

Annual
PTC
Progress
Report

[Year]

[Railroad Name]

[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.](#)

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1. Summary

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

Click here to enter text.

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	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.
Installation/Track Segments Completed	Click here to enter quantity.	Click here to enter quantity.	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.	Click here to enter quantity.	Click here to enter quantity.
Employees Trained	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.
Back Office Locations Completely Installed and Fully Operable	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.
Dispatching Locations Completely Installed and Fully Operable	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.
Route Miles In Testing or Revenue Service Demonstration	Click here to enter quantity (in miles).	Click here to enter quantity (in miles).	Click here to enter quantity (in miles).	Click here to enter quantity (in miles).

Route Miles in PTC Operation	Click here to enter quantity (in miles).	Click here to enter quantity (in miles).	Click here to enter quantity (in miles).	Click here to enter quantity (in miles).
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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.	Click here to enter text.	Click here to enter text.	Click here to enter text.	Click here to enter text.

†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)	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.
Software For Train Management and other applications	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.
PTC Displays	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.
Event Recorders	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.
Onboard Antennas and/or Transponder Readers	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.
GPS Receivers	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.
Locomotive Radios – 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.

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.			
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Please provide any additional narrative for Locomotive Status below:

Click here to enter text.

3.2. Infrastructure/Back Office Status

Category / Installation Feature	Locations 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)	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.
Back Office Locations (installations complete)	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 Infrastructure/Back Office Status below:

Click here to enter text.

3.3. Installation/Track Segment 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 (by Installation/Track Segment)²				
Installation/Track Segment Identification†: Click here to enter installation/track segment identification.				
Wayside Interface Units†	Click here to enter sub quantity.	Click here to enter sub quantity.	Click here to enter sub quantity.	Click here to enter sub quantity.
Communication Towers or Poles†	Click here to enter sub quantity.	Click here to enter sub quantity.	Click here to enter sub quantity.	Click here to enter sub quantity.
Switch Position Monitors†	Click here to enter sub quantity.	Click here to enter sub quantity.	Click here to enter sub quantity.	Click here to enter sub quantity.
Planned Fiber or Ground Wiring (per mile)†	Click here to enter sub quantity.	Click here to enter sub quantity.	Click here to enter sub quantity.	Click here to enter sub quantity.
Wayside Radios†	Click here to enter sub quantity.	Click here to enter sub quantity.	Click here to enter sub quantity.	Click here to enter sub quantity.
Base Station Radios†	Click here to enter sub quantity.	Click here to enter sub quantity.	Click here to enter sub quantity.	Click here to enter sub quantity.

†Note: To add rows for additional installation/track segments 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.

² Each railroad should report information in a manner consistent with its PTCIP it should report that way.

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

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
T&E Crew (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.
Mechanical 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.
MOW/Engineering/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.
Management 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.
Other Staff	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.

³ These categories are suggestive. All categories may not apply, and additional categories may be added based on the railroad’s specific implementation needs.

Please provide any additional narrative for Employee Training below:

[Click here to enter text.](#)

5. Progress on Implementation Schedule/Milestones

In its annual progress reports, each subject railroad and entity must provide a progress update with respect to its project schedule. A railroad should only submit schedule information demonstrating actual progress as measured against the schedule in its revised PTCIP, as amended. This could be accomplished by providing detailed project schedules and visual aids (e.g., a Gantt chart) if available, or any other information documenting current progress as compared to the implementation schedule in the railroad's revised PTCIP, as amended. Details regarding any notable variances or trends that are affecting, or could possibly affect, PTC implementation goals should also be explained in the annual progress reports. Where circumstances are adversely affecting a railroad's implementation of PTC, the railroad must also provide an action plan to recover from, or mitigate, any adverse consequences.

Required content:

- Schedule/Milestone Progress Information as described above
- The extent to which the railroad or other entity is complying with the implementation schedule it provided in its revised PTCIP, as amended

Please provide any additional narrative for Progress on Implementation Schedule/Milestones below:

[Click here to enter text.](#)

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:

Click here to enter text.

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

Required content:

- 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 <i>Current status of installation/track segment. Choose one:</i>	Estimated Start Date for Revenue Service Demonstration (if not already completed)
Segment <i>(add additional rows for segments as necessary):</i> Click here to enter segment identification.	Click here to enter number of route miles.	<input type="checkbox"/> Not Started <input type="checkbox"/> Installing <input type="checkbox"/> Testing <input type="checkbox"/> Operational/Complete	Click here to enter Date.

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.

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

Please provide any additional narrative for Revenue Service Demonstration or Implementation below:

Click here to enter text.

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

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

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

Please provide Update on Interoperability below:

Click here to enter text.



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
Click here to enter PTCSP Submission Date.

Please provide any additional narrative for PTCSP Submission below:

[Click here to enter text.](#)

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

Please provide Update on Testing and Integration efforts below:

[Click here to enter text.](#)

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).

If a railroad chooses to submit the required information by means other than shapefile format, please inform FRA as to the railroad's preference prior to the March 31st annual reporting deadline.

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.