

Quarterly Progress Report - Positive Train Control Implementation

To effectively monitor each railroad's progress implementing a positive train control (PTC) system, the Federal Railroad Administration (FRA) is requiring the submission of quarterly progress reports on this form, beginning June 30, 2016, under its investigative authorities. *See, e.g.,* 49 U.S.C. §§ 20107, 20902, 20157(c)(2); 49 C.F.R. § 236.1009(h). Railroads must use this form to report PTC implementation progress data quarterly, by the due dates set forth in the table below. Each railroad should select the correct quarter and year for each quarterly report.

Quarterly PTC Progress Reports must be submitted electronically to FRA via the FRA Secure Information Repository (SIR) at <https://sir.fra.dot.gov>.

Key Dates for PTC Implementation Quarterly Progress Reporting:

Period	Coverage Period	Progress Report Due Date
Q1	January 1 - March 31	June 30, 2016 and April 30 each year thereafter
Q2	April 1 - June 30	July 31
Q3	July 1 - September 30	October 31
Q4	October 1 - December 31	January 31

General Instructions:

- References to a railroad's PTC Implementation Plan (PTCIP) in this form refer to the railroad's revised PTCIP submitted under the Positive Train Control Enforcement and Implementation Act of 2015, or the most current amended PTCIP FRA has approved, if any;
- If a particular category listed in a table does not apply to the railroad's technology, please indicate "N/A"; and
- For Sections 2, 4, and 6, please select a "Status" option from the drop-down menus provided.

Name of Railroad or Entity Subject to 49 U.S.C. § 20157(a): [Click here to enter railroad name.](#)

Railroad Code: Choose railroad code.

Quarterly PTC Progress Report for: Choose the applicable quarter and year.

Date: [Click here to enter a date.](#)

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1. Summary

Category	Cumulative Quantity Completed To Date	Total Quantity Required for PTC Implementation
Locomotives Fully Equipped and PTC Operable	Click here to enter quantity.	Click here to enter quantity.
Installation/Track Segments Completed	Click here to enter quantity.	Click here to enter quantity.
Radio Towers Fully Installed and Equipped	Click here to enter quantity.	Click here to enter quantity.
Employees Trained	Click here to enter quantity.	Click here to enter quantity.
Route Miles in Testing or Revenue Service Demonstration	Click here to enter quantity.	Click here to enter quantity.
Route Miles in PTC Operation	Click here to enter quantity.	Click here to enter quantity.

Please provide a narrative summary of overall PTC implementation progress during the applicable quarter:

[Click here to enter text.](#)

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2. Quarterly Update on Spectrum

Area or Location (e.g., county) That Requires Spectrum, as Reported in PTCIP ¹	Q1 - Status	Q2 - Status	Q3 - Status	Q4- Status
Spectrum Coverage Area or Location†: Click here to enter text.	Choose status.	Choose status.	Choose status.	Choose status.

Please provide any additional narrative for Spectrum below:

Click here to enter text.

†Note: To add rows for additional spectrum areas or locations, click on the blue “+” symbol at the bottom right-and corner. Please be sure to first click anywhere inside the table to activate this function.

If this function is unavailable for your document, please manually add additional rows.

¹ If the railroad reported in its PTCIP that all necessary spectrum had been acquired and was available for use, or the railroad’s technology does not require the use of spectrum, please indicate “N/A” in this table.

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3. Quarterly Update on Major Installations

3.1. Locomotive Status

Category / Installation Feature	Q1 - Quantity Installed	Q2 - Quantity Installed	Q3 - Quantity Installed	Q4 - Quantity Installed	Sum of Quarterly Totals	PTCIP Year End Goal (if applicable)	Cumulative Quantity Installed	Grand Total Reported in PTCIP (if applicable)
Locomotive (Apparatus)²								
Locomotives with On-board Computers (e.g., Train Management Computer) Installed	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.
Locomotives with PTC Displays Installed	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.
Locomotives with PTC-Capable Event Recorders Installed	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.
Locomotives with Locomotive Radios Installed - Primary Communications (e.g., 220 MHz radios)	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.
Transponder Readers (e.g., for non I-ETMS systems)	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.

² If a particular category listed in this table does not apply to the railroad's technology, please indicate "N/A." A railroad may add categories or subcategories if it wants to provide more detail.

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PTC Software: Please describe 1) the railroad's approach to installation of PTC software on its locomotive fleet, and 2) any issues the railroad is experiencing with installed versions of train management software (e.g., reverting back to previous software versions due to errors in the current version):

Click here to enter text.

Please provide any additional narrative for Locomotive Status below:

Click here to enter text.

3.2. Infrastructure/Back Office Status

Infrastructure - Back Office Systems	
How many physical back office locations are required for PTC operations, as reported in the PTCIP?	Click here to enter quantity.
How many physical back office locations have been constructed with all necessary equipment installed?	Click here to enter quantity.
Are the Back Office Location(s) fully operable with PTC?	Choose Yes or No.
Are the Dispatching Location(s) fully operable with PTC?	Choose Yes or No.

Please provide any additional narrative for Infrastructure/Back Office Status below:

Click here to enter text.

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3.3. Infrastructure/Wayside Status

Category / Installation Feature	Q1 - Quantity Installed	Q2 - Quantity Installed	Q3 - Quantity Installed	Q4 - Quantity Installed	Sum of Quarterly Totals	PTCIP Year End Goal ³	Cumulative Quantity Installed	Grand Total Reported in PTCIP
Infrastructure - Wayside Installations (Systemwide)⁴								
Wayside Interface Units	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.
Communication Towers or Poles	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.
Switch Position Monitors	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.
Wayside Radios	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.
Base Station Radios	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.
Are all necessary communication backbone utilities (including fiber, copper, ground wiring etc.) installed and ready for operation? Choose Yes or No.								

³ Unlike the heading in table 3.1, this heading is not qualified with "(if applicable)" because each railroad was required to provide year-end goals for these particular hardware categories under the PTC Enforcement and Implementation Act of 2015.

⁴ If a particular category listed in this table does not apply to the railroad's technology, please indicate "N/A." A railroad may add categories or subcategories if it wants to provide more detail.

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Please provide any additional narrative for Infrastructure/Wayside Status below:

Click here to enter text.

4. Installation/Track Segment Progress - Current Status⁵

Segment Identification ⁶	Q1 Status - Current status of installation/track segment. Choose one:	Q2 Status - Current status of installation/track segment. Choose one:	Q3 Status - Current status of installation/track segment. Choose one:	Q4 Status - Current status of installation/track segment. Choose one:
Segment (add additional rows for segments as necessary): Click here to enter segment identification.	Choose status.	Choose status.	Choose status.	Choose status.

Note: To add additional rows, click on the blue "+" symbol at the bottom right-hand corner. Please be sure to first click anywhere inside the table to activate this function.

If this function is unavailable for your document, please manually add additional rows.

Please provide any additional narrative for Installation/Track Segment Status below:

Click here to enter text.

⁵ For passenger rail operations, this information should be further segregated into those routes where it is a host or tenant.

⁶ Segment identification should be consistent with installation segments as listed in the railroad's PTCIP (e.g., by track segment, territory, subdivision, district, etc.).

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5. Quarterly Update on Employee Training

Employee Category ⁷	Q1 - # Employees Trained	Q2 - # Employees Trained	Q3 - # Employees Trained	Q4 - # Employees Trained	Sum of Quarterly Totals	PTCIP Year End Goal	Cumulative # of Employees Trained	Grand Total Reported in PTCIP
Employees who Install, Maintain, Repair, Modify, Inspect, and Test the PTC System	Click here to enter number of employees.	Click here to enter number of employees.	Click here to enter number of employees.	Click here to enter number of employees.	Click here to enter number of employees.	Click here to enter number of employees.	Click here to enter number of employees.	Click here to enter number of employees.
Employees who Dispatch Train Operations	Click here to enter number of employees.	Click here to enter number of employees.	Click here to enter number of employees.	Click here to enter number of employees.	Click here to enter number of employees.	Click here to enter number of employees.	Click here to enter number of employees.	Click here to enter number of employees.
Train and Engine (Operations) Employees	Click here to enter number of employees.	Click here to enter number of employees.	Click here to enter number of employees.	Click here to enter number of employees.	Click here to enter number of employees.	Click here to enter number of employees.	Click here to enter number of employees.	Click here to enter number of employees.
Roadway Worker Employees	Click here to enter number of employees.	Click here to enter number of employees.	Click here to enter number of employees.	Click here to enter number of employees.	Click here to enter number of employees.	Click here to enter number of employees.	Click here to enter number of employees.	Click here to enter number of employees.
Direct Supervisors of the Above Employees	Click here to enter number of employees.	Click here to enter number of employees.	Click here to enter number of employees.	Click here to enter number of employees.	Click here to enter number of employees.	Click here to enter number of employees.	Click here to enter number of employees.	Click here to enter number of employees.

⁷ See 49 C.F.R. § 236.1041(a).

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Please provide any additional narrative for Employee Training below:

Click here to enter text.

6. Quarterly Update on Interoperability Progress and Other Formal Agreements

This section is provided to help railroads describe interoperability information. Please provide appendices as appropriate.

Required content:

- For host railroads: provide updates to any agreements and key milestones for all tenant operations
- For tenant railroads: provide updates to any agreements and key milestones for all operations over tracks hosted by another railroad

Host and Tenant Railroads: Please provide a general update on interoperability in the textbox below:

Click here to enter text.

Host Railroads Only: For each tenant, please provide additional tenant information below:

Tenant Identification <i>(Please add rows for additional tenants as necessary)</i>	Estimated Tenant Locomotive Fleet <i>(if the tenant does not have a separate PTCIP on file)</i>	Current Tenant Implementation Status <u>Choose one:</u>
Click here to enter tenant's full name.	Click here to enter estimated tenant locomotive fleet.	Choose status.

Note: To add additional rows, click on the blue "+" symbol at the bottom right-hand corner. Please be sure to first click anywhere inside the table to activate this function.

If this function is unavailable for your document, please manually add additional rows.

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Public reporting burden for this information collection is estimated to average 1.573 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 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.