

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 |

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.

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| Name of Railroad or Entity Subject to 49 U.S.C. § 20157(a): | |
| Railroad Code: | |
| Quarterly PTC Progress Report for: | |
| 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 | | |
| Installation/Track Segments Completed | | |
| Radio Towers Fully Installed and Equipped | | |
| Employees Trained | | |
| Territories ¹ Where Revenue Service Demonstration Has Been Initiated | | |
| Route Miles in Testing or Revenue Service Demonstration ² | | |
| Route Miles in PTC Operation | | |

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

¹ A territory is an entire installation/track segment as identified in the railroad’s PTCIP (e.g., a track segment, territory, subdivision, district, etc.).

² Enter the cumulative number of route miles where PTC technology is *currently* undergoing field testing or Revenue Service Demonstration. Railroads must only identify in the “Route Miles in Testing or Revenue Service Demonstration” field any route miles that are still currently undergoing PTC field testing or Revenue Service Demonstration (e.g., in a case where FRA granted a railroad provisional revenue service operations authorization for only a portion of its network but the railroad is still conducting field testing or Revenue Service Demonstration elsewhere in its network). 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 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 Testing or Revenue Service Demonstration” fields.

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2. Quarterly Update on Spectrum

| Area or Location (e.g., county) That Requires Spectrum, as Reported in PTCIP ³ | Q1 - Status | Q2 – Status | Q3 – Status | Q4 - Status |
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³ 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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Provide any additional narrative for Spectrum below:

3. Quarterly Update on Major Milestones

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) ⁴ | | | | | | | | |
| 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) | | | | | | | | |

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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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

| Category/Installation Feature | Q1 – Quantity Installed | Q2 – Quantity Installed | Q3 – Quantity Installed | Q4 – Quantity Installed | Sum of Quarterly Totals | PTCIP Year End Goal ⁵ | Cumulative Quantity Installed | Grand Total Reported in PTCIP (if applicable) |
|---|-------------------------|-------------------------|-------------------------|-------------------------|-------------------------|----------------------------------|-------------------------------|---|
| Infrastructure – Wayside Installations (Systemwide) ⁶ | | | | | | | | |
| 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? | | | | | | | | |

⁵ 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.

⁶ 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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Provide any additional narrative for Infrastructure/Wayside Status below:

4. Installation/Track Segment Progress – Current Status⁷

| Segment Identification ⁸ | 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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⁷ For passenger rail operations, this information should be further segregated into those routes where it is a host or tenant.

⁸ 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 Identification ⁸ | 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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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

| Employee Category ⁹ | 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:

⁹ 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 21.60 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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