

Annual  
PTC  
Progress  
Report

[Year]

*[Railroad Name]*

[Docket Number]

The Annual Positive Train Control (PTC) Progress Report is due by March 31<sup>st</sup> of each year until full PTC system implementation is completed. 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>.

**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, and/or training all employees required to receive PTC training under 49 CFR §§ 236.1041 through 236.1049, consistent with the governing FRA-approved PTCIP.<sup>1</sup> 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):** [Click here to enter railroad name.](#)

**Railroad Code:**

**Annual PTC Implementation Progress Report for:**

**PTCIP Version N**

**Date of Submission:** [Click here to enter a date.](#)

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<sup>1</sup> 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	Quantity Completed During Calendar Year	PTCIP Year End Goal (If Applicable)	Cumulative Quantity Completed To Date	Total Quantity Required for PTC Implementation
Locomotives Fully Equipped and PTC Operable	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.
Employees Trained	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.
Route Miles in Field Testing <sup>2</sup>	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 Revenue Service Demonstration <sup>2</sup>	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).

<sup>2</sup> As 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.

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

Click here to enter text.

## 2. Annual Update on Spectrum (Optional for Most Railroads<sup>3</sup>)

Area or Location (e.g., county) That Requires Spectrum, as Reported in PTCIP <sup>4</sup>	Status at End of Calendar Year	Projected Status That Was Listed in PTCIP for Calendar Year
<b>Spectrum Coverage Area or Location†:</b> 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.

Describe 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), and provide any additional narrative for Spectrum below:

<sup>3</sup> This section is optional for any railroad that previously demonstrated to FRA it had finished acquiring all necessary spectrum, consistent with the governing FRA-approved PTCIP.

<sup>4</sup> 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.

Click here to enter text.

### 3. Annual Update on Major Installations

#### 3.1. Locomotive Status (Optional for Most Railroads<sup>5</sup>)

Category / Installation Feature	Quantity Installed During Calendar Year (Sum of Quarterly Totals)	PTCIP Year End Goal (If Applicable)	Cumulative Quantity Installed	Grand Total Reported in PTCIP (If Applicable)
<b>Locomotive (Apparatus)<sup>6</sup></b>				
Locomotives with On-board Computers (e.g., Train Management Computer) Installed	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.
Locomotives with PTC Displays Installed	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.
Locomotives with PTC-Capable Event Recorders Installed	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.
Locomotives with Locomotive Radios Installed – 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.
Transponder Readers (e.g., for non I-ETMS systems)	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.

<sup>5</sup> 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.

<sup>6</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.

**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):

Click here to enter text.

Provide any additional narrative for Locomotive Status below:

Click here to enter text.

**3.2. Infrastructure/Back Office Status (Optional for Most Railroads<sup>7</sup>)**

Infrastructure - Back Office Systems		Met PTCIP Year-End Goal for Installation of Physical Back Office System Equipment? <i>(Choose Yes, No, or N/A)</i>
How many physical back office locations are required for PTC operations, as reported in the PTCIP?	Click here to enter quantity.	
How many physical back office locations have been constructed with all necessary equipment installed?	Click here to enter quantity.	<input style="width: 100px; height: 20px;" type="text"/>
Are the Back Office Location(s) fully operable with PTC?	<input style="width: 100px; height: 20px;" type="text"/>	
Are the Dispatching Location(s) fully operable with PTC?	<input style="width: 100px; height: 20px;" type="text"/>	

<sup>7</sup> 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.

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

Click here to enter text.

**3.3. Infrastructure/Wayside Status (Optional for Most Railroads<sup>8</sup>)**

Category / Installation Feature	Quantity Installed During Calendar Year (Sum of Quarterly Totals)	PTCIP Year End Goal <sup>9</sup>	Cumulative Quantity Installed	Grand Total Reported in PTCIP
<b>Infrastructure - Wayside Installations (Systemwide)<sup>10</sup></b>				
<b>Wayside Interface Units</b>	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.
<b>Communication Towers or Poles</b>	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.
<b>Switch Position Monitors</b>	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.
<b>Wayside Radios</b>	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.
<b>Base Station Radios</b>	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.	Click here to enter quantity.
<b>Are all necessary communication backbone utilities (including fiber, copper, ground wiring etc.) installed and ready for operation?</b>				

Provide any additional narrative for Installation/Wayside Status below:

Click here to enter text.

<sup>8</sup> 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.

<sup>9</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>10</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.



**4. Installation/Track Segment Progress<sup>11</sup> (Optional for Some Railroads<sup>12</sup>)**

Segment Identification <sup>13</sup>	Status at End of Calendar Year <i>Current status of installation/track segment. <b>Choose one:</b></i>	Number of Route Miles in Segment	Estimated Start Date for Revenue Service Demonstration (if not already completed)	Precise Milepost (MP) Limits and/or Control Point (CP) Limits Where PTC was Implemented and Operable at End of Calendar Year <sup>14</sup>
<b>Segment</b> (add additional rows for segments as necessary): Click here to enter segment identification.	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

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.

<sup>11</sup> For passenger rail operations, this information should be further segregated

<sup>12</sup> This section is optional for a railroad that reports in Section 1 (“Summary”) route miles, consistent with the governing FRA-approved PTCIP.

<sup>13</sup> Segment identification should be consistent with installation segments as listed in the railroad’s PTCIP (e.g., by track segment, territory, subdivision, district, etc.).

<sup>14</sup> This column must identify the precise MP limits and/or CP limits of where a PTC system had been implemented and was operable within the installation/track segment (e.g., MP 100.25 to MP 150 and MP 155 to MP 190). Also, this column must identify any miles of track, by MP or CP, that are excluded from PTC implementation under an FRA-approved exception within the installation/track segment (e.g., Main Line Track Exception (Terminal): MP 1.5 to MP 2 and De Minimis Exception: MP 45 to MP 55).

Instead of completing this individual column (Column 5 in Section 4), your railroad may submit a Geographic Information System (GIS) shapefile, directly to the SIR website, identifying the installation/track segments and portions thereof (e.g., route miles) where a PTC system had been implemented and was operable by the end of the reporting period (i.e., the previous calendar year), including the following fields and information: (1) a PTC attribute field (coded with “Y” if line segment has PTC installed and operable, otherwise left blank), (2) a SUBDIV attribute field (populated with subdivision name), (3) the precise MP limits and/or CP limits of where a PTC system had been implemented and was operable, and (4) any miles of track, by MP or CP, that are excluded from PTC implementation under an FRA-approved exception within the installation/track segment (e.g., Main Line Track Exception (Terminal): MP 1.5 to MP 2 and De Minimis Exception: MP 45 to MP 55).

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

Click here to enter text.

### 5. Annual Update on Employee Training (Optional for Most Railroads<sup>15</sup>)

Employee Category <sup>16</sup>	Number of Employees Trained During Calendar Year (Sum of Quarterly Totals)	PTCIP Year End Goal	Cumulative Number of Employees Trained	Grand Total Reported in PTCIP
Employees who Install, Maintain, Repair, Modify, Inspect, and Test the PTC System	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.
Employees who Dispatch Train Operations	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.
Train and Engine (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.
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.
Direct Supervisors of the Above 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.

Provide any additional narrative for Employee Training below:

Click here to enter text.

<sup>15</sup> 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.

<sup>16</sup> See 49 CFR § 236.1041(a).

### 6. Annual 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:

Click here to enter text.

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

Tenant Identification <i>(add rows for additional tenants as necessary)</i>	Estimated Quantity of Tenant Rolling Stock to be Equipped with PTC	Scheduled Completion Date for Interoperability Testing	Current Tenant Interoperability Status <i>Choose one:</i>
Click here to enter tenant's full name.	Click here to enter estimated tenant locomotive fleet.	Click here to enter scheduled completion date for interoperability testing.	<div style="border: 1px solid black; height: 20px; width: 100%;"></div>

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.

## 7. Progress on Implementation Schedule/Milestones

Describe the extent to which the railroad or other entity is not complying with the implementation schedule it provided in its PTCIP:

Click here to enter text.

## 8. Summary Update of Challenges/Risks

Provide any update to the summary of remaining technical, programmatic, operational, or other challenges that the railroad or other entity provided in its PTCIP, including challenges with availability of public funding, interoperability, spectrum, software, permitting, and testing, demonstration, and certification. Also, identify any risks that might cause the railroad to miss its schedule milestones (e.g., funding, technology, agreements):

Click here to enter text.

## 9. Annual Update for Intercity or Commuter Rail Passenger Transportation (if applicable)

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

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

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 write "N/A."

### PTCSP Submission Date

Click here to enter PTCSP Submission Date.

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)

Provide an update on testing and integration efforts below:

Click here to enter text.

Public reporting burden for this information collection is estimated to average 40.12 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.