

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 CFR § 236.1009(h). A railroad must submit quarterly reports until a PTC system is fully implemented on all its required main lines under 49 U.S.C. § 20157 and 49 CFR part 236, subpart I, including a quarterly report for the quarter in which the railroad completes full PTC system implementation.

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

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.
4. *NEW* – As labeled, Sections 2, 3.1 (not including the software-related narrative section), 3.2, 3.3, and 5 are optional for any railroad that previously demonstrated to FRA it had finished acquiring all necessary spectrum, installing all PTC system hardware for the implementation of its PTC system(s), and/or training all employees required to receive training under 49 CFR §§ 236.1041 through 236.1049, consistent with the governing FRA-approved PTCIP.¹ Section 4 is optional only for a railroad that reports in Section 1 of this form that its PTC system is governing operations, including RSD, on all PTC-mandated route miles.

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

¹ These sections are currently mandatory only for railroads that are still in the spectrum acquisition, hardware installation, or employee training phases, which is the case for certain railroads that, for example: (A) commenced regularly scheduled intercity passenger or commuter rail service after December 31, 2018; (B) are in the process of constructing new main lines subject to the statutory mandate; or (C) have one or more lines that are subject to a temporary main line track exception and must still implement a PTC system.

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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		
Employees Trained		
Territories ² in Revenue Service Demonstration or in PTC Operation		
Route Miles in Field Testing ³		
Route Miles in Revenue Service Demonstration ³		
Route Miles in PTC Operation		

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

² A territory is an entire installation/track segment as identified in the railroad’s PTCIP (e.g., a track segment, territory, subdivision, district, etc.) consistent with 49 U.S.C. 20157(a)(3)(B)(vi), 49 CFR part 236, subpart I.

³As applicable, enter the number of route miles where a PTC system is currently undergoing field testing in one row and, in a separate row, the number of route miles where a PTC system is currently in revenue service demonstration. Railroads must only identify in the “Route Miles in Field Testing” and “Route Miles in Revenue Service Demonstration” fields any route miles that are still currently undergoing PTC field testing and/or revenue service demonstration. For example, if field testing is complete and a railroad is operating its PTC system in revenue service demonstration exclusively, a railroad may write “Complete” in the “Route Miles in Field Testing” fields.

Once a railroad has received written authorization from FRA to operate its PTC system in revenue service (through either provisional operations authorization under 49 U.S.C. 20157(h)(2) or PTC System Certification under 49 U.S.C. 20157(h)(1), the railroad must identify any route miles where a PTC system is being operated in revenue service in the “Route Miles in PTC Operation” field. If a railroad is operating the PTC system in revenue service and has completed all field testing and revenue service demonstration, it may write “Complete” in the “Route Miles in Field Testing” and “Route Miles in Revenue Service Demonstration” fields.

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Provide any additional narrative for Spectrum below:

3. Quarterly Update on Major Milestones

3.1 Locomotive Status (Optional for Most Railroads⁶)

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) ⁷								
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)								

⁶ This section, except the software-related narrative section below, is optional for any railroad that previously demonstrated to FRA it had finished installing all PTC system hardware for the implementation of its PTC system, consistent with the governing FRA-approved PTCIP.

⁷ 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 in [Appendix A](#) 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 (Optional for Most Railroads⁸)

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?	

⁸ This section is optional for any railroad that previously demonstrated to FRA it had finished installing all PTC system hardware for the implementation of its PTC system, consistent with the governing FRA-approved PTCIP.

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

3.3 Infrastructure/Wayside Status (Optional for Most Railroads⁹)

Category/Installation Feature	Q1 – Quantity Installed	Q2 – Quantity Installed	Q3 – Quantity Installed	Q4 – Quantity Installed	Sum of Quarterly Totals	PTCIP Year End Goal ¹⁰	Cumulative Quantity Installed	Grand Total Reported in PTCIP (if applicable)
Infrastructure – Wayside Installations (Systemwide) ¹¹								
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?								

⁹ This section is optional for any railroad that previously demonstrated to FRA it had finished installing all PTC system hardware for the implementation of its PTC system, consistent with the governing FRA-approved PTCIP.

¹⁰ 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.

¹¹ 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 in [Appendix A](#) if it wants to provide more detail.

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Provide any additional narrative for Infrastructure/Wayside Status below:

4. Installation/Track Segment Progress – Current Status¹² (Optional for Some Railroads¹³)

Segment Identification ¹⁴	Q1 Status – Current status of installation/track segment	Q2 Status – Current status of installation/track segment	Q3 Status – Current status of installation/track segment	Q4 Status – Current status of installation/track segment

¹² For passenger rail operations, this information should be further segregated into those routes where it is a host or tenant.

¹³ This section is optional for a railroad that reports in Section 1 (“Summary”) that its PTC system is governing operations, including RSD, on all PTC-mandated route miles, consistent with the governing FRA-approved PTCIP.

¹⁴ 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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Segment Identification¹⁴	Q1 Status – Current status of installation/track segment	Q2 Status – Current status of installation/track segment	Q3 Status – Current status of installation/track segment	Q4 Status – Current status of installation/track segment

If a railroad has more segments where PTC will be implemented, please use the additional rows provided in [Appendix B](#).

Provide any additional narrative for Installation/Track Segment Status below:

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5. Quarterly Update on Employee Training (Optional for Most Railroads¹⁵)

Employee Category ¹⁶	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:

¹⁵ This section is optional for any railroad that previously demonstrated to FRA it had finished training all employees required to receive PTC training under 49 CFR §§ 236.1041 through 236.1049, consistent with the governing FRA-approved PTCIP.

¹⁶ See 49 CFR § 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	Scheduled Completion Date for Interoperability Testing	Current Tenant Interoperability Status

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Tenant Identification	Estimated Quantity of Tenant Rolling Stock to be Equipped with PTC	Scheduled Completion Date for Interoperability Testing	Current Tenant Interoperability Status

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Public reporting burden for this information collection is estimated to average 23.22 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)

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Appendix B: Additional Rows for Installation/Track Segment Progress – Current Status

Segment Identification	Q1 Status – Current status of installation/track segment	Q2 Status – Current status of installation/track segment	Q3 Status – Current status of installation/track segment	Q4 Status – Current status of installation/track segment

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Segment Identification	Q1 Status – Current status of installation/track segment	Q2 Status – Current status of installation/track segment	Q3 Status – Current status of installation/track segment	Q4 Status – Current status of installation/track segment

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Segment Identification	Q1 Status – Current status of installation/track segment	Q2 Status – Current status of installation/track segment	Q3 Status – Current status of installation/track segment	Q4 Status – Current status of installation/track segment

