**

This section requires each carrier to report by toll-free telephone number 800-424-0201 within 24- hours of each accident/incident resulting from a false proceed signal indication or failure.

Application:

A false proceed signal indication or a false proceed failure is the failure of an appliance, device, method, or system to function or indicate as required by the RS&I that results in either a more favorable aspect than intended or a condition that is hazardous to the movement of a train.

CLASSIFICATION OF DEFECTS

233 0005 01 Accident/incident resulting from or involving failure of appliance, device, method, or system to function or indicate as intended, not reported to FRA within 24 hours after accident/incident

**§ 233.7 Signal failure reports.**

This section requires each carrier to report within 15 days each false proceed signal indication or failure.

Application:

A false proceed signal indication or a false proceed failure is the failure of an appliance, device, method or system to function or indicate as required by the RS&I that results in either a more favorable signal aspect than intended or a condition that is hazardous to the movement of a train.

This rule requires that each false proceed failure, including those resulting in an accident/incident, to be reported to FRA within 15 days on Form FRA F6180-14 in accordance with the instructions contained on the form.

CLASSIFICATION OF DEFECTS

233 0007 01 Report of failure of appliance, device, method, or system to indicate or function as intended not made on prescribed form within fifteen (15) days.

**§ 233.9 Reports.**

This section requires each carrier to file a "Signal System Five-year Report" not later than April 1, 1997 and every 5 years thereafter.

**Application:**

The intent of this rule is to require a five-year report of signal systems and methods of train operation no later than April 1 of every five years, beginning with the year 1997. The report is required to be filed on a form to be provided by FRA in accordance with the instructions on back of the form.

CLASSIFICATION OF DEFECTS

- 233 0009 01 Five-year signal system status report not filed prior to April 1.
- 233 0009 02 Five-year signal system status report not correct.

**§ 233.11 Civil penalty.**

This section prescribes a civil penalty for failure to file reports as required by this part.

Application:

This rule establishes that a carrier is liable for maximum penalty of \$2,500 for each offense or failure to file reports as required. Each day a failure or refusal to file continues is a separate offense.

**§ 233.13 Criminal penalty.**

This section prescribes a criminal penalty for filing a false report or other document required by this part.

**Application:**

The rule subjects any person, who knowingly and willfully makes, causes to be made or participates in the making of a false entry in an accident report, false proceed report or annual report required by this part to a fine of \$5,000 and/or two (2) years imprisonment.

HANDLING OF FALSE PROCEED SIGNAL REPORTS

In order to expedite the notification and investigation of false proceed failures, carriers have been instructed to submit false proceed reports directly to the regional offices.

Upon receipt of a false proceed report, the S&TC Specialist shall determine if the failure occurred within the region. If not, he or she should immediately furnish a copy of the report to the director of the region in which the failure occurred.

Failures reported by carriers that were caused by deposits on rails; defective relays, interlockings, or similar devices; broken or defective apparatus; equipment out of adjustment; errors in circuit design; circuits crossed or grounded; or cause undetermined, should be investigated. The S&TC Specialist in the region where the failure occurred shall determine the degree of any investigation. In addition, he or she shall determine if an investigation is warranted of all other such failures.

A narrative report of each false proceed investigation shall be filed. The narrative report should contain the following information:

- (1) First paragraph:

Date, time, and location of failure or alleged failure.

- (2) Second paragraph:

Type of system, technical description of the system, method of train operation, and maximum authorized speed.

- (3) Third paragraph:

Type, direction, and consist of train which observed false proceed signal failure.

(4) Fourth paragraph:

Signal number, aspect displayed, device that failed, cause of failure, show how the failure contributed to the false proceed signal indication or hazardous condition.

(5) Fifth paragraph:

What carrier action was taken and when.

(6) Sixth paragraph:

What action was taken by the inspector and when.

(7) Seventh paragraph:

State here when it is determined a false proceed failure did not occur.

Use additional paragraphs for other pertinent information that may be developed.

After the fifteenth of each month, the S&TC Specialist should prepare a summary report of the false proceed signal failures reported by carriers headquartered in his or her region. The summary report, the original of each false proceed report, Form FRA F 6180-14, and memorandum reports of failures investigated shall be forwarded to the Staff Director, Signal and Train Control Division, RRS-13, in Washington, DC.