Agenda

- FRA’S Focus Areas for FY18/19
- Program Delivery Updates
- Completing New Grant Applications
- FAST Act Implementation and Rail Performance Update
- FAST Act – Management and Reporting
- Grade Crossing Safety and Trespasser Prevention
- Q&A Session
FRA’s Focus Areas for FY18/19

Paul Nissenbaum
Associate Administrator for Railroad Policy and Development
Administration’s FY19 Budget

U.S. Department of Transportation Priorities

SAFETY  INFRASTRUCTURE  INNOVATION  ACCOUNTABILITY

Federal Railroad Administration’s Mission

“To enable the safe, reliable, and efficient movement of people and goods for a strong America, now and in the future.”

Office of Railroad Policy and Development’s Focus Areas

Safety Innovation  Infrastructure Modernization  Amtrak Reform  Project Delivery
# FRA’s Budget ($ millions)

<table>
<thead>
<tr>
<th>Account/Program</th>
<th>FY17 Enacted</th>
<th>FY18 TBD</th>
<th>FY19 Request</th>
</tr>
</thead>
<tbody>
<tr>
<td>Safety &amp; Operations</td>
<td>$218</td>
<td></td>
<td>$202</td>
</tr>
<tr>
<td>Railroad Research &amp; Development</td>
<td>$40</td>
<td></td>
<td>$19</td>
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<tr>
<td>Amtrak NEC</td>
<td>$328</td>
<td>$200</td>
<td>$200</td>
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<tr>
<td>Amtrak National Network</td>
<td>$1,167</td>
<td>$538</td>
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<tr>
<td>Competitive Rail Grants (FAST Act Authorized)</td>
<td>$98</td>
<td></td>
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<tr>
<td>Rail Safety User Fee</td>
<td>—</td>
<td></td>
<td>($50)</td>
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<tr>
<td>Rescissions</td>
<td>—</td>
<td></td>
<td>($55)</td>
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<tr>
<td><strong>Total</strong></td>
<td><strong>$1,851</strong></td>
<td></td>
<td><strong>$854</strong></td>
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</table>
**President’s Infrastructure Initiative**

- Spur $1.5T of investment with $200B of federal funds over 10 years
- Funding and coordination across multiple agencies
- Focuses on ways to finance, manage, and utilize our current and future transportation assets

<table>
<thead>
<tr>
<th>PROGRAM</th>
<th>AMOUNT ($ billions)</th>
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</thead>
<tbody>
<tr>
<td>Incentives</td>
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<tr>
<td>Rural</td>
<td>$50</td>
</tr>
<tr>
<td>Transformative Projects</td>
<td>$20</td>
</tr>
<tr>
<td>Financing Programs</td>
<td>$20</td>
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<tr>
<td>Federal Capital Revolving Fund</td>
<td>$10</td>
</tr>
</tbody>
</table>
Overview of Current DOT Funding Sources

FY17 Appropriations for Investment in High Performance Rail

- FY17: $500M
- FY17: $25M
- FY17: $199M
- FY17: $787M
- FY17: $68M
- FY17: $5M

Federal-State Partnership for State of Good Repair
PTC Implementation
National Infrastructure Investments (TIGER)
Consolidated Rail Infrastructure & Safety Improvements
Restoration & Enhancement

Legend:
- FRA Program
- FTA Program
- OST Program
**PTC Implementation**

- **December 31, 2018** – Deadline for PTC system implementation, unless a railroad obtains an extension to a date no later than December 31, 2020.

- **41 Railroads are currently implementing PTC:**
  - 7 Class I Freight Railroads
  - 30 Passenger/Commuter Railroads (including Amtrak)
  - 4 Short Line and Terminal Railroads

- **Since FY 2008** – DOT has provided over $2.2 billion to support PTC implementation
  - $925 million in grant funding
  - $1,349 million in RRIF and TIFIA loans
Purpose of Program

- To fund projects that improve safety, efficiency, and reliability of intercity passenger and freight rail systems

Eligible Applicants

- State Entities
- Local Governments
- Amtrak
- Class II/III Railroads
- Transportation Research Board (TRB)
- University Transportation Centers
- Certain Non-profit Organizations

Eligible Projects

- Wide range of capital projects, such as track, station and equipment improvements, PTC, congestion mitigation, grade crossings, rail line relocation, environmental analyses and planning, safety programs and institutes
Restoration & Enhancement

Purpose of Program

• Operating assistance to initiate, restore, or enhance intercity passenger rail service

Eligible Applicants

• State Entities
• Local Governments
• Amtrak
• Rail Carriers

Eligible Projects

• Financial assistance to cover expenses associated with operation of passenger rail service, such as train engineer staffing, fuel, and costs related to train dispatching, station management, and overhead

<table>
<thead>
<tr>
<th>FY17 Authorized</th>
<th>FY17 Enacted</th>
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</thead>
<tbody>
<tr>
<td>$20 M</td>
<td>$5 M</td>
</tr>
</tbody>
</table>

10
Purpose of Program

- To fund **rail intercity passenger and freight rail** projects in states that either do not have intercity passenger rail or are not connected to the national rail system

Eligible Applicants

- Alaska
- Wyoming
- South Dakota
- Hawaii*

Eligible Projects

- **Wide range of capital projects**, such as track, station and equipment improvements, PTC, congestion mitigation, grade crossings, rail line relocation, environmental analyses and planning

*Despite being an eligible applicant, funding is not allocated to Hawaii.*
Federal-State Partnership for State of Good Repair

Purpose of Program

• To fund capital projects to reduce the state of good repair backlog on certain publicly-owned or Amtrak-owned railroad assets

Eligible Applicants

• State Entities
• Local Governments
• Amtrak

Eligible Projects

• Capital projects to repair, replace, rehabilitate, or improve publicly-owned or Amtrak-owned infrastructure, equipment, and facilities

FY17 Authorized | FY17 Enacted
---|---
$140 M | $25 M

2/26/2018
FY17 Competitive Rail Development Grants – Common Evaluation & Selection Criteria

**Evaluation Criteria**

- Technical Merit
- Project Benefits

**Selection Criteria**

Key Departmental Objectives:

- Economic Vitality
- Leveraged Funding
- Innovation
- Accountability
Program Delivery Updates

Jamie Rennert
Director, Office of Program Delivery
## FRA’s Grant Portfolio

<table>
<thead>
<tr>
<th>Rail Program</th>
<th>Number of Grants</th>
<th>Federal Funding ($M)</th>
<th>% Outlaid</th>
<th>% Closed</th>
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<tr>
<td>HSIPR</td>
<td>152</td>
<td>$9,732</td>
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<td>64%</td>
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### Amtrak Programs

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<tr>
<td>Amtrak Annual</td>
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<td>$14,649</td>
<td>97%</td>
<td>73%</td>
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<tr>
<td>Amtrak Other</td>
<td>7</td>
<td>$456</td>
<td>98%</td>
<td>29%</td>
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<tr>
<td>Amtrak Sandy</td>
<td>5</td>
<td>$307</td>
<td>86%</td>
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<tr>
<td>Amtrak FEMA</td>
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<td>$158</td>
<td>84%</td>
<td>73%</td>
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### OST Programs

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<tr>
<td>TIGER</td>
<td>51</td>
<td>$631</td>
<td>67%</td>
<td>43%</td>
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<tr>
<td>FASTLANE/INFRA</td>
<td>8</td>
<td>$152</td>
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### Safety/Research Programs

<table>
<thead>
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<td>Safety Tech (PTC)</td>
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<td>$86</td>
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<td>Safety Infrastructure</td>
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<tr>
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<td>$23</td>
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<td>STEP 2016</td>
<td>9</td>
<td>$10</td>
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<td>0%</td>
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### Legacy/Modal Transfer Programs

<table>
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<tr>
<th>Program</th>
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<tr>
<td>RR Development</td>
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<td>CMAQ</td>
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<td>Legacy Moynihan</td>
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<td>$131</td>
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<td>60%</td>
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<td>Rail Line Relocation</td>
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<td>$80</td>
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<td>Maglev</td>
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<td>$28</td>
<td>12%</td>
<td>50%</td>
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<tr>
<td>Capital Assistance</td>
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<td>$22</td>
<td>100%</td>
<td>92%</td>
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<tr>
<td>Railroad Rehab</td>
<td>24</td>
<td>$20</td>
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<td>100%</td>
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<tr>
<td>Next Gen HSR</td>
<td>11</td>
<td>$10</td>
<td>53%</td>
<td>73%</td>
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<tr>
<td>R&amp;D Rail Corridor</td>
<td>3</td>
<td>$4</td>
<td>15%</td>
<td>0%</td>
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</table>

**TOTAL** | **509** | **$26,873,734,282** | **91%** | **59%** |
Ongoing Technical Assistance to Build America Bureau
$35 billion loan capacity
  - $7 billion set-aside for other than Class I railroads (Short Line and Regional RRs)

Undersubscribed by Short Line/Regional Rail:
  - 29 loans in past 15 years totaling < $1 billion

The Bureau’s goal is to make RRIF more accessible to Short Line and Regional RRs.
Environmental Streamlining – FAST Act

FAST Act of 2015 – mandated project delivery reforms:

- Exempt historic railroad or rail transit lines from Section 4(f) reviews
- Align FRA’s NEPA and 4(f) procedures with FHWA and FTA’s
- Revise CEs
- Establish Section 106 exemption
Environmental Streamlining – Administration’s Initiatives

• Executive Order (Jan. 2017)
  o Two-year EIS Target for Major Infrastructure Projects
  o For Projects w/ “Reasonable Availability of Funds”
  o One Federal Decision – Synchronizing NEPA with Other Permitting Reviews

• One Federal Decision MOU

• CEQ and OMB Implementing Guidance

• Emphasized in the President’s Infrastructure Principles (Feb. 2018)
Completing New Grant Applications

Mariam Ouhamou
FRA Grants Management Division
What is a NOFO?

- NOFO = Notice of Funding Opportunity
- Announces a Grant Opportunity to the Public
  - Federal Register
  - Grants.gov
  - GrantSolutions.gov
  - FRA Website: Discretionary Competitive Grant Programs at [https://www.fra.dot.gov/Page/P0997](https://www.fra.dot.gov/Page/P0997)
- Consists of Several Parts:
  - Program Summary
  - Key Dates
  - Addresses
  - FRA Contact Info
  - Table of Contents: Program Description, Federal Award Information, Eligibility Information, Application and Submission Information, Application Review Information, Federal Award Administration Information, Federal Awarding Agency Contacts
Eligibility Information

*Authorizing statues and appropriations often drive the eligibility information contained in a NOFO.

- **Type of Applicant**
  - Allowable entities identified
  - Joint applicants must **all** be eligible

- **Type of Project**
  - Project requirements listed
  - Project examples are provided

- **Cost Sharing/Matching**
  - May or may not be required, parameters will be stated
Does FRA prefer applications that include additional matching funds?

• It will depend on the grant program. Check the language within the NOFO, but often times, yes.

What is the difference between a joint applicant and a project partner?

• A joint applicant refers to one or more Eligible Applicants (as described in the NOFO) who submit a single application.

• A project partner refers to one or more stakeholders or collaborators that support the project.
Best Practice – Ensure matching funds meet minimum requirements

*For questions about eligibility, contact Amy Houser, Program Analyst, at amy.houser@dot.gov
Required Documents will be specified in the NOFO and may include the following:

- Project Narrative
- Statement of Work
- SF424 (Application for Federal Assistance)
  - SF 424A or 424C – Budget Info for Non-Construction OR Construction
  - SF 424B or 424D – Assurances for Non-Construction OR for Construction
- FRA’s Additional Assurances and Certifications
- SF LLL: Disclosure of Lobbying Activities
- Project Development Supporting Documentation
- Benefit-Cost Analysis
- Other Required Documents: e.g., NEPA documentation, planning documents
Application Content – Project Narrative

• **Critical Part of Application**

• **Should Include:**
  - Cover Page
  - Brief Summary of Project
  - Project Funding Information
  - Applicant Eligibility
  - Project Eligibility
  - Detailed Project Description
  - Project Location/Map
  - Project Implementation and Management
  - Evaluation and Selection Criteria
  - Project Readiness, such as NEPA completion
Project Narrative – Best Practices

• Be sure to organize the Project Narrative headings and corresponding information exactly as specified in the NOFO.

• The Project Narrative must sufficiently address the evaluation and selection criteria to be considered a competitive application.
Application Content – Statement of Work (SOW)

• Addresses the scope, schedule, and budget for the proposed project *as if it were selected for award*

  o A Sample SOW template is located at: [https://www.fra.dot.gov/eLib/Details/L18661](https://www.fra.dot.gov/eLib/Details/L18661).

• Includes:

  o Background
  o Objective
  o Project Location
  o Description of Work
  o Project Schedule and Deliverables
  o Project Estimate/Budget
**Statement of Work (SOW) – Best Practice**

**Best Practice** – Use the FRA Standard Cost Categories as a way to organize a SOW and Budget

Application Review

1. Intake and Eligibility

Each application is reviewed for completeness and eligibility to determine which applications move to the evaluation stage.

2. Evaluation

Each complete and eligible application is evaluated by a panel of DOT subject matter experts using criteria outlined in the NOFO.

3. Selection

Final funding decisions are made by taking into account the evaluation and selection criteria outlined in the NOFO.
Application Review – Best Practices

• Think like a reviewer!
• Make a strong case for the overall significance of the proposed project
• Provide statistics, when possible
• Include project timeline information
• Describe the results/outcomes to be achieved by the end of the funding period
• In all responses, be brief, direct, and clear
• Do not exceed page limits
How to Apply?

• Obtain a Dun and Bradstreet Number (DUNS)
• Register in the federal government's System for Award Management (SAM.gov)
• For Grants.gov, complete an Authorized Organization Representative profile and create a username and password
• Submit an application addressing all requirements outlined in the NOFO
Key Takeaways

- Follow the directions.
- Read the NOFO carefully and use a checklist.
- Indicate what "success" will look like.
- Name key partners, indicate in-place agreements, and include letters of support.
- Register and send in the application early.
- If applying through Grants.gov, use the “Track My Application” function.
- NOFOs identify a point of contact who can address questions.
  - That said, FRA staff cannot give hints, tips, or a competitive advantage to one applicant over others.
Final Check

- Are you on schedule to meet the application deadline?
- Does the project align well with the evaluation and selection criteria?
- Does the application demonstrate strong collaboration and partnerships?
- Do the project benefits exceed the costs?
- Do all budget figures match corresponding figures on the Cover Page and in the Project Narrative?
- Do numbers in columns and rows all add up properly in budget tables?
- Have you addressed all of the criteria on which you will be rated?
- Are your strategies, activities, staffing, and other application content in alignment?
FAST Act Implementation and Rail Performance Update

Michael Lestingi
Director, Office of Policy and Planning
FAST Act Implementation Status

• FRA is the lead entity or supporting other agencies in the implementation of 80 requirements.

• 48 requirements implemented to-date.

• FRA is also monitoring another 50 actions directed at other entities.

FRA FAST Act Requirements

<table>
<thead>
<tr>
<th>Requirement</th>
<th># of Requirements</th>
<th># Completed</th>
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</thead>
<tbody>
<tr>
<td>Rulemakings</td>
<td>13</td>
<td>9</td>
</tr>
<tr>
<td>Reports</td>
<td>26</td>
<td>16</td>
</tr>
<tr>
<td>Studies</td>
<td>10</td>
<td>5</td>
</tr>
<tr>
<td>Guidance</td>
<td>2</td>
<td>1</td>
</tr>
<tr>
<td>Other</td>
<td>29</td>
<td>17</td>
</tr>
<tr>
<td>Total</td>
<td>80</td>
<td>48</td>
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</table>
Safety FAST Act Updates

7311 – Study and Testing of Electronically Controlled Pneumatic Brakes; Regulatory Impact Analysis Submitted 11/16/17

7310 – Hazardous Materials by Rail Study; PHMSA Issued Report to Congress 11/30/17
Additional FAST Act Updates

11201 – Amtrak Account Structure; Amtrak Submitted Report to USDOT on 12/4/17

11204 – State-Supported Route Committee Goals and Objectives; Submitted to Congress 12/8/17
**Long-Distance Pilot Program**

- Allows for non-Amtrak operation of **no more than 3 long-distance routes**
- For a **period of 4 years**, plus one additional 4-year extension

<table>
<thead>
<tr>
<th>Implementation Step</th>
<th>Year 1</th>
<th>Year 2</th>
<th>Year 3</th>
</tr>
</thead>
<tbody>
<tr>
<td>Petition Window (180 days)</td>
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<td></td>
<td></td>
</tr>
<tr>
<td>FRA Notice of Receipt Window (30 days)</td>
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<tr>
<td>Bid Window (120 days)</td>
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</tr>
<tr>
<td>DOT Execution of Award Window (up to 270 days)</td>
<td></td>
<td></td>
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</tr>
<tr>
<td>Operations Period (Non-Amtrak Bidders) (4 years)</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Final Rule Published:** July 7, 2017

**Final Rule Effective:** September 5, 2017

**Petitions Due:** March 4, 2018
Freight Performance Update

Total Traffic on the U.S. Rail Network (Carloads and Intermodal Units)

Number of Carload and Intermodal Units

Month

Thousands

JAN FEB MAR APR MAY JUN JUL AUG SEP OCT NOV DEC

Grain

Coal

Intermodal

2018

2018

2018

2006

2008
Amtrak Service Update

FY2017 Amtrak Ridership

System Ridership
31.7 Million
+1.5%

Business Line Growth
Northeast Corridor +1%
State Supported +2.1%
Long Distance +.9%
FAST Act – Management and Reporting

Beth Nachreiner
Chief, Passenger Rail Policy
FAST Act required:

- FRA and Amtrak to define an account structure and accounting methodologies
- FRA to reform Amtrak’s grant process and Amtrak to update internal controls
- Amtrak to develop 5-Year Service Line and Asset Line Plans
Amtrak’s Account Structure

Based on a matrix organization where Service Lines use the resources from the Asset Lines to deliver transportation and related services to customers

<table>
<thead>
<tr>
<th>Service Lines</th>
<th>NEC</th>
<th>Infrastructure Access</th>
<th>Ancillary</th>
<th>State Supported</th>
<th>Long Distance</th>
<th>Infrastructure Access</th>
<th>Ancillary</th>
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<tbody>
<tr>
<td>Transportation</td>
<td>NEC</td>
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<td>Stations</td>
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<td>National Assets</td>
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<td></td>
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</tbody>
</table>
Amtrak’s Account Structure

Sources (Revenue)

Uses (Expenses)
## Example: Operating – Costs for T&E Crew on Long-Distance Routes

<table>
<thead>
<tr>
<th>Service Lines</th>
<th>NEC</th>
<th>Infrastructure Access</th>
<th>Ancillary</th>
<th>State Supported</th>
<th>Long Distance</th>
<th>Infrastructure Access</th>
<th>Ancillary</th>
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</thead>
<tbody>
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<td></td>
<td></td>
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<tr>
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Amtrak's Account Structure
**Amtrak’s Account Structure**

**Example:** *Operating – Station Personnel Costs at Chicago Union Station*

<table>
<thead>
<tr>
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<th>Service Lines</th>
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<td>NEC</td>
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<td>Ancillary</td>
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<td>NEC</td>
<td></td>
<td>Ancillary</td>
<td>Infrastructure Access</td>
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<td>Stations</td>
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<td>Ancillary</td>
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<td></td>
<td>National Assets</td>
<td>NEC</td>
<td></td>
<td>Ancillary</td>
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*Example: Operating – Station Personnel Costs at Chicago Union Station*
**Example:** *Capital* – Upgrades to State-Supported Equipment

<table>
<thead>
<tr>
<th>Asset Lines</th>
<th>Service Lines</th>
<th>NEC</th>
<th>Infrastructure Access</th>
<th>Ancillary</th>
<th>State Supported</th>
<th>Long Distance</th>
<th>Infrastructure Access</th>
<th>Ancillary</th>
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<tr>
<td>Transportation</td>
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<td>NEC</td>
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<td>Equipment</td>
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<td><strong>State Supported</strong></td>
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<td>Infrastructure</td>
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<td>Stations</td>
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<tr>
<td>National Assets</td>
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</tbody>
</table>
• Provide a whole picture of Amtrak’s business

• Must reflect Amtrak’s organization to be effective

• New methodology developed for capital allocations
# Amtrak’s Account Structure – What’s Next?

<table>
<thead>
<tr>
<th>Financial Sources:</th>
<th>NEC Account Total</th>
<th>National Network Account Total</th>
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<tbody>
<tr>
<td>Passenger Related Revenue</td>
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<tr>
<td>Ticket Revenue (Adjusted)</td>
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<tr>
<td>Charter/Special Trains</td>
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<tr>
<td>Food and Beverage</td>
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<td></td>
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<tr>
<td>Contractual Contribution (Operating)</td>
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<tr>
<td>PRRI 209 Operating Payments</td>
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<tr>
<td>Reimbursable Contracts</td>
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<tr>
<td>Access Revenue</td>
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<tr>
<td>Commercial Revenue (incl. Pipe/Wire, Real Estate, Parking)</td>
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<tr>
<td>All Other Revenue (incl. Insurance Revenue, Cobranded Commissions, etc.)</td>
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<tr>
<td><strong>Operating Sources Subtotal</strong></td>
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<tr>
<td>Contractual Contribution (Capital)</td>
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<tr>
<td>PRRI 209 Capital Payments</td>
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<tr>
<td>Other State/Local Mutual Benefit</td>
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<td>Financing Proceeds Applied</td>
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<td><strong>Capital Sources Subtotal</strong></td>
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<tr>
<td>Federal Grants to Amtrak</td>
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<td>Prior Year Carryover Capital Grant Funds</td>
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<td>Current Year FAST Sec 11101 Grants</td>
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<td>Operating Capital</td>
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<tr>
<td><strong>Total Financial Sources</strong></td>
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<tr>
<td><strong>Financial Uses (Operating):</strong></td>
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<tr>
<td>Service Line Management</td>
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<tr>
<td>Train Operations</td>
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<tr>
<td>Equipment</td>
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<td>Stations</td>
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<tr>
<td>National Assets and Corporate Services</td>
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<td><strong>Total Operating Uses</strong></td>
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<td><strong>Capital Expenditures</strong></td>
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<tr>
<td>Legacy Debt Repayments</td>
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<tr>
<td><strong>Total Capital Uses</strong></td>
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</tbody>
</table>

YTD September FY 2017
Grade Crossing Safety and Trespasser Prevention

Starr Kidda, Ph.D.
FRA Office of Research Development & Technology
Human Factors Division
• 4th Workshop to collaborate, identify and prioritize specific research needs

• 150+ attendees: Federal, state and local governments; railroad, academia, and consultants

• Five hot button topic areas:
  • Engineering/Technologies,
  • Human Factors,
  • Community Outreach/Education,
  • Enforcement, and
  • Hazard Management
All Rail GRX/Trespass/Suicide Fatalities
Problem

2016 Accident/Incident Data

- 2,041 incidents – 1,100 casualties (260 fatal, up 10% from 2015)
- Rail Trespassing (excl. suicides) – 959 casualties (476 fatal, up 6.0% from 2015)

http://safetydata.fra.dot.gov
Law Enforcement Grant Pilot Study

Project Description:

- Determine if funding directed at law enforcement agencies for rail trespass prevention activities is an effective safety program

- Implement FRA grant program to fund rail trespass prevention activities for law enforcement agencies
  - $150,000 available
  - 6 month period of performance
Photo-Based Education at Crossings

Project Description:
• Study the effectiveness of cameras at crossings to detect grade crossing violations

• City installed photo enforcement system and initiated warning letter mailings in August 2016
Project Description:
• Study interventions to prevent vehicle incursions into railroad rights-of-way
• Select strategy, location(s), install, and evaluate

Status:
• Analyzed potential locations; developed strategies and implementation plan
• Supported implementation at 2 locations
• Currently collecting post data
Vehicle ROW Incursion Prevention

![Image of a vehicle incursion prevention system at night with timestamps 061895 and 2016.09.09 20:56:41]
Vehicle ROW Incursion Prevention
Vehicle ROW Incursion Prevention
Questions?