



FRA UPDATE

**Rail Council Annual Meeting
September 2018**



U.S. Department of Transportation
Federal Railroad Administration

U.S. Department of Transportation Priorities



FRA Office of Railroad Policy & Development Focus Areas

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."

Focus Areas



**SAFETY
INNOVATION**



**INFRASTRUCTURE
INVESTMENTS**



**AMTRAK
REFORM**



**PROJECT DELIVERY
STREAMLINING**





Safety Innovation

PTC Implementation Status

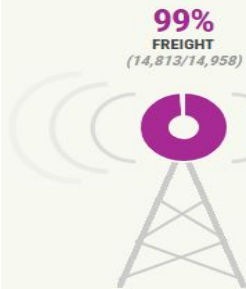
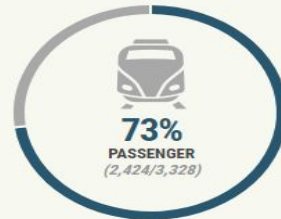


PTC IMPLEMENTATION
STATUS BY FREIGHT AND
PASSENGER RAIL

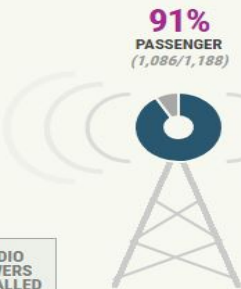
Q2 Apr. 1—Jun. 30, 2018



LOCOMOTIVES
EQUIPPED &
PTC OPERABLE



RADIO
TOWERS
INSTALLED



TRAINING
COMPLETED

97%
FREIGHT
(90,794/93,136)

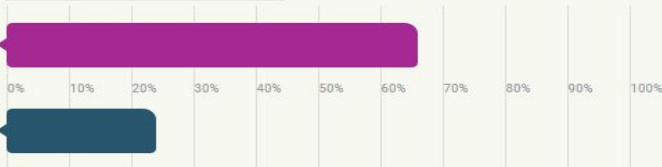


77%
PASSENGER
(12,797/16,702)

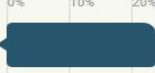


ROUTE MILES IN PTC OPERATION

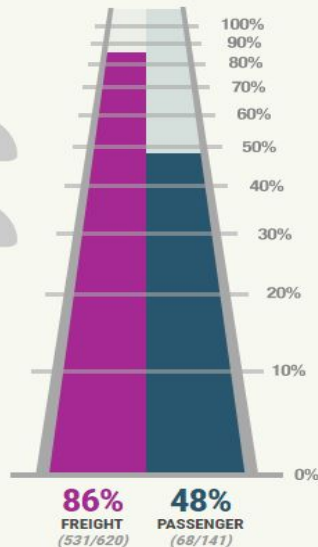
66%
FREIGHT
(35,487/53,967)



24%
PASSENGER
(975/4,002)



TRACK
SEGMENTS
COMPLETED



Safety Investments / Funding Overview

Since 2015, USDOT has made collaborative efforts to elevate and increase safety engagement through a renewed focus on:

- Accelerating Positive Train Control (PTC) implementation
- Rail Grade Crossing and Trespassing Prevention outreach
- Administering funding for rail infrastructure upgrades across the nation

88

Total projects funded
by FRA/FTA

\$460M

Total safety grant funding
by FRA/FTA

\$446M

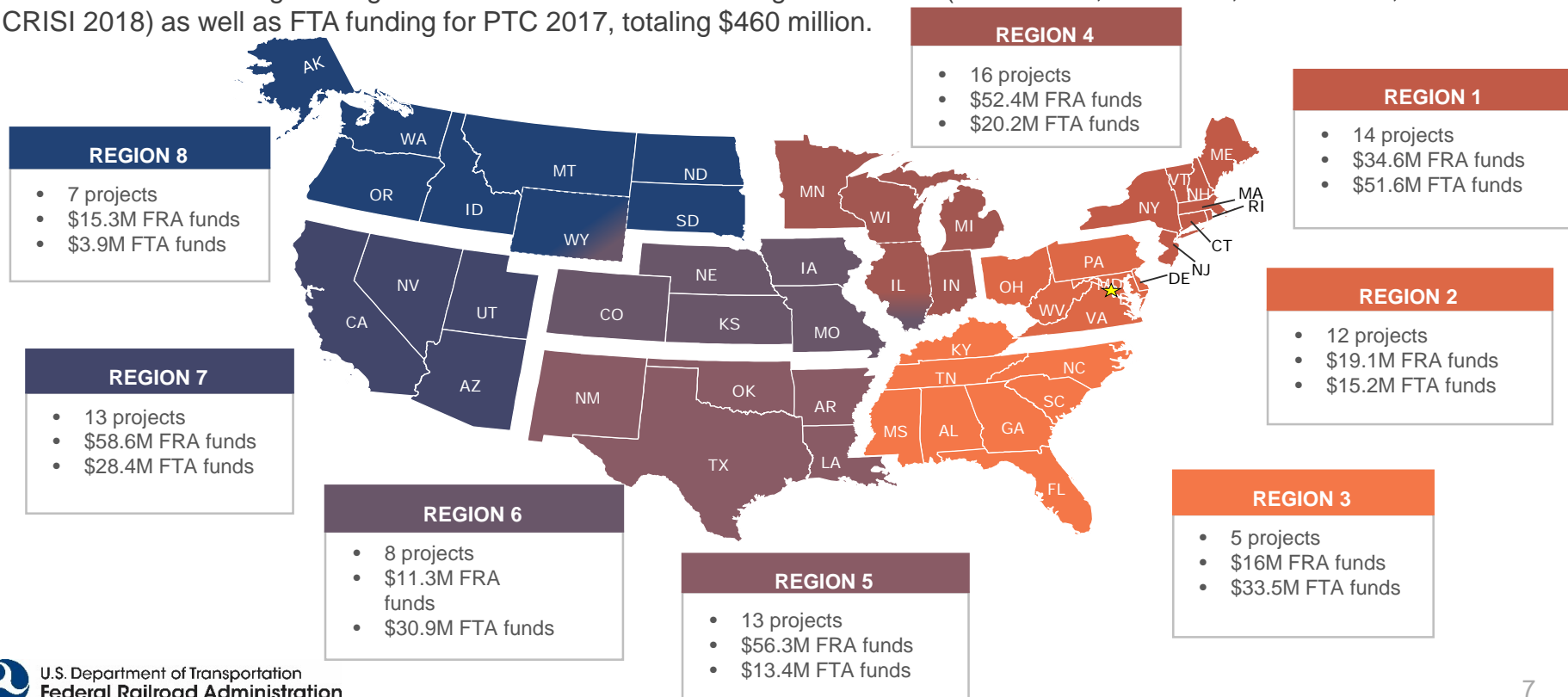
Total grantee contribution
(state and local contribution)

Recent Investment Programs by Fiscal Year	Funds	Impact
Safe Transportation of Energy Products by Rail Grant Program (STEP 2015)	\$10 Million	<ul style="list-style-type: none"> • 9 projects across 8 states • Funds to upgrade and increase the safety of railroad crossings along energy routes
Railroad Safety Infrastructure Improvement Grant Program (SIIP 2016)	\$25 Million	<ul style="list-style-type: none"> • 23 projects across 14 states • Funds to increase safety at railroad crossings, train stations, and tracks
Railroad Safety Technology Grant Program (RSTG 2016)	\$25 Million	<ul style="list-style-type: none"> • 11 projects across 6 states • Funds installation of PTC systems to prevent collisions and over-speed derailments
Positive Train Control Grant Program (PTC 2017) *FTA funding	\$197 Million	<ul style="list-style-type: none"> • 17 projects in 13 states • Funds installation of PTC systems to prevent collisions and over-speed derailments
Consolidated Rail Infrastructure and Safety Improvements Program (CRISI 2018)	\$203 Million	<ul style="list-style-type: none"> • 28 projects across 15 states • Funds installation of PTC systems to prevent collisions and over-speed derailments



Safety Investments / Regional Safety Offices

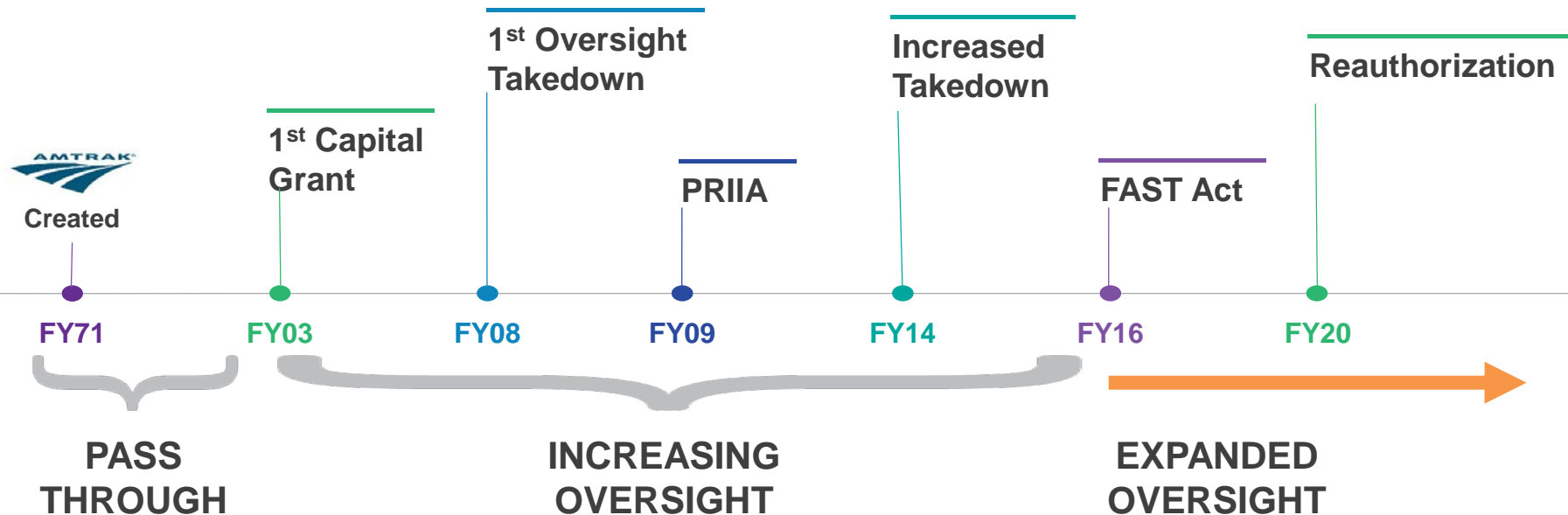
Each region within the assigned geographic jurisdiction conducts inspection activities to ensure the safe operation of railroads. The following funding amounts are derived from FRA grant sources (STEP 2015, SIIP 2016, RSTG 2016, and CRISI 2018) as well as FTA funding for PTC 2017, totaling \$460 million.



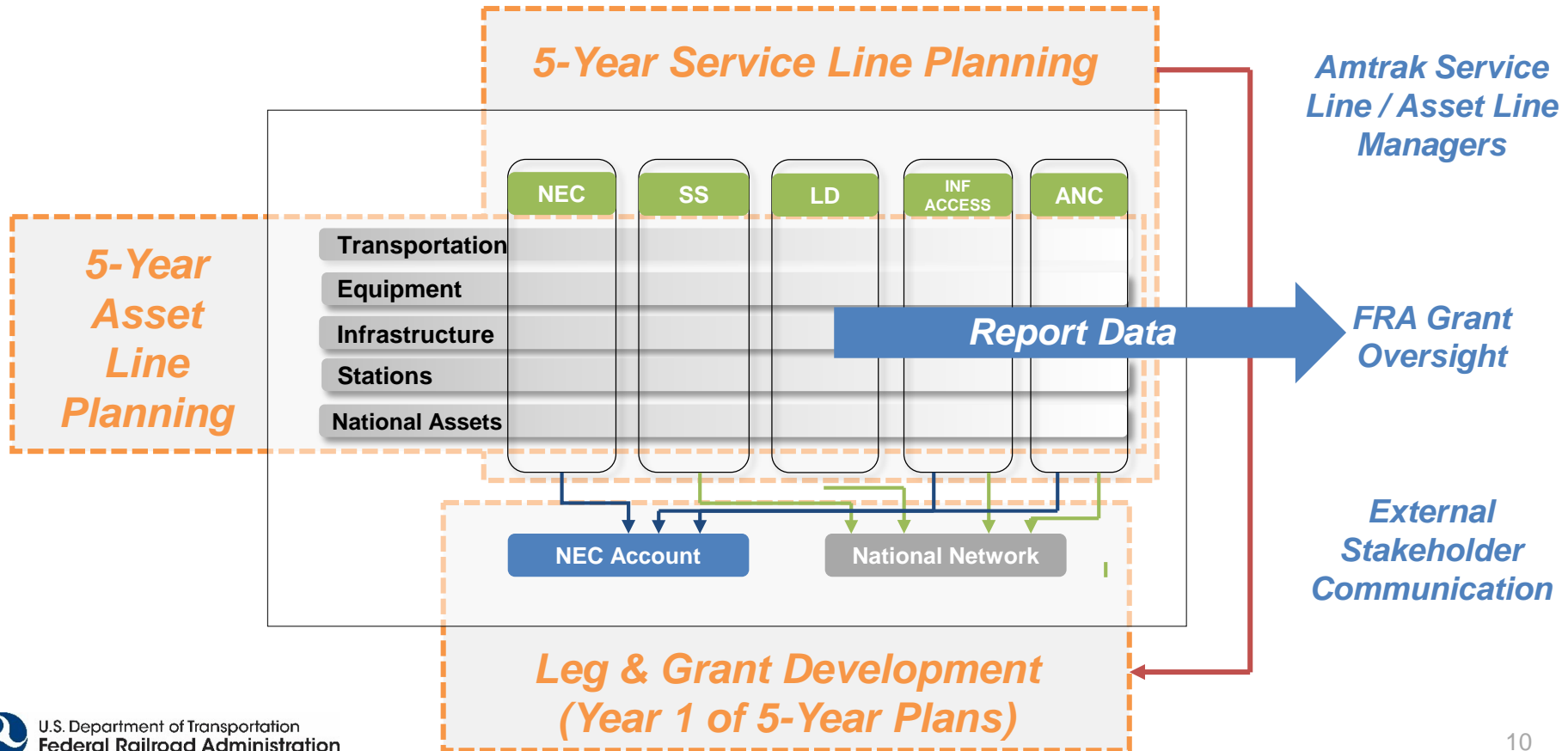


Amtrak Reform

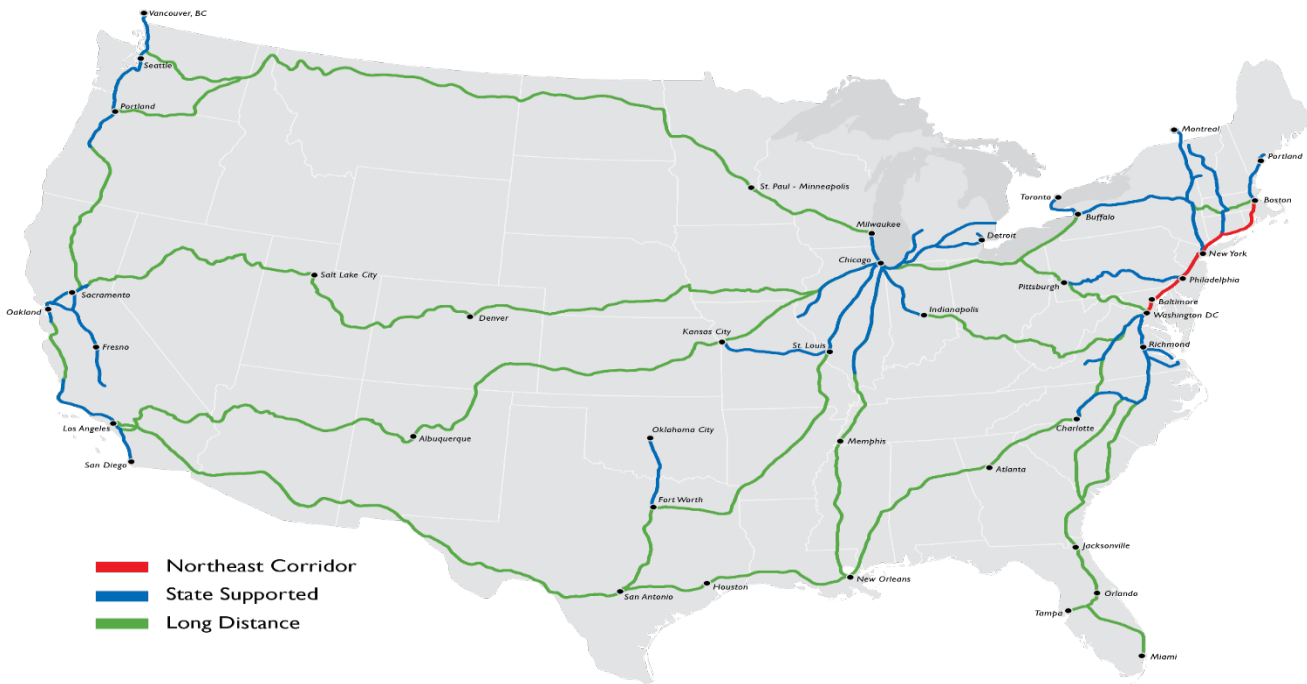
Evolution of Amtrak Oversight



FAST Act Account Structure



Amtrak Service Lines



Northeast Corridor

Kristin Ferriter

State Supported

Chris Witt

Long Distance

Brandon White



State Supported Operating Performance

MONTHLY PERFORMANCE

July FY17 vs. July FY18

State Supported

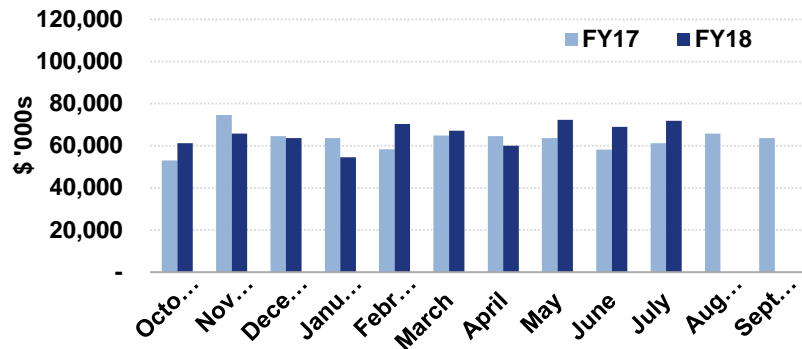
	Jul, FY 2018	Jul, FY 2017	Difference	% Change
Gross Ticket Revenue	\$50,065,273	\$48,656,549	\$1,408,724	2.9%
Ridership	1,427,638	1,406,738	20,900	1.5%
eCSI ¹	81.6			
Load Factor	47.6%	47.3%	0.3%	0.7%
OTP (Endpoint)	73.0%	72.3%	0.7%	1.0%
OTP (All Stations)	77.5%	78.1%	-0.6%	-0.7%

¹ YTD value

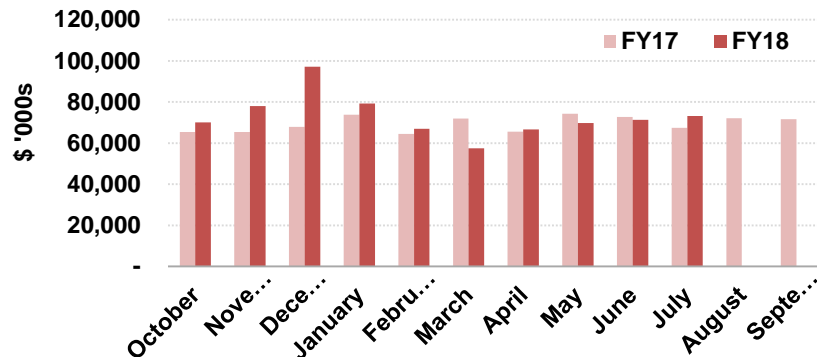


State Supported Operating Performance

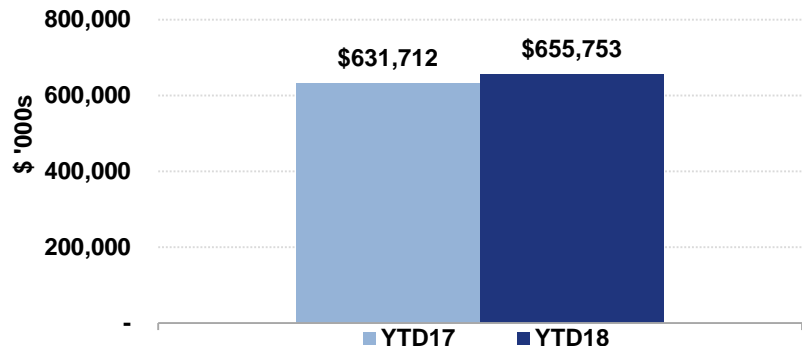
Operating Sources - Monthly



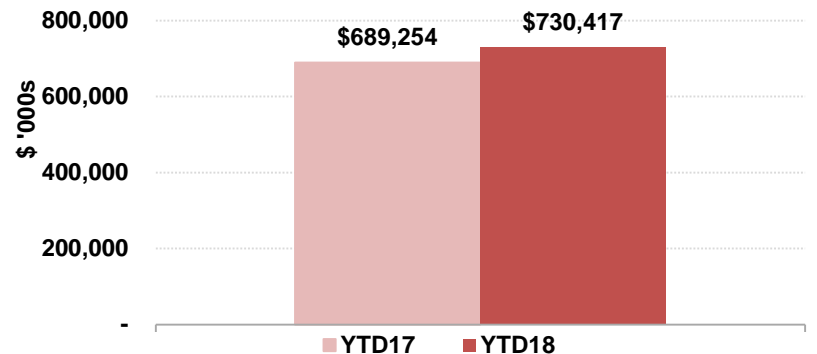
Operating Uses - Monthly



Operating Sources – YTD July

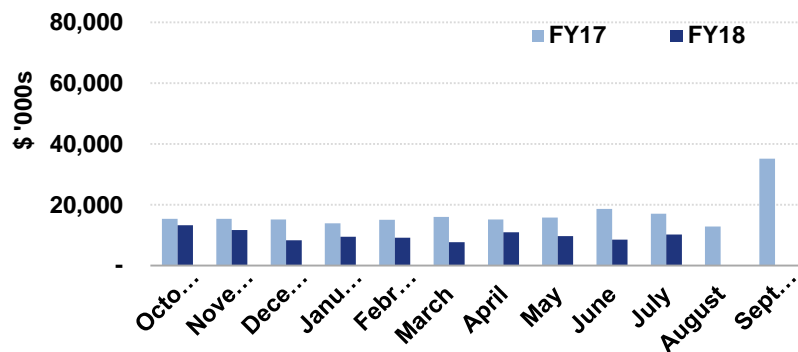


Operating Uses – YTD July

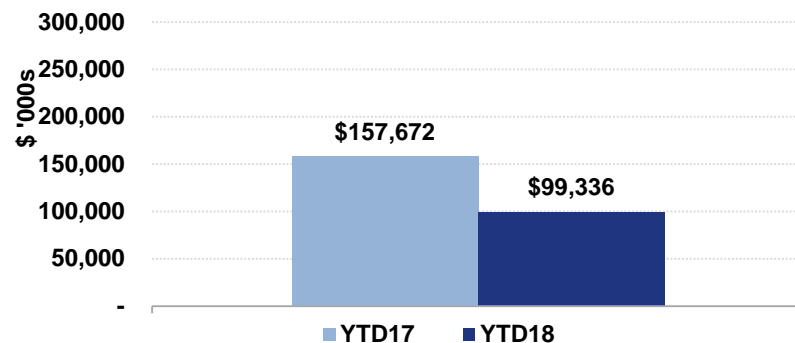


State Supported Operating Performance

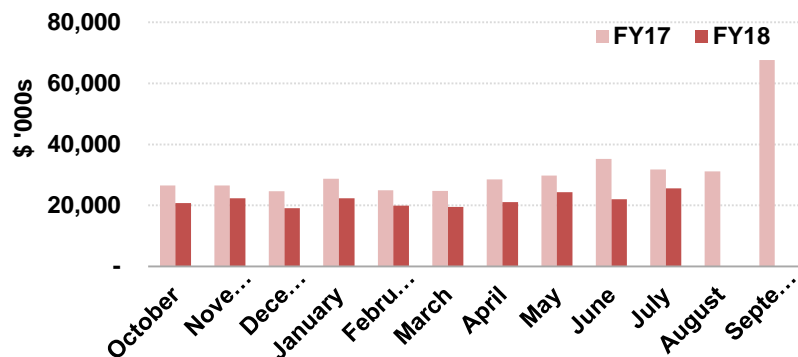
Capital Sources - Monthly



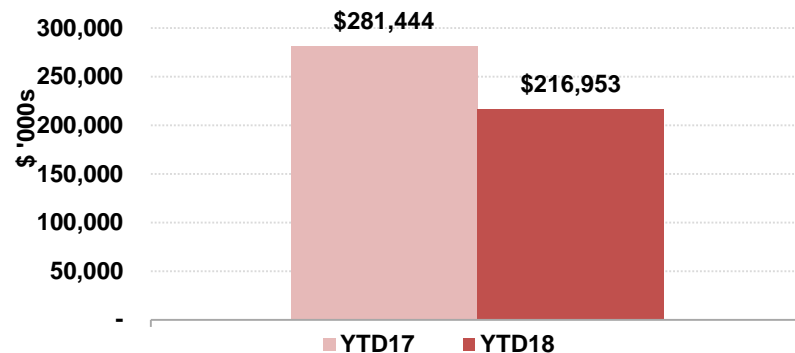
Capital Sources – YTD July



Capital Uses - Monthly

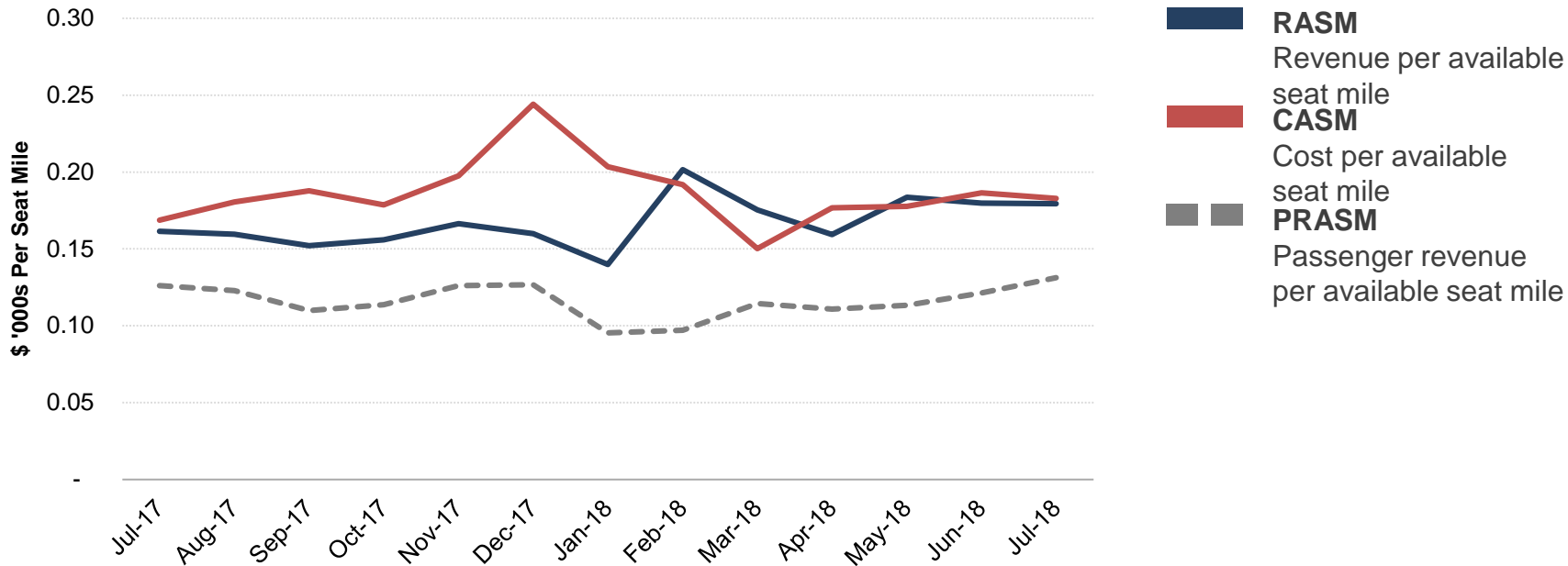


Capital Uses – YTD July



State Supported Operating Performance

Operating RASM, PRASM, and CASM



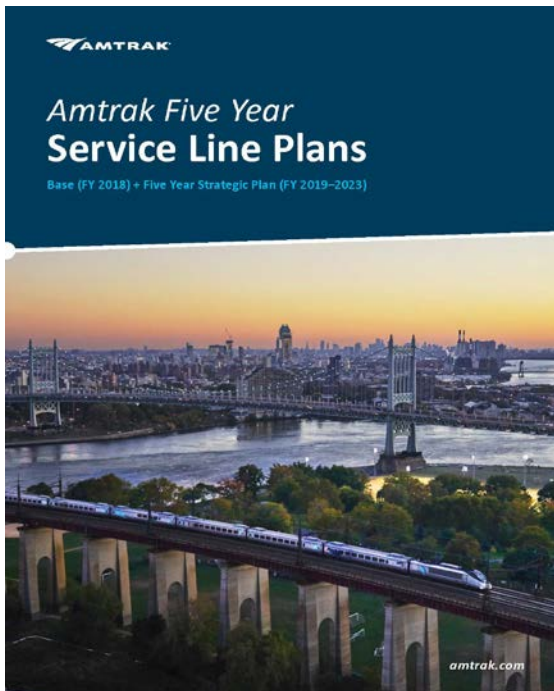
5-Year Plans

BACKGROUND

- FAST Act directed Amtrak to develop annual 5-Year service and asset line plans.
- Goals, initiatives, metrics, and financial analysis.

IMPLEMENTATION

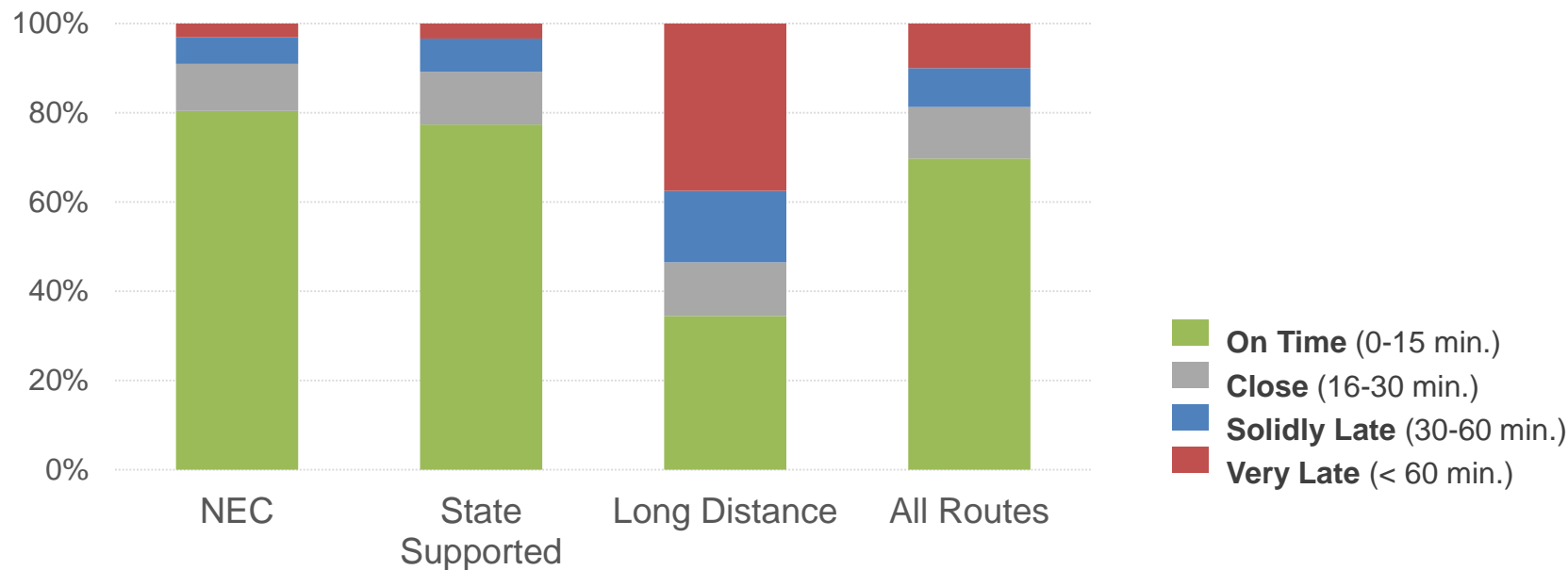
- First service line plan submitted in 2017.
- First asset lines plan due in February 2019.
- Opportunity for states and other stakeholders to shape Amtrak strategy and monitor implementation.



On Time Performance

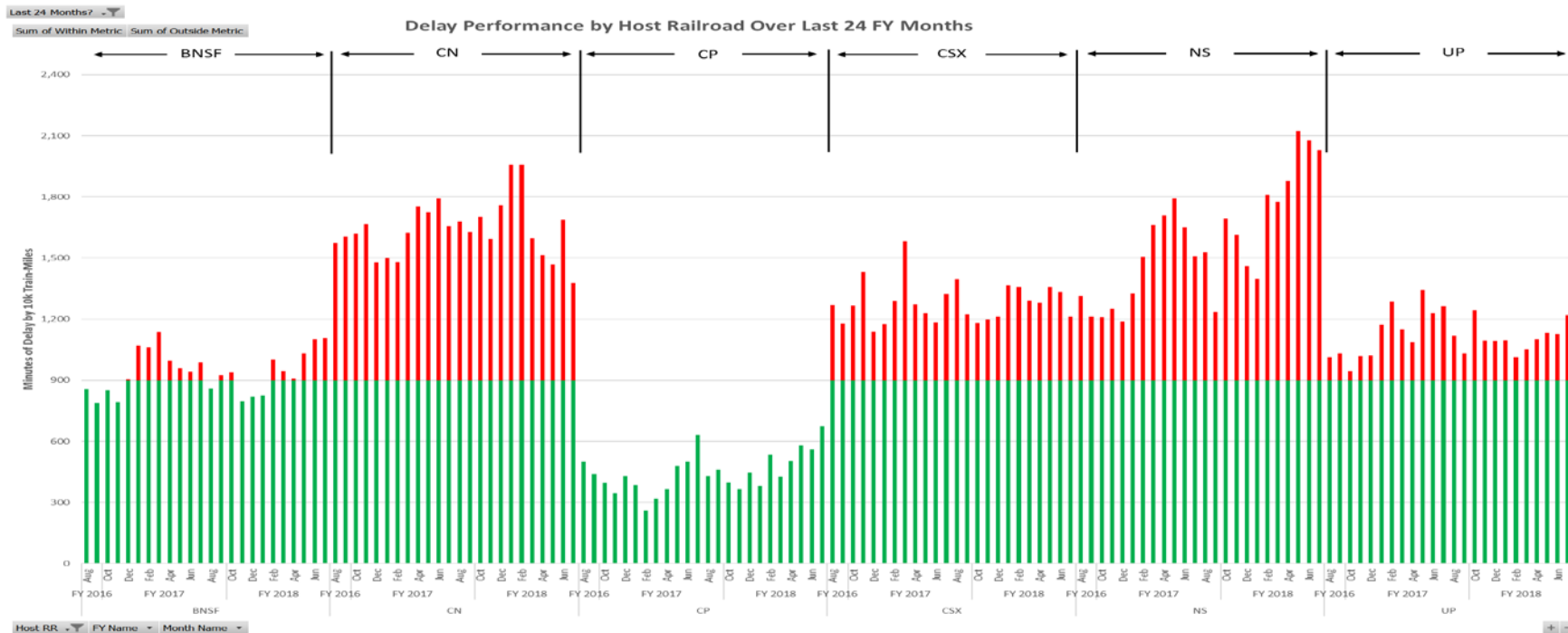
DEGREE OF LATENESS

Stations Arrival August 2018



On Time Performance

Host Railroad Delay Performance Last 24 Months



Monitoring and Oversight

Purpose

- Review and better understand reasons for performance with Amtrak and Host Railroads.
- Implementation of FAST Act reforms.

Meetings

- Quarterly Amtrak leadership meetings.
- Monthly meetings with Amtrak service and asset line leads and staff.
- Monthly meetings with Amtrak Finance.
- Regular meetings with host railroads on OTP and other issues.





Project Delivery Streamlining

Environmental Streamlining Overview



Legislative

- **FAST Act (December 2015)**
 - NEPA Procedures
 - Section 106 exemption for railroad rights-of-way
- **NEPA Assignment**



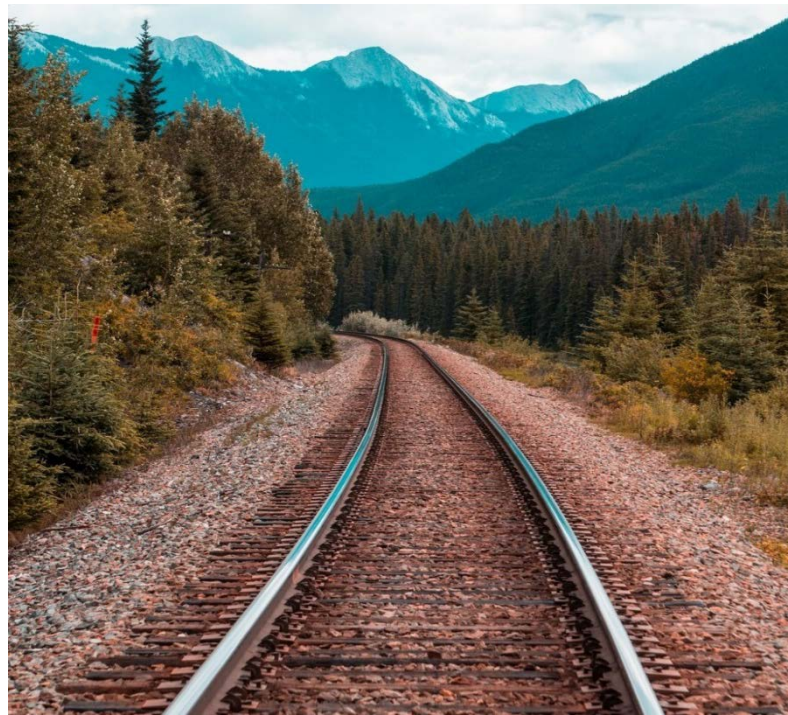
Administrative

- **EO 13807 (January 2017)**
 - One Federal Decision
 - Major Infrastructure Projects
- **Pre-NEPA Planning**



Pre-NEPA Planning

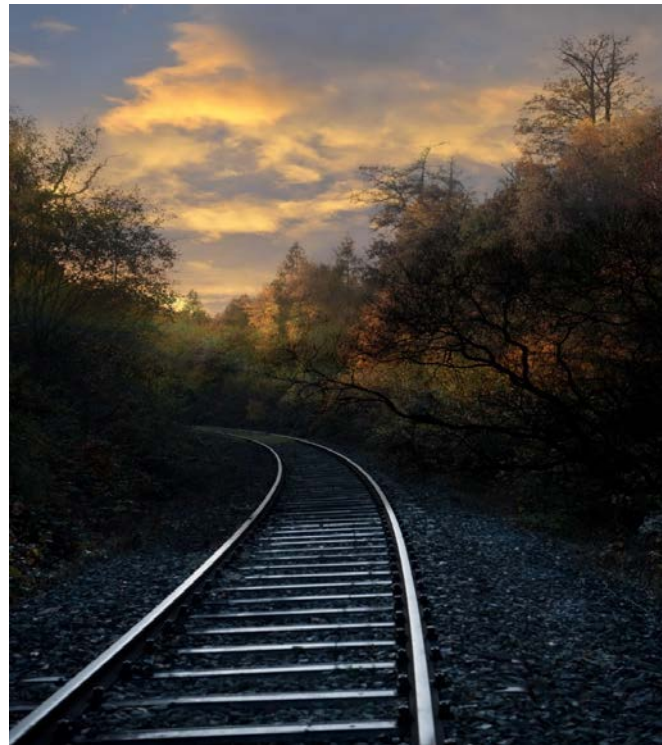
- FRA is exploring how to best utilize Pre-NEPA phase/before NOI
- Better connect planning and NEPA
 - Range of reasonable alternatives
 - Purpose and Need
 - Stakeholder outreach
- Pre-NEPA outputs subject to review, revision, and adoption after NEPA process is initiated (during Scoping)



FAST Act — Update to NEPA & 4(f) Regulations

FHWA, FTA, and FRA are working on a joint final rule.

- Harmonizes environmental procedures across the three USDOT OAs with jurisdiction over surface transportation
- Reduces burden on project sponsors
- Establishes new FRA CEs
- Requires 30-day public comment period for EAs
- Incorporates new 4(f) exemption consistent with FAST Act



FAST Act — Update to NEPA & 4(f) Regulations

- Final Rule will become effective 30 days after it is published in the Federal Register.
- FRA projects for which NEPA review has already started/is underway will continue to follow the old procedures.
- FRA will provide training and develop guidance for project sponsors as well as staff.



© FreePik | Rawpixel.com

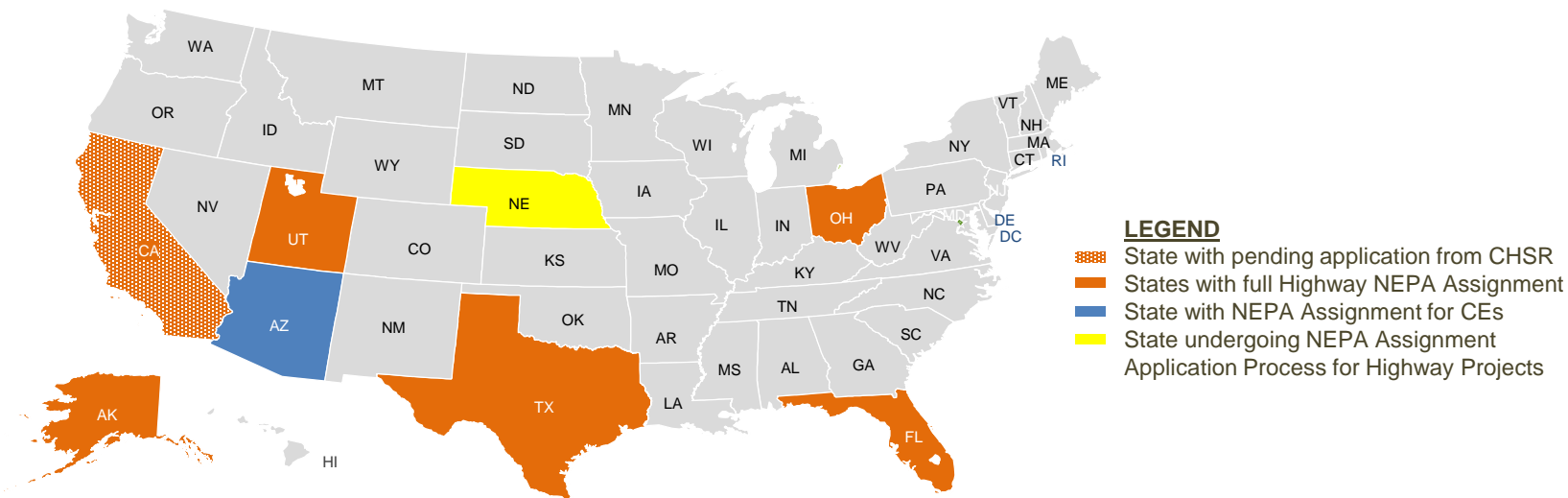


NEPA Assignment

- **Surface Transportation Project Delivery Program**
- **Secretary of USDOT Assigns all Responsibilities under NEPA**
 - State assumes:
 - Federal lead role in NEPA along with other Federal environmental laws
 - All legal risk for challenges to environmental decisions and documents
 - State does NOT assume responsibilities for:
 - Government-to-government tribal consultation
 - Air quality conformity determinations
 - Certain 4(f) determinations
 - State's application is approved through the execution of a MOU that is signed by the Governor and FRA Administrator



NEPA Assignment



- Six states have assumed FHWA's NEPA Responsibilities.
- To date – ONLY HIGHWAY PROJECTS.
- California was the first state DOT to apply and has had NEPA Assignment for highway projects since 2007.
- California applied for NEPA Assignment for its high speed rail program in 2018.



Executive Order 13807

One Federal Decision (OFD):

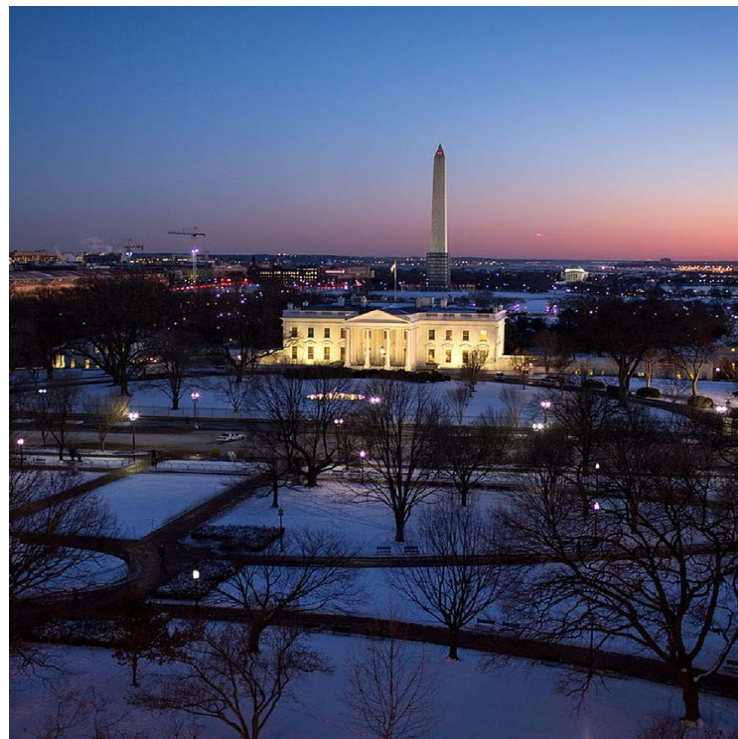
- Sets a government-wide goal of reducing average completion time for EIS to 2 years
- Applies to “Major Infrastructure Projects” (MIPs)
 - EIS-level projects
 - “Reasonable availability of funds”
 - Multiple Federal authorizations involved
- Process elements
 - Permitting timetable for all environmental review and authorizations decision
 - Single EIS
 - Single ROD
 - Authorizations (including permits) within 90 days after ROD



Executive Order 13807

One Federal Decision (OFD):

- Interagency MOU signed in April 2018
 - Establishes concurrence points for lead and cooperating agencies
 - Outlines roles and responsibilities
 - Details elevation and dispute resolution process
- Accountability system for MIPs
- Additional CEQ, OMB, and USDOT guidance forthcoming



Section 106 Program Comment for Rail ROW

PROPERTY BASED APPROACH
(OPTIONAL)

EXEMPTED ACTIVITIES LIST

OVERVIEW



Federal agencies comply with Section 106 of the National Historic Preservation Act by following the regulations issued by the Advisory Council on Historic Preservation (ACHP) at 36 CFR 800.



Section 106 Program Comment for Rail ROW

PROPERTY BASED APPROACH
(OPTIONAL)

EXEMPTED ACTIVITIES LIST

- Approved by the ACHP on August 17, 2018.
- Recognizes the differences between the IHS and the nation's railroads and rail transit systems, particularly the much longer history of rail transportation.
- Available for use by **any** Federal agency with an undertaking affecting **rail properties** in existing rail ROW.
- Applies to both railroads and rail transit systems.
- Two-part Approach: Exempted Activities List and Property-Based.

OVERVIEW



Section 106 Program Comment for Rail ROW

PROPERTY BASED APPROACH (OPTIONAL)

Exempted Activities List

- Comprehensive list of repair, maintenance, and upgrade activities that are necessary to ensure the safe and efficient operation of railroads and rail transit systems.
- Applies to rail properties only.
- Organized by property type.
- Effective now for projects for which the Section 106 process has not started or is underway but not complete.
- Some activities require the involvement of SOI-qualified professionals.
- Eliminates requirement for review by SHPOs.
- Federal agency determines whether or not exemption applies.



EXEMPTED ACTIVITIES LIST

OVERVIEW



Section 106 Program Comment for Rail ROW

PROPERTY BASED APPROACH (OPTIONAL)

- Project Sponsors may choose to work with USDOT OA and stakeholders to identify **excluded historic rail properties**.
 - Project Sponsor...
 - Defines portion of rail ROW (“study area”) within which to evaluate rail properties for historic importance.
 - May focus on all rail properties in study area, or particular type (e.g., bridges, stations).
 - Requires outreach to stakeholders.
 - Requires USDOT OA to seek public review/input on draft list.



PROPERTY BASED APPROACH
(OPTIONAL)

EXEMPTED ACTIVITIES LIST

OVERVIEW



Section 106 Program Comment for Rail ROW

PROPERTY BASED APPROACH (OPTIONAL)

- Once approved by USDOT, list of excluded historic rail properties will be published on USDOT website
- Excluded historic rail properties remain subject to Section 106 review; all other rail properties evaluated within study area do not require Section 106 review. *(Regardless of future Project Sponsor or Federal agency.)*
- USDOT is required to issue implementing guidance within 9 months of final Program Comment (May 2019).
- Once implementing guidance is issued, interested Project Sponsors may pursue the property-based approach.



PROPERTY BASED APPROACH
(OPTIONAL)

EXEMPTED ACTIVITIES LIST

OVERVIEW





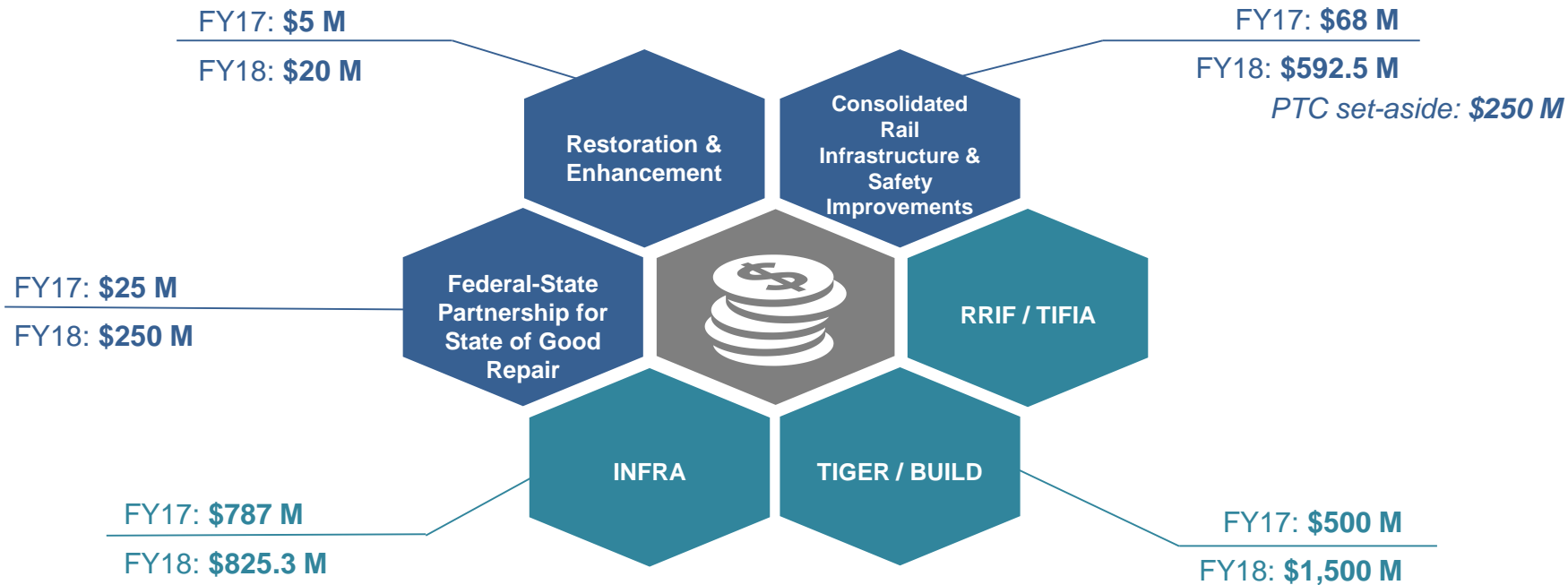
Infrastructure Investments

FRA Active & Pending Grant Program Snapshot

Rail Program		Total Number of Grants	Federal Funding (\$M)	Outlays to Date (\$M)	Percent Outlaid
Amtrak Programs		16	\$4,629	\$3,098	67%
OST Programs	TIGER/BUILD	36	\$472	\$122	26%
	FASTLANE / INFRA				
Fast Act Programs	Special Transportation Circumstances	30	\$205	\$0	0%
	CRISI-PTC (2018)				
Safety / Research Programs		75	\$89	\$25	28%
Legacy / Modal Transfer Programs		71	\$7,544	\$6,143	81%
TOTAL		228	\$12,939	\$9,388	73%



Overview of FY17 & FY18 USDOT Rail Funding



CRISI and BUILD – Eligible Projects

- BUILD (formerly TIGER) — \$1.5B made available in FY18 for surface transportation infrastructure projects
- Intercity passenger and freight rail projects eligible, to include PE, NEPA, and pre-construction activities
- **Rail applications submitted for FY18 BUILD less than expected; FY17 CRISI over-subscribed**

Project Type	CRISI	BUILD
Freight Projects	✓	✓
Intercity Passenger Rail Projects	✓	✓
Final Design/Construction	✓	✓
Preliminary Engineering/NEPA*	✓	✓
Planning*	✓	✓
New Infrastructure	✓	✓
Rehabbing Existing Infrastructure	✓	✓
Safety Improvements (e.g. grade crossings, PTC)	✓	✓
Rolling Stock	✓	✓
Development and Implementation of Safety Programs	✓	

**Projects that do not involve construction are not always eligible under TIGER/BUILD.*



Consolidated Rail Infrastructure & Safety Improvements

- **Purpose of Program**

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

- **Federal Funding**

- \$318,430,337
 - \$35.5M for initiation/restoration capital projects
 - At least 25% for rural area projects

- **Federal Share**

- Maximum: 80%
- Statutory Preference: 50% or less

- **Application Due Date**

- September 17, 2018 at 5 PM EDT

- **Special Funding Restrictions**

- ***Applicants may resubmit FY17 CRISI and FY18 CRISI PTC applications for consideration – indicate whether application has changed since previous submission***



Consolidated Rail Infrastructure & Safety Improvements

Eligible Applicants

- State Entities
- Local Government
- Amtrak & Other IPR Carriers
- Class II / III Railroads
- Public Agencies or Publicly Chartered Authorities
- Rail Carriers & Equipment Manufacturers
- Transportation Research Board
- University Transportation Centers
- Certain Non-profit Labor Organizations

Eligible Projects

- Wide range of capital projects – congestion mitigation, ridership growth facilitation, enhancements to multimodal connections, improvements to shortline or regional railroad infrastructure
- IPR track, station, and equipment enhancements
- Railroad safety technology
- Grade crossing improvements
- Regional, state, and corridor planning and environmental analyses
- Safety programs and institutes
- Rail research, workforce development, and training – **New for FY18**



Consolidated Rail Infrastructure & Safety Improvements

- **Evaluation Criteria**

- **Technical Merit:**

- Project readiness
 - Private sector participation
 - Consistent with DOT Planning guidance and documents

- **Project Benefits:**

- Effects on system performance, safety, competitiveness, reliability, trip or transit time, and resilience
 - Integration with other modes
 - Ability to meet existing or anticipated demand

- **Selection Criteria**

- Preference for higher matching funds from multiple sources, maximized net benefits, and private sector participation
 - Key departmental objectives
 - Supporting Economic Vitality
 - Leveraging Federal Funding
 - Preparing for Future Operations/Maintenance Costs – **More Explicitly Defined for FY18**
 - Innovative Approaches
 - Accountability



CRISI-PTC Systems Grants

Purpose of Program

- To fund the deployment of PTC system technology for intercity passenger rail, freight rail, and/or commuter rail passenger transportation

Federal Funding

- At least \$46 million in remaining grant funding is available

Eligible Projects

- Maximum: 80%
- Statutory Preference: 50% or less



CRISI-PTC Systems Grants

- **Application Due Date**
 - October 12, 2018
- **Eligible Applicants**
 - State Entities
 - Public Agencies or Publicly Chartered Authority (e.g., commuter rail agencies)
 - Local Governments
 - Amtrak or other Intercity Passenger Rail Carrier
 - Class II or III Railroad
 - Any Rail Carrier or equipment manufacturer in partnership with at least one state entity, public agency, and/or local government
 - The Transportation Research Board
 - A University transportation center engaged in rail-related research
 - A non-profit labor organization



CRISI-PTC Systems Grants

Eligible Projects

- Projects that deploy PTC systems technology for intercity passenger rail, freight rail, and/or commuter rail passenger transportation:
 - Back office systems
 - Wayside, communications, and onboard hardware equipment
 - Software
 - Equipment installation
 - Spectrum
 - Any component, testing, and training for the implementation of PTC systems

NOTE: Maintenance and operating expenses incurred after a PTC system is placed in revenue service are ineligible.



Restoration and Enhancements Grants

FY18

\$20 M

Purpose of Program

- To provide **operating assistance** to initiate, restore, or enhance intercity passenger rail service

Eligible Applicants

- State Entities
- Local Governments
- Amtrak & Other IPR Carriers
- Rail Carriers

Eligible Projects

- Establishing a new service
- Additional frequencies
- Service extensions
- Offering new on-board services
- Examples of eligible expenses: train engineer staffing, fuel, train dispatching, station management, and overhead



Federal-State Partnership State of Good Repair

FY17

FY18

\$25 M

\$250 M

Purpose of Program

- To fund intercity passenger rail **capital projects nationwide** to reduce the state of good repair backlog on certain **publicly-owned or Amtrak-owned railroad assets**

Eligible Applicants

- State Entities
- Local Governments
- Amtrak

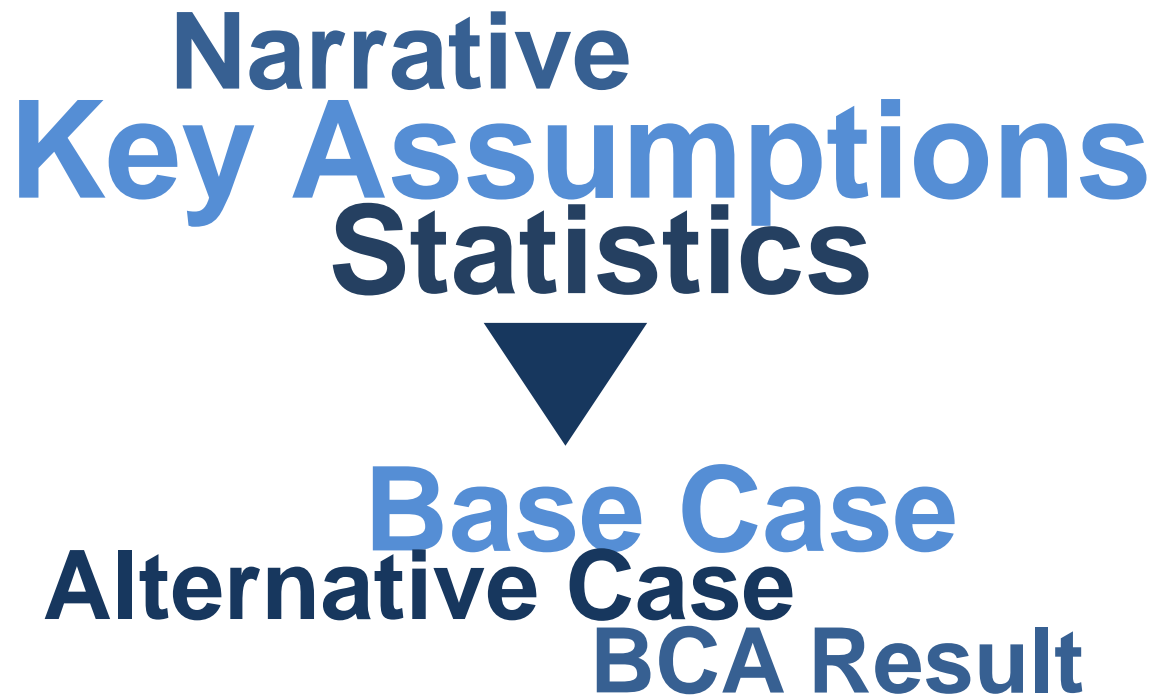
Eligible Projects

- Capital projects, **on NEC and off NEC, to repair, replace, rehabilitate, or improve** qualified railroad infrastructure, equipment, and facilities



Benefit Cost Analysis Guidelines

- Document your assumptions in as much detail as possible.
- Explain how the project will lead to the expected outcomes.
- Work from the bottom up.



BCA Guidelines

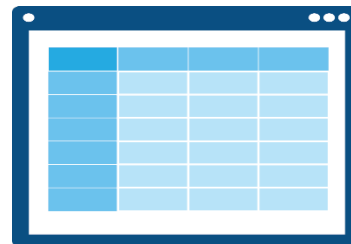
- If the project has separate elements, report benefits and costs of each sub-project separately.



- If your BCA includes modal diversion, include YOUR mix of commodities and traffic volumes.

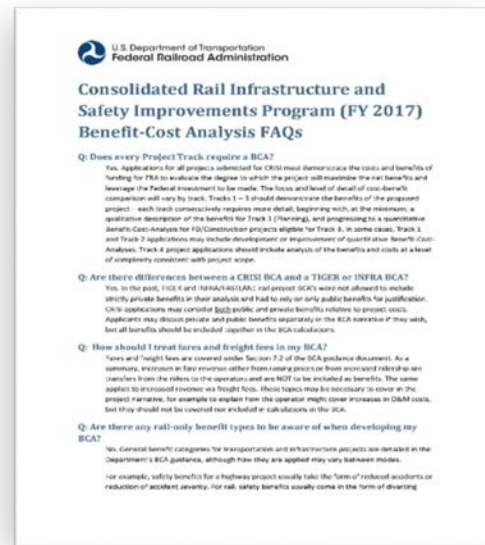
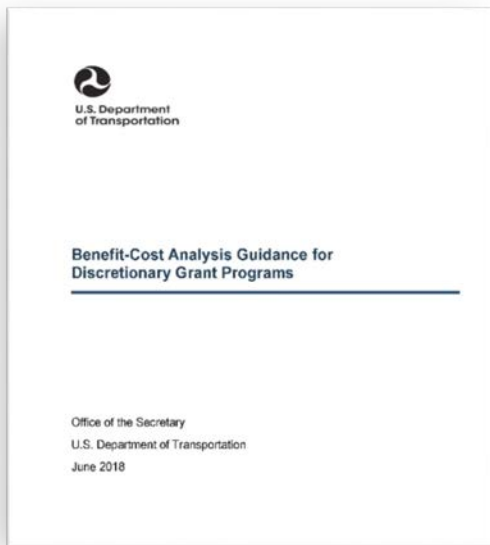


- ***Include an unlocked Excel spreadsheet that clearly shows your calculations and discounting.***

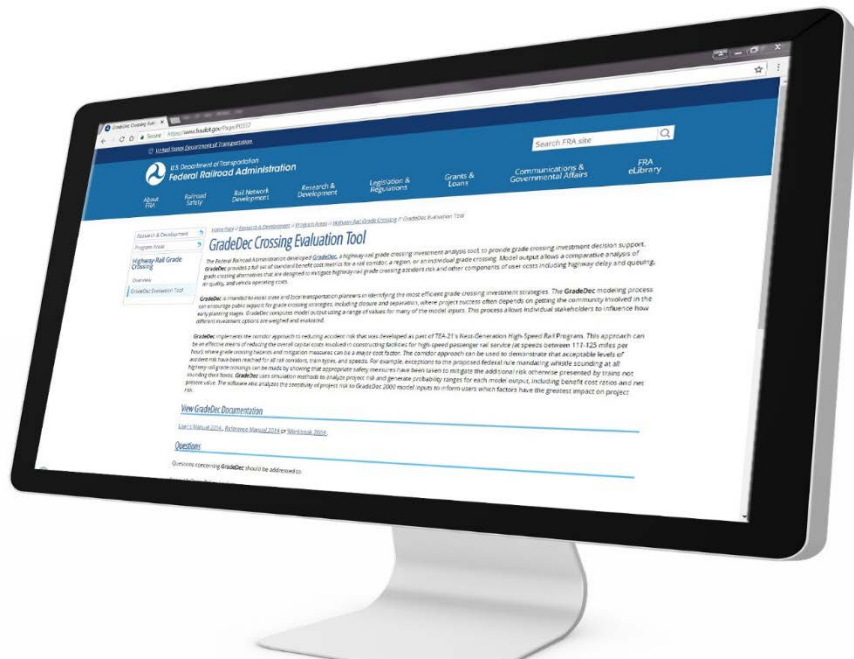
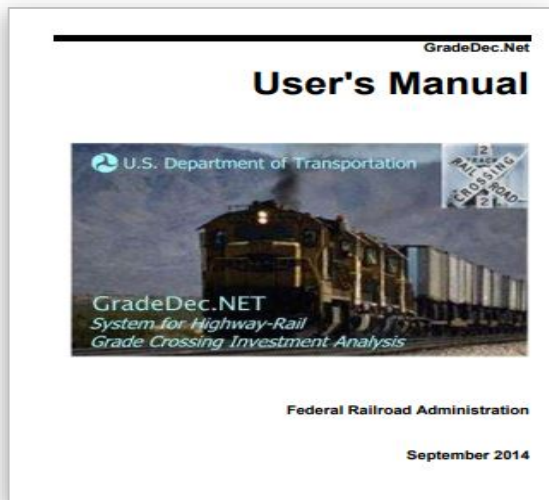


BCA Guidelines

- Follow USDOT BCA guidance (the most recent version can be found [here](#).)
- Refer to the [BCA FAQs](#) for some rail specific examples of how to apply the BCA Guidance



BCA Guidelines

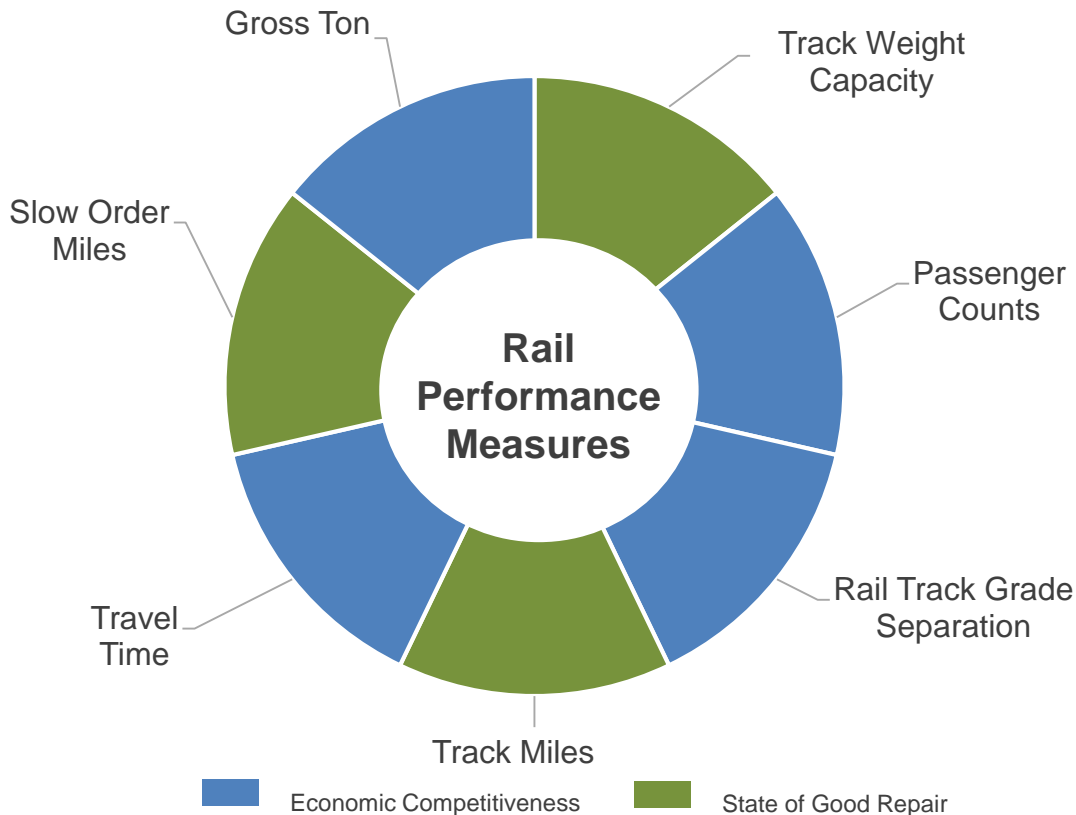


- GradeDEC link
<https://www.fra.dot.gov/Page/P0337>
- GradeDEC documentation
<https://www.fra.dot.gov/eLib/Details/L03761>



Project Benefits/Performance Outcomes

In accordance with **§200.301** and **Sec. 11301 of the FAST Act**, each applicant selected for funding must collect information and report on the project's performance using measures mutually agreed upon by FRA and the grantee to assess progress in achieving strategic goals and objectives.



Project Benefits/Performance Outcomes

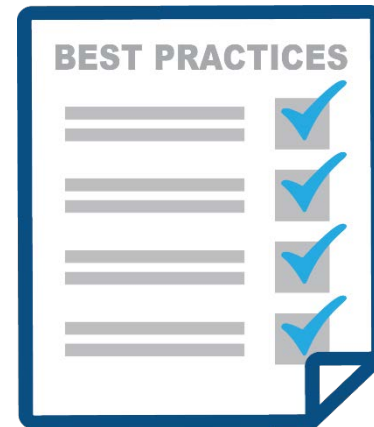
What this means:

- Performance measures listed in NOFO/on previous slide are exemplary, not exhaustive.
- Performance measures will be included in Grant Agreement.
- Project specific performance measures will need to be identified for each grant.
- The performance baseline and improved level of performance anticipated to be defined prior to grant award.
- Grantees will be responsible for reporting actual performance against the anticipated improvement for a time period post completion.



Application Best Practices

- Read the NOFO carefully
- Determine what a "successful" project will look like
- Register in SAM and Grants.gov early
- Apply early enough to meet the application deadline
- When applying through Grants.gov, use the "Track My Application" function
- Use the checklist with the application requirements in the NOFO as you complete your application
- Check to see that all budget figures match corresponding figures on the forms, cover sheet, SOW, and in the Project Narrative
 - Numbers in columns and rows should add up properly in budget tables



Application Best Practices

- Address all of the evaluation and selection criteria on which you will be rated
 - By clearly and directly responding to the criteria, your application will be easier to read and evaluate.
Don't bury key points!
- Name key partners, indicate in-place agreements, and include letters of support
- Align your strategies, activities, staffing, and other application content
- For grade crossing improvement projects, include DOT grade crossing ID numbers
- Only include project costs expected to be incurred after selection of the grant

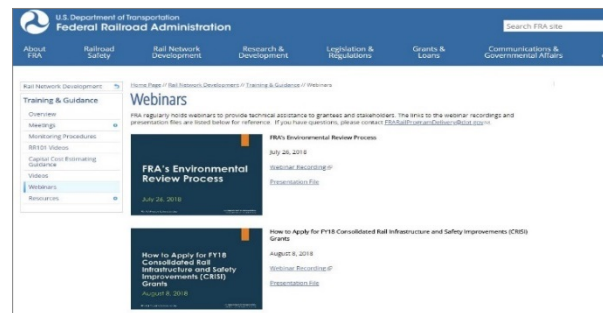
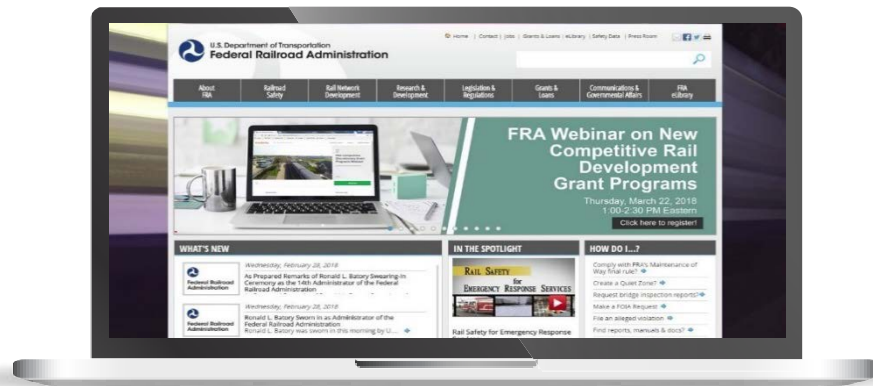


Grantee Technical Assistance

- FRA hosted or participated in 9 webinars to provide technical assistance to more than 500 grantees and other rail stakeholders.
- Topics included:
 - Grant programs and application requirements
 - Application assistance
 - How to prepare Benefit-Cost Analyses

Recordings of some of the recent webinars can also be found at:

<https://www.fra.dot.gov/Page/P1137>



A dark blue background featuring silhouettes of approximately ten people sitting around a long table, engaged in a meeting or discussion. The scene is dimly lit, with light coming from windows in the background, creating a professional and collaborative atmosphere.

QUESTIONS?





CONTACT US

Federal Railroad Administration
1200 New Jersey Avenue, SE
Washington, DC 20590

For more information visit us at
www.fra.dot.gov



Connect with us **USDOTFRA**



U.S. Department of Transportation
Federal Railroad Administration