Annual PTC UPdate

[Year]

[Altamont Corridor Express   [Docket Number]

The Annual Positive Train Control (PTC) Progress Report is due by March 31st of each year until full PTC system implementation is complete. The Annual PTC Progress Report must cover the railroad's implementation efforts and progress from the directly previous calendar year, and must be submitted electronically to the Federal Railroad Administration (FRA) via the FRA Secure Information Repository at https://sir.fra.dot.gov.

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

Railroad Code: Choose railroad code.

Annual PTC Implementation Progress Report for: Choose the applicable year.

PTCIP Version Number of File with FRA (basis for goals stated): Click here to enter PTCIP Version Number.

Submission Date: Click here to enter a date.

Contents

1. Summary

Please provide a narrative summary of overall PTC implementation progress during the preceding calendar year (January 1 to December 31):

As a tenant to the UPRR, Ace is responsible for installing the on-board equipment on the ACE locomotives. ACE is in the process of procuring and installing on-board equipment.

Category	Quantity Installed During Calendar Year	PTCIP Year End Goal (If Applicable)	Cumulative Quantity Installed at End of Calendar Year	Total Quantity Required for PTC Implementation
Locomotives Fully Equipped	0	6	0	0
Installation/Track Segments Completed	N/A	N/A	N/A	N/A
Radio Towers Fully Installed and Equipped	N/A	N/A	N/A	N/A
Employees Trained	0	14	0	0
Route Miles In Testing or Revenue Service Demonstration	N/A	N/A	N/A	N/A
Route Miles in PTC Operation	N/A	N/A	N/A	N/A

2. Update on Spectrum Acquisition

Required content:

- The amount of spectrum acquired and available for use during the applicable calendar year and the cumulative amount acquired and available for use at the end of the applicable calendar year, as compared to the amount the railroad stated would be acquired and available for use by the end of that calendar year and in total for PTC implementation, in the applicable revised PTCIP, as amended
- The basis for how the railroad is determining that the acquired spectrum is available for use by PTC radios (e.g., ensuring non-interference with other radios)

Spectrum Area or Location (E.g., county)	Spectrum Acquired and Available for Use (Owned/Leased) During Calendar Year	Cumulative Amount of Spectrum Acquired and Available for Use (Owned/Leased) at End of Calendar Year	PTCIP Year End Goal for Spectrum Acquired and Available for Use	Total Spectrum Required for PTC Implementation, as Reported in PTCIP
Spectrum Coverage Area or Location†: Click here to enter text.	N/A	N/A	N/A	N/A

†Note: To add rows for additional spectrum areas or locations, 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 Spectrum Acquisition below:

Click here to enter text.

3. Quantity Update on Hardware Installation

Required content:

- Separated by each major hardware category and subcategory identified below, the amount of PTC hardware installed during the applicable calendar year and the cumulative quantity installed at the end of the applicable calendar year, as compared to the amount the railroad stated would be installed by the end of that calendar year and in total for PTC implementation, in the applicable revised PTCIP, as amended

3.1. Locomotive Status

Category / Installation Feature	Quantity Installed During Calendar Year	PTCIP Year End Goal	Cumulative Quantity Installed at End of Calendar Year	Total Required for PTC Implementation, as Reported in PTCIP
Locomotive (Apparatus)[1]				
On-board Computers (e.g., Train Management Computer)	0	6	0	6
Software For Train Management and other applications	0	6	0	6
PTC Displays	0	6	0	6
Event Recorders	0	6	0	6
Onboard Antennas and/or Transponder Readers	0	6	0	6
GPS Receivers	0	6	0	6
Locomotive Radios – Primary Communications (e.g., 220 MHz radios)	0	6	0	6

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[1] Railroads may elect to add categories or subcategories if more detail is desired.

Secondary Communications (e.g., cell or Wi-Fi communications) Equipment	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.

Please provide any additional narrative for Locomotive Status below. If any of the information called for in Section 3.1 is unavailable to the railroad at the time it is completing and submitting this form, please insert "TBD" in the appropriate field and/or use this comment box to explain when such information will be available and when the railroad expects to submit it to FRA.

Click here to enter text.

3.2.   Infrastructure/Back Office Status

Category / Installation Feature	Completed During Calendar Year	PTCIP Year End Goal	Cumulative Quantity Complete at End of Calendar Year	Total Required for PTC Implementation, as Reported in PTCIP
Infrastructure (Back Office)				
Dispatching Locations (installations complete)	N/A	N/A	N/A	N/A
Physical Back Office System Equipment (installations complete)	N/A	N/A	N/A	N/A

Are the Back Office Location(s) fully operable?	N/A
Are the Dispatching Location(s) fully operable?	N/A

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

UPRR will be providing back office infrastructure for ACE.

3.3. Installation/Territory Status

Category / Installation Feature	Quantity Installed During Calendar Year	PTCIP Year End Goal	Cumulative Quantity Installed at End of Calendar Year	Total Required for PTC Implementation, as Reported in PTCIP
Infrastructure – Wayside Installations by Territory (i.e., Subdivision, District, Track Segment, Etc.)[2]				
Identification of the Territory (i.e., Subdivision, District, Track Segment, Etc.)†: Click here to enter text.				
Wayside Interface Units†	N/A	N/A	N/A	N/A
Communication Towers or Poles†	N/A	N/A	N/A	N/A
Switch Position Monitors†	N/A	N/A	N/A	N/A
Wayside Radios†	N/A	N/A	N/A	N/A
Base Station Radios†	N/A	N/A	N/A	N/A
Are all necessary communication backbone utilities for this track segment (including fiber, copper, ground wiring etc.) installed and ready for operation?† Choose Yes or No.				

†Note: To add rows for additional territories and associated sub-components, 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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[2] Each railroad should report information in a manner consistent with its PTCIP. That is, if a railroad monitors implementation of track segments by territory or subdivision, it should report that way.

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OMB Approval Expires 9/30/2016
OMB Approval Granted 3/16/2016

Please provide any additional narrative for Installation/Territory Status below. If any of the information called for in Section 3.3 is unavailable to the railroad at the time it is completing and submitting this form, please insert "TBD" in the appropriate field and/or use this comment box to explain when such information will be available and when the railroad expects to submit it to FRA.

Click here to enter text.

4. Quantity Update on Employees Trained

Required content:

- Separated by each employee category identified below, the number of employees trained during the applicable calendar year and the cumulative number of employees trained at the end of the applicable calendar year, as compared to the number the railroad stated would be trained by the end of that calendar year and in total, in the applicable revised PTCIP, as amended

Employee Category[3]	Number of Employees Trained During Calendar Year	PTCIP Year End Goal	Cumulative Number of Employees Trained at End of Calendar Year	Total Reported in PTCIP
Employees who Install, Maintain, Repair, Modify, Inspect, and Test the PTC System	N/A	N/A	N/A	N/A
Employees who Dispatch Train Operations	N/A	N/A	N/A	N/A
Train and Engine (Operations) Employees	0	14	0	0
Roadway Worker Employees	N/A	N/A	N/A	N/A
Direct Supervisors of the Above Employees	0	3	0	3

Please provide any additional narrative for Employee Training below:

Ace is waiting for testing to be completed on the UPRR line prior to begin training train crew personel.

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[3] *See* 49 C.F.R. § 236.1041(a).

5. Progress on Implementation Schedule/Milestones

Required content:

- Describe the extent to which the railroad or other entity is not complying with the implementation schedule it provided in its revised PTCIP, as amended

N/A

6. Summary Update of Challenges/Risks

Required content:

- Any update to the summary of remaining technical, programmatic, operational, or other challenges that the railroad or other entity provided in its revised PTCIP, as amended, including challenges with availability of public funding, interoperability, spectrum, software, permitting, and testing, demonstration, and certification
- Schedule Risk Updates (e.g., funding, technology, agreements)

Please provide Summary Update of Challenges/Risks below:

ACE is currently in the process of purchasing on-board equipment for PTC. The lack of vendors has been a challenge in receiving equipment in a timely fashion.

7. Progress on Revenue Service Demonstration (RSD) or Implementation

Required content:

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- The total number of route miles on which PTC has been initiated for revenue service demonstration or implemented, as compared to the total number of route miles required to have a PTC system (see Section 1 Summary Table)
- Estimated start date (month and year) for RSD

Segment Identification[4]	Number of Route Miles in Segment	Status at End of Calendar Year *Current status of installation/track segment. __Choose one__:*	Estimated Start Date for Revenue Service Demonstration (if not already completed)
Segment *(add additional rows for segments as necessary):* Click here to enter segment identification.	86	○ Not Started ○ Installing ⊙ Testing ○ Operational/Complete	April 2016

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 Revenue Service Demonstration or Implementation below:

Ace is a tenant on the UPRR. ACE operate over 86 miles of UPRR track. UPRR has informed ACE that testing will begin in April 2016 on a portion of the ACE corridor.

8. Update for Intercity or Commuter Rail Passenger Transportation (if applicable)

If this section is not applicable to your railroad, please mark N/A.

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[4] Segment identification should be consistent with segments listed in Section 3.3.

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Required content (if applicable):

- For each entity providing regularly scheduled intercity or commuter rail passenger transportation, a description of the resources identified and allocated to implement PTC

Please provide Update for Intercity or Commuter Rail Passenger Transportation below, if applicable:

> Click here to enter text.

9. Update on Interoperability Progress and Other Formal Agreements

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 *(Please add rows for additional tenants as necessary)*	Estimated Tenant Locomotive Fleet *(if the tenant does not have a separate PTCIP on file)*	Current Tenant Implementation Status *Choose one:*
Click here to enter tenant's full name.	Click here to enter estimated tenant locomotive fleet.	○ Not Started ○ Installing ○ Testing ○ Operational/Complete

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.

10. Estimated PTC Safety Plan (PTCSP) Submission Date (if not already submitted)

If this section is not applicable to your railroad, please mark N/A.

PTCSP Submission Date
N/A

Please provide any additional narrative for PTCSP Submission below:

UPRR is responsible for the PTCSP.

11. Testing and Integration Efforts (if applicable, laboratory, integration, and revenue service demonstration)

Please provide Update on Testing and Integration efforts below:

N/A

12. Updated Information That FRA Can Use to Maintain Its Geographic Information System (GIS) Database – Segments Complete and Operable

In its annual progress reports, a subject railroad or entity may submit a geographic information system (GIS) shapefile to indicate where various rail segments that must have PTC are located, as long as it includes the following fields: (1) a PTC attribute field (coded

with "Y" if line segment is to have PTC installed, otherwise left blank); (2) a SUBDIV attribute field (populated with subdivision name); (3) a MONTH attribute field (populated with the month in which PTC is to be installed); and (4) a YEAR attribute field (populated with the year in which PTC is to be installed). A railroad may submit this information by means other than shapefile format.

Please provide any additional narrative for GIS Information below:

Click here to enter text.

Public reporting burden for this information collection is estimated to average 38.41 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.