

**DRAFT ONLY**  
NOT FOR OFFICIAL USE

## Quarterly Progress Report Form – 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	April 30*
Q2	April 1 – June 30	July 31
Q3	July 1 – September 30	October 31
Q4	October 1 – December 31	January 31

\*Please note that FRA did not require a Q1 progress report to be submitted in April 2016. For 2016, the Q1 and Q2 reports are both due in the same form on July 31, 2016.

**General Instructions:**

1. 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;
2. If a particular category listed in a table does not apply to the railroad’s technology, please indicate “N/A”; and
3. For Sections 2, 4, and 6, please select a “Status” option from the drop-down menus provided.

<b>Name of Railroad or Entity Subject to 49 U.S.C. § 20157(a):</b>	
<b>Railroad Code:</b>	
<b>Quarterly PTC Progress Report for:</b>	
<b>Date:</b>	

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1. Summary

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

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



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Provide any additional narrative for Spectrum below:

### 3. Quarterly Update on Major Milestones

#### 3.1 Locomotive Status

Note: If more rows are required for additional categories or subcategories, please refer to Appendix A

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)
<b>Locomotive (Apparatus) <sup>2</sup></b>								
Locomotives with On-board Computers (e.g., Train Management Computer) Installed								
Locomotives with PTC Displays Installed								
Locomotives with PTC-Capable Event Recorders Installed								
Locomotives with Locomotive Radios Installed – Primary Communications (e.g., 220 MHz radios)								
Transponder Readers (e.g., for non I-ETMS systems)								

<sup>2</sup> 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:** 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):

Provide any additional narrative for Locomotive Status below:

#### 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?	
How many physical back office locations have been constructed with all necessary equipment installed?	
Are the Back Office Location(s) fully operable with PTC?	
Are the Dispatching Location(s) fully operable with PTC?	

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Provide any additional narrative for Infrastructure/Back Office Status below:

### 3.3 Infrastructure/Wayside Status

Note: If more rows are required for additional categories or subcategories, please refer to Appendix A

Category/Installation Feature	Q1 – Quantity Installed	Q2 – Quantity Installed	Q3 – Quantity Installed	Q4 – Quantity Installed	Sum of Quarterly Totals	PTCIP Year End Goal <sup>3</sup>	Cumulative Quantity Installed	Grand Total Reported in PTCIP
<b>Infrastructure – Wayside Installations (Systemwide) <sup>4</sup></b>								
Wayside Interface Units								
Communication Towers or Poles								
Switch Position Monitors								
Wayside Radios								
Base Station Radios								
Are all necessary communication backbone utilities (including fiber, copper, ground wiring etc.) installed and ready for operation?								

<sup>3</sup> 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.

<sup>4</sup> 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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5. Quarterly Update on Employee Training

Employee Category <sup>7</sup>	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								
Employees who Dispatch Train Operations								
Train and Engine (Operations) Employees								
Roadway Worker Employees								
Direct Supervisors of the Above Employees								

Provide any additional narrative for Employee Training below:

<sup>7</sup> See 49 C.F.R. § 236.1041(a).

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### 6. Quarterly Update on Interoperability Progress and Other Formal Agreements

*This section is provided to help railroads describe interoperability information. Please provide any additional information (e.g., an appendix) 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:** Provide a general update on interoperability in the textbox below:

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

Tenant Identification	Estimated Quantity of Tenant Rolling Stock to be Equipped with PTC (if the tenant does not have a separate PTCIP on file)	Current Tenant Implementation Status

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Public reporting burden for this information collection is estimated to average 21.219 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.

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Appendix A: Additional Rows for Quarterly Update on Major Milestones

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)





















