

# **BUDGET ESTIMATES**

**FISCAL YEAR 2013**

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**FEDERAL RAILROAD  
ADMINISTRATION**

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SUBMITTED FOR THE USE OF  
THE COMMITTEES ON APPROPRIATIONS

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**DEPARTMENT OF TRANSPORTATION  
FEDERAL RAILROAD ADMINISTRATION**

**FY 2013 CONGRESSIONAL BUDGET JUSTIFICATION**

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# DEPARTMENT OF TRANSPORTATION FEDERAL RAILROAD ADMINISTRATION

## Mission

Established by the *Department of Transportation Act of 1966*, the Federal Railroad Administration's (FRA) mission is to ensure the safety of the Nation's rail operations and infrastructure and to promote, efficient, accessible, and environmentally sound rail transportation. FRA relies on the enforcement of safety regulations, administration of financial assistance programs, and research and development to accomplish this mission. FRA's activities have resulted in **one of this Nation's safest decades ever**—the number of rail-related accidents and incidents has declined by 31 percent; train accidents have dropped by 38 percent; fatalities and injuries have fallen by 27 percent; and highway-rail grade crossing incidents have decreased by 42 percent. Nevertheless, in 2010, rail-related incidents killed 724 people and injured 8,232 others.

With the *Passenger Rail Investment and Improvement Act*, the *American Recovery and Reinvestment Act*, and fiscal year (FY) 2010 appropriations, successful development of regional networks of high-speed and intercity passenger rail corridors has been a driving force behind the expansion of FRA's policies,



activities, and workforce. FRA has obligated more than \$9.6 billion for high-speed and intercity passenger rail projects. These funds will support the Department's priority goal to advance passenger rail in the United States by initiating construction on 7 corridor programs and 36 individual projects by September 30, 2013. In FY 2013, the Administration proposes additional investments under a new program account structure to secure a long-term commitment. This investment will advance America's economic competitiveness, reduce reliance on imported oil, fund Amtrak's valuable assets and infrastructure, and support domestic manufacturing and highly skilled, well-paying American jobs that cannot be outsourced. It also complements America's world-class highways, transit, and aviation assets by supporting the mobility needs of our growing population with enhanced passenger rail service.

## Administrator's Overview

Respecting current budget limitations, FRA's FY 2013 request concentrates on the three enhancements critical to achieve our mission. First, this budget recognizes FRA's core responsibility to ensure the safety of U.S. freight and passenger rail systems by expanding FRA's innovative risk reduction program; advocating to prevent distraction from electronic devices (which aligns with the Secretary's distracted driving reduction priority); and supporting the safety certification process for high-speed rail systems. Second, in FY 2013, FRA will continue to pursue the President's goal of providing 80 percent of Americans convenient access to high-speed intercity passenger rail service within 25 years. To do so, FRA proposes to provide

eligible recipients robust financial assistance for planning, engineering, environmental analysis, right-of-way acquisition, design, and construction activities. Lastly, FRA continues to emphasize support for an energized and mission critical workforce, with a simultaneous focus on identifying and implementing management efficiencies that achieve the President's aggressive agenda for reducing administrative costs.

The President, through the American Jobs Act, has requested \$50 billion for immediate transportation investments in FY 2012. The total includes \$6 billion for rail transportation: \$4 billion to improve the Nation's existing intercity passenger rail network and develop new high-speed rail corridors and \$2 billion for the repair, rehabilitation, and upgrade of Amtrak's assets and infrastructure, including rolling stock.

FRA has made significant contributions toward the safety, operations, and advancement of the Nation's passenger and freight rail industry and infrastructure in the four decades since the agency's establishment. Today, FRA regulates more than 740 railroads (including 27 passenger, 160 switching and terminal, approximately 105 tourist/excursion/historical, and nearly 450 freight railroads). The railroad industry serves as a major U.S. economic driving force, and in 2010:

- Employed roughly 200,000 workers who logged more than 437 million employee-hours.
- Hauled the Nation's freight more than 703 million train-miles.
- Carried more than 605 million passengers over 18.1 billion miles.

The programs and activities in the FY 2013 request will continue to support the Nation's economic and mobility needs for decades to come, with effective programs and careful stewardship of taxpayer resources.

### **Budget Request Summary**

While the centerpiece of this year's budget request is strategic investment in development and expansion of the National High Performance Rail System, FRA's proposed \$2.8 billion in gross budgetary resources ensures that safety remains a top priority. This budget reflects FRA's focus on advancing rail safety and delivering a fast, efficient intercity passenger rail network. The request is an increase of \$1.1 billion from the FY 2012 level, with an additional 45 rail development, safety, and support personnel needed to deliver FRA's programs.

In FY 2013, FRA requests:

**Safety and Operations:** \$196 million and 878.5 FTE to fund FRA's portfolio of rail safety and development programs. This account also funds the organizational infrastructure—staff and operations (e.g., payroll, rent, telecommunications, information technology, and contract support)—that enables the safety and development programs to accomplish their goals. In FY 2013, this account includes a proposed \$80 million railroad safety user fee designed to help offset the costs of 359 safety inspectors and related railroad safety activities.

**National High Performance Rail System (NHPRS):** \$2.5 billion in obligation limitation for the first year of a 6-year proposal to pursue the President's goal of providing 80 percent



of Americans with convenient access to a High-Speed Intercity Passenger Rail (HSIPR), within 25 years. In FY 2013, the request consolidates multiple rail development and improvement programs into two integrated and coordinated programs: (1) Network Development, and (2) System Preservation and Renewal.

- Network Development: \$1 billion in obligation limitation for planning and developing the infrastructure, stations, equipment, and capacity necessary to continue implementation of the NHPRS. These initiatives focus on (1) planning and developing core express, regional, and emerging corridors; (2) developing intermodal stations to connect intercity passenger rail service to communities and other transportation options; (3) facilitating the design, procurement, manufacturing, and demand management of standardized passenger rail equipment; and (4) delivering training and technical assistance services to develop government and private expertise, and promoting research and development in the rail industry.
- System Preservation and Renewal: \$1.5 billion to fund Amtrak's national network operating, capital, and debt service requirements and lay the groundwork for competitive grant programs to ensure passenger rail assets are maintained safely and reliably in the future. These funds will (1) provide operating, capital, and debt resources to the National Railroad Passenger Corporation (Amtrak) for intercity passenger rail service; and (2) fund state of good repair and asset recapitalization of publicly owned rail infrastructure and fleet.
- Previously funded Grants to the National Railroad Passenger Corporation and Capital Assistance for High-Speed Rail Corridors and Intercity Passenger Rail Service are proposed to be discontinued, with those activities pursued in the Network Development and System Preservation and Renewal accounts, enabling the Federal government to take comprehensive action on passenger rail issues. A crosswalk between the current and proposed account structure is provided in Section 3.

**Railroad Research and Development:** \$35.5 million to fund research and development activities to reduce risk in railroad operations and address high-speed rail technical challenges. Included in this request is funding to exchange technology with railroad operators for system integration, interoperability standards, and prototypes for positive train control communications. The FY 2013 request includes \$0.5 million for an environmental sustainability initiative that supports Executive Orders 13423 and 13514.

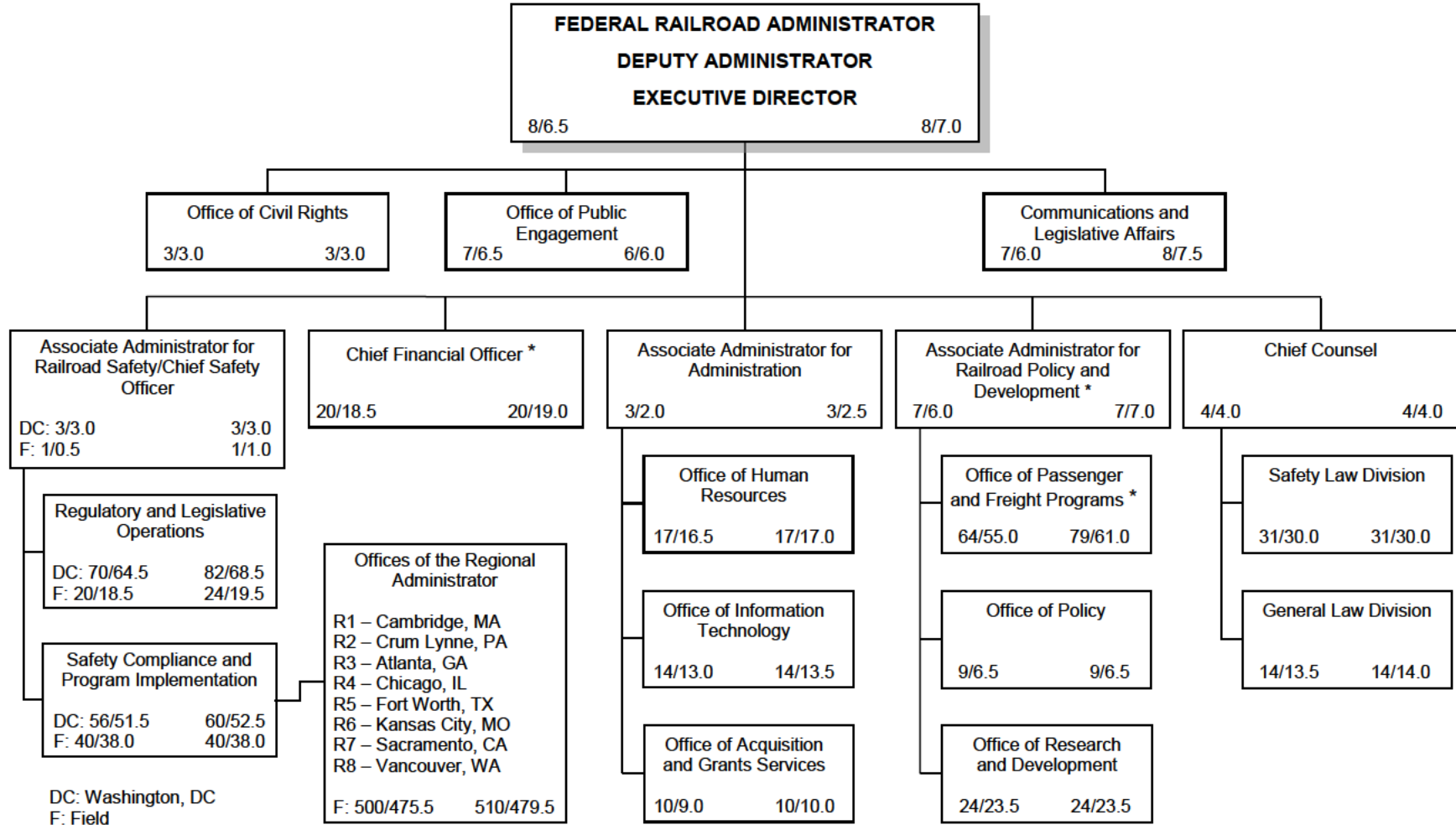
**Administrative Efficiency Initiative:** In accordance with the President's Executive Order *Promoting Efficient Spending*, FRA's FY 2013 budget reflects reduced spending of almost 20 percent for certain administrative expenses. FRA is on track to reduce employee travel, executive transportation, eliminate or consolidate employee information technology devices, decrease printing and reproduction services, and trim consulting and advisory contracts by nearly \$3 million compared to FY 2010 levels. FRA is leveraging new technologies and cost savings to complete mission critical work and ensure it achieves its core mission.

**DEPARTMENT OF TRANSPORTATION  
FEDERAL RAILROAD ADMINISTRATION**

**ORGANIZATION CHART**

**2012 Total:** 932 Full-time Positions (FTP) / 871.0 Full-time Equivalents (FTE)

**2013 Total:** 977 FTP / 893.5 FTE



\* Personnel totals for the Chief Financial Officer and Passenger and Freight Programs include 2 FTP/2.0 FTE and 13 FTP/13.0 FTE, respectively, funded from prior year project oversight and management appropriations in the Capital Assistance and High-Speed Rail Corridors and Intercity Passenger Rail Service accounts. All other FRA personnel are funded from the Safety and Operations account.

**DEPARTMENT OF TRANSPORTATION  
FEDERAL RAILROAD ADMINISTRATION**

**TECHNICAL NOTE**

*All surface transportation funding and spending are mandatory, attributed to the Transportation Trust Fund, and are proposed to be subject to PAYGO. Outlays flowing from contract authority, prior obligations of the Highway Trust Fund, baseline discretionary budget authority, and outlays of programs merged into the Transportation Trust Fund are now classified as mandatory and subject to PAYGO in all years. Additionally, 2011 enacted and 2012 estimated discretionary budget authority and outlays for programs merged into the Transportation Trust Fund are also reclassified as mandatory for comparability purposes.*

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**EXHIBIT II-1**

**FY 2013 COMPARATIVE STATEMENT OF NEW BUDGET AUTHORITY  
FEDERAL RAILROAD ADMINISTRATION  
(\$000)**

<b>Account Name</b>	<b>FY 2011 Actual</b>	<b>FY 2012 Estimate</b>	<b>FY 2013 Request</b>
Safety and Operations <sup>1/</sup>	176,596	178,596	116,000
Research and Development	35,030	35,000	35,500
Rail Line Relocation and Improvement Program	10,511	-	-
Network Development (CA) (TF, Oblim) <sup>2/</sup>	-	-	1,000,000
Capital Assistance for High-Speed Rail Corridors and Intercity Passenger Rail Service (Rebased)	(400,000)	-	-
System Preservation and Renewal (CA) (TF, Oblim) <sup>2/</sup>	-	-	1,546,000
Operating Grants to the National Railroad Passenger Corporation	561,874	466,000	-
Capital / Debt Service Grants to the National Railroad Passenger Corporation	921,778	952,000	-
<b>TOTAL, GROSS BUDGET REQUEST</b>	<b>1,305,789</b>	<b>1,631,596</b>	<b>2,697,500</b>
Rescissions of Unobligated Balances	0	0	(6,392)
Northeast Corridor Improvement Program	-	-	(4,419)
Next Generation High Speed Rail	-	-	(1,973)
<b>TOTAL, NET BUDGET REQUEST</b>	<b>1,305,789</b>	<b>1,631,596</b>	<b>2,691,108</b>
 Immediate Transportation Investments	 -	 6,000,000	 -

**Notes:**

1/ FRA proposes a provision allowing user fee collections of \$80 million to be credited to the Safety and Operations appropriation as offsetting collections, thereby reducing the amount appropriated and the budget authority, dollar for dollar.

2/ The FY 2013 budget request and the Administration's surface transportation authorization proposal realign all passenger rail activities and resources. Previous accounts, Capital Assistance for High-Speed Rail Corridors and Intercity Passenger Rail Service, Operating Grants to Amtrak, and Capital and Debt Service Grants to Amtrak, are proposed to be consolidated under the National High Performance Rail System. These resources will be distributed between two new accounts: (1) Network Development and (2) System Preservation. Funds will be available for competitive and non-competitive financial assistance.

The Capital Assistance for High-Speed Rail Corridors and Intercity Passenger Rail Service, Operating Grants to the National Railroad Passenger Corporation, and the Capital and Debt Services Grants to the National Railroad Passenger Corporation accounts were previously financed with discretionary, General Fund budget authority. In FY 2013, these activities will be financed with mandatory contract authority, out of a new dedicated Multimodal Account of the Transportation Trust Fund (formerly the Highway Trust Fund).

**EXHIBIT II-2**

**FY 2013 TOTAL BUDGETARY RESOURCES BY APPROPRIATION ACCOUNT  
FEDERAL RAILROAD ADMINISTRATION  
Appropriations, Obligation Limitations, and Exempt Obligations  
(\$000)**

Account Name	FY 2011 Actual	FY 2012 Estimate	FY 2013 Request
<b>Safety and Operations</b>	<b>176,596</b>	<b>178,596</b>	<b>116,000</b>
Salaries and Expenses	176,596	178,596	196,000
Off-setting collections (Rail Safety User Fees) <sup>1/</sup>	-	-	(80,000)
<b>Railroad Research and Development</b>	<b>35,030</b>	<b>35,000</b>	<b>35,500</b>
Railroad System Issues	3,374	3,374	3,871
Human Factors	3,045	3,045	3,542
Rolling Stock and Components	2,794	2,794	2,796
Track and Structures	5,076	5,075	5,010
Track and Train Interaction	3,353	3,353	3,418
Train Control	7,330	7,330	6,473
Grade Crossings	1,956	1,956	1,613
Hazardous Materials Transportation	1,443	1,444	1,496
Train Occupant Protection	4,284	4,284	4,030
R&D Facilities and Test Equipment	2,375	2,345	2,751
Rail Cooperative Research Program	-	-	500
<b>Rail Line Relocation and Improvement Program</b>	<b>10,511</b>	<b>0</b>	<b>0</b>

**Notes:**

- 1/ FRA proposes a provision allowing user fee collections of \$80 million to be credited to the Safety and Operations appropriation as offsetting collections, thereby reducing the amount appropriated and the budget authority, dollar for dollar.
- 2/ The FY 2013 budget request and the Administration's surface transportation authorization proposal realign all passenger rail activities and resources. Previous accounts, Capital Assistance for High-Speed Rail Corridors and Intercity Passenger Rail Service, Operating Grants to Amtrak, and Capital and Debt Service Grants to Amtrak, are proposed to be consolidated under the National High Performance Rail System. These resources will be distributed between two new accounts: (1) Network Development and (2) System Preservation. Funds will be available for competitive and non-competitive financial assistance.

The Capital Assistance for High-Speed Rail Corridors and Intercity Passenger Rail Service, Operating Grants to the National Railroad Passenger Corporation, and the Capital and Debt Services Grants to the National Railroad Passenger Corporation accounts were previously financed with discretionary, General Fund budget authority. In FY 2013, these activities will be financed with mandatory contract authority, out of a new dedicated Multimodal Account of the Transportation Trust Fund (formerly the Highway Trust Fund).

**EXHIBIT II-2 (cont'd)**

**FY 2013 TOTAL BUDGETARY RESOURCES BY APPROPRIATION ACCOUNT  
FEDERAL RAILROAD ADMINISTRATION  
Appropriations, Obligation Limitations, and Exempt Obligations  
(\$000)**

Account Name	FY 2011 Actual	FY 2012 Estimate	FY 2013 Request
<b>Network Development (Oblim)<sup>2/</sup></b>	<b>(400,000)</b>	<b>0</b>	<b>1,000,000</b>
Capital Assistance for High-Speed Rail Corridors and Intercity Passenger Rail Service (Rebased)	(400,000)	-	-
<b>System Preservation and Renewal (Oblim)<sup>2/</sup></b>	<b>1,483,652</b>	<b>1,418,000</b>	<b>1,546,000</b>
Operating Grants to the National Railroad Passenger Corporation (Rebased)	561,874	466,000	-
Capital / Debt Service Grants to the National Railroad Passenger Corporation (Rebased)	921,778	952,000	-
<b>TOTAL BUDGETARY RESOURCES</b>	<b>1,305,789</b>	<b>1,631,596</b>	<b>2,697,500</b>
 Immediate Transportation Investments	 -	 6,000,000	 -

**Note:**

2/ The FY 2013 budget request and the Administration's surface transportation authorization proposal realign all passenger rail activities and resources. Previous accounts, Capital Assistance for High-Speed Rail Corridors and Intercity Passenger Rail Service, Operating Grants to Amtrak, and Capital and Debt Service Grants to Amtrak, are proposed to be consolidated under the National High Performance Rail System. These resources will be distributed between two new accounts: (1) Network Development and (2) System Preservation. Funds will be available for competitive and non-competitive financial assistance.

The Capital Assistance for High-Speed Rail Corridors and Intercity Passenger Rail Service, Operating Grants to the National Railroad Passenger Corporation, and the Capital and Debt Services Grants to the National Railroad Passenger Corporation accounts were previously financed with discretionary, General Fund budget authority. In FY 2013, these activities will be financed with mandatory contract authority, out of a new dedicated Multimodal Account of the Transportation Trust Fund (formerly the Highway Trust Fund).

**EXHIBIT II-3**

**FY 2013 BUDGET REQUEST BY DOT STRATEGIC AND ORGANIZATIONAL GOAL  
Appropriations, Obligation Limitations, and Exempt Obligations  
FEDERAL RAILROAD ADMINISTRATION  
(\$000)**

<b>Account</b>	<b>Safety</b>	<b>Environmental Sustainability</b>	<b>State of Good Repair</b>	<b>Livable Communities</b>	<b>Economic Competitiveness</b>	<b>Organizational Excellence</b>	<b>Total</b>
<b>Safety and Operations <sup>1/</sup></b>	<b>164,246</b>	<b>4,193</b>	<b>3,050</b>	<b>5,460</b>	<b>6,129</b>	<b>12,923</b>	<b>196,000</b>
<b>Railroad Research and Development</b>	<b>32,188</b>	<b>1,194</b>	<b>476</b>	<b>317</b>	<b>925</b>	<b>400</b>	<b>35,500</b>
<b>A. Track Research</b>	<b>10,007</b>	<b>500</b>	<b>336</b>	<b>0</b>	<b>336</b>	<b>0</b>	<b>11,179</b>
Track and Structures	4,509	-	251	-	251	-	5,011
Track and Train Interaction	3,247	-	85	-	85	-	3,417
R&D Facilities and Test Equipment (TTC)	2,251	500	-	-	-	-	2,751
<b>B. Rolling Stock</b>	<b>7,811</b>	<b>0</b>	<b>140</b>	<b>156</b>	<b>215</b>	<b>0</b>	<b>8,322</b>
Rolling Stock and Components	2,516	-	140	-	140	-	2,796
Hazardous Materials Transportation	1,346	-	-	75	75	-	1,496
Train Occupant Protection	3,949	-	-	81	-	-	4,030
<b>C. Train Control and Communication</b>	<b>7,601</b>	<b>0</b>	<b>0</b>	<b>161</b>	<b>324</b>	<b>0</b>	<b>8,086</b>
Train Control	6,149	-	-	-	324	-	6,473
Grade Crossings	1,452	-	-	161	-	-	1,613
<b>D. Human Factors</b>	<b>3,542</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>3,542</b>
<b>E. Railroad Systems Issues</b>	<b>2,777</b>	<b>694</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>400</b>	<b>3,871</b>
<b>F. Rail Cooperative Research Program</b>	<b>450</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>50</b>	<b>0</b>	<b>500</b>

**Note:**

1/ The Safety and Operations appropriation is FRA's salaries and expenses account. Funds in this account are allocated in the following manner: for salaries and expenses associated with staff whose work is directly associated with achieving strategic goals, funds are directly allocated to the goals; for salaries and expenses of staff whose work is not directly associated with achieving a strategic goal, funds are allocated on a pro-rata basis of total program dollars. For common services costs, funds are allocated to goals on a pro-rata basis of total FTE.



**EXHIBIT II-3 (cont'd)**

**FY 2013 BUDGET REQUEST BY DOT STRATEGIC AND ORGANIZATIONAL GOAL  
Appropriations, Obligation Limitations, and Exempt Obligations  
FEDERAL RAILROAD ADMINISTRATION  
(\$000)**

<b>Account</b>	<b>Safety</b>	<b>Environmental Sustainability</b>	<b>State of Good Repair</b>	<b>Livable Communities</b>	<b>Economic Competitiveness</b>	<b>Organizational Excellence</b>	<b>Total</b>
<b>Network Development (CA) (TF)</b>	<b>98,100</b>	<b>257,390</b>	<b>0</b>	<b>190,150</b>	<b>454,360</b>	<b>0</b>	<b>1,000,000</b>
High-Speed Corridor Development	85,000	229,500	-	153,000	382,500	-	850,000
Station Development	920	7,130	-	14,950	-	-	23,000
U.S. Rail Equipment Development	8,480	14,840	-	-	29,680	-	53,000
Capacity Building and Transition Assistance	3,700	5,920	-	22,200	42,180	-	74,000
<b>System Preservation (CA) (TF)</b>	<b>175,420</b>	<b>209,070</b>	<b>360,750</b>	<b>390,610</b>	<b>410,150</b>	<b>0</b>	<b>1,546,000</b>
Public Asset Capital Backlog Retirement	26,300	13,150	157,800	52,600	13,150	-	263,000
National Network Service	93,600	140,400	46,800	327,600	327,600	-	936,000
State-of-Good Repair and Recapitalization	55,520	55,520	156,150	10,410	69,400	-	347,000
<b>TOTAL FY 2013 GROSS REQUEST</b>	<b>469,954</b>	<b>471,847</b>	<b>364,276</b>	<b>586,537</b>	<b>871,564</b>	<b>13,323</b>	<b>2,777,500</b>
FTE (Direct)	368.8	20.3	14.3	26.5	29.1	65.5	524.5
FTE (Direct, National High Performance Rail System) <sup>2/</sup>	1.5	2.0	4.5	3.0	3.0	1.0	15.0
FTE (Reimbursable - Safety User Fee) <sup>3/</sup>	354.0	0.0	0.0	0.0	0.0	0.0	354.0

**Notes:**

2/ Personnel totals include 15 FTP/15.0 FTE funded from prior year project oversight and management appropriations in the Capital Assistance for High-Speed Rail Corridors and Intercity Passenger Rail Service account. All other FRA personnel are funded from the Safety and Operations account.

3/ FRA proposes a provision allowing user fee collections of \$80 million to be credited to the Safety and Operations appropriation as offsetting collections, thereby reducing the amount appropriated and the budget authority, dollar for dollar.

**EXHIBIT II-3a**

**FY 2013 BUDGET REQUEST BY DOT OUTCOMES  
FEDERAL RAILROAD ADMINISTRATION  
(\$000)**

<b>DOT Outcome</b>	<b>Program <sup>1/</sup></b>	<b>FY 2013 Request</b>
<b>SAFETY</b>		<b>\$ 448,251</b>
<b>Reduction in injuries and fatalities</b>		<b>\$ 235,898</b>
	Salaries & Expenses: Safety and Operations	72,388
	Passenger & Freight: Network Development	87,710
	Passenger & Freight: System Preservation	49,050
	Research & Development (R&D): Track Research	8,885
	R&D: Rolling Stock Research	5,858
	R&D: Train Control and Communication	6,461
	R&D: Human Factors	2,802
	R&D: Railroad Systems Issues	2,444
	R&D: Railroad Cooperative Research	300
<b>Improved safety experience</b>		<b>\$ 212,354</b>
	Salaries & Expenses: Safety and Operations	70,156
	Passenger & Freight: Network Development	49,050
	Passenger & Freight: System Preservation	87,710
	R&D: Track Research	1,122
	R&D: Rolling Stock	1,953
	R&D: Train Control and Communications	1,140
	R&D: Human Factors	740
	R&D: Railroad Systems Issues	333
	R&D: Railroad Cooperative Research	150
<b>ENVIRONMENTAL SUSTAINABILITY</b>		<b>\$ 470,074</b>
<b>Reduced carbon/emissions and dependence on fossil fuels and improved energy efficiency</b>		<b>\$ 187,447</b>
	Salaries & Expenses: Safety and Operations	863
	Passenger & Freight: Network Development	102,956
	Passenger & Freight: System Preservation	83,628

**Note:**

1/ The Safety and Operations appropriation is FRA's salaries and expenses account. Funds in this account are allocated in the following manner: for salaries and expenses associated with staff whose work is directly associated with achieving strategic goals, funds are directly allocated to the goals; for salaries and expenses of staff whose work is not directly associated with achieving a strategic goal, funds are allocated on a pro-rata basis of total program dollars. For common services costs, funds are allocated to goals on a pro-rata basis of total FTE.

**EXHIBIT II-3a (cont'd)**

**FY 2013 BUDGET REQUEST BY DOT OUTCOMES  
FEDERAL RAILROAD ADMINISTRATION  
(\$000)**

DOT Outcome	Program <sup>1/</sup>	FY 2013 Request
<b>Reduced pollution impacts on ecosystems</b>		<b>\$ 187,447</b>
	Salaries & Expenses: Safety and Operations	863
	Passenger & Freight: Network Development	102,956
	Passenger & Freight: System Preservation	83,628
<b>Environmentally sustainable practices and materials in transportation</b>		<b>\$ 47,702</b>
	Salaries & Expenses: Safety and Operations	362
	Passenger & Freight: Network Development	25,739
	Passenger & Freight: System Preservation	20,907
	R&D: Railroad Systems Issues	694
<b>Environmentally sustainable practices in DOT services and facilities</b>		<b>\$ 47,479</b>
	Salaries & Expenses: Safety and Operations	333
	Passenger & Freight: Network Development	25,739
	Passenger & Freight: System Preservation	20,907
	R&D: Track Research	500
<b>STATE OF GOOD REPAIR</b>		<b>\$ 362,861</b>
<b>LIVABLE COMMUNITIES</b>		<b>\$ 584,282</b>
<b>Increase intercity passenger rail ridership</b>		<b>\$ 180,029</b>
	Salaries & Expenses: Safety and Operations	921
	Passenger & Freight: Network Development	93,174
	Passenger & Freight: System Preservation	85,934
<b>Provide 80 percent of Americans convenient access to a passenger rail system, featuring high-speed service, within 25 years.</b>		<b>\$ 104,789</b>
	Salaries & Expenses: Safety and Operations	561
	Passenger & Freight: Network Development	45,636
	Passenger & Freight: System Preservation	58,592

**Note:**

1/ The Safety and Operations appropriation is FRA's salaries and expenses account. Funds in this account are allocated in the following manner: for salaries and expenses associated with staff whose work is directly associated with achieving strategic goals, funds are directly allocated to the goals; for salaries and expenses of staff whose work is not directly associated with achieving a strategic goal, funds are allocated on a pro-rata basis of total program dollars. For common services costs, funds are allocated to goals on a pro-rata basis of total FTE.

**EXHIBIT II-3a (cont'd)**

**FY 2013 BUDGET REQUEST BY DOT OUTCOMES  
FEDERAL RAILROAD ADMINISTRATION  
(\$000)**

DOT Outcome	Program <sup>1/</sup>	FY 2013 Request
<b>LIVABLE COMMUNITIES (cont'd)</b>		
<b>Improve rail transportation experience</b>		<b>\$ 125,035</b>
	Salaries & Expenses: Safety and Operations	658
	Passenger & Freight: Network Development	22,818
	Passenger & Freight: System Preservation	101,559
<b>Improve access to transportation for people with disabilities and older adults</b>		<b>\$ 173,940</b>
	Salaries & Expenses: Safety and Operations	892
	Passenger & Freight: Network Development	28,523
	Passenger & Freight: System Preservation	144,526
<b>Other</b>		<b>\$ 490</b>
	Salaries & Expenses: Safety and Operations	173
	R&D: Rolling Stock	156
	R&D: Train Control and Communications	161
<b>ECONOMIC COMPETITIVENESS</b>		<b>\$ 868,549</b>
<b>Competitive transportation system</b>		<b>\$ 227,514</b>
	Salaries & Expenses: Safety and Operations	1,829
	R&D: Track Research	336
	R&D: Rolling Stock	215
	R&D: Train Control and Communications	324
	Passenger & Freight: Network Development	131,210
	Passenger & Freight: System Preservation	93,600
<b>Promote U.S.-based manufacturing and technical standardization by procuring new locomotives and passenger rail cars</b>		<b>\$ 640,702</b>
	Salaries & Expenses: Safety and Operations	1,002
	Passenger & Freight: Network Development	323,150
	Passenger & Freight: System Preservation	316,550

**Note:**

1/ The Safety and Operations appropriation is FRA's salaries and expenses account. Funds in this account are allocated in the following manner: for salaries and expenses associated with staff whose work is directly associated with achieving strategic goals, funds are directly allocated to the goals; for salaries and expenses of staff whose work is not directly associated with achieving a strategic goal, funds are allocated on a pro-rata basis of total program dollars. For common services costs, funds are allocated to goals on a pro-rata basis of total FTE.

**EXHIBIT II-3a (cont'd)**

**FY 2013 BUDGET REQUEST BY DOT OUTCOMES  
FEDERAL RAILROAD ADMINISTRATION  
(\$000)**

DOT Outcome	Program <sup>1/</sup>	FY 2013 Request
<b>ECONOMIC COMPETITIVENESS (cont'd)</b>		
<b>Other</b>		\$ 333
	Salaries & Expenses: Safety and Operations	283
	R&D: Railroad Cooperative Research	50
<b>ORGANIZATIONAL EXCELLENCE</b>		\$ 11,397
	Salaries & Expenses: Safety and Operations	10,997
	R&D: Railroad Systems Issues	400
<b>Overhead Programs and Functions Distributed To Programs</b>	Salaries & Expenses: Safety and Operations	\$ 32,086
<b>TOTAL FY 2013 GROSS BUDGET REQUEST</b>		\$ 2,777,500

**Note:**

1/ The Safety and Operations appropriation is FRA's salaries and expenses account. Funds in this account are allocated in the following manner: for salaries and expenses associated with staff whose work is directly associated with achieving strategic goals, funds are directly allocated to the goals; for salaries and expenses of staff whose work is not directly associated with achieving a strategic goal, funds are allocated on a pro-rata basis of total program dollars. For common services costs, funds are allocated to goals on a pro-rata basis of total FTE.

**EXHIBIT II-4**

**FY 2013 BUDGET AUTHORITY  
FEDERAL RAILROAD ADMINISTRATION  
(\$000)**

Account Name	Budget Authority	FY 2011 Actual	FY 2012 Estimate	FY 2013 Request
<b>Safety and Operations</b>	<b>Discretionary</b>	<b>176,596</b>	<b>178,596</b>	<b>116,000</b>
Salaries and Expenses	Discretionary	176,596	178,596	196,000
Off-setting collections (Rail Safety User Fees) <sup>1/</sup>	Discretionary	-	-	(80,000)
<b>Railroad Research and Development</b>	<b>Discretionary</b>	<b>35,030</b>	<b>35,000</b>	<b>35,500</b>
Railroad System Issues	Discretionary	3,374	3,374	3,871
Human Factors	Discretionary	3,045	3,045	3,542
Rolling Stock and Components	Discretionary	2,794	2,794	2,796
Track and Structures	Discretionary	5,076	5,075	5,010
Track and Train Interaction	Discretionary	3,353	3,353	3,418
Train Control	Discretionary	7,330	7,330	6,473
Grade Crossings	Discretionary	1,956	1,956	1,613
Hazardous Materials Transportation	Discretionary	1,443	1,444	1,496
Train Occupant Protection	Discretionary	4,284	4,284	4,030
R&D Facilities and Test Equipment	Discretionary	2,375	2,345	2,751
Rail Cooperative Research Program	Discretionary	-	-	500
<b>Rail Line Relocation and Improvement Program</b>	<b>Discretionary</b>	<b>10,511</b>	<b>0</b>	<b>0</b>
<b>Network Development (CA) (TF, Oblim) <sup>2/</sup></b>	<b>Mandatory</b>	<b>(400,000)</b>	<b>0</b>	<b>1,000,000</b>
Capital Assistance for High Speed Rail Corridors and Intercity Passenger Rail Service (Rebased)	Mandatory	(400,000)	-	-

**Notes:**

1/ FRA proposes a provision allowing user fee collections of \$80 million to be credited to the Safety and Operations appropriation as offsetting collections, thereby reducing the amount appropriated and the budget authority, dollar for dollar.

2/ The FY 2013 budget request and the Administration's surface transportation authorization proposal realign all passenger rail activities and resources. Previous accounts, Capital Assistance for High-Speed Rail Corridors and Intercity Passenger Rail Service, Operating Grants to Amtrak, and Capital and Debt Service Grants to Amtrak, are proposed to be consolidated under the National High Performance Rail System. These resources will be distributed between two new accounts: (1) Network Development and (2) System Preservation. Funds will be available for competitive and non-competitive financial assistance.

The Capital Assistance for High-Speed Rail Corridors and Intercity Passenger Rail Service, Operating Grants to the National Railroad Passenger Corporation, and the Capital and Debt Services Grants to the National Railroad Passenger Corporation accounts were previously financed with discretionary, General Fund budget authority. In FY 2013, these activities will be financed with mandatory contract authority, out of a new dedicated Multimodal Account of the Transportation Trust Fund (formerly the Highway Trust Fund).

**EXHIBIT II-4 (cont'd)**

**FY 2013 BUDGET AUTHORITY  
FEDERAL RAILROAD ADMINISTRATION  
(\$000)**

<b>Account Name</b>	<b>Budget Authority</b>	<b>FY 2011 Actual</b>	<b>FY 2012 Estimate</b>	<b>FY 2013 Request</b>
<b>System Preservation and Renewal (CA) (TF, Oblim) <sup>2/</sup></b>	<b>Mandatory</b>	<b>1,483,652</b>	<b>1,418,000</b>	<b>1,546,000</b>
Operating Grants to the National Railroad Passenger Corporation (Rebased)	Mandatory	561,874	466,000	-
Capital / Debt Service Grants to the National Railroad Passenger Corporation (Rebased)	Mandatory	921,778	952,000	-
<b>Railroad Rehabilitation and Improvement Financing Fund - Program Account</b>	<b>Mandatory</b>	<b>23,742</b>	<b>16,905</b>	<b>0</b>
<b>Railroad Rehabilitation and Improvement Financing Fund - Liquidating Account</b>	<b>Mandatory</b>	<b>(3,465)</b>	<b>(113)</b>	<b>(74)</b>
<b>TOTAL GROSS BUDGET REQUEST</b>	<b>Discr/Mand</b>	<b>1,326,066</b>	<b>1,648,388</b>	<b>2,697,426</b>
<b>Unobligated Balance Rescissions</b>	<b>Discretionary</b>	<b>0</b>	<b>0</b>	<b>(6,392)</b>
Northeast Corridor Improvement Program	Discretionary	-	-	(4,419)
Next Generation High-Speed Rail	Discretionary	-	-	(1,973)
<b>TOTAL NET BUDGET REQUEST</b>	<b>Discr/Mand</b>	<b>1,326,066</b>	<b>1,648,388</b>	<b>2,691,034</b>
<i>Mandatory</i>	-	<i>1,103,929</i>	<i>1,434,792</i>	<i>2,545,926</i>
<i>Discretionary</i>	-	<i>222,137</i>	<i>213,596</i>	<i>145,108</i>
Immediate Transportation Investments	Mandatory	-	6,000,000	-

**Note:**

2/ The FY 2013 budget request and the Administration's surface transportation authorization proposal realign all passenger rail activities and resources. Previous accounts, Capital Assistance for High-Speed Rail Corridors and Intercity Passenger Rail Service, Operating Grants to Amtrak, and Capital and Debt Service Grants to Amtrak, are proposed to be consolidated under the National High Performance Rail System. These resources will be distributed between two new accounts: (1) Network Development and (2) System Preservation. Funds will be available for competitive and non-competitive financial assistance.

The Capital Assistance for High-Speed Rail Corridors and Intercity Passenger Rail Service, Operating Grants to the National Railroad Passenger Corporation, and the Capital and Debt Services Grants to the National Railroad Passenger Corporation accounts were previously financed with discretionary, General Fund budget authority. In FY 2013, these activities will be financed with mandatory contract authority, out of a new dedicated Multimodal Account of the Transportation Trust Fund (formerly the Highway Trust Fund).

**EXHIBIT II-5**

**FY 2013 OUTLAYS  
FEDERAL RAILROAD ADMINISTRATION  
(\$000)**

<b>Account Name</b>	<b>FY 2011 Actual</b>	<b>FY 2012 Estimate</b>	<b>FY 2013 Request</b>
Safety and Operations <sup>1/</sup>	184,125	208,206	147,828
Railroad Safety Technology Program	7,933	42,067	-
Railroad Research and Development	27,443	32,762	38,361
Rail Line Relocation & Improvement Program	4,267	20,256	20,256
Network Development (CA) (TF)	-	-	135,420
Capital Assistance for High-Speed Rail Corridors and Intercity Passenger Rail Service (Rebased) <sup>2/</sup>	9,277	203,000	337,000
System Preservation and Renewal (CA) (TF)	-	-	1,088,500
Operating Grants to the National Railroad Passenger Corporation (Rebased) <sup>2/</sup>	561,874	466,000	-
Capital / Debt Service Grants to the National Railroad Passenger Corporation (Rebased) <sup>2/</sup>	978,367	983,047	-
Capital Grants to the National Railroad Passenger Corporation (ARRA)	318,068	4,713	-
Capital Assistance for High Speed Rail Corridors and Intercity Passenger Rail Service (ARRA)	295,133	1,045,000	1,423,000

**Notes:**

1/ FRA proposes a provision allowing user fee collections of \$80 million to be credited to the Safety and Operations appropriation as offsetting collections, thereby reducing the amount appropriated and the budget authority, dollar for dollar.

2/ The FY 2013 budget request and the Administration's surface transportation authorization proposal realign all passenger rail activities and resources. Previous accounts, Capital Assistance for High-Speed Rail Corridors and Intercity Passenger Rail Service, Operating Grants to Amtrak, and Capital and Debt Service Grants to Amtrak, are proposed to be consolidated under the National High Performance Rail System. These resources will be distributed between two new accounts: (1) Network Development and (2) System Preservation. Funds will be available for competitive and non-competitive financial assistance.

The Capital Assistance for High-Speed Rail Corridors and Intercity Passenger Rail Service, Operating Grants to the National Railroad Passenger Corporation, and the Capital and Debt Services Grants to the National Railroad Passenger Corporation accounts were previously financed with discretionary, General Fund budget authority. In FY 2013, these activities will be financed with mandatory contract authority, out of a new dedicated Multimodal Account of the Transportation Trust Fund (formerly the Highway Trust Fund).



**EXHIBIT II-5 (cont'd)**

**FY 2013 OUTLAYS  
FEDERAL RAILROAD ADMINISTRATION  
(\$000)**

<b>Account Name</b>	<b>FY 2011 Actual</b>	<b>FY 2012 Estimate</b>	<b>FY 2013 Request</b>
Intercity Passenger Rail Grant Program	9,631	20,019	20,019
Emergency Railroad Rehabilitation and Repair	2,508	9,080	-
Grants to the National Railroad Passenger Corporation	3,998	1,629	-
Alaska Railroad Rehabilitation	46	-	-
Next Generation High-Speed Rail	2,400	3,141	1,000
Northeast Corridor Improvement Program	633	2,000	-
Pennsylvania Station Redevelopment Project	4,487	11,072	11,072
Railroad Rehabilitation and Improvement Program - Program Account	23,742	17,000	-
Railroad Rehabilitation and Improvement Program - Liquidating Account	(3,622)	(113)	(74)
<b>TOTAL</b>	<b>2,430,310</b>	<b>3,068,879</b>	<b>3,222,382</b>
<i>Mandatory</i>	<i>860,672</i>	<i>1,399,945</i>	<i>1,661,536</i>
<i>Discretionary</i>	<i>1,569,638</i>	<i>1,668,934</i>	<i>1,560,846</i>
<b>Immediate Transportation Investments</b>	<b>0</b>	<b>1,000,000</b>	<b>1,040,000</b>
Network Development	-	-	40,000
System Preservation	-	1,000,000	1,000,000

**EXHIBIT II-6**  
**SUMMARY OF REQUESTED FUNDING CHANGES FROM BASE**  
**FEDERAL RAILROAD ADMINISTRATION**  
**Appropriations, Obligation Limitations, and Exempt Obligations (\$000)**

**SAFETY AND OPERATIONS <sup>1/</sup>**

Item	FY 2012 Enacted	2013 Pay Raises	One Additional Compensable Day	GSA Rent	WCF Increase/ Decrease	Inflation/ Deflation	Management Efficiencies	Transfer - Safety User Fee	FY 2013 Baseline Estimate	Program Increases/ Decreases	FY 2013 Request
<b>DIRECT:</b>											
<b>PERSONNEL RESOURCES</b>											
Direct FTE	856.0	0.0	0.0	0.0	0.0	0.0	0.0	(349.0)	507.0	17.5	524.5
<b>FINANCIAL RESOURCES</b>											
Salaries and Benefits	116,006	434	445	-	-	-	-	(47,894)	68,991	2,252	71,243
Travel	9,747	-	-	-	-	49	-	(8,019)	1,777	122	1,899
Transportation	174	-	-	-	-	1	-	-	175	-	175
GSA Rent	6,500	-	-	590	-	-	(195)	-	6,895	-	6,895
Communications, Rent, and Utilities	1,712	-	-	-	-	8	-	-	1,720	-	1,720
Printing	400	-	-	-	-	2	-	-	402	-	402
Other Services											
WCF	7,297	-	-	-	358	-	-	-	7,655	-	7,655
Other	33,721	-	-	-	-	167	(1,856)	(10,888)	21,144	1,339	22,483
Supplies and Materials	1,305	-	-	-	-	6	-	(339)	972	-	972
Equipment	699	-	-	-	-	2	-	-	701	815	1,516
Grants, Subsidies, Contributions	1,015	-	-	-	-	5	-	-	1,020	-	1,020
Insurance Claims and Indemnities	20	-	-	-	-	-	-	-	20	-	20
<b>SUBTOTAL by Object Class</b>	<b>178,596</b>	<b>434</b>	<b>445</b>	<b>590</b>	<b>358</b>	<b>240</b>	<b>(2,051)</b>	<b>(67,140)</b>	<b>111,472</b>	<b>4,528</b>	<b>116,000</b>
<b>PROGRAMS</b>											
Salaries and Expenses	178,596	434	445	590	358	240	(2,051)	(67,140)	111,472	4,528	116,000

**Note:**

1/ FRA proposes a provision allowing user fee collections of \$80 million to be credited to the Safety and Operations appropriation as offsetting collections, thereby reducing the amount appropriated and the budget authority, dollar for dollar.

**EXHIBIT II-6 (cont'd)**  
**SUMMARY OF REQUESTED FUNDING CHANGES FROM BASE**  
**FEDERAL RAILROAD ADMINISTRATION**  
**Appropriations, Obligation Limitations, and Exempt Obligations (\$000)**

**SAFETY AND OPERATIONS <sup>1/</sup> (cont'd)**

Item	FY 2012 Enacted	2013 Pay Raises	One Additional Compensable Day	GSA Rent	WCF Increase/ Decrease	Inflation/ Deflation	Management Efficiencies	Transfer - Safety User Fee	FY 2013 Baseline Estimate	Program Increases/ Decreases	FY 2013 Request
<b>REIMBURSABLE:</b>											
<b>PERSONNEL RESOURCES</b>											
Direct FTE	0.0	-	-	-	-	-	-	349.0	349.0	5.0	354.0
<b>FINANCIAL RESOURCES</b>											
Salaries and Benefits	-	-	-	-	-	-	-	47,894	47,894	551	48,445
Travel	-	-	-	-	-	-	-	8,019	8,019	309	8,328
Transportation	-	-	-	-	-	-	-	-	-	-	-
GSA Rent	-	-	-	-	-	-	-	-	-	-	-
Communications, Rent, and Utilities	-	-	-	-	-	-	-	-	-	-	-
Printing	-	-	-	-	-	-	-	-	-	-	-
Other Services											
WCF	-	-	-	-	-	-	-	-	-	-	-
Other	-	-	-	-	-	-	-	10,888	10,888	12,000	22,888
Supplies and Materials	-	-	-	-	-	-	-	339	339	-	339
Equipment	-	-	-	-	-	-	-	-	-	-	-
Grants, Subsidies, Contributions	-	-	-	-	-	-	-	-	-	-	-
Insurance Claims and Indemnities	-	-	-	-	-	-	-	-	-	-	-
<b>SUBTOTAL by Object Class</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>67,140</b>	<b>67,140</b>	<b>12,860</b>	<b>80,000</b>
<b>PROGRAMS</b>											
Salaries and Expenses	-	-	-	-	-	-	-	67,140	67,140	12,860	80,000

**Note:**

1/ FRA proposes a provision allowing user fee collections of \$80 million to be credited to the Safety and Operations appropriation as offsetting collections, thereby reducing the amount appropriated and the budget authority, dollar for dollar.

**EXHIBIT II-6 (cont'd)**  
**SUMMARY OF REQUESTED FUNDING CHANGES FROM BASE**  
**FEDERAL RAILROAD ADMINISTRATION**  
**Appropriations, Obligation Limitations, and Exempt Obligations (\$000)**

**SAFETY AND OPERATIONS <sup>1/</sup> (cont'd)**

Item	FY 2012 Enacted	2013 Pay Raises	One Additional Compensable Day	GSA Rent	WCF Increase/ Decrease	Inflation/ Deflation	Management Efficiencies	Transfer - Safety User Fee	FY 2013 Baseline Estimate	Program Increases/ Decreases	FY 2013 Request
<b>TOTAL:</b>											
<b>PERSONNEL RESOURCES</b>											
FTE <sup>1/</sup>	856.0	-	-	-	-	-	-	-	856.0	22.5	878.5
<b>PROGRAMS</b>											
Salaries and Expenses	178,596	434	445	590	358	240	(2,051)	-	178,612	17,388	196,000

**Note:**

1/ FRA proposes a provision allowing user fee collections of \$80 million to be credited to the Safety and Operations appropriation as offsetting collections, thereby reducing the amount appropriated and the budget authority, dollar for dollar.

**EXHIBIT II-6 (cont'd)**  
**SUMMARY OF REQUESTED FUNDING CHANGES FROM BASE**  
**FEDERAL RAILROAD ADMINISTRATION**  
**Appropriations, Obligation Limitations, and Exempt Obligations (\$000)**

**NETWORK DEVELOPMENT (Obligation Limitation) <sup>1/</sup>**

Item	FY 2012 Enacted	2013 Pay Raises	One Additional Compensable Day	GSA Rent	WCF Increase/ Decrease	Inflation/ Deflation	FY 2013 Baseline Estimate	Program Increases/ Decreases	FY 2013 Request
<b>PERSONNEL RESOURCES</b>									
Direct FTE <sup>2/</sup>	0.0	-	-	-	-	-	-	15.0	15.0
<b>FINANCIAL RESOURCES</b>									
<b>Administrative Expenses</b>									
Salaries and Benefits <sup>2/</sup>	-	-	-	-	-	-	-	[2,158]	[2,158]
Other Services	-	-	-	-	-	-	-	50,000	50,000
Grants, Subsidies, Contributions	-	-	-	-	-	-	-	950,000	950,000
<b>TOTAL, Administrative Expenses</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>1,000,000</b>	<b>1,000,000</b>
<b>PROGRAMS</b>									
High Speed Corridor Development	-	-	-	-	-	-	-	850,000	850,000
Station Development	-	-	-	-	-	-	-	23,000	23,000
U.S. Rail Equipment Development	-	-	-	-	-	-	-	53,000	53,000
Capacity Building and Transition Assistance	-	-	-	-	-	-	-	74,000	74,000
<b>TOTAL, Programs</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>1,000,000</b>	<b>1,000,000</b>

**Notes:**

1/ The FY 2013 budget request and the Administration's surface transportation authorization proposal realign all passenger rail activities and resources. Previous accounts, Capital Assistance for High-Speed Rail Corridors and Intercity Passenger Rail Service, Operating Grants to Amtrak, and Capital and Debt Service Grants to Amtrak, are proposed to be consolidated under the National High Performance Rail System. These resources will be distributed between two new accounts: (1) Network Development and (2) System Preservation. Funds will be available for competitive and non-competitive financial assistance.

The Capital Assistance for High-Speed Rail Corridors and Intercity Passenger Rail Service, Operating Grants to the National Railroad Passenger Corporation, and the Capital and Debt Services Grants to the National Railroad Passenger Corporation accounts were previously financed with discretionary, General Fund budget authority. In FY 2013, these activities will be financed with mandatory contract authority, out of a new dedicated Multimodal Account of the Transportation Trust Fund (formerly the Highway Trust Fund).

2/ Direct FTE will be funded from prior year project oversight and management appropriations in the Capital Assistance for High-Speed Rail Corridors and Intercity Passenger Rail Service account. All other FRA personnel are funded from the Safety and Operations account.

**EXHIBIT II-6 (cont'd)**  
**SUMMARY OF REQUESTED FUNDING CHANGES FROM BASE**  
**FEDERAL RAILROAD ADMINISTRATION**  
**Appropriations, Obligation Limitations, and Exempt Obligations (\$000)**  
**SYSTEM PRESERVATION AND RENEWAL (Obligation Limitation) <sup>1/</sup>**

Item	FY 2012 Enacted	2013 Pay Raises	One Additional Compensable Day	GSA Rent	WCF Increase/ Decrease	Inflation/ Deflation	FY 2013 Baseline Estimate	Program Increases/ Decreases	FY 2013 Request
<b>PERSONNEL RESOURCES</b>									
Direct FTE	0.0	-	-	-	-	-	-	-	0.0
<b>FINANCIAL RESOURCES</b>									
<b>Administrative Expenses</b>									
Other Services	-	-	-	-	-	-	-	50,000	50,000
Grants, Subsidies, Contributions	1,418,000	-	-	-	-	-	1,418,000	78,000	1,496,000
<b>TOTAL, Administrative Expenses</b>	<b>1,418,000</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>1,418,000</b>	<b>128,000</b>	<b>1,546,000</b>
<b>PROGRAMS</b>									
Amtrak Operating and Capital Grants	1,418,000	-	-	-	-	-	1,418,000	(1,418,000)	-
Public Asset Backlog Retirement	-	-	-	-	-	-	-	263,000	263,000
National Network Service	-	-	-	-	-	-	-	936,000	936,000
State of Good Repair and Recapitalization	-	-	-	-	-	-	-	347,000	347,000
<b>TOTAL, Programs</b>	<b>1,418,000</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>1,418,000</b>	<b>128,000</b>	<b>1,546,000</b>

**Note:**

1/ The FY 2013 budget request and the Administration's surface transportation authorization proposal realign all passenger rail activities and resources. Previous accounts, Capital Assistance for High-Speed Rail Corridors and Intercity Passenger Rail Service, Operating Grants to Amtrak, and Capital and Debt Service Grants to Amtrak, are proposed to be consolidated under the National High Performance Rail System. These resources will be distributed between two new accounts: (1) Network Development and (2) System Preservation. Funds will be available for competitive and non-competitive financial assistance.

The Capital Assistance for High-Speed Rail Corridors and Intercity Passenger Rail Service, Operating Grants to the National Railroad Passenger Corporation, and the Capital and Debt Services Grants to the National Railroad Passenger Corporation accounts were previously financed with discretionary, General Fund budget authority. In FY 2013, these activities will be financed with mandatory contract authority, out of a new dedicated Multimodal Account of the Transportation Trust Fund (formerly the Highway Trust Fund).

**EXHIBIT II-6 (cont'd)**  
**SUMMARY OF REQUESTED FUNDING CHANGES FROM BASE**  
**FEDERAL RAILROAD ADMINISTRATION**  
**Appropriations, Obligation Limitations, and Exempt Obligations (\$000)**

**RAILROAD RESEARCH AND DEVELOPMENT**

Item	FY 2012 Enacted	2013 Pay Raises	One Additional Compensable Day	GSA Rent	WCF Increase/ Decrease	Inflation/ Deflation	FY 2013 Baseline Estimate	Program Increases/ Decreases	FY 2013 Request
<b>PERSONNEL RESOURCES</b>									
Direct FTE	0.0	-	-	-	-	-	-	-	0.0
<b>FINANCIAL RESOURCES</b>									
<b>Administrative Expenses</b>									
Travel	-	-	-	-	-	-	-	200	200
Other Services	-	-	-	-	-	-	-	(1,850)	(1,850)
Operation and Maintenance of Facilities	-	-	-	-	-	-	-	(350)	(350)
Research and Development Contracts	-	-	-	-	-	-	-	(6,000)	(6,000)
Grants, Subsidies, Contributions	-	-	-	-	-	-	-	3,500	3,500
<b>TOTAL, Administrative Expenses</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>(4,500)</b>	<b>(4,500)</b>
<b>PROGRAMS</b>									
<b>Track Research Program</b>									
Track and Structures	5,075	-	-	-	-	-	5,075	(65)	5,010
Track and Train Interaction	3,353	-	-	-	-	-	3,353	65	3,418
R&D Facilities and Test Equipment	2,345	-	-	-	-	-	2,345	(94)	2,251
Sustainability Improvements	-	-	-	-	-	-	-	500	500
<b>Rolling Stock Program</b>									
Rolling Stock Components	2,794	-	-	-	-	-	2,794	2	2,796
Hazardous Materials Transportation	1,444	-	-	-	-	-	1,444	52	1,496
Train Occupant Protection	4,284	-	-	-	-	-	4,284	(254)	4,030

**EXHIBIT II-6 (cont'd)**  
**SUMMARY OF REQUESTED FUNDING CHANGES FROM BASE**  
**FEDERAL RAILROAD ADMINISTRATION**  
**Appropriations, Obligation Limitations, and Exempt Obligations (\$000)**

**RAILROAD RESEARCH AND DEVELOPMENT (cont'd)**

Item	FY 2012 Enacted	2013 Pay Raises	One Additional Compensable Day	GSA Rent	WCF Increase/ Decrease	Inflation/ Deflation	FY 2013 Baseline Estimate	Program Increases/ Decreases	FY 2013 Request
<b>Human Factors Program</b>	3,045	-	-	-	-	-	3,045	497	3,542
<b>Train Control and Communications</b>									
Train Control	7,330	-	-	-	-	-	7,330	(857)	6,473
Grade Crossings	1,956	-	-	-	-	-	1,956	(343)	1,613
<b>Railroad Systems Issues</b>									
System Research	3,374	-	-	-	-	-	3,374	97	3,471
Program Oversight	-	-	-	-	-	-	-	400	400
<b>Railroad Cooperative Research Program</b>	-	-	-	-	-	-	-	500	500
<b>TOTAL, Programs</b>	<b>35,000</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>35,000</b>	<b>500</b>	<b>35,500</b>



**EXHIBIT II-6 (cont'd)**  
**SUMMARY OF REQUESTED FUNDING CHANGES FROM BASE**  
**FEDERAL RAILROAD ADMINISTRATION**  
**Appropriations, Obligation Limitations, and Exempt Obligations (\$000)**

**CAPITAL ASSISTANCE FOR HIGH-SPEED RAIL CORRIDORS AND INTERCITY**  
**PASSENGER RAIL SERVICE <sup>1/</sup>**

Item	FY 2012 Enacted	2013 Pay Raises	One Additional Compensable Day	GSA Rent	WCF Increase/ Decrease	Inflation/ Deflation	FY 2013 Baseline Estimate	Program Increases/ Decreases	FY 2013 Request
<b>PERSONNEL RESOURCES</b>									
Direct FTE	15.0	-	-	-	-	-	15.0	(15.0)	0.0
<b>FINANCIAL RESOURCES</b>									
<b>Administrative Expenses</b>									
Salaries and Benefits	[2,152]	[6]	-	-	-	-	[2,158]	[-2,158]	-
Other Services	-	-	-	-	-	-	-	-	-
Grants, Subsidies, Contributions	-	-	-	-	-	-	-	-	-
<b>TOTAL, Administrative Expenses <sup>2/</sup></b>	<b>[2,152]</b>	<b>[6]</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>[2,158]</b>	<b>[-2,158]</b>	<b>0</b>
<b>PROGRAMS</b>									
Capital Assistance of High-Speed Rail Corridors and Intercity Passenger Rail Service	-	-	-	-	-	-	-	-	-
<b>TOTAL, Programs</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>

**Notes:**

1/ The FY 2013 budget request and the Administration's surface transportation authorization proposal realign all passenger rail activities and resources. Previous accounts, Capital Assistance for High-Speed Rail Corridors and Intercity Passenger Rail Service, Operating Grants to Amtrak, and Capital and Debt Service Grants to Amtrak, are proposed to be consolidated under the National High Performance Rail System. These resources will be distributed between two new accounts: (1) Network Development and (2) System Preservation. Funds will be available for competitive and non-competitive financial assistance.

2/ Direct FTE will be funded from prior year project oversight and management appropriations in the Capital Assistance for High-Speed Rail Corridors and Intercity Passenger Rail Service account. Under the National High Performance Rail System, this appropriation and the funded employees will be moved to the new Network Development account.

**EXHIBIT II-6 (cont'd)**  
**SUMMARY OF REQUESTED FUNDING CHANGES FROM BASE**  
**FEDERAL RAILROAD ADMINISTRATION**  
**Appropriations, Obligation Limitations, and Exempt Obligations (\$000)**

**GRANTS TO THE NATIONAL RAILROAD PASSENGER CORPORATION (AMTRAK)**

Item	FY 2012 Enacted	2013 Pay Raises	One Additional Compensable Day	GSA Rent	WCF Increase/ Decrease	Inflation/ Deflation	FY 2013 Baseline Estimate	Program Increases/ Decreases	FY 2013 Request
<b>PERSONNEL RESOURCES</b>									
Direct FTE	0.0	-	-	-	-	-	-	-	0.0
<b>FINANCIAL RESOURCES</b>									
<b>Administrative Expenses</b>									
Other Services	9,520	-	-	-	-	-	9,520	(9,520)	-
Grants, Subsidies, Contributions	1,408,480	-	-	-	-	-	1,408,480	(1,408,480)	-
<b>TOTAL, Administrative Expenses</b>	<b>1,418,000</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>1,418,000</b>	<b>(1,418,000)</b>	<b>0</b>
<b>PROGRAMS <sup>1/</sup></b>									
Operating Grants to the National Railroad Passenger Corporation	466,000	-	-	-	-	-	466,000	(466,000)	-
Capital / Debt Service Grants to the National Railroad Passenger Corporation	952,000	-	-	-	-	-	952,000	(952,000)	-
<b>TOTAL, Programs</b>	<b>1,418,000</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>1,418,000</b>	<b>(1,418,000)</b>	<b>0</b>

**Note:**

1/ The FY 2013 budget request and the Administration's surface transportation authorization proposal realign all passenger rail activities and resources. Previous accounts, Capital Assistance for High-Speed Rail Corridors and Intercity Passenger Rail Service, Operating Grants to Amtrak, and Capital and Debt Service Grants to Amtrak, are proposed to be consolidated under the National High Performance Rail System. These resources will be distributed between two new accounts: (1) Network Development and (2) System Preservation. Funds will be available for competitive and non-competitive financial assistance.

The Capital Assistance for High-Speed Rail Corridors and Intercity Passenger Rail Service, Operating Grants to the National Railroad Passenger Corporation, and the Capital and Debt Services Grants to the National Railroad Passenger Corporation accounts were previously financed with discretionary, General Fund budget authority. In FY 2013, these activities will be financed with mandatory contract authority, out of a new dedicated Multimodal Account of the Transportation Trust Fund (formerly the Highway Trust Fund).

**EXHIBIT II-7**

**WORKING CAPITAL FUND  
FEDERAL RAILROAD ADMINISTRATION  
(\$000)**

<b>Type of Funds</b>	<b>FY 2012 Enacted</b>	<b>FY 2013 Request</b>	<b>Change FY 2012—2013</b>
<b>DIRECT:</b>			
Safety and Operations	7,297	7,655	358
<b>Subtotal, Direct</b>	<b>7,297</b>	<b>7,655</b>	<b>358</b>
<b>REIMBURSABLE:</b>			
<b>Subtotal, Reimbursable</b>	<b>0</b>	<b>0</b>	<b>0</b>
<b>TOTAL</b>	<b>7,297</b>	<b>7,655</b>	<b>358</b>

**EXHIBIT II-8**

**FEDERAL RAILROAD ADMINISTRATION  
PERSONNEL RESOURCE – SUMMARY  
TOTAL FULL-TIME EQUIVALENTS (FTE)**

<b>Type of Funds</b>	<b>FY 2011 Actual</b>	<b>FY 2012 Estimate</b>	<b>FY 2013 Request</b>
<b>DIRECT FUNDED BY APPROPRIATION</b>			
Safety and Operations	856.0	856.0	524.5
National High Performance Rail System <sup>1/</sup>	0.0	15.0	15.0
<b>SUBTOTAL, DIRECT FUNDED</b>	<b>856.0</b>	<b>871.0</b>	<b>539.5</b>
<b>REIMBURSEMENTS / ALLOCATIONS / OTHER</b>			
Reimbursements and ‘Other’ <sup>2/</sup>	0.0	0.0	354.0
Allocations from Other Organizations	0.0	0.0	0.0
<b>SUBTOTAL, REIMBURSE/ALLOC./OTH.</b>	<b>0.0</b>	<b>0.0</b>	<b>354.0</b>
<b>TOTAL FTEs</b>	<b>856.0</b>	<b>871.0</b>	<b>893.5</b>
<b>INFORMATION:</b>			
Allocation to Other Agencies	0.0	0.0	0.0

**Notes:**

1/ Personnel totals for FY 2012 and FY 2013 include 15.0 FTE funded from prior year project oversight and management appropriations in the Capital Assistance for High-Speed Rail Corridors and Intercity Passenger Rail Service account. All other FRA personnel are funded from the Safety and Operations account.

2/ FRA proposes a provision allowing user fee collections of \$80 million to be credited to the Safety and Operations appropriation as offsetting collections, thereby reducing the amount appropriated and the budget authority, dollar for dollar.

**EXHIBIT II-9**

**FEDERAL RAILROAD ADMINISTRATION  
RESOURCE SUMMARY – STAFFING  
FULL-TIME PERMANENT POSITIONS (FTP)**

<b>Type of Funds</b>	<b>FY 2011 Actual</b>	<b>FY 2012 Estimate</b>	<b>FY 2013 Request</b>
<b>DIRECT FUNDED BY APPROPRIATION</b>			
Safety and Operations	917	917	603
National High Performance Rail System <sup>1/</sup>	0	15	15
<b>SUBTOTAL, DIRECT FUNDED</b>	<b>917</b>	<b>932</b>	<b>618</b>
<b>REIMBURSEMENTS/ALLOCATIONS/OTHER</b>			
Reimbursements and ‘Other’ <sup>2/</sup>	0	0	359
Allocations from Other Organizations	0	0	0
<b>SUBTOTAL, REIMBURSE/ALLOC./OTH</b>	<b>0</b>	<b>0</b>	<b>359</b>
<b>TOTAL POSITIONS</b>	<b>917</b>	<b>932</b>	<b>977</b>
<b>INFORMATION:</b>			
Allocation to Other Agencies	0	0	0

**Notes:**

1/ Personnel totals for FY 2012 and FY 2013 include 15.0 FTP funded from prior year project oversight and management appropriations in the Capital Assistance for High-Speed Rail Corridors and Intercity Passenger Rail Service account. All other FRA personnel are funded from the Safety and Operations account.

2/ FRA proposes a provision allowing user fee collections of \$80 million to be credited to the Safety and Operations appropriation as offsetting collections, thereby reducing the amount appropriated and the budget authority, dollar for dollar.

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**DEPARTMENT OF TRANSPORTATION  
FEDERAL RAILROAD ADMINISTRATION**

**SAFETY AND OPERATIONS  
APPROPRIATIONS LANGUAGE**

SAFETY AND OPERATIONS

For necessary expenses of the Federal Railroad Administration, not otherwise provided for, ~~【\$178,596,000】~~*\$196,000,000*, of which ~~【\$12,300,000】~~*\$20,364,000* shall remain available until expended, *and of which \$80,000,000 shall be derived from railroad safety fees collected in fiscal year 2013, as provided in this Act: Provided, That such railroad safety fees shall be credited as an offsetting collection to this account, of which \$18,549,000 shall remain available until expended for railroad safety activities: Provided further, That the sum herein appropriated from the general fund shall be reduced on a dollar-for-dollar basis as such offsetting collections are received during fiscal year 2013, so as to result in a final appropriation from the general fund estimated at \$116,000,000.*

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**Exhibit III-1**

**SAFETY AND OPERATIONS  
Summary by Program Activity  
Appropriations, Obligation Limitations, and Exempt Obligations  
(\$000)**

Item	FY 2011 Actual	FY 2012 Enacted	FY 2013 Request	Change FY 2012—2013
Salaries and Expenses	176,596	178,596	116,000	62,596
Offsetting collections (Rail Safety User Fees) <sup>1/</sup>	-	-	80,000	80,000
<b>TOTAL, SAFETY AND OPERATIONS</b>	<b>176,596</b>	<b>178,596</b>	<b>196,000</b>	<b>17,404</b>
<b>Full-time Positions (FTP)</b>				
Direct Funded	917	917	603	(314)
Reimbursable, Allocated, Other	-	-	359	359
<b>TOTAL FTP</b>	<b>917</b>	<b>917</b>	<b>962</b>	<b>45</b>
<b>Full-time Equivalentents (FTE)</b>				
Direct Funded	856.0	856.0	524.5	(331.5)
Reimbursable, Allocated, Other	0.0	0.0	354.0	354.0
<b>TOTAL FTE</b>	<b>856.0</b>	<b>856.0</b>	<b>878.5</b>	<b>22.5</b>

**Note:**

1/ In FY 2013 FRA proposes a provision allowing user fee collections of \$80 million to be credited to the Safety and Operations appropriation as offsetting collections, thereby reducing the amount appropriated and the budget authority, dollar for dollar.

**Program and Performance Statement**

Funds requested in the Safety and Operations account support the Federal Railroad Administration's (FRA) management and administrative costs in the Salaries and Expenses activity.

*Salaries and Expenses* – Provides support for FRA rail safety activities and all other operating and administrative activities related to FRA personnel and programs.

The Budget includes language to implement a rail safety user fee. The fee would recoup the cost of FRA rail safety inspectors. The fee would be phased in starting in 2013, and fee collections would increase in subsequent years.

**EXHIBIT III-1a**

**SAFETY AND OPERATIONS  
Summary Analysis of Change from FY 2012 to FY 2013  
Appropriations, Obligation Limitations, and Exempt Obligations  
(\$000)**

Item	Change from FY 2012 to FY 2013	
	\$000	FTE
<b>DIRECT:</b>		
<b>FY 2012 ENACTED</b>	<b>178,596</b>	<b>856.0</b>
<b>BASELINE CHANGES:</b>		
Annualization of FY 2012 FTE	-	-
Annualization of FY 2012 Comparability Pay Increase (0.0%)	-	-
FY 2013 Comparability Pay Increase (0.5%)	434	-
One Additional Compensable Day	445	-
Non-Pay Inflation (0.5%)	240	-
GSA Rent	590	-
WCF	358	-
Management Efficiencies	(2,051)	-
<b>Subtotal, Adjustments to Base</b>	<b>16</b>	<b>0.0</b>
<b>Transfers from Direct Funding to Rail Safety User Fee:</b> <sup>1/</sup>		
Transfer of Rail Safety Inspector FTE from base to Rail Safety User Fee	(47,894)	(349.0)
Transfer of Rail Safety Inspector Travel from base to Rail Safety User Fee	(8,019)	0.0
Transfer of Rail Safety ATIP contracts from base to Rail Safety User Fee	(10,888)	0.0
Transfer of Rail Safety Supplies and Materials	(339)	0.0
<b>Subtotal, Transfers from Direct Funding to Rail Safety User Fee</b>	<b>(67,140)</b>	<b>(349.0)</b>
<b>PROGRAM CHANGES:</b>		
Personnel Increases	2,374	17.5
Information Technology Increases		
IT Security Program Services	987	-
Hardware and Software Support Services	321	-
Enterprise Service Bus	342	-
Business Efficiency - Corporate Express	250	-
Contracts	254	-
<b>Subtotal, Program Changes</b>	<b>4,528</b>	<b>17.5</b>
<b>Subtotal, Direct Funding</b>	<b>(62,596)</b>	<b>(332.0)</b>

**Note:**

1/ In FY 2013 FRA proposes a provision allowing user fee collections of \$80 million to be credited to the Safety and Operations appropriation as offsetting collections, thereby reducing the amount appropriated and the budget authority, dollar for dollar.

**EXHIBIT III-1a (cont'd)**

**SAFETY AND OPERATIONS  
SUMMARY ANALYSIS OF CHANGE FROM FY 2012 TO FY 2013  
Appropriations, Obligation Limitations, and Exempt Obligations  
(\$000)**

Item	Change from FY 2012 to FY 2013	
	\$000	FTE
<b>REIMBURSABLE:</b>		
<b>FY 2012 Off-setting Collections (Rail Safety User Fees) <sup>1/</sup></b>	<b>0</b>	<b>0</b>
<b>Baseline Changes:</b>		
Annualization of FY 2012 Comparability Pay Increase (0.0%)	-	-
FY 2012 Comparability Pay Increase (0.0%)	-	-
One More Compensable Day	-	-
Non-Pay Inflation (0.5%)	-	-
GSA Rent	-	-
WCF	-	-
<b>Subtotal, Adjustments to Base</b>	<b>0</b>	<b>0</b>
<b>Transfers from Direct Funding to Rail Safety User Fee: <sup>1/</sup></b>		
Transfer of Rail Safety Inspector FTE from base to Rail Safety User Fee	47,894	349.0
Transfer of Rail Safety Inspector Travel from base to Rail Safety User Fee	8,019	0.0
Transfer of Rail Safety ATIP contracts from base to Rail Safety User Fee	10,888	0.0
Transfer of Rail Safety Supplies and Materials	339	0.0
<b>Subtotal, Transfers from Direct Funding to Rail Safety User Fee</b>	<b>67,140</b>	<b>349.0</b>
<b>PROGRAM CHANGES:</b>		
Personnel Increases	860	5.0
Office of Railroad Safety Increases		
Railroad Safety Improvement Act Provisions	5,000	0.0
Risk Reduction Program	3,000	0.0
Railroad Safety Improvement System	2,000	0.0
Confidential Close Call Reporting System	1,000	0.0
High-Speed Rail Certification	1,000	0.0
<b>Subtotal, Program Changes</b>	<b>12,860</b>	<b>5.0</b>
<b>Subtotal, Reimbursable Funding</b>	<b>80,000</b>	<b>354.0</b>
<b>TOTAL FY 2013 REQUEST</b>	<b>196,000</b>	<b>878.5</b>

**Note:**

1/ In FY 2013 FRA proposes a provision allowing user fee collections of \$80 million to be credited to the Safety and Operations appropriation as offsetting collections, thereby reducing the amount appropriated and the budget authority, dollar for dollar.

**EXHIBIT III-2  
ANNUAL PERFORMANCE RESULTS AND TARGETS  
FEDERAL RAILROAD ADMINISTRATION**

The Federal Railroad Administration (FRA) integrates performance results into its budget request to align with the Department of Transportation’s Strategic Plan. FRA tracks the following DOT-level performance measures to demonstrate program results:

**DOT Strategic Goal: Safety** – Improve Public Health and Safety by Reducing Transportation-Related Fatalities and Injuries

<b>Outcome:</b> Reduce rail-related accidents and incidents.					
<b>Measure:</b> Rate of rail-related accidents and incidents per million train-miles.					
	<b>2009</b>	<b>2010</b>	<b>2011</b>	<b>2012</b>	<b>2013</b>
Target	17.00	16.40	16.40	16.30	16.30
Actual	16.75	16.45	15.40*	---	---
<b>Measure:</b> Reduce highway-rail grade crossing incidents per million train-miles. **					
Target	3.65	3.65	3.50	3.30	3.10
Actual	2.97	2.85	2.75*	---	---
<b>Measure:</b> Reduce human-factors-caused train accidents per million train-miles.					
Target	1.35	1.35	1.25	1.20	1.10
Actual	1.03	0.94	0.95*	---	---
<b>Measure:</b> Reduce track-caused train accidents per million train-miles.					
Target	1.15	1.15	1.12	1.08	1.06
Actual	1.03	0.96	0.92*	---	---
<b>Measure:</b> Reduce equipment-caused train accidents per million train-miles.					
Target	0.450	0.450	0.450	0.430	0.420
Actual	0.365	0.364	0.324*	---	---

\* FY 2011 actuals are based on 12 months of preliminary data, as of January 11, 2012, and are provided for transparency of reporting to date; but might differ significantly from the full-year data due to reporting submission requirements. Official data will be published in FRA’s annual rail safety statistics report.

\*\* Includes train accidents.

**EXHIBIT III-2 (cont'd)**  
**ANNUAL PERFORMANCE RESULTS AND TARGETS**

**DOT Strategic Goal: Safety** – Improve Public Health and Safety by Reducing Transportation-Related Fatalities and Injuries

<b>Outcome:</b> Reduce rail-related accidents and incidents.					
	<b>2009</b>	<b>2010</b>	<b>2011</b>	<b>2012</b>	<b>2013</b>
<b>Measure:</b> Reduce other (signal and miscellaneous) train accidents per million train-miles.					
Target	0.647	0.593	0.590	0.560	0.530
Actual	0.481	0.491	0.478*	---	---
<b>Measure:</b> Reduce non-accident hazmat releases per 200 million hazmat ton-miles					
Target	1.278	1.278	1.249	1.220	1.220
Actual	1.149	1.194	1.244*	---	---

\* FY 2011 actuals are based on 12 months of preliminary data, as of January 11, 2012, and are provided for transparency of reporting to date; but might differ significantly from the full-year data due to reporting submission requirements. Official data will be published in FRA's annual rail safety statistics report.

**DOT Strategic Goal: Organizational Excellence** – Develop a Diverse and Collaborative Workforce that will Enable the Department to Advance a Transportation System that Serves the Nation's Long-Term Social, Economic, Security, and Environmental Needs

<b>Outcome:</b> Improve the administration, oversight, transparency, and management of FRA grants.					
<b>Measure:</b> Number of risk-based financial monitoring visits completed.					
	<b>2009</b>	<b>2010</b>	<b>2011</b>	<b>2012</b>	<b>2013</b>
Target	n.a.	n.a.	10	20	20
Actual	n.a.	n.a.	1	---	---
<b>Measure:</b> Number of financial desk reviews conducted.					
Target	n.a.	n.a.	20	40	40
Actual	n.a.	n.a.	0	---	---
<b>Measure:</b> Number of formal financial technical assistance engagements conducted.					
Target	n.a.	n.a.	3	6	6
Actual	n.a.	n.a.	0	---	---

n.a. Not applicable—FRA had not established and did not track this measure before FY 2011.

The above outcome and performance measures will establish a baseline for FRA to begin assessing its financial management of the agency's expanding portfolio of competitive and discretionary grant programs. Based on these post-award monitoring activities, FRA will catalog lessons learned and best practices from across the country. FRA will then leverage these lessons learned and best practices by developing a grantee-focused training and technical assistance program. FRA was unable to meet the FY 2011 targets due to competing priorities for resources. However, in FY 2012 FRA is increasing the resources available for these activities, including additional staff in grants management.

**DETAILED JUSTIFICATION FOR SAFETY AND OPERATIONS**

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**What Is The Request And What Will We Get For The Funds?**

**FY 2013 - Safety and Operations - Budget Request**  
(\$000)

Item	FY 2011 Actual	FY 2012 Enacted	FY 2013 Request	Difference from FY 2012 Enacted
Salaries and Expenses	176,596	178,596	116,000	(62,596)
Offsetting collections (Rail Safety User Fees) <sup>1/</sup>	-	-	80,000	80,000
<b>TOTAL, SAFETY AND OPERATIONS</b>	<b>176,596</b>	<b>178,596</b>	<b>196,000</b>	<b>17,404</b>

**Note:**

1/ In FY 2013 FRA proposes a provision allowing user fee collections of \$80 million to be credited to the Safety and Operations appropriation as offsetting collections, thereby reducing the amount appropriated and the budget authority, dollar for dollar.

**What Is The Program?**

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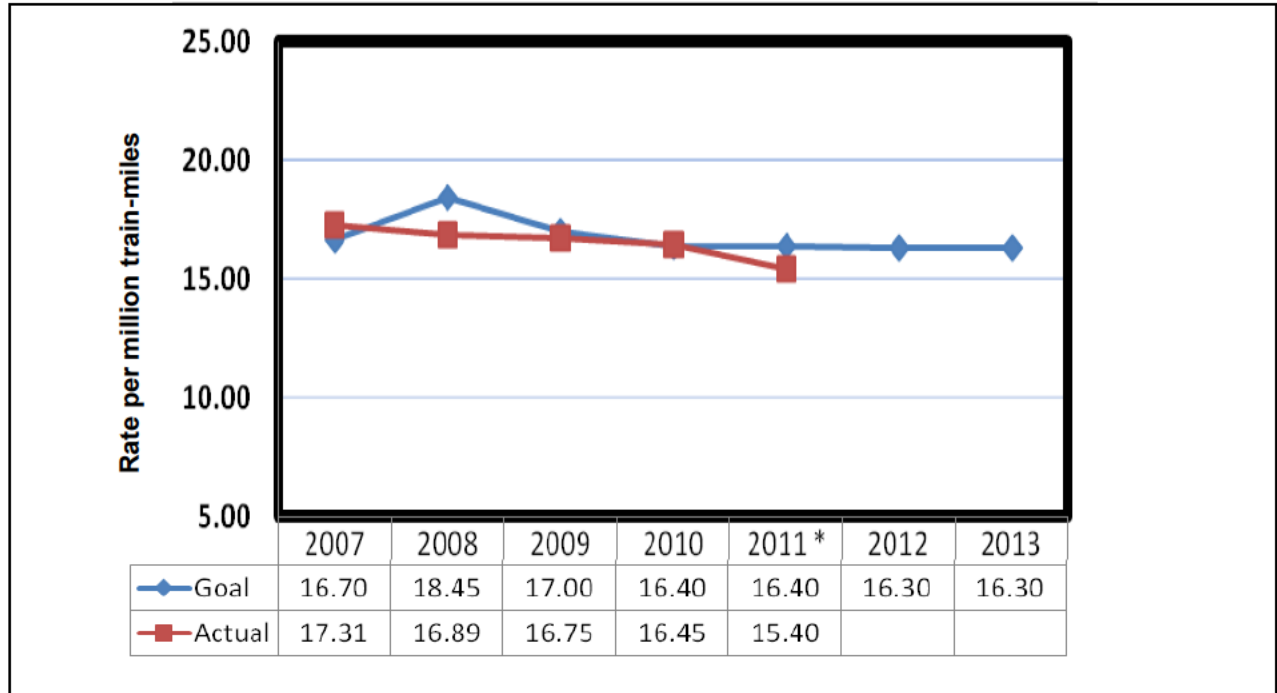
FRA requests \$196 million and 962 positions (878.5 FTE) in FY 2013. This request funds FRA’s Salaries and Expenses activity.

**Salaries and Expenses:** Resources for FRA’s programs to improve railroad safety (e.g., monitoring compliance of Federal safety regulations for the Nation’s railroad industry) are the backbone of FRA’s organization and are vital to accomplishing FRA’s **safety and investment missions**. These resources enable FRA to provide sound stewardship over its thriving portfolio of rail safety and development programs. This activity also includes funding for the organizational infrastructure—staff and operations (e.g., payroll, rent, telecommunications, information technology, and contract support)—that enables the safety and development programs to accomplish their goals. Finally, included in this activity is reimbursement to the Department of Labor for compensation payments to former Federal employees of the Alaska Railroad who were in a pay status during the period of Federal ownership and support for clean-up activities at hazardous waste sites previously owned by FRA.

**Anticipated FY 2012 Accomplishments:**

- Reduce the rate of rail-related accidents and incidents per million train-miles to 16.30 by:
  - Reducing the grade crossing incident rate to 3.30.
  - Reducing the human factor-caused train accident rate to 1.20.
  - Reducing the track-caused train accident rate to 1.08.
  - Reducing the equipment-caused train accident rate to 0.430.
  - Reducing the other (signal and miscellaneous) train accident rate to 0.560.
  - Reducing the non-accident hazardous materials releases rate to 1.220.

**Total Rail Accidents and Incidents  
FY 2007 to FY 2013 Goals and Actual**



\* FY 2011 actuals are based on 12 months of preliminary data, as of January 11, 2012, and are provided for transparency of reporting to date; but might differ significantly from the full-year data due to reporting submission requirements. Official data will be published in FRA’s annual rail safety statistics report.

Source: FRA safety data.

- Obligate 100 percent of *American Recovery and Reinvestment Act (ARRA)* High-Speed Corridors and Intercity Passenger Rail Service program funds during FY 2012. This is a Departmental high priority performance goal.

**Why Is This Particular Program Necessary?**

FRA operates across three major functional areas: (1) Railroad Safety, (2) Railroad Policy and Development, and (3) Executive Leadership and Support.

**Railroad Safety:** The Office of Railroad Safety supports the Department’s strategic goal of reducing transportation-related fatalities and injuries. It promotes and regulates safety throughout the Nation’s railroad industry. The Associate Administrator for Railroad Safety/Chief Safety Officer serves as the principal advisor to the Administrator and FRA officials and oversees, regulates, and enforces railroad safety practices. The safety program actively supports high-speed and intercity passenger rail, commuter rail, and shared-use operations related to passenger rail.



- FRA executes its regulatory and inspection responsibilities through a diverse staff of railroad safety experts, inspectors, and other professionals. FRA inspectors specialize in five safety disciplines assigned to eight regional offices across the Nation. These disciplines are Track, Signal and Train Control, Motive Power and Equipment, Operating Practices, and Hazardous Materials. In addition, FRA's field components include program managers for highway-rail grade crossing safety, trespass prevention, rail and infrastructure integrity experts, and industrial hygienists.
- Through the Office of Safety Assurance and Compliance, FRA staff provides direction and guidance to the Office of Railroad Safety's field organization on discipline-specific technical issues related to inspection, enforcement, security, and accident activities.
- The Office of Safety Analysis develops long-range rail safety program goals and requirements. The Risk Reduction Program is an important initiative of this office, which also manages the Confidential Close Call Reporting System (C3RS) and outreach programs to prevent distraction from portable electronic devices. Further, this office trains, certifies, and delegates authority to enforce Federal railroad safety laws to qualifying State agencies. As of January 11, 2012, 30 States participate in this program, with 168 safety inspectors. Other Office of Safety Analysis responsibilities include formulation of FRA's GPRA goals, accident and incident data analysis, technical training for field staff, promoting safety at grade crossings and preventing trespasser accidents, and developing cost-benefit analyses and rulemakings.

**Railroad Policy and Development:** The Office of Railroad Policy and Development provides Federal financial assistance to State governments and the rail industry, including the National Railroad Passenger Corporation (Amtrak), and is the lead Federal entity developing U.S. high-speed and intercity passenger rail service policy and programs. The Office sponsors research and development to improve railroad safety and provides credit-based financial assistance for railroad projects through the Railroad Rehabilitation and Improvement Financing (RRIF) program.

Since 2009, the Office has championed the Administration's vision to expand high-speed and intercity passenger rail infrastructure and service across the United States. The Office is the driving force behind the \$10.1 billion High-Speed Corridors and Intercity Passenger Rail Service program, initially funded in ARRA, and continues to build support for the Administration's vision of a national high performance rail system.

**Executive Leadership and Support:** Four offices within FRA provide the leadership and organizational infrastructure that enables FRA to accomplish its mission essential programs and activities.

- **Office of the Administrator:** Includes staff and programs in the Offices of the Administrator, Civil Rights, Public Affairs, and Public Engagement. The Office of the Administrator provides executive leadership. FRA's Executive Director develops, implements, and coordinates crosscutting issues related to the achievement of FRA missions; ensures accountability for management actions, fiscal stewardship, accountability, and transparency in carrying out strategic priorities and operations;

recommends business process improvements; and assists the Administrator and Deputy Administrator in promoting quality improvement, strategic plans, economy, and organizational performance. The Office of Civil Rights leads and develops policy to ensure effective and consistent diversity and civil rights programs, processes internal and external complaints, employs minority interns, and provides other operational functions. The Office of Public Affairs plans and coordinates events and products that promote and enhance public understanding, support, and awareness of FRA's policies, programs, and accomplishments. The Office of Public Engagement manages FRA's outreach activities with stakeholders in the railroad community, State and regional governments, and the public.

FRA is proposing an organizational change to enhance FRA's financial efficiency and effectiveness and fulfill the Department of Transportation's CFO Authority and Oversight Policy, dated May 6, 2010. FRA will separate the Chief Financial Officer's position, functions, and related staff from the Associate Administrator for Financial Management and Administration. The Associate Administrator for Financial Management and Administration will be renamed the Associate Administrator for Administration. The Chief Financial Officer will report directly to the Executive Director and have responsibility for oversight of budget and financial activities (such as budget formulation, execution, and accounting) and ensuring that FRA's financial management systems and policies are responsive to FRA, Departmental, and Government-wide requirements. Functions of the support systems staff, previously under the Office of Financial Management, will be realigned into the immediate office of the Associate Administrator for Administration.

- **Office of Administration:** Provides comprehensive mission support to FRA by directing and coordinating the agency's acquisition, human resources, and information technology (IT) functions and services. The Chief Human Capital Officer is located within the Office, which manages workforce planning, classification, compensation, and benefits; employee recruitment, placement, performance, career development, training, and drug testing; and employee relations, labor relations, and personnel security. The Chief Information Officer is also located within this Office and is responsible for planning, developing, and administering FRA's IT program, including IT capital planning, enterprise architecture, IT security, records management, continuity of operations, and consistency with applicable statutes and policies. The Head Contracting Authority leads FRA's overall acquisition planning and execution activities vital to mission accomplishment.
- **Office of the Chief Counsel:** There are two major divisions within the FRA Chief Counsel: (1) Safety Law and (2) General Law. The Safety Law Division develops and drafts regulations, assesses civil penalties for statutory and regulatory violations, and provides legal support for FRA's safety programs. The General Law Division services FRA on all other legal issues, including appropriations, contract and grant management, Freedom of Information Act, Federal Tort Claims Act, and Surface Transportation Board matters.

## How Do You Know The Program Works?

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FRA leverages a variety of tools to monitor its success, including (1) principles of the *Government Performance and Results Act*, (2) reports and investigations conducted by the DOT Inspector General, the Government Accountability Office, and the National Transportation Safety Board, (3) safety-related activities based on statutory requirements, Congressional directives, reviews of relevant statistics, findings, research and development, and (4) on-going evaluations and assessments of FRA management and staff.

Secretary LaHood has made safety his top transportation priority, and has listed the Safety Strategic Goal as the Department's primary objective in the DOT Strategic Plan. The two major outcomes of the Safety Strategic Goal are a reduction in both transportation-related fatalities and injuries. FRA's Safety Program directly reinforces these initiatives, and uses data-driven processes to ensure that the agency's inspector resources are used effectively and efficiently. Safety levels have improved because of a strengthened inspector force, broadened regulatory and enforcement efforts, and initiatives implemented under both the Secretary's Action Plan for Highway-Rail Grade Crossing Safety and Trespasser Prevention and the National Rail Safety Action Plan.

- Steady Reductions in Rail-Related Accidents:** Due in large part to FRA's safety programs, the railroad industry has improved safety considerably over the past decade and remains one of the safest modes of travel. For example, in the past 10 years, the total number of rail-related accidents and incidents has declined by 32 percent and train accidents have dropped by 39 percent. Additionally, fatalities and injuries have dropped 28 percent and highway-rail grade crossing incidents decreased by 42 percent.

Safety Measure	Percentage Reduction from Prior Year		
	FY 2009	FY 2010	FY 2011 *
<b>Rail-related accidents and incidents</b>	<b>12.8</b>	<b>1.5</b>	<b>3.7</b>
Train accidents	21.6	5.3	0.5
Casualties	12.6	0.0	2.6
Grade-crossing incidents **	19.5	3.5	0.5

\* As of January 11, 2012. FY 2011 data are preliminary until the annual safety statics report is finalized.

\*\* Includes train accidents.

Source: FRA safety data.

To evaluate these programs and FRA's organizational performance, FRA uses six discipline-specific measures. DOT links the organizational assessment directly to FRA executives' annual performance evaluations. Preliminary FY 2011 data shows accident and incident rates across the Nation continue to decline.

- Highway-rail grade crossing incidents rate: **21.4 percent below target**
- Human factor-caused train accidents rate: **24.0 percent below target**
- Track-caused train accidents rate: **17.9 percent below target**

- Equipment-caused train accidents rate: **28.0 percent below target**
- Other (signal and miscellaneous) train accidents rate: **19.0 percent below target**
- Rail non-accident hazmat releases rate: **0.4 percent below target**

**Organizational Excellence:** FRA has two goals that support DOT’s organizational excellence strategic goal.

- **Best Work Place:** FRA participates in the Office of Personnel Management’s survey of Federal employees, which takes place every 2 years. This survey measures overall Federal employee satisfaction with their work, agency, supervisor, performance culture, and leadership. In the most recent survey, which was conducted in 2010, FRA exceeded its targets in the areas of “Leadership” and “Performance Culture” by noteworthy margins. For example, FRA’s overall “Leadership” score was 73.1 percent favorable, which is 15.6 percentage points above the target of 57.5 percent. Under “Performance Culture,” FRA scored 63.2 percent positive in 2010, which is 12 percentage points above the target of 51.2 percent. Last year, FRA also exceeded Government-wide averages in 75 of 78 questions, and exceeded DOT scores in 77 of 78 questions. Of the 38 Government agencies whose scores were posted on OPM’s Web site, FRA had the highest Government-wide score in 12 questions, was the second highest in 16 questions, third highest in 17 questions, and fourth highest in 8 questions. The next survey will be conducted in 2012.
- **Financial Performance:** FRA’s multi-billion dollar portfolio of high-speed and intercity passenger rail grants, Railroad Safety Technology Grants, and a host of other rail safety and research and development grants requires targeted monitoring and compliance reviews. In FY 2011, FRA established performance goals to baseline its ability to assess the management of its competitive, discretionary grant programs. This post-award financial monitoring will allow FRA to catalog lessons learned and best practices from across the country, which will help direct grantee-focused training and technical assistance.

**Why Do We Want/Need To Fund The Program At The Requested Level?**

Funding Safety and Operations at the FY 2013 requested level—**\$196 million and 962 positions (878.5 FTE)**—ensures that adequate resources are available for FRA to meet its safety mission and advance the Administration’s National High Performance Rail System initiative. The request is \$17 million and 45 FTP (22.5 FTE) over the FY 2012 enacted appropriations.

**Baseline changes increase the funding from the FY 2012 enacted level by \$0.016 million.** FRA’s workforce and current operations will be funded out of this level. These adjustments include:

*FY 2013 Comparability Pay Increase (0.5%) ..... \$0.434 million*  
 This increase represents the annual funds for the proposed pay raise effective January 2013.

***One-Additional Compensable Day ..... \$0.445 million***

Represents an increase in personnel compensation and benefits due to one additional compensable day in FY 2013.

***Non-pay Inflation..... \$0.240 million***

FRA relies upon contract support for certain goods and services. Price escalation for goods and services during FY 2012 must be accommodated. Funding is requested at the non-pay inflation rate of 0.5 percent to ensure that contracts are adequately funded to maintain essential services and enable FRA activities to execute their responsibilities in FY 2013.

***GSA Rent ..... \$0.590 million***

This represents the proposed increase in rent costs for FRA. This request funds the GSA leased space requirements. The GSA rent account is a demand account that reflects costs resulting from occupancy agreements established with GSA to meet specific facility requirements.

***Working Capital Fund..... \$0.358 million***

The Working Capital Fund (WCF) is a fully reimbursable fund that finances a range of administrative support services to DOT. This centrally managed account provides Department-wide functions, such as information technology, facilities, operational support, and personnel administration. Centralizing administrative support functions has enabled DOT to achieve economies of scale, reduce costs, increase operational efficiencies, and enables DOT operating administrations, such as FRA, to focus on and accomplish their missions. WCF allocates costs based on the service provided. Request levels are based on estimates provided by WCF, based on actual usage and inflation.

***Management Efficiencies ..... -\$2.051 million***

Management efficiencies are the result of reducing other contract costs by performing new in-house needs assessments, consolidating initiatives and task orders, renegotiating contract costs, and changing venues for regulatory meetings in order to decrease overall costs. FRA is leveraging new technologies and cost savings to complete mission critical work and ensure it achieves its core mission.

The FY 2013 budget request reflects **programmatic increases of \$17.338 million**, as follows:

***Personnel Increases ..... \$3.234 million and 45 Positions (22.5 FTE)***

This increase is necessary to implement *Rail Safety Improvement Act (RSIA)*, *Passenger Rail Investment and Improvement Act (PRIIA)*, and ARRA requirements and the Administration's proposed National High Performance Rail System. \$2.221 million reflects the cost of personnel compensation and benefits funded for two quarters; \$431,000 for travel; and \$582,000 for necessary training and IT equipment, and required safety equipment for inspectors. Positions will be distributed among program offices in the following manner:

- **Office of Railroad Policy and Development** – 15 positions (7.5 FTE) to support the continuing implementation of PRIIA requirements and related activities. These positions will perform such activities as:
  - Leading and coordinating stakeholders in developing policies, procedures, and tools to implement equipment procurement and management requirements and allocation of operating costs among states and Amtrak.
  - Managing programmatic matters, national rail planning guidance, engineering designs, Northeast Corridor environmental and planning studies, and PRIIA rulemakings.
  - Funding, coordinating, and monitoring passenger and freight rail projects that states and other entities are developing independently of the National High-Performance Rail System program.
  
- **Office of Railroad Safety** – 30 positions (15.0 FTE) to support Rail Safety Improvement Act of 2008 (RSIA)-mandated and National High Performance Rail System programs and initiatives. These new positions are critical to the FRA’s success in:
  - Providing sufficient, highly trained regional inspectors to implement major provisions of RSIA, including implementation of positive train control systems, infrastructure inspections, and oversight of railroad and contractor employee compliance with bridge worker and roadway workplace safety.
  - Resolving the technical and spectrum availability issues that could hinder implementation of positive train control systems.
  - Providing training and implementation of the RSIA-mandated conductor certification rule and hours-of-service reforms.
  - Implementing the auditing requirements in the new risk reduction system safety rule for commuter rail properties, and administering and evaluating risk reduction programs nationwide.
  - Addressing high-speed rail safety mandates in RSIA and ARRA for the 11 designated high-speed rail corridors, and specifically, to address speeds over 150 miles-per-hour.
  - Providing technical assistance to potential operators seeking authorization for high-speed rail revenue operations.<sup>1</sup>
  - Providing continued outreach to support FRA regional staff and the new Passenger Rail Division to bring the operations online in a safe and compliant manner.
  - Providing oversight of RSIA-mandated regulations concerning route selections for certain high-risk hazardous materials and implementing recommendations of the *9/11 Commission Act of 2007*.

***Rail Safety Improvement Act (RSIA)*** ..... ***\$5.0 million***  
 RSIA requires that the Office of Railroad Safety perform numerous studies, reports, and rulemakings to achieve maximum improvements in railroad safety. To ensure that RSIA mandates are met, the Office of Railroad Safety will use contractual support. Lack of this contract funding would diminish FRA’s ability to implement many RSIA initiatives.

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<sup>1</sup> FRA’s FY 2013 request for the Network Development account (Capacity Building and Transition Assistance program area) includes funds for railroad safety technology grants.

***Risk Reduction Program (RRP) .....\$3.0 million***

RRP will reduce the number, frequency, and severity of accidents and crashes, fatalities, and injuries by developing innovative methods, processes, and technologies to identify and correct individual and systemic contributing factors using “upstream” predictive data. The enhanced cooperation between FRA, railroad industry, railroad labor, and other stakeholders will encourage strong, collaborative rail safety cultures where risk is identified and managed before accidents occur. FRA expects that RRP will yield monetary savings due to reductions in the number of accidents and incidents, fatalities, and lost productivity. Pursuant to RSIA section 103, FRA is promulgating a regulation requiring certain railroads to develop risk reduction program plans and, pending FRA approval of those plans, to carry out the risk mitigation programs outlined therein. The RSIA-required effective date of the regulation is October 16, 2012. FRA requests \$3.0 million for FY 2013 RRP activities, such as obtaining expertise to support program development and implementation and ensuring consistent and efficient processing of waivers associated with risk reduction and hours of service regulations. Other RRP activities include the following:

- **Pilot program development, implementation, and evaluation** includes (1) establishing programs to identify new technologies, procedures, or analyses that reduce risk and developing processes and procedures to facilitate collaboration between FRA, railroad labor, and railroad management; and (2) measuring the results in terms of correlations between accident precursor incidents and accident occurrences and the effectiveness of risk countermeasures. Successful pilot programs could be developed into nationwide non-regulatory safety improvement programs.
- **Mathematical modeling and analysis** includes developing and using analytical tools and methods to support evaluation of RRP pilot implementations and identification of railroads that must comply with the RRP regulation, and assisting railroads in developing and using analytical tools and methods.
- **Fatigue management development and outreach** includes refining FRA’s existing fatigue model, providing guidance to railroads developing fatigue management programs, as RSIA requires, and reviewing fatigue-related industry proposals.
- **Securing confidential data** provided to FRA as part of RRP implementation includes providing staff and infrastructure to secure such, prevent disclosure of such data in response to *Freedom of Information Act* requests; and protect such data from legal discovery to the extent allowed.
- **Training and oversight** includes developing and providing training and guidance to FRA and industry stakeholders to ensure consistent application and interpretation of RRP requirements, and conducting outreach to share knowledge about successful risk reduction programs.

***Railroad Safety Information System (RSIS).....\$2.0 million***

RSIS is FRA’s principal repository for data relating to railroad accidents and incidents, inspections, highway-rail grade crossings, and other rail safety-related information. FRA uses RSIS extensively to monitor and report on safety in the railroad industry. The information in RSIS is made available through FRA’s Web site to stakeholders, including railroads; rail labor; other Federal, State, and local agencies; non-governmental organizations; academia; and the public.

Without the RSIS contractor data management support, accident/incident, railroad inspection, and highway-rail grade crossing data would not be collected, validated, compiled, and made available for the agency’s use. FRA managers and field inspectors would lose their access to data and analytical tools that are available on public and secure Web sites. FRA’s decision making capabilities would be adversely impacted by the lack of access to accurate, timely, and coherent safety and compliance information. FRA’s enforcement efforts (focused inspections, audits, violations) would be missing the essential business intelligence and analytics that typically drive these activities. Rulemaking and regulatory activities would be severely hampered by the lack of access to essential railroad safety statistical data. External stakeholders, including the railroads, rail labor, and the general public, would be deprived of their access to current and reliable railroad safety information made available through FRA’s electronic outlets.

***Confidential Close Call Reporting System (C3RS)..... \$1.0 million***

FRA requests \$1 million to support nationwide implementation of the Confidential Close Call Reporting System (C3RS), which encourages railroad employees to report close calls on a voluntary, confidential basis without fear of disciplinary action. This enhancement brings C3RS FY 2013 funding to a total of \$16.9 million. FRA’s Office of Railroad Safety manages this proactive, collaborative approach to improving safety under its broader risk reduction program. Since 2007, FRA has sponsored 12 pilot projects with four carriers: Union Pacific North Platte Service Unit, Canadian Pacific Chicago Area Service Unit, New Jersey Transit, and Amtrak (nine yard locations). Contributing to this initiative’s effectiveness is the partnering that occurs with railroad labor, including the United Transportation Union, Brotherhood of Locomotive Engineers and Trainmen, and American Train Dispatchers Association. The C3RS initiative enhances railroad safety culture by building trust and relying on the program’s core operating principles—it is voluntary, confidential, and non-punitive, and the collected data is used to recommend corrective actions and provide feedback.

Based on railroad industry support for and positive evaluations of the pilot projects, FRA proposes to advance this concept to the national level in FY 2013. The \$1 million enhancement will provide sufficient resources to transform C3RS into a centrally managed, national safety program. With the economies of scale in administering a national program, the requested enhancement will fund four to six large C3RS implementations. Failure to provide the requested funding will delay national deployment and jeopardize industry support.



***High-Speed Rail System Certification* ..... \$1.0 million**

\$1 million to enable FRA to meet RSIA and ARRA mandates for high-speed rail development, analysis, and testing. On-going contractor support will assist activities related to high-speed rail system certification for operation. Using contractor staff leverages FRA staff and provides access to project management, technical services, and subject matter experts. If the request is not funded, projects in California and Nevada will be delayed. Inadequate technical support for FRA’s high performance rail system could lead to the construction of an unsafe regional network, which will result in an increase in accidents and injuries.

***Centralized Information Technology (IT)* ..... \$1.9 million**

A total of \$6.572 million for centralized information technology—a \$1.9 million increase above the base. This activity has been flat-lined for the past 5 years at approximately \$4.4 million, severely limiting FRA’s ability to maintain IT functionality.

- **IT Security Program Services** ..... **\$0.987 million**  
\$0.987 million to enhance FRA’s network security. This effort is essential to FRA’s ability to comply with the increasing number of cyber security mandates. This funding will enable FRA to create the logical and physical controls necessary to minimize, if not prevent, exploitation of security vulnerabilities that could disrupt or diminish FRA’s ability to perform its safety mission.
- **Hardware and Software Support Services** ..... **\$0.321 million**  
\$0.321 million for a technology refresh that has not happened during the past 4 years due to budget constraints. For example, systems (such as the Cisco switches in FRA’s regional offices) are at the end of their life cycles. Outages in these systems prevents FRA’s rail safety inspectors from accessing critical information, such as rail infrastructure defect locations and equipment inspection histories, while they perform on-site inspections. FRA’s ability to conduct accident investigations is also adversely impacted by infrastructure component failures.

In addition to the increases for existing programs, FRA also proposes two new IT programs:

- **Enterprise Service Bus** ..... **\$0.342 million**  
This request is for the purchase of hardware, software, and professional services to centralize FRA’s data storage. The effort will modernize the way FRA manages decision making, enhance transparency and accountability, provide for effective knowledge management, and accomplish the Open.gov objective of delivering streamlined and effective services to customers.
- **Business Efficiency – Corporate Express** ..... **\$0.250 million**  
FRA initiated Corporate Express in FY 2011 to create a leadership and management dashboard which integrates budget, payroll, timekeeping, acquisition, and grant databases. This effort improves decision-making,

transparency, and access to vital railroad safety and oversight data. The budget request provides for development of a performance management platform that can be scaled to benefit the department. FRA will leverage its existing performance reporting dashboards (Safety goals, FOIA, Hiring Reform) and scale them to accommodate other DOT modal administrations in reporting their metrics into a single DOT roll-up view.

***Contracts..... \$0.254 million***

In addition, FRA requires contract support for activities, such as high-speed rail safety standards, fatigue prevention and management, rail safety response surveys, and the Railroad Safety Advisory Committee Web site maintenance.

**FEDERAL RAILROAD ADMINISTRATION  
SAFETY AND OPERATIONS**

**Program and Financing Schedule**  
(in thousands of dollars)

Account Number: 69-0700-0-1-401

Line	Line Title	FY 2011 Actual	FY 2012 Enacted	FY 2013 Request
<b>Obligations by program activity:</b>				
0001	Salaries and expenses	174,383	184,115	116,000
0006	Alaska Railroad Liabilities	962	-	-
0091	Direct program activities, subtotal	<u>175,345</u>	<u>184,115</u>	<u>116,000</u>
<b>0100</b>	<b>Total direct program</b>	<b><u>175,345</u></b>	<b><u>184,115</u></b>	<b><u>116,000</u></b>
0799	Total direct obligations	175,345	184,115	116,000
0801	Reimbursable services	1,000	5,000	84,000
0809	Reimbursable program activities, subtotal	<u>1,000</u>	<u>5,000</u>	<u>84,000</u>
<b>0900</b>	<b>Total new obligations</b>	<b><u>176,345</u></b>	<b><u>189,115</u></b>	<b><u>200,000</u></b>
Budgetary Resources:				
Unobligated balance:				
1000	Unobligated balance brought forward, Oct 1	4,172	5,144	-
1011	Unobligated balance transferred from other accounts [69-0102]	153	-	-
1021	Recoveries of prior year unpaid obligations	402	-	-
1041	Expected - Unob Bal: Antic recov of prior year unpaid obl	-	375	-
<b>1050</b>	<b>Unobligated balance (total)</b>	<b><u>4,727</u></b>	<b><u>5,519</u></b>	<b><u>0</u></b>
Budget authority:				
Appropriations, discretionary:				
1100	Appropriation	176,950	178,596	116,000
1130	Appropriations permanently reduced	-354	-	-
<b>1160</b>	<b>Appropriation, disc (total)</b>	<b><u>176,596</u></b>	<b><u>178,596</u></b>	<b><u>116,000</u></b>
Spending authority from offsetting collections, discretionary:				
1700	Collected	877	1,238	-
1740	Anticipated collections, reimbursements, and other income (disc.)	-	3,762	84,000
<b>1750</b>	<b>Spending auth from offsetting collections, disc (total)</b>	<b><u>877</u></b>	<b><u>5,000</u></b>	<b><u>84,000</u></b>
<b>1900</b>	<b>Budget authority (total)</b>	<b><u>177,473</u></b>	<b><u>183,596</u></b>	<b><u>200,000</u></b>
<b>1930</b>	<b>Total budgetary resources available</b>	<b><u>182,200</u></b>	<b><u>189,115</u></b>	<b><u>200,000</u></b>
Memorandum (non-add) entries:				
1940	Unobligated balance expiring	-712	-	-
1941	Unexpired unobligated balance, end of year	5,144	-	-

**FEDERAL RAILROAD ADMINISTRATION  
SAFETY AND OPERATIONS**

**Program and Financing Schedule (cont'd)**  
(in thousands of dollars)

Account Number: 69-0700-0-1-401

Line	Line Title	FY 2011 Actual	FY 2012 Enacted	FY 2013 Request
	Change in obligated balance:			
	Obligated balance, start of year (net):			
3000	Unpaid obligations, brought forward, Oct 1 (gross)	210,545	222,108	198,017
3010	Uncollected pymts, Fed sources, brought forward, Oct 1	-320	-191	-191
3020	Obligated balance, start of year (net)	<u>210,225</u>	<u>221,917</u>	<u>197,826</u>
3030	Obligations incurred, unexpired accounts	176,345	189,115	200,000
3031	Obligations incurred, expired accounts	7,521	-	-
3040	Outlays (gross)	-185,104	-213,206	-231,828
3051	Change in uncollected pymts, Fed sources, expired	129	-	-
3061	Obligated balance transferred from other accounts [70-0560]	22,215	-	-
3080	Recoveries of prior year unpaid obligations, unexpired	-402	-	-
3081	Recoveries of prior year unpaid obligations, expired	-9,012	-	-
3090	Unpaid obligations, end of year (gross)	222,108	198,017	166,189
3091	Uncollected pymts, Fed sources, end of year	-191	-191	-191
<b>3100</b>	<b>Obligated balance, end of year (net)</b>	<b><u>221,917</u></b>	<b><u>197,826</u></b>	<b><u>165,998</u></b>
	Budget authority and outlays, net:			
	Discretionary:			
4000	Budget authority, gross	177,473	183,596	200,000
4010	Outlays from new discretionary authority	146,253	146,877	160,000
4011	Outlays from discretionary balances	38,851	66,329	71,828
<b>4020</b>	<b>Outlays, gross (total)</b>	<b>185,104</b>	<b>213,206</b>	<b>231,828</b>
	Offsets against gross budget authority and outlays:			
	Offsetting collections (collected) from:			
4030	Federal sources	-284	-5,000	-4,000
4033	Non-Federal sources	-695	-	-80,000
<b>4040</b>	<b>Offsets against gross budget authority and outlays, disc (total)</b>	<b>-979</b>	<b>-5,000</b>	<b>-84,000</b>
	Additional offsets against gross budget authority only:			
4052	Offsetting collections credited to expired accounts	102	-	-
<b>4060</b>	<b>Additional offsets against budget authority only (total)</b>	<b>102</b>	<b>0</b>	<b>0</b>
4070	Budget authority, net (discretionary)	176,596	183,596	200,000
<b>4080</b>	<b>Outlays, net (discretionary)</b>	<b>184,125</b>	<b>208,206</b>	<b>147,828</b>
<b>4180</b>	<b>Budget authority, net (total)</b>	<b>176,596</b>	<b>183,596</b>	<b>200,000</b>
<b>4190</b>	<b>Outlays, net (total)</b>	<b>184,125</b>	<b>208,206</b>	<b>147,828</b>

**FEDERAL RAILROAD ADMINISTRATION  
SAFETY AND OPERATIONS**

**Object Classification Schedule**  
(in thousands of dollars)

Account Number: 69-0700-0-1-401

Line	Line Title	FY 2011 Actual	FY 2012 Enacted	FY 2013 Request
Direct Obligations:				
Personnel compensation:				
11.1	Full-time permanent	83,853	85,001	47,400
11.3	Other than full-time permanent	826	1,074	1,000
11.5	Other personnel compensation	2,101	2,000	1,000
11.9	Total personnel compensation	86,780	88,075	49,400
12.1	Civilian personnel benefits	26,299	26,514	12,665
13.0	Benefits for former personnel	225	-	-
21.0	Travel and transportation of persons	9,286	7,019	7,159
22.0	Transportation of things	69	174	-
23.1	Rental payments to GSA	5,990	6,500	6,500
23.3	Communications, utilities, and miscellaneous charges	1,834	1,520	1,400
24.0	Printing and reproduction	350	300	300
25.1	Advisory and assistance services	723	450	450
25.2	Other services	2,747	9,978	10,269
25.3	Purchases of goods and services from Government accounts	32,014	28,132	12,797
25.7	Operation and maintenance of equipment	3,825	3,832	3,000
26.0	Supplies and materials	528	462	460
31.0	Equipment	2,318	1,889	1,600
41.0	Grants, subsidies, and contributions	3,336	8,500	9,000
42.0	Insurance claims and Indemnities	21	770	1,000
-	Subtotal, Direct obligations	176,345	184,115	116,000
Direct Reimbursable Obligations:				
Personnel compensation:				
11.1	Full-time permanent	-	-	40,000
11.5	Other personnel compensation	-	-	2,000
11.9	Total personnel compensation	-	-	42,000
12.1	Civilian personnel benefits	-	-	11,600
21.0	Travel and transportation of persons	-	-	7,400
25.2	Other services	-	-	18,000
25.3	Purchases of goods and services from Government accounts	-	1,000	1,000
31.0	Equipment	-	-	1,000
-	Subtotal, Reimbursable obligations	-	1,000	81,000
Allocation Account - Reimbursable				
25.2	Other services	182	4,000	3,000
99.9	Total new obligations	176,527	189,115	200,000

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**DEPARTMENT OF TRANSPORTATION  
FEDERAL RAILROAD ADMINISTRATION**

**NATIONAL HIGH PERFORMANCE RAIL SYSTEM  
APPROPRIATIONS LANGUAGE**

*NETWORK DEVELOPMENT*

*(LIMITATION ON OBLIGATIONS)  
(TRANSPORTATION TRUST FUND)*

*Contingent upon enactment of multi-year surface transportation authorization legislation, funds available for the implementation or execution of Network Development programs authorized under title 49, United States Code, as amended by such authorization, shall not exceed total obligations of \$1,000,000,000 for Railroad Network Development Programs, including \$850,000,000 for High-Speed Corridor Development; \$23,000,000 for Station Development; \$53,000,000 for U.S. Rail Equipment Development; and \$74,000,000 for Capacity Building and Transition Assistance, to remain available until expended.*

*(LIQUIDATION OF CONTRACT AUTHORIZATION)  
(TRANSPORTATION TRUST FUND)*

*Contingent upon enactment of multi-year surface transportation authorization legislation, \$1,000,000,000, to be derived from the Multimodal Account of the Transportation Trust Fund and to remain available until expended, for payment of obligations incurred in carrying out Network Development programs authorized under title 49, United States Code, as amended by such authorization.*

*SYSTEM PRESERVATION AND RENEWAL*

*(LIMITATION ON OBLIGATIONS)  
(TRANSPORTATION TRUST FUND)*

*Contingent upon enactment of multi-year surface transportation authorization legislation, funds available for the implementation or execution of System Preservation and Renewal programs authorized under title 49, United States Code, as amended by such authorization, shall not exceed \$1,546,000,000 for Railroad System Preservation And Renewal Programs, including \$263,000,000 for Public Asset Backlog Retirement; \$936,000,000 is for National Network Service; and \$347,000,000 is for*

*State of Good Repair and Recapitalization, which shall be available until expended.*

*(LIQUIDATION OF CONTRACT AUTHORIZATION)  
(TRANSPORTATION TRUST FUND)*

*Contingent upon enactment of multi-year surface transportation authorization legislation, \$1,546,000,000, to be derived from the Multimodal Account of the Transportation Trust Fund and to remain available until expended, for payment of obligations incurred in carrying out railroad system preservation and renewal programs authorized under title 49, United States Code, as amended by such authorization.*



**Exhibit III-1**

**NATIONAL HIGH PERFORMANCE RAIL SYSTEM  
Summary by Program Activity  
Appropriations, Obligation Limitations, and Exempt Obligations  
(\$000)**

Account	FY 2011 Actual	FY 2012 Enacted	FY 2013 Request	Change FY 2012—2013
<b>Network Development (CA)(TF, Oblim) <sup>1/</sup></b>				
High-Speed Corridor Development	-	-	850,000	850,000
Station Development	-	-	23,000	23,000
U.S. Rail Equipment Development	-	-	53,000	53,000
Capacity Building and Transition Assistance	-	-	74,000	74,000
<b>Subtotal, Network Development</b>	<b>0</b>	<b>0</b>	<b>1,000,000</b>	<b>1,000,000</b>
<b>System Preservation and Renewal (CA)(TF, Oblim) <sup>1/</sup></b>				
Amtrak Operating and Capital Grants	1,483,652	1,418,000	-	(1,418,000)
Public Asset Backlog Retirement	-	-	263,000	263,000
National Network Service	-	-	936,000	936,000
State of Good Repair and Recapitalization	-	-	347,000	347,000
<b>Subtotal, System Preservation and Renewal</b>	<b>1,483,652</b>	<b>1,418,000</b>	<b>1,546,000</b>	<b>128,000</b>
<b>TOTAL, NATIONAL HIGH PERFORMANCE RAIL SYSTEM</b>	<b>1,483,652</b>	<b>1,418,000</b>	<b>2,546,000</b>	<b>1,128,000</b>
<b>Full-time Equivalents <sup>2/</sup></b>				
Direct Funded	0.0	15.0	15.0	0.0
Reimbursable, Allocated, Other	0.0	0.0	0.0	0.0
<b>TOTAL FULL-TIME EQUIVALENTS</b>	<b>0.0</b>	<b>15.0</b>	<b>15.0</b>	<b>0.0</b>

**Notes:**

1/ The FY 2013 budget request and the Administration's surface transportation authorization proposal realign all passenger rail activities and resources. Previous accounts, Capital Assistance for High-Speed Rail Corridors and Intercity Passenger Rail Service, Operating Grants to Amtrak, and Capital and Debt Service Grants to Amtrak, are proposed to be consolidated under the new National High Performance Rail System. These resources will be distributed between two new accounts: (1) Network Development and (2) System Preservation and Renewal. Funds will be available for competitive and non-competitive financial assistance.

Capital Assistance for High-Speed Rail Corridors and Intercity Passenger Rail Service, Operating Grants to the National Railroad Passenger Corporation, and the Capital and Debt Services Grants to the National Railroad Passenger Corporation accounts were previously financed with discretionary, General Fund budget authority. These activities will be financed with mandatory contract authority, out of a new dedicated Multimodal Account of the Transportation Trust Fund (formerly the Highway Trust Fund).

2/ Personnel totals include 15.0 FTE funded from prior year project oversight and management appropriations in the Capital Assistance for High-Speed Rail Corridors and Intercity Passenger Rail Service account. All other FRA personnel are funded from the Safety and Operations account.

## **Program and Performance Statement**

The Administration proposes to include passenger rail programs within the surface transportation authorization, with a new National High Performance Rail System program, funded out of a dedicated Multimodal Account of the Transportation Trust Fund.

The Administration proposes to move a number of current General Fund programs into the Transportation Trust Fund, as part of surface transportation reauthorization. Amounts reflected in this schedule represent the new mandatory contract authority and outlays supporting these programs. PAYGO costs will be calculated as the change between these amounts and reclassified baseline amounts in the existing General Fund accounts.

**Network Development:** Funding requested in the Network Development account will be used to develop infrastructure, stations, equipment, and capacity needed to initiate new passenger rail services, and substantially upgrade existing corridors. The FY 2013 budget request includes \$1.0 billion for this account, and over 6 years, the Administration proposes to invest \$34.6 billion. This account consists of four program areas:

*High-Speed Corridor Development* – To plan and develop a regional networks of core express (high frequency, 125 to 250+ miles-per-hour), regional (medium-high frequency, 90 to 125 miles-per-hour), and emerging (2 to 3 daily roundtrips, up to 90 miles-per-hour) corridors.

*Station Development* – To plan and develop intermodal stations that will connect passenger rail services to other transportation modes, including public transit, airports, and non-motorized facilities.

*U.S. Rail Equipment Development* – To promote interoperability of passenger rail equipment and create economies of scale for domestic passenger equipment manufacturing.

*Capacity Building and Transition Assistance* – To develop governmental and private institutional capacity and expertise in passenger rail transportation and relieve the financial burden on states and rail service operators during start-up of new operations. This program also funds activities to support the implementation of positive train control (PTC) systems.

**System Preservation:** Funding requested in the System Preservation and Renewal account will ensure passenger rail assets are maintained to provide safe and reliable life-cycle service, as well as to continue operating long distance train services. The FY 2013 budget request includes \$1.5 billion for this account, and over 6 years, the Administration proposes to invest \$12.5 billion. This account consists of three program areas:

*Public Asset Backlog Retirement* – To eliminate the backlog of needed repairs and upgrades on public railroad assets, including replacing obsolete infrastructure, facilities, and equipment; and funding costs associated with early buyouts of existing capital equipment loans and leases.

*National Network Service* – To fund operating and capital costs associated with the National Passenger Railroad Corporation (Amtrak) long-distance rail passenger services; capital projects to maintain national reservations, security, mechanical facilities, training centers, and other assets; and high priority congestion mitigation investments to reduce bottlenecks to reliable long-distance or State-supported corridor services.

*State of Good Repair and Recapitalization* – To fund a share of the annualized life-cycle costs of publicly owned infrastructure and equipment, thus keeping those public assets in good working order and protecting the public’s investment over the long-term.

**Exhibit III-1a**

**NATIONAL HIGH PERFORMANCE RAIL SYSTEM  
Summary Analysis of Change from FY 2012 to FY 2013  
Appropriations, Obligation Limitations, and Exempt Obligations  
(\$000)**

Item	Change from FY 2012 to FY 2013	
	\$000	FTE
<b>FY 2012 ENACTED</b>		
Amtrak Operating and Capital Grants	<b>1,418,000</b>	-
Capital Assistance for High-Speed Rail Corridors and Intercity Passenger Rail Service	-	<b>15.0<sup>1/</sup></b>
<b>BASELINE CHANGES</b>		
Annualization of FY 2012 FTE	-	-
Annualization of FY 2012 Comparability Pay Increase (0.0%)	-	-
FY 2013 Comparability Pay Increase (0.0%)	-	-
Non-Pay Inflation (0.5%)	-	-
GSA Rent	-	-
Working Capital Fund	-	-
<b>SUBTOTAL, BASELINE CHANGES</b>	<b>0</b>	<b>0.0</b>
<b>PROGRAM CHANGES</b>		
<b>Network Development Account</b>	<b>1,000,000</b>	<b>0.0</b>
High-Speed Corridor Development	850,000	-
Station Development	23,000	-
U.S. Rail Equipment Development	53,000	-
Capacity Building and Transition Assistance	74,000	-
<b>System Preservation and Renewal Account</b>	<b>128,000</b>	<b>0.0</b>
Amtrak Operating and Capital Grants	(1,418,000)	
Public Asset Backlog Retirement	263,000	-
National Network Service	936,000	-
State of Good Repair and Recapitalization	347,000	-
<b>SUBTOTAL, PROGRAM CHANGES</b>	<b>1,128,000</b>	<b>0.0</b>
<b>TOTAL FY 2013 REQUEST</b>	<b>2,546,000</b>	<b>15.0</b>

**Note:**

1/ Personnel totals include 15.0 FTE funded from prior year project oversight and management appropriations in the Capital Assistance for High-Speed Rail Corridors and Intercity Passenger Rail Service account. All other FRA personnel are funded from the Safety and Operations account.

**CROSSWALK FROM FY 2012 ENACTED PASSENGER RAIL GRANTS AND IMMEDIATE TRANSPORTATION INVESTMENTS TO THE NATIONAL HIGH PERFORMANCE RAIL SYSTEM (\$ millions)**

The following table compares the account structure of the FY 2012 passenger rail grant programs to the FY 2013 request.

PASSENGER RAIL GRANTS		NATIONAL HIGH PERFORMANCE RAIL SYSTEM			
Appropriations Account		FY 2012 Enacted	FY 2012 Immediate Transportation Investments	FY 2013 Request	Program Area Network Development Account (N); System Preservation and Renewal Account (S)
<b>Amtrak Operating Grants</b>		\$ 446	\$ 0	\$ 631	National Network Service (S)
<b>Amtrak Capital and Debt Service Grants</b>		\$ 952	\$ 2,000	\$ 915	
General Capital	Amtrak-served stations' compliance with Americans with Disabilities Act	\$ 50	\$ 700	\$ 50	Public Asset Backlog Retirement (S)
	Northeast Corridor state of good repair backlog		\$ 1,000	\$ -	Public Asset Backlog Retirement (S)
	State corridors and Northeast Corridor annual state of good repair and equipment overhauls	\$ 626	\$ -	\$ 347	State of Good Repair and Recapitalization (S)
	National long-distance network and backbone infrastructure		\$ -	\$ 297	National Network Service (S)
State corridors and Northeast Corridor equipment replacement		\$ -	\$ 290	\$ -	Public Asset Backlog Retirement (S)
Debt Service		\$ 271	\$ -	\$ 213	Public Asset Backlog Retirement (S)
Federal Oversight		\$ 5	\$ 10	\$ 8	National Network Service (S)
<b>Capital Assistance for High-Speed Rail Corridors and Intercity Passenger Rail Service</b>		\$ 0	\$ 4,000	\$ 1,000	
			\$ 3,700	\$ 850	High-Speed Corridor Development (N)
			\$ 250	\$ 23	Station Development (N)
			\$ -	\$ 53	U.S. Rail Equipment Development (N)
			\$ 50	\$ 74	Capacity Building and Transition Assistance (N)
<b>TOTAL FY 2012 PASSENGER RAIL GRANTS</b>		\$ 1,418	\$ 6,000	\$ 2,546	<b>TOTAL, NATIONAL HIGH PERFORMANCE RAIL SYSTEM</b>

**Exhibit III-2**  
**ANNUAL PERFORMANCE RESULTS AND TARGETS**  
**FEDERAL RAILROAD ADMINISTRATION**

The Federal Railroad Administration (FRA) integrates performance results into its budget request to align with the Department of Transportation’s (DOT) Strategic Plan. Furthermore, DOT designated as an agency priority goal FRA’s economic competitiveness—initiate construction outcome below, in accordance with the *GPR Modernization Act*. All targets in this section reflect the FY 2012 immediate transportation investments and the FY 2013 request.

**DOT Strategic Goal: State of Good Repair** — Ensure that the United States Proactively Maintains its Critical Transportation Infrastructure in a State of Good Repair

<b>Outcome:</b> Eliminate Amtrak’s state of good repair backlog on the Northeast Corridor.					
<b>Measure:</b> Cumulative percentage of funds obligated to complete the Northeast Corridor State Of Good Repair Plan.*					
	<b>2009</b>	<b>2010</b>	<b>2011</b>	<b>2012</b>	<b>2013</b>
Target	n.a.	n.a.	n.a.	18%	18%
Actual	n.a.	n.a.	n.a.	---	---

\* Amtrak, April 15, 2009

n.a. Not applicable—FRA had not established and did not track this measure before FY 2012.

**DOT Strategic Goal: Economic Competitiveness** — Promote Transportation Policies and Investments that Bring Lasting and Equitable Economic Benefits to the Nation and its Citizens

<b>Agency Priority Goal—Outcome:</b> Achieve initial construction on all or a portion of 7 corridor programs and 36 individual construction projects by September 2013.					
<b>Measure:</b> Number of corridor programs that will achieve initial construction.					
	<b>2009</b>	<b>2010</b>	<b>2011</b>	<b>2012</b>	<b>2013</b>
Target	n.a.	n.a.	3	1	3
Actual	n.a.	n.a.	3	---	---
<b>Measure:</b> Number of individual construction projects that will achieve initial construction.					
	<b>2009</b>	<b>2010</b>	<b>2011</b>	<b>2012</b>	<b>2013</b>
Target	n.a.	n.a.	8	14	14
Actual	n.a.	n.a.	8	---	---

n.a. Not applicable—FRA had not established and did not track this measure before FY 2011.

**Outcomes and Measures:** As of February 2012, FRA was also developing data and metrics to measure the promotion of U.S.-based manufacturing and technical standardization by procuring new, American-built locomotives and passenger rail cars.

**Exhibit III-2 (cont'd)**  
**ANNUAL PERFORMANCE RESULTS AND TARGETS**

**DOT Strategic Goal: Livable Communities** — Foster Livable Communities through Place-based Policies and Investments that Increase Transportation Choices and Access to Transportation Services

<b>Outcome:</b> Increased intercity passenger rail ridership from 6.3 billion in FY 2010.					
<b>Measure:</b> Increase in the number of intercity rail passenger-miles traveled above the previous year.					
	<b>2009</b>	<b>2010</b>	<b>2011</b>	<b>2012</b>	<b>2013</b>
Target	n.a.	n.a.	n.a.	+ 150 million	+ 150 million
Actual	n.a.	n.a.	230 million	---	---

n.a. Not applicable—FRA had not established and did not track this measure before FY 2012.

**Outcomes and Measures:** As of February 2012, FRA was also exploring data, measures, and targets to assess progress toward providing 80 percent of Americans convenient access to a passenger rail system, featuring high-speed service, within 25 years. Moreover, FRA is planning to adopt measures and targets related to achieving an improved rail transportation experience, such as the increase in the number of passenger rail corridors and passenger rail stations that meet performance and service quality standards.

**DOT Strategic Goal: Livable Communities** — Foster Livable Communities through Place-based Policies and Investments that Increase Transportation Choices and Access to Transportation Services

<b>Outcome:</b> Improved access to transportation for people with disabilities and older adults.					
<b>Measure:</b> Increase in the percentage of intercity passenger rail stations that comply with the requirements of the Americans with Disabilities Act.					
	<b>2009</b>	<b>2010</b>	<b>2011</b>	<b>2012</b>	<b>2013</b>
Target	n.a.	n.a.	n.a.	15%	26%
Actual	n.a.	n.a.	n.a.	---	---

n.a. Not applicable—FRA had not established and did not track this measure before FY 2012.

**DOT Strategic Goal: Environmental Sustainability** — Advance policies and investments that reduce carbon and other harmful emissions from transportation sources.

**Outcomes and Measures:** As of February 2012, FRA was developing data sources and analysis to measure and establish targets for reducing petroleum fuel consumption through increasing ridership on intercity passenger rail.

## DETAILED JUSTIFICATION FOR THE NATIONAL HIGH PERFORMANCE RAIL SYSTEM

### What Is The Request And What Will We Get For The Funds?

#### **FY 2013 – National High Performance Rail System – Budget Request** (\$000)

<b>Program Activity</b>	<b>FY 2011 Actual</b>	<b>FY 2012 Enacted</b>	<b>FY 2013 Request</b>	<b>Difference from FY 2012 Enacted</b>
<b>Network Development</b>				
High-Speed Corridor Development	-	-	850,000	850,000
Station Development	-	-	23,000	23,000
U.S. Rail Equipment Development	-	-	53,000	53,000
Capacity Building and Transition Assistance	-	-	74,000	74,000
<b>Subtotal, Network Development</b>	<b>0</b>	<b>0</b>	<b>1,000,000</b>	<b>1,000,000</b>
<b>System Preservation</b>				
Amtrak Operating and Capital Grants	1,483,652	1,418,000	-	(1,418,000)
Public Asset Capital Backlog Retirement		-	263,000	263,000
National Network Service	-	-	936,000	936,000
State of Good Repair and Recapitalization	-	-	347,000	347,000
<b>Subtotal, System Preservation</b>	<b>1,483,652</b>	<b>1,418,000</b>	<b>1,546,000</b>	<b>128,000</b>
<b>TOTAL, NATIONAL HIGH PERFORMANCE RAIL SYSTEM</b>	<b>1,483,652</b>	<b>1,418,000</b>	<b>2,546,000</b>	<b>1,128,000</b>

### What Is This Program?

The NHPRS will serve a growing population (100 million more people by 2050) and provide a transportation alternative to the Nation's increasingly congested airports and highways. In addition, this investment will enhance the global economic competitiveness of America's cities and metropolitan regions, support domestic manufacturing, reduce reliance on imported oil, and create a new economic base of highly skilled, well-paying jobs. Ultimately, the NHPRS will offer 80 percent of Americans convenient access to a passenger rail system, including high-speed service, within 25 years. In the near term, FRA is pursuing the Department's priority goal to initiate construction on 7 corridor programs and 36 individual projects by September 30, 2013.



**SURFACE TRANSPORTATION REAUTHORIZATION  
National High Performance Rail System (NHPRS)**

Budgetary Resources, FY 2013 through FY 2018 (\$000)								
Account	Immediate Transportation Investments	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	TOTAL
Network Development	4,000	1,000	4,967	6,002	7,242	7,532	7,867	34,610
System Preservation and Renewal	2,000	1,546	2,479	2,504	1,864	2,024	2,063	12,480
<b>TOTAL, NHPRS</b>	6,000	2,546	7,446	8,506	9,106	9,556	9,930	47,090

As part of its 6-year surface transportation authorization proposal, the Administration proposes to invest \$47 billion from FY 2013 to FY 2018 in passenger rail activities, including the development of new, high-speed rail corridors and preserving and enhancing existing passenger rail assets. These activities will be financed with mandatory contract authority, out of the dedicated Multimodal Account of the Transportation Trust Fund (formerly the Highway Trust Fund).

This substantial investment is a national commitment to making rail a viable element of our future transportation system. The proposed investment is based on the current and future mobility needs of the American population; the costs of capacity enhancements for rail and other modes; and the public benefits that rail brings to communities. The 6-year strategy also reflects domestic and international experiences and applies the lessons learned from those experiences to America’s unique transportation environment.

As with the development of the unparalleled U.S. highway and aviation systems, achieving success will require thorough long-range planning, coordination among numerous public and private stakeholders, a clear vision, and sustained institutional commitment. Moreover, like these other transportation modes, NHPRS will not be developed solely through Federal financing.

While significant Federal investment is necessary in the early years to demonstrate a credible national commitment to passenger rail, build institutional capacity, and initiate complex, multi-State projects, NHPRS will succeed with partnerships between states, regional entities, and the private sectors having roles in planning, developing, financing, and operating these services. NHPRS provides opportunities for this participation throughout the corridor development process, within a flexible framework that will adapt to new ideas and changing conditions.

This flexible framework has two primary objectives: (1) developing new corridors, and (2) preserving and improving existing passenger rail assets. The first objective envisions three tiers of rail corridors, each based on the market conditions and transportation needs of the affected communities. This structure recognizes that a “one size fits all” approach is not appropriate—the highest speed services, for example, do not make economic or transportation sense in every market. Further, this tiered approach reflects the international experience—every

successful rail system in the world includes regional and feeder corridors that connect communities to a backbone of high-speed rail corridors.

**National High Performance Rail System: Mileage, Speed, Power, Track, and Population Served by 2035**

Corridor	Percentage of 30,000-mile Network *	Top Speed (miles per hour)	Power	Track	Percentage of Population Served
Core Express	25% to 30%	125 to 250+	Electrified	Dedicated	60%
Regional	50%	90 to 125	Electrified and Diesel	Dedicated and Shared	75%**
Emerging	20% to 25%	Up to 90	Diesel	Shared	80%**

\* Preliminary estimates pending the outcome of more detailed national, regional, and State planning efforts.

\*\* Cumulative with above.

The second NHPRS objective is to ensure that America’s existing passenger rail system works well, by bringing it into, and maintaining it, in a state of good repair. In any transportation mode, one of the most cost-effective ways to add capacity, reduce delays, and improve travel times is to build upon the investments that past generations have made in the Nation’s infrastructure. This proposal ensures that public assets maintained and renewed by assuming a share of the annual life-cycle costs of rail infrastructure and equipment, while also responsibly funding infrastructure backlogs and Amtrak’s legacy debt.

The NHPRS is organized by these two objectives into two complementary program accounts: (1) Network Development, and (2) System Preservation and Renewal.

**Network Development** consists of \$1 billion for planning and developing the infrastructure, stations, equipment, and capacity necessary to continue implementation of the NHPRS. These initiatives focus on (1) planning and developing core express, regional, and emerging corridors; (2) developing intermodal stations to connect intercity passenger rail service to communities and other transportation options; (3) facilitating the design, procurement, manufacturing, and demand management of standardized passenger rail equipment; and (4) delivering training and technical assistance services to develop Government and private expertise, and promoting research and development in the rail industry. The following table summarizes the program areas, funding, and eligibility under this account.

**NATIONAL HIGH PERFORMANCE RAIL SYSTEM ACCOUNTS  
NETWORK DEVELOPMENT**

**Program Description, Funding, and Eligibility**

<b>Program Area and FY 2013 Request</b>	<b>Objective</b>	<b>Eligible Activities</b>	<b>Eligible Recipients</b>
High-Speed Corridor Development  \$850 million	Build a national system of passenger rail corridors: <ul style="list-style-type: none"> <li>• Core Express– 125 to 250+ mph on dedicated track</li> <li>• Regional – 90-125 mph service on dedicated or shared track</li> <li>• Emerging – Up to 90 mph service on shared track</li> </ul>	<ul style="list-style-type: none"> <li>• Planning and feasibility studies</li> <li>• Environmental studies</li> <li>• Right-of-way acquisition</li> <li>• Preliminary engineering</li> <li>• Design and construction</li> </ul>	<ul style="list-style-type: none"> <li>• States</li> <li>• Interstate compacts</li> <li>• Amtrak</li> <li>• Regional rail development authorities</li> <li>• Private entities specified in State and regional plans</li> </ul>
Station Development  \$23 million	Link passenger rail services to public transit, other transportation options, residential and commercial areas, and communities	<ul style="list-style-type: none"> <li>• Capital improvements for stations</li> <li>• Station area planning</li> </ul>	<ul style="list-style-type: none"> <li>• States</li> <li>• Amtrak</li> <li>• Regional rail development authorities</li> <li>• Municipalities</li> <li>• Metropolitan planning organizations</li> <li>• Transit operators</li> <li>• Private entities identified in State and regional plans</li> </ul>
U.S. Rail Equipment Development  \$53 million	Promote interoperability and cost efficiencies of passenger rail equipment	<ul style="list-style-type: none"> <li>• Development of passenger rail equipment designs and specifications</li> <li>• Acquisition</li> <li>• Life-cycle maintenance and overhaul</li> </ul>	<ul style="list-style-type: none"> <li>• States</li> <li>• Amtrak</li> <li>• Regional rail development authorities</li> <li>• Equipment entity, e.g., PRIIA §305</li> </ul>
Capacity Building and Transition Assistance  \$74 million	Develop U.S. rail institutional capacity and expertise	<ul style="list-style-type: none"> <li>• Technical assistance and training</li> <li>• Railroad Safety Technology Grants</li> <li>• Research and development</li> <li>• In future years, transitional funding for States to help defray operating costs from new services and existing services affected by PRIIA §209</li> </ul>	<ul style="list-style-type: none"> <li>• States</li> <li>• Amtrak</li> <li>• Regional rail development authorities</li> <li>• Railroads</li> <li>• Passenger rail operators</li> <li>• Universities</li> <li>• Transportation Research Board</li> </ul>

**High-Speed Corridor Development (\$850 million):** This funding level is based on DOT review of the need for planning, engineering, and environmental analyses; right-of-way acquisition; and design and construction activities for new and improved passenger rail corridors. Approximately 70 percent to 85 percent of this funding will advance core express corridors; 10 percent to 25 percent will advance regional corridors; and 5 percent will advance emerging corridors.

**Station Development (\$23 million):** Based on analysis of the station improvement and multi-modal connection needs associated with High-Speed Corridor Development activities, this

funding level will support development of intermodal stations that ensure efficient connections between intercity passenger rail and transit, airports, and other transportation modes. These efficient, multi-modal connections are critical to the ultimate success of NHPRS. Moreover, stations often provide value far beyond servicing passengers—the best stations fulfill significant community roles, such as serving as a civic anchor to catalyze downtown and neighborhoods development.

**U.S. Rail Equipment Development (\$53 million):** This funding will provide working capital for an equipment pool to procure new rail equipment, helping to achieve the NHPRS goals of stimulating domestic equipment manufacturing and promoting interoperability. Additionally, through investments in equipment-related research and development, these funds will help lower the unit costs of future equipment procurement.

**Capacity Building and Transition Assistance (\$74 million):** This program area funds:

- Training and technical assistance to build capacity in the public and private sectors and to begin establishing Regional Rail Development Authorities (RRDA) that will help advance complex, multi-State infrastructure projects and transcend institutional barriers that inhibit the efficient planning and development of regional and multi-State corridors.
- Research and development to advance safe, state-of-the-art infrastructure and equipment and to ensure that the United States is at the forefront of passenger rail technology. This investment includes upgrading the Transportation Technology Center in Pueblo, Colorado, to enable more refined testing of high-speed rail, equipment types, catenaries, and track components.
- Railroad safety technology grants to help identify common issues and solutions that will facilitate national deployment of positive train control systems.
- An oversight takedown equal to 1 percent of the High-Speed Corridor Development, Station Development, and U.S. Rail Equipment Development program areas. This takedown level is consistent with other transportation programs.
- In future years, this program area will also fund temporary operating support for State corridors to help States implementing PRIIA section 209.

**System Preservation and Renewal** consists of \$1.546 billion to (1) replace aging national rail assets and equipment that have deteriorated due to historical underinvestment; (2) provide operating, capital, and debt resources to the National Railroad Passenger Corporation (Amtrak) for long-distance intercity passenger rail service and other nationally important assets; and (3) fund state of good repair and asset recapitalization of publicly-owned rail infrastructure and fleet. The following table illustrates the major activities under this account.

**NATIONAL HIGH PERFORMANCE RAIL SYSTEM ACCOUNTS  
SYSTEM PRESERVATION AND RENEWAL**

**Program Description, Funding, and Eligibility**

Program Area and FY 2013 Request	Objective	Eligible Activities	Eligible Recipients
Public Asset Backlog Retirement  \$263 million	Eliminate state of good repair backlog projects of public infrastructure	<ul style="list-style-type: none"> <li>• Infrastructure, equipment, and facilities</li> <li>• Upgrade Amtrak-served stations to comply with Americans with Disabilities Act requirements</li> <li>• Legacy debt service and principle</li> </ul>	<ul style="list-style-type: none"> <li>• Amtrak</li> <li>• States *</li> <li>• Northeast Corridor infrastructure owners *</li> <li>• Regional rail development authorities *</li> </ul>
National Network Service  \$936 million	Operating and capital assistance to maintain national long-distance passenger rail services and network assets	<ul style="list-style-type: none"> <li>• National reservations system, security, mechanical facilities, training centers, and other national backbone systems</li> <li>• Long-distance equipment</li> <li>• Congestion mitigation capital</li> </ul>	<ul style="list-style-type: none"> <li>• Amtrak</li> </ul>
State of Good Repair and Recapitalization  \$347 million	Ensure public assets are maintained and renewed to ensure state of good repair and reserves for replacement	<ul style="list-style-type: none"> <li>• Share of annualized life cycle costs</li> <li>• Overhauls of corridor equipment</li> </ul>	<ul style="list-style-type: none"> <li>• Amtrak</li> <li>• States *</li> <li>• Public rail infrastructure-owning entities *</li> <li>• Regional rail development authorities *</li> </ul>

\* In future years.

**Public Asset Backlog Retirement (\$263 million):** This program area will begin to remedy years of underinvestment by (1) eliminating the backlog of public infrastructure state of good repair needs, (2) replacing aging and obsolete equipment, and (3) retiring Amtrak’s legacy debt. The majority of FY 2013 funding will be dedicated to legacy debt service and principle, with an additional \$50 million for ADA compliance at Amtrak-served stations.

**National Network Service (\$936 million):** These resources will fully fund Amtrak’s operating and capital needs for long-distance services, as well as the national backbone assets, such as reservations and ticketing systems. Additionally, in FY 2013, this program area will support the operating needs of State corridors. Upon finalization of PRIIA section 209, this transitional support will be provided under the Capacity Building and Transition Assistance program area. This funding level was derived from Amtrak’s *Five-Year Financial Plan* (September 2010, revised June 2011) and DOT analysis.

**State of Good Repair and Recapitalization (\$347 million):** Existing (and future) public rail assets must be kept in a state of good repair, just as the Nation funds other public infrastructure maintenance. Activities in this program area ensure that these assets will last for generations and continue to provide safe, reliable service to travelers. This funding level was derived from analysis of the state of good repair needs on federally controlled public rail assets, including the Northeast Corridor and the overhaul needs for existing corridor equipment.

## Anticipated FY 2012 Accomplishments

- **Obligation** of remaining ARRA and FY 2010 appropriations.
- **Planning**—Complete national passenger rail development planning and business case analyses that will set the framework, methodologies, and standards for regional development plans. Complete 20 State rail plans and corridor service development plans.
- **Construction**—Continue the Chicago-St. Louis, Charlotte-Raleigh, and Seattle-Portland major corridor projects; initiate major construction activities on the California high-speed and Northeast corridors; and complete several station upgrades and grade crossing elimination projects.
- **Reducing the infrastructure maintenance backlog**—Using the Immediate Transportation Investments to accelerate retirement of the Northeast Corridor maintenance backlog, leading to substantial service improvements on the Nation’s most vital passenger rail corridor.
- **Monitoring, Overseeing, and Training**—Finalize and implement comprehensive monitoring, oversight, training, and technical assistance strategies.
- **Americans with Disabilities Act**—Continue working with Amtrak toward achieving Americans with Disabilities Act compliance at all 482 Amtrak-served passenger rail stations. Immediate Transportation Investments funds would also support this activity.
- **FRA Organizational Structure**—Continue developing FRA’s organization consistent with the NHPRS account structure and define the framework for managing equipment pools.

## Overall Investment Outcomes

The FY 2013 investment, building upon previously appropriated funds and the FY 2012 Immediate Transportation Investments, will result in the following:

- **Corridor Development**—More than 135 million Americans live in a community connected to a rail corridor that is currently receiving significant Federal capital investments.
  - *Core Express:* Substantial upgrades will be made to the 457-mile Northeast Corridor, resulting in 160-miles per hour service and substantial reliability improvements. This funding will also result in significant progress toward Phase I of the California High-Speed Rail corridor (520 miles connecting San Francisco to Los Angeles). Other potential core express corridors in the Midwest, South-Central, and Southeast are currently in the planning stages and could begin receiving initial funding for right-of-way acquisition, final design, and construction in FY 2013.
  - *Regional:* At least 650 miles of corridors will be upgraded to 110-miles per hour service, including Chicago-St. Louis, Chicago-Detroit, and New Haven-Springfield,



- with another 350 miles upgraded to 90-miles per hour or higher service (Charlotte-Raleigh, Seattle-Portland). Investments in other parts of the Northeast and Midwest will begin upgrading additional corridors to regional service standards.
- *Emerging:* Emerging services will be initiated on the Chicago-Iowa City corridor and an extension of the Boston-Portland service to Brunswick. Other investments will add to the national system approximately 200 miles of emerging corridors.
  - At least **30 stations will be upgraded** to enhance the passenger experience, address structural issues, and improve train operations.
  - At least **100 locomotives and 300 rail cars will be procured** to replace old and obsolete equipment and to serve growing demand on specific corridors.
  - At least **30 State rail plans and corridor service development plans** will establish the framework for future rail investments throughout the country.
  - Activities to **reduce the infrastructure maintenance backlog on the Northeast Corridor** will be accelerated, leading to service improvements on the Nation’s most vital passenger rail corridor.

The cumulative impact of these investments is that train travel will become a more attractive option by offering travelers faster travel times, better reliability, and more frequent trains. Increased rail ridership means fewer people driving on congested roads or flying to and from congested airports, reduced greenhouse gas emissions and fuel consumption, and other public benefits.

### **Why Is This Particular Program Necessary?**

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The United States faces a number of interconnected transportation challenges:

- **Population growth:** By 2050, the U.S. Census Bureau projects that an additional 100 million people will reside in the United States. The vast majority of this growth will be concentrated in a small number of “mega-regions.” This growth in population—and the ensuing economic output created—will need mobility options.
- **Energy consumption:** In 2010, the United States used more than 13 million barrels of oil daily for transportation. U.S. citizens consume twice the oil per capita as European Union citizens, and approximately 50 percent of the oil Americans use is imported. This reliance on imported oil to move America’s people and goods has substantial negative consequences for our environment, economy, and national security.
- **Energy costs:** The inflation-adjusted cost of oil increased 129 percent from 1990 to 2010. As a result, Americans spent \$630 million more per day on oil for transportation than they did 20 years earlier—a nearly \$750 annual increase for every American. Analysts are predicting continued increases in the cost of oil.

- **Environmental protection:** The *U.S. Climate Action Report 2010* found that the United States emitted 17 percent more greenhouse gases in 2007 than it did in 1990.<sup>2</sup> Thirty-two percent of all greenhouse gas emissions are from transportation, 82 percent of which are from cars and trucks.
- **Congestion:** Highway and aviation congestion has risen in recent years, with an estimated economic impact growing from \$24 billion in 1982 to \$115 billion in 2009 in lost time, productivity, and fuel; the total amount of wasted fuel in 2009 topped 3.9 billion gallons—equal to 130 days of flow in the Alaska pipeline.<sup>3</sup> In many places with the worst congestion levels, expanding airports and highways is extremely expensive, as land is limited.

High-speed passenger rail is uniquely well suited for addressing these challenges. Rail can help alleviate mobility needs of the projected population and economic growth using cleaner energy sources while promoting livable communities and efficient land-use development. Moreover, rail can create a new economic base for highly skilled, well-paying jobs.

Even in difficult fiscal situations, it is imperative that the United States invest in infrastructure that will enable the country to maintain and strengthen its position as a global economic leader in the 21<sup>st</sup> century and beyond. A recent survey of the Nation’s mayors found that 98 percent believe “investment in affordable, reliable transportation” is a critical element in “their cities’ economic recovery and growth.”<sup>4</sup> The Urban Land Institute also studied the issue recently and found—

*“The United States notably continues to lag its global competition. In most of the developed world and in many emerging markets, countries have committed to fulfilling infrastructure agendas as essential for sustaining or enhancing living standards in an increasingly competitive global marketplace.”<sup>5</sup>*

## **How Do You Know The Program Works?**

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Transportation, environmental, and livability benefits of high-speed and intercity passenger rail have been proven in other countries and select regions of the United States. Amtrak has experienced 18 straight months of ridership growth, increasing 6 percent over this period to more than 2 million passengers per month. During the past 10 years, ridership in the Northeast Corridor has grown 33 percent; the Piedmont North Carolina corridor, 82 percent; the Chicago Hub, 72 percent; and California, 71 percent. Moreover, ticket revenue on new service from Lynchburg, Virginia—a relatively small city—to Washington, D.C., quickly exceeded the State subsidy for the service.

<sup>2</sup> U.S. Department of State, *U.S. Climate Action Report 2010*, June 1, 2010. Available at [www.state.gov/documents/organization/140636.pdf](http://www.state.gov/documents/organization/140636.pdf)

<sup>3</sup> Texas Transportation Institute, *2010 Urban Mobility Report*.

<sup>4</sup> U.S. Conference of Mayors, “Metropolitan Transportation Infrastructure Survey,” May 2011, [www.usmayors.org/transportationsurvey/documents/survey.pdf](http://www.usmayors.org/transportationsurvey/documents/survey.pdf)

<sup>5</sup> Urban Land Institute, “Infrastructure 2011: A Strategic Priority,” May 2011, [www.uli.org/~media/Documents/ResearchAndPublications/Reports/Infrastructure/Infrastructure2011.ashx](http://www.uli.org/~media/Documents/ResearchAndPublications/Reports/Infrastructure/Infrastructure2011.ashx)



Moreover, Amtrak’s Northeast Corridor services have shown that intercity rail can free up airport capacity by shifting travelers from short-haul flights (under 500 miles) to rail. The Northeast Corridor carries 65 percent of the air-rail market between Washington, D.C., and New York, and is a vital transportation backbone to the region’s \$2.4 trillion economy.

Public opinion polls consistently reveal strong support for high-speed intercity rail. A *USA Today* poll found that 84 percent of Americans favor building high-speed rail. An American Public Transportation Association survey found 62 percent of respondents would definitely use high-speed rail for leisure or business travel, while a recent Harris Poll survey revealed that almost two-thirds of Americans (62 percent) support using Federal funds to develop high-speed rail.<sup>6</sup> The National Association of Realtors’ *2009 Growth and Transportation* study showed only 20 percent of Americans favored building new roads to deal with congestion, while 47 percent believe that improvements in public transportation would better mitigate congestion and accommodate future U.S. population growth.<sup>7</sup>

### **Why Do We Need To Fund The Program At The Requested Level?**

In FY 2013, FRA requests \$2.546 billion in obligation limitation for NHPRS. This funding level represents a national commitment to developing world-class passenger rail services. The FY 2013 request is \$1.128 billion more than the FY 2012 enacted level and includes the following adjustments:

**Network Development Account..... \$1,000 million**

***High-Speed Corridor Development..... \$850 million***

This funding increase is based on an analysis of corridors that will be ready for infrastructure investments, as well as the funding needs of corridor development projects currently underway. Roughly, 70 percent to 85 percent of this funding would advance core express high-speed rail corridors; 10 percent to 25 percent would advance regional corridors; and 5 percent would advance emerging corridors.

***Station Development..... \$23 million***

This funding will support capital improvements and planning to link passenger rail services to public transit, other transportation options, residential and commercial areas, and communities. The request is based on an analysis of the station development needs for both new and improved passenger rail corridors.

***U.S. Rail Equipment Development..... \$53 million***

FRA will use these funds to promote interoperability and cost efficiencies of passenger rail equipment, including development of passenger rail equipment designs and specifications, acquisition, life-cycle maintenance, and overhaul. This request level is

<sup>6</sup> Harris Poll survey conducted between January 17, 2011, and January 24, 2011. Available at [www.harrisinteractive.com/newsroom/harrispolls/tabid/447/mid/1508/articleid/700/ctl/readcustom%20default/default.aspx](http://www.harrisinteractive.com/newsroom/harrispolls/tabid/447/mid/1508/articleid/700/ctl/readcustom%20default/default.aspx)

<sup>7</sup> National Association of Realtors and Transportation for America, *2009 Growth and Transportation Survey*. The survey was conducted by Hart Research Associates, Jan. 5 to 7, 2009. Hart Research Associates telephoned 1,005 adults living in the United States. The study has a margin of error of plus or minus 3.1 percentage points.

based on an analysis of the needs for equipment-related research and development, and working capital for an equipment management entity.

***Capacity Building and Transition Assistance*..... \$74 million**

This request will support development of rail institutional capacity and expertise through railroad safety technology grants and research and development. This program area includes an administrative takedown for FRA oversight activities equal to one percent of the funding for the High-Speed Corridor Development, Station Development, and U.S. Rail Equipment Development program areas.

**System Preservation and Renewal Account ..... \$128 million**

***Amtrak Operating and Capital Grants*..... -\$1,418 million**

The FY 2013 budget request and the Administration’s surface transportation authorization proposal realign all passenger rail activities and resources. Previous accounts, Capital Assistance for High-Speed Rail Corridors and Intercity Passenger Rail Service, Operating Grants to Amtrak, and Capital and Debt Service Grants to Amtrak, are proposed to be consolidated under the new National High Performance Rail System.

***Public Asset Backlog Retirement* ..... \$263 million**

These funds are needed to cover Amtrak’s debt service (\$213 million) and continue bringing Amtrak-served stations into compliance with Americans with Disabilities Act requirements (\$50 million—the level enacted in FY 2012).

***National Network Service* ..... \$936 million**

FRA requests these resources to maintain national long-distance passenger rail services and network assets. Activities such as a national reservations system, security, mechanical facilities, training centers, other national backbone systems, long-distance equipment, and congestion mitigation capital were previously funded in the Amtrak Operating and Capital/Debt Service accounts.

***State of Good Repair and Recapitalization* ..... \$347 million**

The FY 2013 request will help ensure that public assets are maintained and renewed to a state of good repair and provide reserves for replacement, by funding a share of annualized life cycle costs and overhauls of corridor equipment. FRA based this level on analysis of the ongoing state-of-good repair needs on the Northeast Corridor.

FRA proposes to fund oversight of its growing portfolio of multiyear NHPRS projects with resources from each appropriation account. For Network Development oversight, FRA proposes to use an amount equal to one percent of the High-Speed Corridor Development, Station Development, and U.S. Rail Equipment Development program areas. FRA proposes to use an amount equal to one-half of one percent of the System Preservation and Renewal account for oversight of that account’s activities and investments. These takedown levels, which are consistent with those used in other infrastructure grant programs, are included within the Capacity Building and Transition Assistance and National Network Service program areas.

**FEDERAL RAILROAD ADMINISTRATION  
NATIONAL HIGH PERFORMANCE RAIL SYSTEM**

**Network Development  
Program and Financing Schedule  
(in thousands of dollars)**

Account Number: 69-8310-4-7-401

Line	Line Title	FY 2011 Actual	FY 2012 Enacted	FY 2013 Request
Obligations by program activity:				
0001	High-Speed Corridor Development	0	0	850,000
0002	Station Development	0	0	23,000
0003	U.S. Rail Equipment Development	0	0	53,000
0004	Capacity Building & Transition Assistance	0	0	74,000
<b>0900</b>	<b>Total new obligations</b>	<b>0</b>	<b>0</b>	<b>1,000,000</b>
Budgetary Resources:				
Budget authority:				
Appropriations, discretionary:				
1101	Appropriation (special or trust fund)	0	0	1,000,000
1137	Appropriation applied to liquidate contract authority	0	0	-1,000,000
<b>1160</b>	<b>Appropriation, disc (total)</b>	<b>0</b>	<b>0</b>	<b>0</b>
Contract Authority, mandatory:				
1600	Contract Authority	0	0	1,000,000
<b>1640</b>	<b>Contract Authority, mandatory (total)</b>	<b>0</b>	<b>0</b>	<b>1,000,000</b>
<b>1900</b>	<b>Budget authority (total)</b>	<b>0</b>	<b>0</b>	<b>1,000,000</b>
<b>1930</b>	<b>Total budgetary resources available</b>	<b>0</b>	<b>0</b>	<b>1,000,000</b>
Change in obligated balance:				
Obligated balance, start of year (net):				
3000	Unpaid obligations, brought forward, Oct 1 (gross)	0	0	0
3030	Obligations incurred, unexpired accounts	0	0	1,000,000
3040	Outlays (gross)	0	0	-136,000
3090	Unpaid obligations, end of year (gross)	0	0	864,000
<b>3100</b>	<b>Obligated balance, end of year (net)</b>	<b>0</b>	<b>0</b>	<b>864,000</b>
Budget authority and outlays, net:				
Mandatory:				
4090	Budget authority, gross	0	0	1,000,000
Outlays, Gross				
4100	Outlays from new mandatory authority	0	0	136,000
4160	Budget authority, net (mandatory)	0	0	1,000,000
4170	Outlays, net (mandatory)	0	0	136,000
<b>4180</b>	<b>Budget authority, net (total)</b>	<b>0</b>	<b>0</b>	<b>1,000,000</b>
<b>4190</b>	<b>Outlays, net (total)</b>	<b>0</b>	<b>0</b>	<b>136,000</b>

**FEDERAL RAILROAD ADMINISTRATION  
NATIONAL HIGH PERFORMANCE RAIL SYSTEM**

**System Preservation and Renewal  
Program and Financing Schedule**  
(in thousands of dollars)

Account Number: 69-8320-4-7-401

Line	Line Title	FY 2011 Actual	FY 2012 Enacted	FY 2013 Request
Obligations by program activity:				
0001	Public Asset Backlog Retirement	0	0	263,000
0002	National Network Service	0	0	936,000
0003	State of Good Repair and Recapitalization	0	0	347,000
<b>0900</b>	<b>Total new obligations</b>	<b>0</b>	<b>0</b>	<b>1,546,000</b>
Budgetary Resources:				
Budget authority:				
Appropriations, discretionary:				
1101	Appropriation (special or trust fund)	0	0	1,546,000
1137	Appropriation applied to liquidate contract authority	0	0	-1,546,000
<b>1160</b>	<b>Appropriation, disc (total)</b>	<b>0</b>	<b>0</b>	<b>0</b>
Contract Authority, mandatory:				
1600	Contract Authority	0	0	1,546,000
<b>1640</b>	<b>Contract Authority, mandatory (total)</b>	<b>0</b>	<b>0</b>	<b>1,546,000</b>
<b>1900</b>	<b>Budget authority (total)</b>	<b>0</b>	<b>0</b>	<b>1,546,000</b>
<b>1930</b>	<b>Total budgetary resources available</b>	<b>0</b>	<b>0</b>	<b>1,546,000</b>
Change in obligated balance:				
Obligated balance, start of year (net):				
3000	Unpaid obligations, brought forward, Oct 1 (gross)	0	0	0
3030	Obligations incurred, unexpired accounts	0	0	1,546,000
3040	Outlays (gross)	0	0	-1,089,000
3090	Unpaid obligations, end of year (gross)	0	0	457,000
<b>3100</b>	<b>Obligated balance, end of year (net)</b>	<b>0</b>	<b>0</b>	<b>457,000</b>
Budget authority and outlays, net:				
Mandatory:				
4090	Budget authority, gross	0	0	1,546,000
Outlays, gross:				
4100	Outlays from new discretionary authority	0	0	1,089,000
4160	Budget authority, net (mandatory)	0	0	1,546,000
4170	Outlays, net (mandatory)	0	0	1,089,000
<b>4180</b>	<b>Budget authority, net (total)</b>	<b>0</b>	<b>0</b>	<b>1,546,000</b>
<b>4190</b>	<b>Outlays, net (total)</b>	<b>0</b>	<b>0</b>	<b>1,089,000</b>

**FEDERAL RAILROAD ADMINISTRATION  
NATIONAL HIGH PERFORMANCE RAIL SYSTEM**

**Network Development  
Object Classification Schedule  
(in thousands of dollars)**

Account Number: 69-8310-4-7-401

<b>Line</b>	<b>Line Title</b>	<b>FY 2011 Actual</b>	<b>FY 2012 Enacted</b>	<b>FY 2013 Request</b>
	Direct Obligations:			
11.3	Personnel Compensation	-	-	1,647
12.1	Civilian personnel benefits	-	-	511
25.1	Advisory and assistance service	-	-	47,842
41.0	Grants, subsidies, and contributions	-	-	950,000
99.9	Total new obligations	0	0	1,000,000

**System Preservation and Renewal  
Object Classification Schedule  
(in thousands of dollars)**

Account Number: 69-8320-4-7-401

<b>Line</b>	<b>Line Title</b>	<b>FY 2011 Actual</b>	<b>FY 2012 Enacted</b>	<b>FY 2013 Request</b>
	Direct Obligations:			
25.1	Advisory and assistance service	-	-	50,000
41.0	Grants, subsidies, and contributions	-	-	1,496,000
99.9	Total new obligations	0	0	1,546,000

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**Exhibit III-1**

**IMMEDIATE TRANSPORTATION INVESTMENTS  
Summary by Program Activity  
Appropriations, Obligation Limitations, and Exempt Obligations  
(\$000)**

Item	FY 2011 Actual	FY 2012 Estimate	FY 2013 Request	Change FY 2012—2013
<b>Immediate Transportation Investments</b>				
Network Development	-	4,000,000	-	(4,000,000)
System Preservation and Renewal	-	2,000,000	-	(2,000,000)
<b>TOTAL, IMMEDIATE TRANSPORTATION INVESTMENTS</b>	<b>0</b>	<b>6,000,000</b>	<b>0</b>	<b>(6,000,000)</b>
<b>Full-time Equivalentents</b>				
Direct Funded	-	-	-	-
Reimbursable, Allocated, Other	-	-	-	-
<b>TOTAL, FTE</b>	<b>0.0</b>	<b>0.0</b>	<b>0.0</b>	<b>0.0</b>

**Program and Performance Statement**

This account provides the immediate transportation investments in FY 2012 as requested by the President in the American Jobs Act. Of the total \$50 billion investment, \$4 billion would be for projects to improve the Nation's existing intercity passenger rail network and develop new high-speed rail corridors and \$2 billion would be for the repair, rehabilitation, and upgrade of Amtrak's assets and infrastructure, including rolling stock.

## **DETAILED JUSTIFICATION FOR IMMEDIATE TRANSPORTATION INVESTMENTS**

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### **What Is The Request And What Will We Get For The Funds?**

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This account provides the immediate transportation investments in FY 2012, as requested by the President in the American Jobs Act. Of the total \$50 billion investment, \$6 billion is for rail related projects. FRA would use the funds through its proposed National High Performance Rail System account structure for all passenger rail activities, which FRA describes in detail in the previous tab.

**Network Development** (\$4.0 billion) would fund projects to improve the Nation's existing intercity passenger rail network and develop new high-speed rail corridors. Grants made available under the section would have a 100 percent Federal share. The Secretary would be required to issue interim guidance to applicants detailing the application process and eligibility criteria, and not less than 85 percent of the funds awarded shall be for projects supporting the development of intercity or high-speed passenger rail corridors. More than 135 million Americans live in a community connected to a rail corridor that is currently receiving significant Federal capital investments.

*High-Speed Corridor Development (\$3.7 billion):* Approximately 70 percent to 85 percent of this funding will advance core express corridors; 10 percent to 25 percent will advance regional corridors; and 5 percent will advance emerging corridors. FRA will award these funds competitively as grants using the same eligibility described in the FY 2013 National High Performance Rail System tab. This funding level is based on DOT review of the need for planning, engineering, and environmental analyses; right-of-way acquisition; and design and construction activities for new and improved passenger rail corridors.

*Station Development (\$250 million):* This funding level will support development of several intermodal stations that ensure efficient connections between intercity passenger rail and transit, airports, and other transportation modes. FRA will award these funds competitively as grants using the eligibility described in the FY 2013 National High Performance Rail System tab. This funding level is based on DOT analysis of the station improvement and multi-modal connection needs associated with high-speed corridor development activities.

*U.S. Rail Equipment Development:* FRA does not expect to allocate funds to this program area.

*Capacity Building and Transition Assistance (\$50 million):* FRA will use these funds for

- Training and technical assistance to build capacity in the public and private sectors and to begin the process of establishing Regional Rail Development Authorities that will help advance complex, multi-state infrastructure projects and transcend institutional barriers that inhibit the efficient planning and development of regional and multi-state corridors.
- Robust oversight of the immediate transportation investment projects, using one percent of the high-speed corridor development, station development, and U.S. rail equipment development program areas. This level is consistent with other infrastructure programs.



**System Preservation and Renewal** (\$2 billion) would fund grants to Amtrak for repair, rehabilitation, and upgrade of its assets and infrastructure, including rolling stock.

*Public Asset Backlog Retirement (\$1.990 billion):* FRA will target these funds primarily to remedy years of underinvestment by addressing the backlog of state of good repair needs, with \$1 billion aimed at the infrastructure backlog on the Northeast Corridor. Amtrak has identified a \$5.5 billion backlog of maintenance needs on the Northeast Corridor, and thus this \$1 billion investment can address about 18 percent of these needs. These funds will not only contribute to state-of-good repair on the corridor, but will also result in real reliability and speed improvements for current travelers. FRA will allocate about \$700 million to help Amtrak-served passenger rail stations throughout the Nation comply with the Americans with Disabilities Act. This amount is equivalent to a substantial portion of Amtrak's Five-Year Financial Plan for this purpose. The remaining investment will support the replacement of aging corridor equipment.

*National Network Service (\$10 million):* FRA will use this amount, equal to 0.5 percent of the program funds, to support robust oversight of the immediate transportation investment projects.

*State of Good Repair and Recapitalization:* FRA does not expect to allocate funds to this program area.

## **Expected Investment Outcomes**

The outcome of the cumulative immediate transportation investments is that rail travel will become a more attractive transportation option that offers travelers shorter travel times, better reliability, and more frequent service. Increased rail ridership means fewer people driving on congested roads or flying from and to congested airports, reduced greenhouse gas emissions and fuel consumption, and other public benefits. Specifically, FRA expects that these investments, by building on previously appropriated passenger rail funding, will result in the following:

- **Corridor Development**
  - *Core Express:* Additional service upgrades to the 457-mile Northeast Corridor and additional progress toward Phase I of the California High-Speed Rail corridor (520 miles connecting San Francisco to Los Angeles). Other core express corridors in the Midwest, South-Central, and Southeast are currently in the planning stages and could use funds to support right-of-way acquisition, final design, and construction.
  - *Regional:* Upgrades of at least 650 miles of corridors to 110-miles-per-hour service, including Chicago-St. Louis, Chicago-Detroit, and New Haven-Springfield, with another 350 miles upgraded to 90-miles per hour or higher service (Charlotte-Raleigh, Seattle-Portland). Additional investments could include new corridors in the Mountain West and South-Central regions.
  - *Emerging:* Development of one additional 100-mile to 200-mile long corridor.

- At least **10 stations will be upgraded** to enhance the passenger experience, address structural issues, and improve train operations.
- Activities to **reduce the \$5.5 billion infrastructure maintenance backlog on the Northeast Corridor** will be accelerated, leading to substantial service improvements on the Nation's most vital passenger rail corridor.
- Acceleration of **ADA compliance** at Amtrak-served stations to ensure greater accessibility of the nation's passenger rail network.
- Replacement of aging and obsolete corridor equipment with **American-built, next-generation locomotives and rail cars** that are more reliable and comfortable.

**DEPARTMENT OF TRANSPORTATION  
FEDERAL RAILROAD ADMINISTRATION**

**RAILROAD RESEARCH AND DEVELOPMENT  
APPROPRIATIONS LANGUAGE**

**RAILROAD RESEARCH AND DEVELOPMENT**

For necessary expenses for railroad research and development,  
**【\$35,000,000】***\$35,500,000*, to remain available until expended.

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**Exhibit III-1**

**RAILROAD RESEARCH AND DEVELOPMENT  
Summary by Program Activity  
Appropriations, Obligation Limitations, and Exempt Obligations  
(\$000)**

Item	FY 2011 Actual	FY 2012 Enacted	FY 2013 Request	Change FY 2012—2013
<b>Track Research Program</b>				
Track and Structures	5,076	5,075	5,010	(65)
Track and Train Interaction	3,353	3,353	3,418	65
R&D Facilities and Test Equipment	2,375	2,345	2,251	(94)
Sustainability Improvements	-	-	500	500
<b>Rolling Stock Program</b>				
Rolling Stock Components	2,794	2,794	2,796	2
Hazardous Materials Transportation	1,443	1,444	1,496	52
Train Occupant Protection	4,284	4,284	4,030	(254)
<b>Train Control and Communication</b>				
Train Control	7,330	7,330	6,473	(857)
Grade Crossing	1,956	1,956	1,613	(343)
<b>Human Factors Program</b>	3,045	3,045	3,542	497
<b>Railroad Systems Issues</b>				
System Research	3,374	3,374	3,471	97
Program Oversight	-	-	400	400
<b>Railroad Cooperative Research Program</b>	-	-	500	500
<b>TOTAL</b>	<b>35,030</b>	<b>35,000</b>	<b>35,500</b>	<b>500</b>
<b>Full-Time Equivalents</b>				
Direct Funded	0.0	0.0	0.0	0.0
Reimbursable, Allocated, Other	0.0	0.0	0.0	0.0
<b>Total Full-Time Equivalents</b>	<b>0.0</b>	<b>0.0</b>	<b>0.0</b>	<b>0.0</b>

## **Program and Performance Statement**

Funding requested for the Railroad Research and Development program provides science and technology support for FRA's rail safety rulemaking and enforcement efforts. In addition to improving safety, the program makes significant contributions toward DOT's state of good repair, economic competitiveness, and environmental sustainability goals. The program focuses on the following areas of research:

*Track and Structures Research* aims at reducing derailments due to track related causes.

*Rolling Stock Research* is to reduce derailments caused by equipment failures and to reduce the consequences of derailments should they occur.

*Train Control and Communications Research* is to reduce train collisions by facilitating the implementation of positive train control and to reduce highway-rail grade crossing and trespass accidents.

*Human Factors Research* is to reduce accidents caused by human error.

*Railroad System Issues* studies include the prioritization of research and development projects and addressing Department goals other than safety.

*Rail Cooperative Research Program* is to engage railroads, states, technology providers, and university researchers in the research and development program.

**Exhibit III-1a**

**RAILROAD RESEARCH AND DEVELOPMENT  
Summary Analysis of Change from FY 2012 to FY 2013  
Appropriations, Obligation Limitations, and Exempt Obligations**

Item	Change from FY 2012 to FY 2013	
	\$000	FTE
<b>FY 2012 ENACTED</b>	<b>35,000</b>	<b>0.0</b>
<b>ADJUSTMENTS TO BASE</b>		
Annualization of FY 2012 FTE	-	-
Annualization of FY 2012 Comparability Pay Increase (0.0%)	-	-
FY 2013 Comparability Pay Increase (0.5%)	-	-
Non-Pay Inflation (0.5%)	-	-
GSA Rent	-	-
Working Capital Fund	-	-
<b>SUBTOTAL, BASELINE CHANGES</b>	<b>0</b>	<b>0.0</b>
<b>NEW OR EXPANDED PROGRAMS</b>		
<b>Track Research Program</b>	<b>406</b>	<b>0.0</b>
Track and Structures	(65)	-
Track and Train Interaction	65	-
R&D Facilities and Test Equipment	(94)	-
Sustainability Improvements	500	-
<b>Rolling Stock Program</b>	<b>(200)</b>	<b>0.0</b>
Rolling Stock Components	2	-
Hazardous Materials Transportation	52	-
Train Occupant Protection	(254)	-
<b>Train Control and Communication</b>	<b>(1,200)</b>	<b>0.0</b>
Train Control	(857)	-
Grade Crossing	(343)	-
<b>Human Factors Program</b>	<b>497</b>	<b>0.0</b>
<b>Railroad Systems Issues</b>	<b>497</b>	<b>0.0</b>
System Research	97	-
Program Oversight	400	-
<b>Railroad Cooperative Research Program</b>	<b>500</b>	<b>0.0</b>
<b>SUBTOTAL, PROGRAM CHANGES</b>	<b>500</b>	<b>0.0</b>
<b>TOTAL FY 2013 REQUEST</b>	<b>35,500</b>	<b>0.0</b>

**Exhibit III-2**  
**ANNUAL PERFORMANCE RESULTS AND TARGETS**

**FEDERAL RAILROAD ADMINISTRATION**

The Federal Railroad Administration (FRA) integrates performance results into its budget request to demonstrate alignment with the Department of Transportation’s strategic plan and to measure performance.

**DOT Strategic Goal: Safety** — Improve Public Health and Safety by Reducing Transportation-Related Fatalities and Injuries

<b>Outcome:</b> Reduce rail-related accidents and incidents.					
<b>Measure:</b> Rail-related accidents and incidents per million train-miles.					
	<b>2009</b>	<b>2010</b>	<b>2011</b>	<b>2012</b>	<b>2013</b>
Target	17.00	16.40	16.40	16.30	16.30
Actual	16.75	16.45	15.40*	---	---

\* FY 2011 actuals are based on 12 months of preliminary data, as of January 11, 2012, and are provided for transparency of reporting to date; but might differ significantly from the full-year data due to reporting submission requirements. Official data will be published in FRA’s annual rail safety statistics report.

FRA’s R&D program focuses on safety improvements; it provides the scientific and technical basis for safety rulemaking that reduces the number and rate of railroad accidents and incidents in the medium and long-term. Examples of recent successful R&D include **crashworthiness research** that improved passenger car safety; **vehicle-track interaction analysis** that led to revised track safety standards and vehicle qualification; development of a **freight train braking algorithm** that will enable achievement of positive train control safety benefits without adversely affecting operations; and several **safety culture improvement pilot programs** that reduced the number of human factors caused accidents and incidents.

Moreover, the effectiveness of this R&D program can be measured by the railroad industry’s adoption of FRA-developed science and technologies. Examples of FRA R&D technologies the railroad industry adopted include gage restraint measurement systems, vehicle and track interaction monitors, portable track loading fixtures, portable ride quality meters, and vision-based joint bar inspection systems. FRA is exploring options to measure adoption of FRA-developed science and technologies as an indicator of program effectiveness.

**State of Good Repair:** The number of track defects per mile is one measure of the rail network’s state of repair. FRA plans to investigate ways to use data from its automated track inspection program as a performance measure for track geometry maintenance.



**Environmental Sustainability:** R&D on alternative fuels and locomotive efficiency will lead to lower greenhouse gas emissions and improved environmental sustainability. In the early stages of this work, FRA will measure performance will by successful achievement of:

- Determination of a premium biodiesel blend fuel for locomotive engines that is acceptable to the Environmental Protection Agency, engine manufacturers, and railroads; and
- Prototype testing of a reduced emission system on a switch engine locomotive in the rail yard to achieve Tier 3 and 4 emissions standards.

## DETAILED JUSTIFICATION FOR RAILROAD RESEARCH AND DEVELOPMENT

### What Is The Request And What Will We Get For The Funds?

#### FY 2013 - Railroad Research and Development - Budget Request (\$000)

Item	FY 2011 Actual	FY 2012 Enacted	FY 2013 Request	Difference from FY 2012 Enacted
<b>Track Research Program</b>				
Track and Structure	5,076	5,075	5,010	(65)
Track and Train Interaction	3,353	3,353	3,418	65
R&D Facilities and Test Equipment	2,375	2,345	2,251	(94)
Sustainability Improvements	-	-	500	500
<b>Subtotal, Track Research Program</b>	<b>10,804</b>	<b>10,773</b>	<b>11,179</b>	<b>406</b>
<b>Rolling Stock Program</b>				
Rolling Stock Components	2,794	2,794	2,796	2
Hazardous Materials Transportation	1,443	1,444	1,496	52
Train Occupant Protection	4,284	4,284	4,030	(254)
<b>Subtotal, Rolling Stock Program</b>	<b>8,521</b>	<b>8,522</b>	<b>8,322</b>	<b>(200)</b>
<b>Train Control and Communication</b>				
Train Control	7,330	7,330	6,473	(857)
Grade Crossing	1,956	1,956	1,613	(343)
<b>Subtotal, Train Control and Communication</b>	<b>9,286</b>	<b>9,286</b>	<b>8,086</b>	<b>(1,200)</b>
<b>Human Factors Program</b>	<b>3,045</b>	<b>3,045</b>	<b>3,542</b>	<b>497</b>
<b>Railroad Systems Issues</b>				
System Research	3,374	3,374	3,471	97
Program Oversight	-	-	400	400
<b>Subtotal, Railroad Systems Issues</b>	<b>3,374</b>	<b>3,374</b>	<b>3,871</b>	<b>497</b>
<b>Railroad Cooperative Research Program</b>	<b>0</b>	<b>0</b>	<b>500</b>	<b>500</b>
<b>TOTAL, RESEARCH AND DEVELOPMENT</b>	<b>35,030</b>	<b>35,000</b>	<b>35,500</b>	<b>500</b>

In FY 2013, FRA requests \$35.5 million for the R&D program; this amount is \$0.5 million higher than the FY 2012 enacted amount. The additional funds are requested for building sustainability improvements, as required under Executive Orders 13423 and 13514.

## **What Is This Program?**

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The following program areas and research activities comprise FRA's R&D program.

- |                                 |   |
|---------------------------------|---|
| Track Research                  | <ul style="list-style-type: none"><li>• Track and Structure: Track and structure inspection techniques, material and component reliability, design and performance, and track stability.</li><li>• Track and Train Interaction: Derailment mechanisms and vehicle-track performance.</li><li>• R&amp;D facilities and test equipment: Supports the Transportation Technology Center and the FRA's two track research instrumentation.</li><li>• Sustainability improvements.</li></ul>                                |
| Rolling Stock                   | <ul style="list-style-type: none"><li>• Rolling Stock Components: Onboard and wayside monitoring systems and material and design improvements to address equipment-related risks.</li><li>• Hazardous Materials Transportation: Hazmat transportation safety, damage assessment and inspection, and tank car integrity.</li><li>• Train Occupant Protection: Locomotive and passenger car safety and performance.</li></ul>   |
| Train Control and Communication | <ul style="list-style-type: none"><li>• Train Control: Testing train control and communication systems.</li><li>• Grade Crossing: Grade crossing human factors and infrastructure researches.</li></ul>   |
| Human Factors                   | <ul style="list-style-type: none"><li>• Evaluates risks due to human factors-related failures to identify, develop, and support the introduction of solutions.</li></ul>  |
| Railroad System Issues          | <ul style="list-style-type: none"><li>• System Research: Railroad system safety, performance-based regulations, railroad infrastructure security, railroad environmental issues, and locomotive efficiency researches.</li><li>• Program Oversight: Supports the independent review of the program (currently performed by the Transportation Research Board) and for contractor review, witnessing of tests at contractor facilities, and transportation of government-furnished equipment to contractors.</li></ul> |
| Railroad Cooperative Research   | <ul style="list-style-type: none"><li>• Enables railroads, states, technology providers, and university researchers to provide expertise on rail safety issues to FRA.</li><li>• Strengthens and broadens the academic and industrial railroad technical communities.</li></ul>   |

### **Anticipated FY 2012 Accomplishments:**

The following are anticipated FY 2012 accomplishments from the R&D program.

**Track Research:** Autonomous Track Geometry Measurement System (ATGMS) will be installed on an Office of Railroad Safety inspection car for long-distance data analysis as part of an Amtrak assessment. This research effort is an essential step towards implementing

autonomous technology in a safety enforcement role by the Office of Railroad Safety. Concurrently, ATGMS technology will be developed to permit installation of the system on car bodies instead of truck assemblies.

**Rolling Stock Research:** The Wayside Pilot Demonstration project will explore the potential of advanced wayside technology systems to enhance the safety inspection process. The project will also solicit guidance from the Rail Safety Board to ensure that sufficient testing is conducted to enable them to make objective decisions on waiver applications.

**Train Control and Communications Research:** Phase 4 development of the Employee-in-Charge Portable Terminal as a safety-critical device for the roadway workers to protect their work zones from train intrusion in a PTC operating environment will be completed.

**Human Factors Research:** The Confidential Close Call Reporting System and Behavior-based Safety Programs, which have been successfully demonstrated to improve safety in pilot projects involving Labor and Management on several railroads, will be expanded to include other railroads.

**Railroad Systems Issues:** Revenue service demonstration/evaluations of bio-diesel will be completed and a cooperative effort with the Department of Energy to identify and evaluate opportunities for improving energy efficiency will be launched.

**Railroad Cooperative Research Program:** The executive panel for this program was appointed in FY 2011. Anticipated FY 2012 accomplishments include the prioritization of research ideas that have already been submitted, and the funding of high-priority projects.

### **Why Is This Particular Program Necessary?**

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The activities of the R&D program are essential to achieving DOT's highest priority goal of safety. It also makes significant contributions towards the other goals of state of good repair, environmental sustainability, economic competitiveness, and livable communities. The R&D program is vital to the Office of Railroad Safety in supporting efforts to ensure the safe operation of an expanded intercity passenger rail service on infrastructure shared with freight railroads. The R&D Program also supports five of FRA's GPRA goals in the following ways:

#### **1. Reducing the grade crossing incident rate**

The Train Control R&D activity is necessary for achieving the mandated nationwide deployment of positive train control (PTC) systems. PTC will prevent train-to-train collisions, over-speed derailments, worker injuries from train incursion in the work zones, and incidents from wrong track switch position. This activity is a cooperative effort between FRA, Class I railroads, the Association of American Railroads, and other interested parties. Through this cooperative effort, which includes technology exchanges and field-testing on the railroads, the framework for system integration and interoperability is being developed. This group will focus on braking distance prediction for trains, communication throughput and robustness, and interoperability of PTC systems. One of its key elements is the use of FRA's PTC test bed at the Transportation Technology Center (TTC) to ensure the proper

functioning and reliability of the new technology and products. Without this effort, safety and operating efficiency for freight and passenger railroads will be less than intended.

The Grade Crossing and Trespass Prevention activity focuses on advancing safety technologies, education, and outreach to reduce accidents and fatalities at grade crossings. Grade crossings present a major hazard to motor vehicle drivers and pedestrians, and are the second greatest cause of fatalities and injuries in the railroad industry. Ongoing projects include the evaluation of acoustic warnings, causal analysis of driver behavior, and development of a grade crossing data-collection device. Without this program, grade crossings would continue to pose a major risk to the public and the railroads.

## **2. Reducing the human factors-caused train accident rate**

The Human Factors research activity focuses on areas where individuals can affect the safe performance of rail operations. Human errors now account for over a third of all accidents. This activity focuses on fatigue, distraction, and ergonomics, and benefits all those affected by railroad safety risks, including passengers, railroad employees, and members of the public. It aims to improve safety culture in railroad organizations. With the introduction of new technologies, such as PTC and Electronically Controlled Pneumatic Brakes, and the expansion of high-speed rail, emphasis on human factors R&D is essential to prevent growth in human factors-caused accident rates. Without the necessary funding, FRA would be less able to help improve human factor-related safety in the railroad industry.

## **3. Reducing the track-caused train accident rate**

The Track research activity benefits rail passengers and railroad neighbors by reducing the number of derailments. This activity develops track inspection technologies that detect defects before they become failures in service. Currently, all Class I freight railroads use technologies developed under the Track Research activity to locate high-risk track defects. In addition to reducing derailments, this improves the economic competitiveness of the railroads by reducing train delays. As train speeds and density increase, smaller defects will need to be detected at higher speeds. FRA funding provides the stimulus to ensure this improved capability is available to the industry when required. FRA-owned facilities provide the infrastructure necessary to conduct experiments and test theories, concepts, and new technologies in support of the R&D program. Without these facilities, much of this experimentation and testing would need to be done in revenue service, with the consequent safety and operational risks. Measurements of in service train performance and computer modeling are used to understand vehicle-track interaction. This knowledge is used to improve rules and regulations for track safety and equipment qualification. Without this research, FRA's regulations would be based on trial and error, and would likely be overly prescriptive.

## **4. Reducing the equipment-caused train accident rate**

The Rolling Stock research activity focuses on safety improvements to locomotives, rail cars, and components. It benefits rail passengers and railroad neighbors by reducing the number of derailments due to equipment component failures and reducing consequences when accidents occur. Automated inspection of rolling stock and equipment will be playing a broader and more significant role in safety assurance in the future. Research into tank car

integrity is necessary to reduce the consequences of derailments, in particular those involving hazardous materials. It leads to improved regulations for hazardous material transportation. Without this activity, the industry is unlikely to adopt these desirable safety improvements, or is likely to take longer to do so.

Train occupant protection research improves the safety of the train crew and passengers. This is necessary to reduce the consequences of train collisions, derailments, and fires. The work involves full-scale testing and computer modeling of derailment and collision scenarios. The results are used to improve FRA's safety regulations and policies. Without this research, the benefits of modern, safer designs of rail cars would not be available to U.S. operators.

The rolling stock activity also supports the specification, procurement, and manufacture of the next generation of passenger cars. Through requirements specification and standardization efforts, this will result in the safe introduction of new equipment and will improve the economic competitiveness of the domestic manufacturing industry.

#### **5. Reducing the other (signal and miscellaneous) train accident rate**

The Train Control and Communication research activity benefits train crew and rail passengers by reducing the likelihood of train collisions. It also benefits members of the public wanting to cross the railroad.

**Railroad System Issues:** While the activities described above focus on types of rail issues, this activity considers the railroad system as a whole to ensure that FRA's R&D and other programs address the highest safety risks. FRA is developing a process that will enable the safe introduction of new railroad technology and practices. Without this effort, new technology would take longer to be adopted, resulting in loss of economic competitiveness for the railroads.

This activity also funds R&D into alternative fuels and locomotive efficiency. The benefits from this research contribute to DOT's environmental sustainability goal.

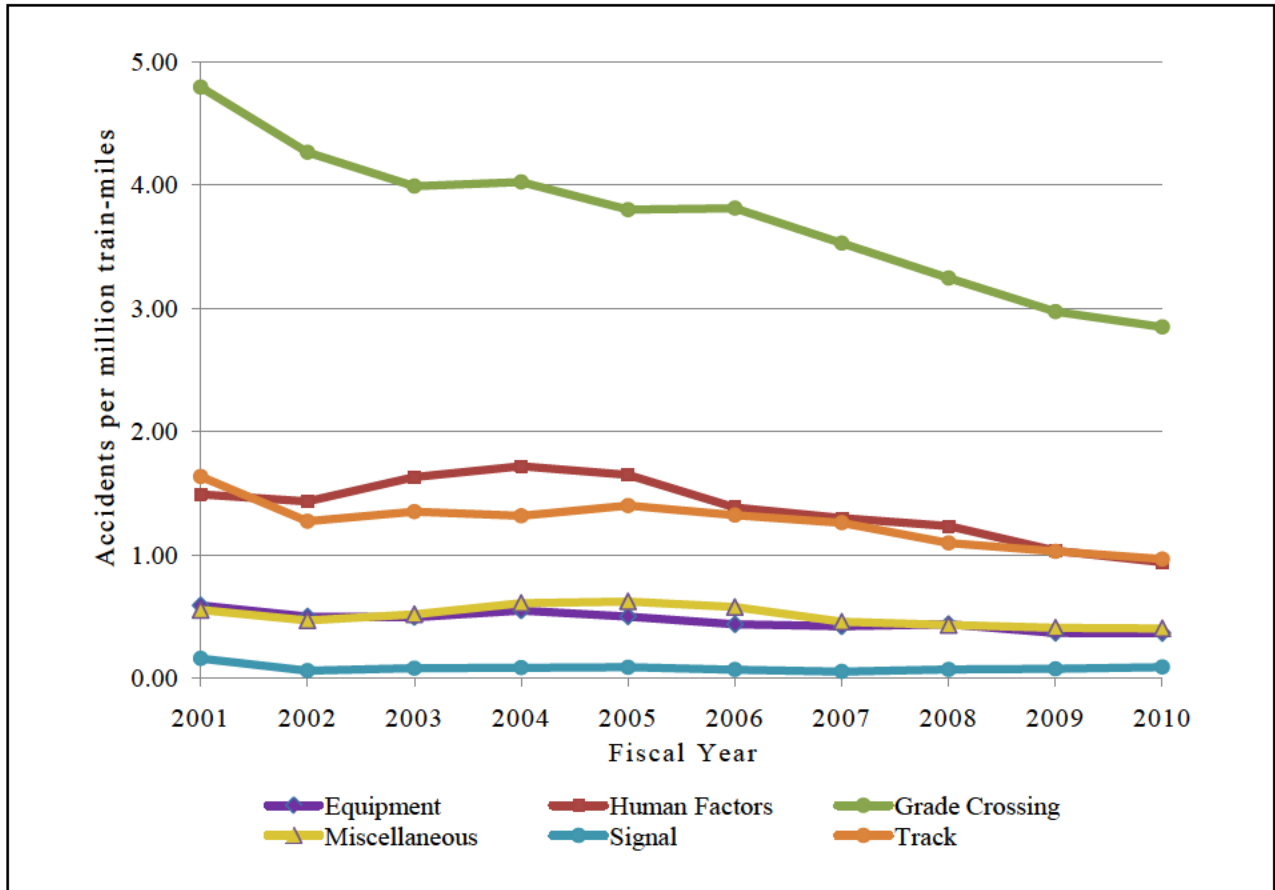
Program oversight provides for independent evaluation—a government-wide requirement—of FRA's R&D program and management of contractors, providing valuable external perspectives. Moreover, this activity facilitates FRA's oversight of R&D tests and performance, much of which is performed by contractors.

**Railroad Cooperative Research Program:** This activity is essential to capturing stakeholder input to FRA's R&D program. Stakeholders include railroads, states, technology partners, and university researchers. It strengthens academic railroad communities and contributes to workforce development.

## How Do You Know The Program Works?

FRA's R&D program results in long-term benefits. The work that began five to ten years ago contributes to today's safety improvements. The following chart shows recent safety improvements that can be attributed, in part, to previous R&D activities.

Accident Rates by Cause Group, 2001 to 2010



Source: FRA safety data.

Specific contributions to safety improvements from the R&D program are as follows:

**Track Research:** Between 2004 and 2010, track-related train accidents have decreased 33 percent. This reduction is due, in part, to the railroads' adoption of technologies developed by the Track Research activity, such as:

- Gage Restraint Measurement System (GRMS), which is a technology used to assess the integrity of ties and fasteners;
- Vehicle-Track Interaction (VTI) monitoring system developed for Amtrak and all Class I freight railroads; and
- Joint Bar Inspection System, which is an image-based inspection technology that detects defects in joint bars effectively and efficiently

In addition, this activity has led to refinements in FRA's safety regulations that have contributed to reduced derailments.

**Rolling Stock Research:** The number of accidents due to equipment causes has decreased by 40 percent from 2004 to 2010. This has been due, in part, to previous research resulting in new Federal safety regulations and policies for conventional rail, high-speed rail, and hazardous materials transportation.

Research into hazardous materials transportation provides an example of the effectiveness of this activity. Research conducted between 1970 and 1980 into tank car head shields and couplers resulted in 36 technical reports being published and three new FRA rules being finalized. In the decades since, there has been a considerable reduction in tank cars being punctured during derailments.

Full-scale testing and computer modeling have led to improvements in crashworthiness of passenger equipment. Through the Railroad Safety Advisory Committee, this has resulted in a process for evaluating the suitability of equipment designed to alternative standards to be operated in the U.S. A notable success was achieved in 2010 when a passenger car was supplied to the state of California that implemented crash energy management in its design.

**Train Control, and Communication Research:** Between 2004 and 2010, signal-related train accidents declined by only 3 percent, prompting, in part, the mandate to install positive train control systems on certain routes by December 31, 2015.

The Train Control and Communications activity has been developing positive train control - related technologies for several years to help ensure the positive train control implementation deadline is achieved. Notable successes to date include:

- The creation of an adaptive braking enforcement algorithm to ensure freight trains stop at red signals without impacting operational performance. This algorithm has been successfully tested at the TTC.
- Providing wireless devices to employees in charge to ensure roadway worker protection in work sites.
- The development of interoperability standards in collaboration with the railroad industry.

With these developments, the railroads were able to implement positive train control systems, such as Amtrak's Incremental Train Control System in Michigan and BNSF Railway's Electronic Train Management System in Illinois and Texas. Other railroads have adopted the technologies in their pilot positive train control systems.

Accidents at grade crossings have reduced by 36 percent from 2004 to 2010. Research activities that have contributed to this reduction include the following:

- The success factors in highway-rail grade crossing incident reduction were analyzed and investigated using various qualitative and quantitative methods. Ten factors were identified as having the most significant influences on safety. Those to which the R&D program had contributed were Commercial Driver Safety, Locomotive Conspicuity,



Crossing Closure and Grade Separation, Sight Line Clearance, Warning Device Upgrades, and Operation Lifesaver.

- The North Carolina Sealed Corridor is the section of the designated Southeast High Speed Rail (SEHSR) Corridor that runs through North Carolina. The Sealed Corridor program goal was to improve or consolidate every highway-rail grade crossing, both public and private, along the Charlotte-to-Raleigh corridor. Seventeen lives were estimated to have been saved between March 1995 and September 2004 due to improved warning devices or closures at 189 crossings on the sealed corridor.
- A study was made of the effectiveness of a four-quadrant gate and an obstruction detection system at the School Street crossing in Groton, Connecticut. The results from four-quadrant showed the same effectiveness as closing the crossing, but without incurring the economic and societal costs.

**Human Factors Research:** There has been a 50 percent reduction in human factors-caused accidents from 2004 to 2010. Human-factors R&D has made a significant contribution to this reduction. Behavioral and work environment R&D has produced pilot programs that are enabling the railroads and rail labor to work together to identify ways to solve this problem area. Because of these successful pilots, other railroads and industry sectors are embracing the lessons learned and adopting many of the new procedures to further improve safety. The following table shows results from several safety culture improvement pilots.

**Effectiveness of Safety Culture Improvement Pilot Programs**

Program	Railroad Department	Outcomes
Confidential Close Call Reporting System (C3RS)	Road and yard operations	90% drop in disciplinary cases 51% drop in excess speed reports 31% decrease in derailments
Employee Alliance for Greater Levels of Excellence in Safety (EAGLES)	Station services (High supervision)	80% drop in injury rates 76% drop in reportable injuries
Correcting At-risk Behavior (CAB)	Road (Low supervision)	72% drop in locomotive engineer decertification rates 69% drop in human factors derailment rates
Safety Through Employees Exercising Leadership (STEEL)	Switching (Moderate supervision)	62% drop in yard derailment rates
Participative Safety Rules Revision	All operating departments	51% reduction in reportable injuries Drop in liability claims
Investigation of Safety Related Occurrences Protocol (ISROP)	Mechanical	50% drop in injury rates (all injuries)

Source: FRA analysis.

Fatigue continues to be an area of concern, necessitating further research. Split shifts for commuter service crews, irregular shifts for extra board crews and lack of effective guidance and enforcement for rest requirements are areas that need further assessment and are very likely to require either rule changes or voluntary changes in industry recommended practices to avoid likelihood of fatigue-related accidents. Previous human factors fatigue research provided a

scientific basis for FRA's proposed commuter and intercity passenger rail hours of service rule, as required by the Rail Safety Improvement Act of 2008.

**Rail Systems Issues:** The Transportation Research Board's latest letter report of FRA's R&D program, the tenth annual report, continues to be positive about the program.<sup>8</sup> Since 2011, the intention has been to include performance measures in the report.

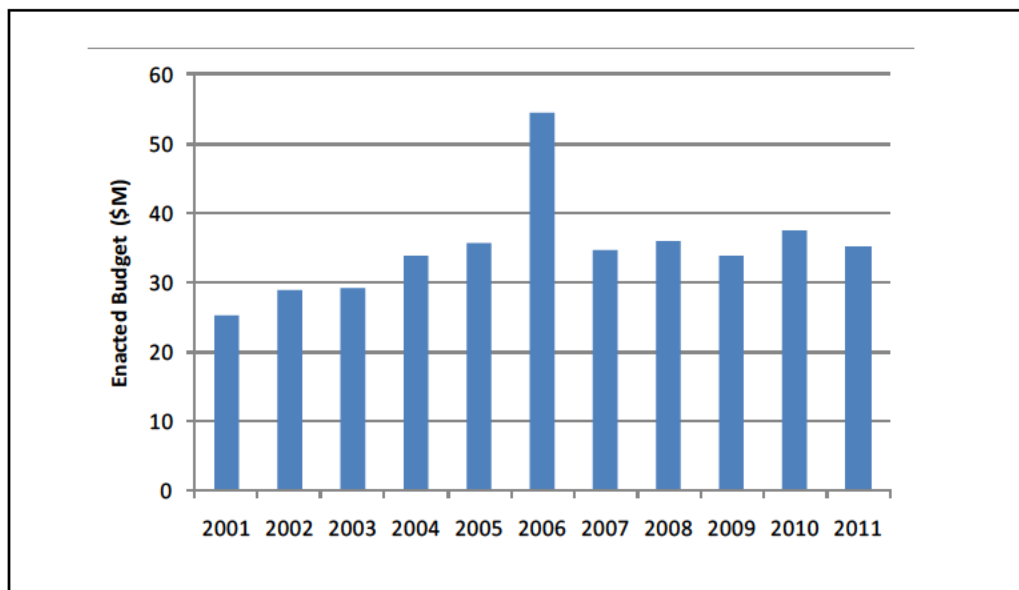
**Railroad Cooperative Research Program:** This new activity is expected to be as successful as similar programs managed by the Transportation Research Board. These programs include the Transit Cooperative Research Program and the National Cooperative Highway Research Program.

### **Why Do We Need To Fund The Program At The Requested Level?**

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In general, reducing or increasing FRA's R&D budget would slow down or speed up safety improvements, respectively. In recent years, about 700 people (including 440 trespassers) were killed each year and 1,400 were injured from railroad-related causes. Continued R&D efforts at the requested levels would help reduce these numbers. The following chart shows the ten-year funding history for FRA's core R&D program. The values do not include the effects of inflation.

**Enacted FRA Research and Development Budgets, Fiscal Years 2001 to 2011**



Note: The FY 2006 enacted R&D budget included \$7 million for Corridor Development.

In FY 2013, FRA requests \$35.5 million for the Railroad Research and Development appropriation. The request is \$0.5 million increase from the FY 2012 enacted level. Moreover,

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<sup>8</sup> Available at [www.trb.org/Main/Blurbs/Review\\_of\\_the\\_Federal\\_Railroad\\_Administration\\_Rese\\_163030.aspx](http://www.trb.org/Main/Blurbs/Review_of_the_Federal_Railroad_Administration_Rese_163030.aspx)

funds have been transferred from each activity to provide \$400,000 for the program oversight activity.

In FY 2013, FRA requests \$0.5 million within the Track Research Program for sustainability and environmental improvements to FRA's test facilities.

***Sustainability Improvements: .....\$0.5 million***

The FY 2013 request is part of a multi-year sustainability improvement program with an estimated total cost of \$4 million. FRA needs this funding to achieve the goals stemming from recent executive orders<sup>9</sup> that require DOT to implement High Performance Sustainable Buildings (HPSB) standards that comply with established parameters for integrated design, energy performance, water conservation, indoor environmental quality, and building materials.<sup>10</sup> The executive orders mandate that agencies incorporate the parameters by 2015 into 15 percent of their existing inventory of occupied buildings,<sup>11</sup> and demonstrate annual progress thereafter toward 100 percent conformance. Major buildings at TTC include offices, training classrooms, and laboratories, many of which are over 30 years old.

FRA engaged an architectural/engineering design firm with accredited professionals to perform a site building audit. The audit ranked refurbishment retrofit projects, social interaction programs, and operational actions that would improve the buildings to obtain Leadership in Energy and Environmental Design (LEED) Silver certification. Proposed building refurbishment projects require design and engineering to select equipment and materials and to estimate the cost to implement. Building improvements will be made depending on the availability of funds.

***Program Oversight: .....[\$0.4 million]***

This new program activity realigns funds from the other program activities within the R&D appropriation and will fund independent evaluation of FRA's R&D program and management of contractors. This activity does not increase FRA's total R&D request.

This oversight activity helps FRA determine the R&D program's strategic direction by providing an external perspective of prioritizing research topics and improving program management. An appointed panel of the Transportation Research Board (TRB) panel annually evaluates FRA's R&D program.

Contractors, including universities throughout the Nation and research organizations in Colorado, Massachusetts, and Virginia, conduct almost all of FRA's R&D projects. While Office of R&D staff rely on telephone and video conference for day-to-day project management, they need to travel periodically for program reviews and observing tests. This travel ensures the success of the R&D program.

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<sup>9</sup> Executive Orders 13423, *Strengthening Federal Environmental, Energy, and Transportation Management*, January 24, 2007, and 13514, *Federal Leadership in Environmental, Energy, and Economic Performance*, October 5, 2009.

<sup>10</sup> *Guide Principles for Federal Leadership in High Performance and Sustainable Buildings* (Guide Principles) set forth in the *Memorandum of Understanding for Federal Leadership in High Performance and Sustainable Building*, 2006.

<sup>11</sup> Greater than 5,000 square feet.

**FEDERAL RAILROAD ADMINISTRATION  
RAILROAD RESEARCH AND DEVELOPMENT**

**Program and Financing Schedule**  
(in thousands of dollars)

Account Number: 69-0745-0-1-401

Line	Line Title	FY 2011 Actual	FY 2012 Enacted	FY 2013 Request
<b>Obligations by program activity:</b>				
0001	Railroad System Issues	3,247	4,314	3,471
0002	Human Factors	2,790	3,446	3,542
0003	Rolling Stock and Components	3,592	3,082	2,796
0004	Track and Structures	5,536	5,136	5,010
0005	Tack and Train Interaction	2,285	5,369	3,418
0006	Train Control	5,547	12,125	6,473
0007	Grade Crossings	1,619	5,483	1,613
0008	Hazardous Materials	1,609	1,694	1,496
0009	Train Occupant Protection	4,073	5,042	4,030
0010	R&D Facilities and Test Equipment	2,453	2,999	2,751
0011	Ohio HUB Cleveland-Columbus Rail Corridors	-	475	-
0015	Railroad Cooperative Research Program	-	-	500
0016	Program Oversight	-	-	400
<b>0100</b>	<b>Total direct program</b>	<b>32,751</b>	<b>49,165</b>	<b>35,500</b>
0799	Total direct obligations	32,751	49,165	35,500
0801	Reimbursable services	425	750	750
<b>0900</b>	<b>Total new obligations</b>	<b>33,176</b>	<b>49,915</b>	<b>36,250</b>
Budgetary Resources:				
Unobligated balance:				
1000	Unobligated balance brought forward, Oct 1	8,875	14,165	-
1021	Recoveries of prior year unpaid obligations	3,011	-	-
<b>1050</b>	<b>Unobligated balance (total)</b>	<b>11,886</b>	<b>14,165</b>	<b>0</b>
Budget authority:				
Appropriations, discretionary:				
1100	Appropriation	35,100	35,000	35,500
1130	Appropriations permanently reduced	-70	-	-
<b>1160</b>	<b>Appropriation, disc (total)</b>	<b>35,030</b>	<b>35,000</b>	<b>35,500</b>

**FEDERAL RAILROAD ADMINISTRATION  
RAILROAD RESEARCH AND DEVELOPMENT**

**Program and Financing Schedule (cont'd)**  
(in thousands of dollars)

Account Number: 69-0745-0-1-401

Line	Line Title	FY 2011 Actual	FY 2012 Enacted	FY 2013 Request
	Spending authority from offsetting collections, discretionary:			
1700	Collected	1,502	750	750
1701	Change in uncollected payments, Federal sources	-1,077	-	-
<b>1750</b>	<b>Spending auth from offsetting collections, disc (total)</b>	<b>425</b>	<b>750</b>	<b>750</b>
<b>1900</b>	<b>Budget authority (total)</b>	<b>35,455</b>	<b>35,750</b>	<b>36,250</b>
<b>1930</b>	<b>Total budgetary resources available</b>	<b>47,341</b>	<b>49,915</b>	<b>36,250</b>
	Memorandum (non-add) entries:			
1941	Unexpired unobligated balance, end of year	14,165	-	-
	Change in obligated balance:			
	Obligated balance, start of year (net):			
3000	Unpaid obligations, brought forward, Oct 1 (gross)	50,245	51,465	67,093
3010	Uncollected pymts, Fed sources, brought forward, Oct 1	-1,852	-775	-775
3020	Obligated balance, start of year (net)	48,393	50,690	66,318
3030	Obligations incurred, unexpired accounts	33,176	49,915	36,250
3040	Outlays (gross)	-28,945	-33,512	-39,111
3050	Change in uncollected pymts, Fed sources, unexpired	1,077	-	-
3080	Recoveries of prior year unpaid obligations, unexpired	-3,011	-	-
3090	Unpaid obligations, end of year (gross)	51,465	67,868	63,458
3091	Uncollected pymts, Fed sources, end of year	-775	-775	-775
<b>3100</b>	<b>Obligated balance, end of year (net)</b>	<b>50,690</b>	<b>67,093</b>	<b>63,458</b>
	Budget authority and outlays, net:			
	Discretionary:			
4000	Budget authority, gross	35,455	35,750	36,250
	Outlays, gross:			
4010	Outlays from new discretionary authority	5,829	10,725	10,875
4011	Outlays from discretionary balances	23,116	22,787	28,236
<b>4020</b>	<b>Outlays, gross (total)</b>	<b>28,945</b>	<b>33,512</b>	<b>39,111</b>

**FEDERAL RAILROAD ADMINISTRATION  
RAILROAD RESEARCH AND DEVELOPMENT**

**Program and Financing Schedule (cont'd)**  
(in thousands of dollars)

Account Number: 69-0745-0-1-401

Line	Line Title	FY 2011 Actual	FY 2012 Enacted	FY 2013 Request
	Offsets against gross budget authority and outlays:			
	Offsetting collections (collected) from:			
4030	Federal sources	-1,502	-750	-750
	Additional offsets against gross budget authority only:			
4050	Change in uncollected pymts, Fed sources, unexpired	1,077	-	-
<b>4070</b>	<b>Budget authority, net (discretionary)</b>	<b>35,030</b>	<b>35,000</b>	<b>35,500</b>
<b>4080</b>	<b>Outlays, net (discretionary)</b>	<b>27,443</b>	<b>32,762</b>	<b>38,361</b>
<b>4180</b>	<b>Budget authority, net (total)</b>	<b>35,030</b>	<b>35,000</b>	<b>35,500</b>
<b>4190</b>	<b>Outlays, net (total)</b>	<b>27,443</b>	<b>32,762</b>	<b>38,361</b>

**Object Classification Schedule**  
(in thousands of dollars)

Account Number: 69-0745-0-1-401

Line	Line Title	FY 2011 Actual	FY 2012 Enacted	FY 2013 Request
	Direct Obligations:			
25.3	Other purchases of goods and services from Government	7,020	4,000	4,000
25.4	Operation and maintenance of facilities	1,010	3,089	4,000
25.5	Research and development contracts	19,832	41,000	26,500
41.0	Grants, subsidies, and contributions	4,890	1,076	1,000
-	Subtotal, obligations, Direct obligations	32,752	49,165	35,500
	Reimbursable Obligations:			
25.3	Reimbursable Obligations: Other goods and services from Federal sources	425	750	750
-	Subtotal, Reimbursable obligations	425	750	750
<b>99.9</b>	<b>Total new obligations</b>	<b>33,177</b>	<b>49,915</b>	<b>36,250</b>

**DEPARTMENT OF TRANSPORTATION  
FEDERAL RAILROAD ADMINISTRATION**

**RAILROAD REHABILITATION AND IMPROVEMENT  
FINANCING PROGRAM  
APPROPRIATIONS LANGUAGE**

RAILROAD REHABILITATION AND IMPROVEMENT FINANCING PROGRAM

The Secretary of Transportation is authorized to issue ~~to the Secretary of the Treasury notes or other obligations~~ *direct loans and loan guarantees* pursuant to sections ~~512~~ *502 through 504* of the Railroad Revitalization and Regulatory Reform Act of 1976 (Public Law 94–210), as amended, ~~in such amounts and at such times as may be necessary to pay any amounts required pursuant to the guarantee of the principal amount of obligations under sections 511 through 513 of such Act,~~ such authority to exist as long as any such ~~guaranteed obligation~~ *direct loan and loan guarantee* is outstanding: *Provided*, That pursuant to section 502 of such Act, as amended, no new direct loans or loan guarantee commitments shall be made using Federal funds for the credit risk premium during fiscal year ~~2012~~*2013*.

**Explanation of Proposed Language Change:**

These technical amendments reference the correct sections of the *Railroad Revitalization and Regulatory Reform Act of 1976*, as amended. Section 7203 of the *Transportation Equity Act for the 21<sup>st</sup> Century* (P.L. 105-178) repealed sections 511, 512, and 513.

**FEDERAL RAILROAD ADMINISTRATION  
RAILROAD REHABILITATION AND IMPROVEMENT  
FINANCING PROGRAM**

**Program and Financing Schedule**  
(in thousands of dollars)

Account Number: 69-0750-0-1-401

Line	Line Title	FY 2011 Actual	FY 2012 Enacted	FY 2013 Request
	Obligations by program activity:			
	Credit program obligations:			
0705	Reestimates of direct loan subsidy	18,559	264	-
0706	Interest on reestimates of direct loan subsidy	5,183	16,641	-
0799	Total direct obligations	23,742	16,905	-
<b>0900</b>	<b>Total new obligations</b>	<b>23,742</b>	<b>16,905</b>	<b>0</b>
	Budgetary Resources:			
	Budget authority:			
	Appropriations, mandatory:			
1200	Appropriation	23,742	16,905	-
<b>1260</b>	<b>      Appropriation, mand (total)</b>	<b>23,742</b>	<b>16,905</b>	<b>0</b>
<b>1930</b>	<b>Total budgetary resources available</b>	<b>23,742</b>	<b>16,905</b>	<b>0</b>
	Change in obligated balance:			
	Obligated balance, start of year (net):			
3030	Obligations incurred, unexpired accounts	23,742	16,905	-
3040	Outlays (gross)	-23,742	-16,905	-
	Budget authority and outlays, net:			
	Mandatory:			
4090	Budget authority, gross	23,742	16,905	-
	Outlays, Gross			
4100	Outlays from new discretionary authority	23,742	16,905	-
4160	Budget authority, net (mandatory)	23,742	16,905	-
4170	Outlays, net (mandatory)	23,742	16,905	-
<b>4180</b>	<b>Budget authority, net (total)</b>	<b>23,742</b>	<b>16,905</b>	<b>0</b>
<b>4190</b>	<b>Outlays, net (total)</b>	<b>23,742</b>	<b>16,905</b>	<b>0</b>

**Program and Performance Statement**

The Transportation Equity Act for the 21st Century established the Railroad Rehabilitation and Improvement Financing (RRIF) loan and loan guarantee program. SAFETEA-LU amended the program to allow direct loans and loan guarantees up to \$35 billion and required that not less than \$7 billion be reserved for projects primarily benefiting other than class I freight railroads. Funding may be used to (1) acquire, improve, or rehabilitate intermodal or rail equipment or facilities, including track, components of track, bridges, yards, buildings, or shops; (2) refinance debt; or (3) develop and establish new intermodal or railroad facilities.

No Federal appropriation is required, because a non-Federal infrastructure partner may contribute the subsidy amount (in the form of a credit risk premium) required by the Credit Reform Act of 1990. Once received, statutorily established investigation charges are immediately available for appraisals and necessary determinations and findings.



**FEDERAL RAILROAD ADMINISTRATION  
RAILROAD REHABILITATION AND IMPROVEMENT  
FINANCING PROGRAM**

**Object Classification Schedule**  
(in thousands of dollars)

Account Number: 69-0750-0-1-401

Line	Line Title	FY 2011 Actual	FY 2012 Enacted	FY 2013 Request
	Direct Obligations:			
33.0	Investments and loans	18,559	264	-
43.0	Interest and dividends	5,183	16,641	-
99.9	Total new obligations	23,742	16,905	0

**Guaranteed Loan Financing Account  
Program and Financing Schedule**  
(in thousands of dollars)

Account Number: 69-4288-0-3-401

Line	Line Title	FY 2011 Actual	FY 2012 Enacted	FY 2013 Request
	Budgetary Resources:			
	Unobligated balance:			
1000	Unobligated balance brought forward, Oct 1	-	-	3,000
	Financing authority:			
	Spending authority from offsetting collections, mandatory:			
1800	Offsetting collections (credit risk premium)	-	3,000	3,000
<b>1850</b>	<b>Spending auth from offsetting collections, mand (total)</b>	<b>0</b>	<b>3,000</b>	<b>3,000</b>
<b>1930</b>	<b>Total budgetary resources available</b>	<b>0</b>	<b>3,000</b>	<b>6,000</b>
	Memorandum (non-add) entries:			
1941	Unexpired unobligated balance, end of year	-	3,000	6,000
	Budget authority and outlays, net:			
	Mandatory:			
4090	Financing authority, gross	-	3,000	3,000
4123	Non-Federal sources	-	-3,000	-3,000
4160	Budget authority, net (mandatory)	-	-	-
4170	Outlays, net (mandatory)	-	-3,000	-3,000
<b>4180</b>	<b>Budget authority, net (total)</b>	<b>0</b>	<b>0</b>	<b>0</b>
<b>4190</b>	<b>Outlays, net (total)</b>	<b>0</b>	<b>-3,000</b>	<b>-3,000</b>

**FEDERAL RAILROAD ADMINISTRATION  
RAILROAD REHABILITATION AND IMPROVEMENT  
FINANCING PROGRAM**

**Guaranteed Loan Financing Account  
Status of Guaranteed Loans  
(in thousands of dollars)**

Account Number: 69-4288-0-3-401

Line	Line Title	FY 2011 Actual	FY 2012 Enacted	FY 2013 Request
<b>Position with respect to appropriations act limitation on commitments:</b>				
2131	Guaranteed loan commitments exempt from limitation	-	100,000	100,000
<b>2150</b>	<b>Total guaranteed loan commitments</b>	<b>0</b>	<b>100,000</b>	<b>100,000</b>
<b>Cumulative balance of guaranteed loans outstanding:</b>				
2210	Outstanding, start of year	-	-	95,000
2231	Disbursements of new guaranteed loans	-	100,000	100,000
2251	Repayments and prepayments	-	-5,000	-5,000
<b>2290</b>	<b>Outstanding, end of year</b>	<b>0</b>	<b>95,000</b>	<b>190,000</b>
Memorandum:				
2299	Guaranteed amount of guaranteed loans outstanding, end of year	-	95,000	190,000

As required by the Federal Credit Reform Act of 1990, as amended, this non-budgetary account records all cash flows to and from the Government resulting from loan guarantees committed in 1992 and beyond (including modifications of loan guarantees that resulted from commitments in any year). The amounts in this account are a means of financing and are not included in the budget totals.

**FEDERAL RAILROAD ADMINISTRATION  
RAILROAD REHABILITATION AND IMPROVEMENT  
FINANCING PROGRAM**

**Liquidating Account  
Program and Financing Schedule  
(in thousands of dollars)**

Account Number: 69-4411-0-3-401

Line	Line Title	FY 2011 Actual	FY 2012 Enacted	FY 2013 Request
	Obligations by program activity:			
	Credit program obligations:			
0713	Payment of interest to Treasury	157	11	6
<b>0900</b>	<b>Total new obligations</b>	<b>157</b>	<b>11</b>	<b>6</b>
	Budgetary Resources:			
	Spending authority from offsetting collections, mandatory:			
1800	Collected	3,622	124	80
1820	Spending authority: Capital transfer to general fund	-3,465	-113	-74
<b>1850</b>	<b>Spending auth from offsetting collections, mand (total)</b>	<b>157</b>	<b>11</b>	<b>6</b>
<b>1900</b>	<b>Budget authority (total)</b>	<b>157</b>	<b>11</b>	<b>6</b>
<b>1930</b>	<b>Total budgetary resources available</b>	<b>157</b>	<b>11</b>	<b>6</b>
	Change in obligated balance:			
	Obligated balance, start of year (net):			
3030	Obligations incurred, unexpired accounts	157	11	6
3040	Outlays (gross)	-157	-11	-6
	Budget authority and outlays, net:			
	Mandatory:			
4090	Budget authority, gross	157	11	6
	Outlays, Gross			
4100	Outlays from new discretionary authority	157	11	6
<b>4110</b>	<b>Outlays, gross (total)</b>	<b>157</b>	<b>11</b>	<b>6</b>
	Offsets against gross budget authority and outlays:			
	Offsetting collections (collected) from:			
4123	Non-Federal sources	-3,622	-124	-80
4160	Budget authority, net (mandatory)	-3,465	-113	-74
4170	Outlays, net (mandatory)	-3,622	-113	-74
<b>4180</b>	<b>Budget authority, net (total)</b>	<b>-3,465</b>	<b>-113</b>	<b>-74</b>
<b>4190</b>	<b>Outlays, net (total)</b>	<b>-3,622</b>	<b>-113</b>	<b>-74</b>

**FEDERAL RAILROAD ADMINISTRATION  
RAILROAD REHABILITATION AND IMPROVEMENT  
FINANCING PROGRAM**

**Status of Direct Loans**  
(in thousands of dollars)

Account Number: 69-4411-0-3-401

Line	Line Title	FY 2011 Actual	FY 2012 Enacted	FY 2013 Request
<b>Cumulative balance of direct loans outstanding:</b>				
1210	Outstanding, start of year	3,728	263	150
1251	Repayments: Repayments and prepayments	-3,465	-113	-74
1290	Outstanding, end of year	263	150	76

**Program and Performance Statement**

This account records credit activity that occurred prior to the passage of the Federal Credit Reform Act, including:

*Section 505 Redeemable preference shares*—Authority for the section 505 redeemable preference shares program expired on September 30, 1988. The account reflects actual and projected outlays resulting from payments of principal and interest as well as repurchases of redeemable preference shares and the sale of redeemable preference shares to the private sector.

*Section 511 Loan repayments*—This program reflects repayments of principal and interest on outstanding borrowings by the railroads to the Federal Financing Bank under the section 511 loan guarantee program.

As required by the Federal Credit Reform Act of 1990, this account records, for this program, all cash flows to and from the Government resulting from direct loans obligated and loan guarantees committed prior to 1992. All new activity in this program (including modifications of direct loans or loan guarantees that resulted from obligations or commitments in any year) is recorded in corresponding program accounts and financing accounts.

**FEDERAL RAILROAD ADMINISTRATION  
RAILROAD REHABILITATION AND IMPROVEMENT  
FINANCING PROGRAM**

**Liquidating Account  
Balance Sheet  
(in thousands of dollars)**

Account Number: 69-4411-0-3-401

Line	Line Title	FY 2011 Actual
<b>Assets:</b>		
	Net value of assets related to post-1991 direct loans receivable	
1601	Direct loans , gross	3,622
1602	Interest receivable	157
1699	Value of assets related to direct loans	<u>3,779</u>
1999	Total Assets	<u>3,779</u>
<b>Liabilities:</b>		
	Federal liabilities:	
2102	Interest payable	157
2103	Debt	<u>3,728</u>
2999	Total liabilities	<u>3,779</u>
4999	Total liabilities and net position	<u>3,779</u>

**Liquidating Account  
Object Classification Schedule  
(in thousands of dollars)**

Account Number: 69-4411-0-3-401

Line	Line Title	FY 2011 Actual	FY 2012 Enacted	FY 2013 Request
Direct Obligations:				
43.0	Interest and dividends	<u>157</u>	11	6
99.9	Total new obligations	157	11	6

**FEDERAL RAILROAD ADMINISTRATION  
RAILROAD REHABILITATION AND IMPROVEMENT  
FINANCING PROGRAM**

**Direct Loan Financing Account  
Program and Financing Schedule  
(in thousands of dollars)**

Account Number: 69-4420-0-1-401

Line	Line Title	FY 2011 Actual	FY 2012 Enacted	FY 2013 Request
	Obligations by program activity:			
	Credit program obligations:			
0710	Direct loan obligations	566,227	600,000	600,000
0713	Payment of interest to Treasury	23,849	38,000	38,000
0742	Downward reestimate paid to receipt account	5,949	16,000	-
0743	Interest on downward reestimates	14,723	-	-
<b>0900</b>	<b>Total new obligations</b>	<b>610,748</b>	<b>654,000</b>	<b>638,000</b>
	Budgetary Resources:			
	Unobligated balance:			
1000	Unobligated balance brought forward, Oct 1	3,270	17,124	17,124
	Borrowing authority, mandatory:			
1400	Borrowing authority	<b>581,896</b>	<b>600,000</b>	<b>600,000</b>
<b>1440</b>	<b>Borrowing authority, mand (total)</b>	<b>581,896</b>	<b>600,000</b>	<b>600,000</b>
	Spending authority from offsetting collections, mandatory:			
1800	Offsetting collections (interest on uninvested funds)	4,435	3,000	3,000
1800	Offsetting collections (principal-borrowers)	12,179	60,000	60,000
1800	Offsetting collections (upward reestimate)	23,742	17,000	-
1800	Offsetting collections (interest-borrowers)	19,545	27,000	27,000
1800	Collected	8,625	6,000	6,000
1825	Spending authority from offsetting collections applied to repay debt	-25,537	-58,000	-58,000
<b>1850</b>	<b>Spending auth from offsetting collections, mand (total)</b>	<b>42,989</b>	<b>55,000</b>	<b>38,000</b>
<b>1900</b>	<b>Budget authority (total)</b>	<b>624,885</b>	<b>655,000</b>	<b>638,000</b>
<b>1930</b>	<b>Total budgetary resources available</b>	<b>628,155</b>	<b>672,124</b>	<b>655,124</b>

**FEDERAL RAILROAD ADMINISTRATION  
RAILROAD REHABILITATION AND IMPROVEMENT  
FINANCING PROGRAM**

**Direct Loan Financing Account  
Program and Financing Schedule (cont'd)  
(in thousands of dollars)**

Account Number: 69-4420-0-1-401

Line	Line Title	FY 2011 Actual	FY 2012 Enacted	FY 2013 Request
1941	Unexpired unobligated balance, end of year	17,124	17,124	17,124
	Change in obligated balance:			
	Obligated balance, start of year (net):			
3000	Unpaid obligations, brought forward, Oct 1 (gross)	199,247	658,829	676,829
3030	Obligations incurred, unexpired accounts	610,748	654,000	638,000
3040	Outlays (gross)	-151,166	-636,000	-636,000
3090	Unpaid obligations, end of year (gross)	658,829	676,829	678,829
<b>3100</b>	<b>Obligated balance, end of year (net)</b>	<b>658,829</b>	<b>676,829</b>	<b>678,829</b>
	Financing authority and disbursements, net:			
	Mandatory:			
4090	Budget authority, gross	624,885	655,000	638,000
	Outlays, Gross			
<b>4110</b>	<b>Outlays, gross (total)</b>	<b>151,166</b>	<b>636,000</b>	<b>636,000</b>
	Offsets against gross budget authority and outlays:			
	Offsetting collections (collected) from:			
4120	Federal sources	-23,742	-17,000	-
4122	Interest on Federal securities	-4,435	-3,000	-3,000
4123	Credit Risk Premium	-8,625	-6,000	-6,000
4123	Principal Repayment	-12,179	-60,000	-60,000
4123	Interest Repayment	-19,545	-27,000	-27,000
<b>4130</b>	<b>Offsets against gross budget authority and outlays (total), mandatory</b>	<b>-68,526</b>	<b>-113,000</b>	<b>-96,000</b>
4160	Financing authority, net (mandatory)	556,359	542,000	542,000
4170	Financing disbursements, net (mandatory)	82,640	523,000	540,000
<b>4180</b>	<b>Budget authority, net (total)</b>	<b>556,359</b>	<b>542,000</b>	<b>542,000</b>
<b>4190</b>	<b>Outlays, net (total)</b>	<b>82,640</b>	<b>523,000</b>	<b>540,000</b>

**FEDERAL RAILROAD ADMINISTRATION  
RAILROAD REHABILITATION AND IMPROVEMENT  
FINANCING PROGRAM**

**Direct Loan Financing Account  
Status of Direct Loans  
(in thousands of dollars)**

Account Number: 69-4420-0-3-401

Line	Line Title	FY 2011 Actual	FY 2012 Enacted	FY 2013 Request
<b>Position with respect to appropriations act limitation on obligations</b>				
1111	Limitation on direct loans	-	-	-
1131	Direct loan obligations exempt from limitation	566,227	600,000	600,000
1150	Total direct loan obligations	566,227	600,000	600,000
<b>Cumulative balance of direct loans outstanding:</b>				
1210	Outstanding, start of year	410,264	504,994	1,044,994
1231	Disbursements; Direct loan disbursements	106,554	600,000	600,000
1251	Repayments: Repayments and prepayments	-11,824	-60,000	-60,000
1290	Outstanding, end of year	504,994	1,044,994	1,584,994

As required by the Federal Credit Reform Act of 1990, this non-budgetary account records all cash flows to and from the Government resulting from direct loans obligated in 1992 and beyond. The amounts in this account are a means of financing and are not included in the budget totals.



**FEDERAL RAILROAD ADMINISTRATION  
RAILROAD REHABILITATION AND IMPROVEMENT  
FINANCING PROGRAM**

**Direct Loan Financing Account  
Balance Sheet  
(in thousands of dollars)**

Account Number: 69-4420-0-3-401

Line	Line Title	FY 2011 Actual
<b>Assets:</b>		
	Net value of assets related to post-1991 direct loans receivable	
1401	Direct loans receivable, gross	504,994
1499	Net present value of assets related to direct loans	504,994
1999	Total assets	504,994
<b>Liabilities:</b>		
2105	Federal liabilities: Other	504,994
2999	Total liabilities	504,994
4999	Total liabilities and net position	504,994

**Direct Loan Financing Account  
Receipts – Policy/Baseline  
(in thousands of dollars)**

Account Number: 69-276030-0-3-401

Line	Line Title	FY 2011 Actual	FY 2012 Enacted	FY 2013 Request
<b>Receipts – Policy</b>				
2004	All other offsetting receipts	20,672	15,868	-
2004	Mandatory, authorizing committee, regular	20,672	15,868	-
<b>Receipts – Baseline</b>				
2004	All other offsetting receipts	20,672	15,868	-
2004	Mandatory, authorizing committee, regular	20,672	15,868	-

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**Exhibit III-1**

**GRANTS TO THE NATIONAL RAILROAD PASSENGER  
CORPORATION (AMTRAK)  
Summary by Program Activity  
Appropriations, Obligation Limitations, and Exempt Obligations  
(\$000)**

Item	FY 2011 Actual	FY 2012 Enacted	FY 2013 Request <sup>1/</sup>	Change FY 2012—2013
Operating Grants to the National Railroad Passenger Corporation	563,000	466,000	-	(466,000)
0.2% Across-the-Board Rescission	-1,126	-	-	-
Subtotal, Operating Grants to the National Railroad Passenger Corporation	561,874	466,000	-	(466,000)
Capital/Debt Service Grants to the National Railroad Passenger Corporation	923,625	952,000	-	(952,000)
0.2% Across-the-Board Rescission	-1,847	-	-	-
Subtotal, Operating Grants to the National Railroad Passenger Corporation	921,778	952,000	-	(952,000)
<b>TOTAL</b>	<b>1,483,652</b>	<b>1,418,000</b>	<b>0</b>	<b>(1,418,000)</b>
<b>Full-time Equivalents</b>				
Direct Funded	-	-	-	-
Reimbursable, Allocated, Other	-	-	-	-
<b>TOTAL FULL-TIME EQUIVALENTS</b>	<b>0.0</b>	<b>0.0</b>	<b>0.0</b>	<b>0.0</b>

**Note:**

1/ The FY 2013 budget request and the Administration's surface transportation authorization proposal realign all passenger rail activities and resources. Previous accounts, Capital Assistance for High-Speed Rail Corridors and Intercity Passenger Rail Service, Operating Grants to Amtrak, and Capital and Debt Service Grants to Amtrak, are proposed to be consolidated under the National High Performance Rail System. These resources will be distributed between two new accounts: (1) Network Development and (2) System Preservation. Funds will be available for competitive and non-competitive financial assistance.

**Program and Performance Statement**

The National Railroad Passenger Corporation (Amtrak) was established in 1970 through the Rail Passenger Service Act. Amtrak is operated and managed as a for profit corporation with all Board members appointed by the Executive Branch of the Federal Government, with the advice and consent of the Senate. Amtrak is not an agency or instrument of the U.S. Government. Since 2006, federal resources specifically for Amtrak have been provided through separate appropriation accounts for operating, capital, and efficiency incentive grants.

In 2009, the American Recovery and Reinvestment Act (ARRA) provided \$1.3 billion to Amtrak for capital grants, of which \$450 million was designated for capital security grants to fund enhancements in situational awareness, improvised explosive devices and Vehicle Borne Improvised Explosive Device detection, risk assessment/risk reduction cycle optimization (when vulnerabilities are discovered), and quick response communications within the intercity passenger rail network. The remaining \$850 million funds projects that remediate vulnerabilities in the system's physical infrastructure and enhance national incident management and risk mitigation capabilities in the intercity passenger rail network.

As part of the Administration's surface transportation authorization proposal, Federal support for the National Railroad Passenger Corporation will be included in the System Preservation account, financed by mandatory contract authority out of the Multimodal Account of the Transportation Trust Fund.

**Exhibit III-1a**

**GRANTS TO THE NATIONAL RAILROAD PASSENGER CORPORATION  
(AMTRAK)**

**Summary Analysis of Change from FY 2012 to FY 2013  
Appropriations, Obligation Limitations, and Exempt Obligations**

Item	Change from FY 2012 to FY 2013	
	\$000	FTE
<b>FY 2012 ENACTED</b>	<b>1,418,000</b>	<b>0.0</b>
<b>ADJUSTMENTS TO BASE</b>		
Annualization of FY 2012 FTE	-	-
Annualization of FY 2012 Comparability Pay Increase (0.0%)	-	-
FY 2013 Comparability Pay Increase (0.5%)	-	-
Non-Pay Inflation (0.5%)	-	-
GSA Rent	-	-
Working Capital Fund	-	-
<b>SUBTOTAL, BASELINE CHANGES</b>	<b>0</b>	<b>0.0</b>
<b>PROGRAM CHANGES <sup>1/</sup></b>		
Operating Grants to the National Railroad Passenger Corporation	(466,000)	-
Capital/Debt Service Grants to the National Railroad Passenger Corporation	(952,000)	-
<b>SUBTOTAL, PROGRAM CHANGES</b>	<b>(1,418,000)</b>	<b>0.0</b>
<b>TOTAL FY 2013 REQUEST</b>	<b>0</b>	<b>0.0</b>

**Note:**

1/ The FY 2013 budget request and the Administration's surface transportation authorization proposal realign all passenger rail activities and resources. Previous accounts, Capital Assistance for High-Speed Rail Corridors and Intercity Passenger Rail Service, Operating Grants to Amtrak, and Capital and Debt Service Grants to Amtrak, are proposed to be consolidated under the National High Performance Rail System. These resources will be distributed between two new accounts: (1) Network Development and (2) System Preservation. Funds will be available for competitive and non-competitive financial assistance.

**DEPARTMENT OF TRANSPORTATION  
FEDERAL RAILROAD ADMINISTRATION**

**GRANTS TO THE NATIONAL RAILROAD PASSENGER  
CORPORATION APPROPRIATIONS LANGUAGE**

**【OPERATING SUBSIDY GRANTS TO THE NATIONAL RAILROAD PASSENGER  
CORPORATION】**

【To enable the Secretary of Transportation to make quarterly grants to the National Railroad Passenger Corporation for the operation of intercity passenger rail, as authorized by section 101 of the Passenger Rail Investment and Improvement Act of 2008 (division B of Public Law 110–432), \$466,000,000, to remain available until expended: *Provided*, That the amounts available under this paragraph shall be available for the Secretary to approve funding to cover operating losses for the Corporation only after receiving and reviewing a grant request for each specific train route: *Provided further*, That each such grant request shall be accompanied by a detailed financial analysis, revenue projection, and capital expenditure projection justifying the Federal support to the Secretary’s satisfaction: *Provided further*, That not later than 60 days after enactment of this Act, the Corporation shall transmit, in electronic format, to the Secretary, the House and Senate Committees on Appropriations, the House Committee on Transportation and Infrastructure and the Senate Committee on Commerce, Science, and Transportation the annual budget and business plan and the 5-Year Financial Plan for fiscal year 2012 required under section 204 of the Passenger Rail Investment and Improvement Act of 2008: *Provided further*, That the budget, business plan, and the 5-Year Financial Plan shall also include a separate accounting of ridership, revenues, and capital and operating expenses for the Northeast Corridor; commuter service; long-distance Amtrak service; State-supported service; each intercity train route, including Autotrain; and commercial activities including contract operations: *Provided further*, That the budget, business plan and the 5-Year Financial Plan shall include a description of work to be funded, along with cost estimates and an estimated timetable for completion of the projects covered by these plans: *Provided further*, That the budget, business plan and the 5-Year Financial Plan shall include annual information on the maintenance, refurbishment, replacement, and expansion for all Amtrak rolling stock consistent with the comprehensive fleet plan: *Provided further*, That the Corporation shall provide semiannual reports in electronic format regarding the pending business plan, which shall describe the work completed to date, any changes to the business plan, and the reasons for such changes, and shall identify all sole-source contract awards which shall be accompanied by a justification as to

why said contract was awarded on a sole-source basis, as well as progress against the milestones and target dates of the 2011 performance improvement plan: *Provided further*, That the Corporation's budget, business plan, 5-Year Financial Plan, semiannual reports, and all subsequent supplemental plans shall be displayed on the Corporation's Web site within a reasonable timeframe following their submission to the appropriate entities: *Provided further*, That these plans shall be accompanied by a comprehensive fleet plan for all Amtrak rolling stock which shall address the Corporation's detailed plans and timeframes for the maintenance, refurbishment, replacement, and expansion of the Amtrak fleet: *Provided further*, That said fleet plan shall establish year-specific goals and milestones and discuss potential, current, and preferred financing options for all such activities: *Provided further*, That none of the funds under this heading may be obligated or expended until the Corporation agrees to continue abiding by the provisions of paragraphs 1, 2, 5, 9, and 11 of the summary of conditions for the direct loan agreement of June 28, 2002, in the same manner as in effect on the date of enactment of this Act: *Provided further*, That none of the funds provided in this Act may be used after March 1, 2012, to support any route on which Amtrak offers a discounted fare of more than 50 percent off the normal peak fare: *Provided further*, That the preceding proviso does not apply to routes where the operating loss as a result of the discount is covered by a State and the State participates in the setting of fares: *Provided further*, That the Corporation shall submit to the House and Senate Committees on Appropriations a budget request for fiscal year 2013 in similar format and substance to those submitted by executive agencies of the Federal Government.】

**Explanation of Proposed Language Change:**

The FY 2013 budget request and the Administration's surface transportation authorization proposal realign all passenger rail activities and resources. Previous accounts, Capital Assistance for High-Speed Rail Corridors and Intercity Passenger Rail Service, Operating Grants to Amtrak, and Capital and Debt Service Grants to Amtrak, are proposed to be consolidated under the National High Performance Rail System. These resources will be distributed between two new accounts: (1) Network Development and (2) System Preservation. Funds will be available for competitive and non-competitive financial assistance.

**FEDERAL RAILROAD ADMINISTRATION  
OPERATING SUBSIDY GRANTS TO THE NATIONAL RAILROAD  
PASSENGER CORPORATION**

**Program and Financing Schedule**  
(in thousands of dollars)

Account Number: 69-0121-0-1-401

Line	Line Title	FY 2011 Actual	FY 2012 Enacted	FY 2013 Request
	Obligations by program activity:			
0001	Operating Subsidy Grants	561,874	466,000	-
0091	Direct program activities, subtotal	561,874	466,000	-
<b>0100</b>	<b>Total direct program</b>	<b>561,874</b>	<b>466,000</b>	<b>0</b>
0799	Total direct obligations	561,874	466,000	-
<b>0900</b>	<b>Total new obligations</b>	<b>561,874</b>	<b>466,000</b>	<b>0</b>
	Budget authority:			
	Appropriations, discretionary:			
1100	Appropriation	563,000	466,000	-
1130	Appropriations permanently reduced	(1,126)	-	-
<b>1160</b>	<b>Appropriation, disc (total)</b>	<b>561,874</b>	<b>466,000</b>	<b>0</b>
<b>1900</b>	<b>Budget authority (total)</b>	<b>561,874</b>	<b>466,000</b>	<b>0</b>
<b>1930</b>	<b>Total budgetary resources available</b>	<b>561,874</b>	<b>466,000</b>	<b>0</b>
	Change in obligated balance:			
	Obligated balance, start of year (net):			
3000	Unpaid obligations, brought forward, Oct 1 (gross)	-	-	-
3030	Obligations incurred, unexpired accounts	561,874	466,000	-
3040	Outlays (gross)	(561,874)	(466,000)	-
3090	Unpaid obligations, end of year (gross)	-	-	-
<b>3100</b>	<b>Obligated balance, end of year (net)</b>	<b>0</b>	<b>0</b>	<b>0</b>
	Budget authority and outlays, net:			
	Discretionary:			
4000	Budget authority, gross	561,874	466,000	-



**FEDERAL RAILROAD ADMINISTRATION  
OPERATING SUBSIDY GRANTS TO THE NATIONAL RAILROAD  
PASSENGER CORPORATION**

**Program and Financing Schedule (cont'd)**  
(in thousands of dollars)

Account Number: 69-0121-0-1-401

Line	Line Title	FY 2011 Actual	FY 2012 Enacted	FY 2013 Request
	Outlays, gross:			
4010	Outlays from new discretionary authority	561,874	466,000	-
4011	Outlays from discretionary balances	-	-	-
<b>4020</b>	<b>Outlays, gross (total)</b>	<b>561,874</b>	<b>466,000</b>	<b>0</b>
4070	Budget authority, net (discretionary)	561,874	466,000	-
<b>4080</b>	<b>Outlays, net (discretionary)</b>	<b>561,874</b>	<b>466,000</b>	<b>0</b>
<b>4180</b>	<b>Budget authority, net (total)</b>	<b>561,874</b>	<b>466,000</b>	<b>0</b>
<b>4190</b>	<b>Outlays, net (total)</b>	<b>561,874</b>	<b>466,000</b>	<b>0</b>

**Program and Performance Statement**

Under the Administration's surface transportation authorization proposal, Federal support for the National Railroad Passenger Corporation (Amtrak) operations will be an eligible activity for competitive grants under the System Preservation and Renewal component of the new National Rail System program, funded within the Multimodal Account of the Transportation Trust Fund.

**Object Classification Schedule**  
(in thousands of dollars)

Account Number: 69-0121-0-1-401

Line	Line Title	FY 2011 Actual	FY 2012 Enacted	FY 2013 Request
	Direct Obligations:			
41.0	Grants, subsidies, and contributions	561,874	466,000	-
99.9	Total new obligations	561,874	466,000	0

**DEPARTMENT OF TRANSPORTATION  
FEDERAL RAILROAD ADMINISTRATION**

**CAPITAL AND DEBT SERVICE GRANTS TO THE NATIONAL  
RAILROAD PASSENGER CORPORATION  
APPROPRIATIONS LANGUAGE**

**【CAPITAL AND DEBT SERVICE GRANTS TO THE NATIONAL RAILROAD  
PASSENGER CORPORATION】**

【To enable the Secretary of Transportation to make grants to the National Railroad Passenger Corporation for capital investments as authorized by section 101(c) and 219(b) of the Passenger Rail Investment and Improvement Act of 2008 (division B of Public Law 110–432), \$952,000,000, to remain available until expended, of which not to exceed \$271,000,000 shall be for debt service obligations as authorized by section 102 of such Act: *Provided*, That of the amounts made available under this heading, not less than \$50,000,000 shall be made available to bring Amtrak served facilities and stations into compliance with the Americans with Disabilities Act: *Provided further*, That after an initial distribution of up to \$200,000,000, which shall be used by the Corporation as a working capital account, all remaining funds shall be provided to the Corporation only on a reimbursable basis: *Provided further*, That the Secretary may retain up to one-half of 1 percent of the funds provided under this heading to fund the costs of project management oversight of capital projects funded by grants provided under this heading, as authorized by subsection 101(d) of division B of Public Law 110–432: *Provided further*, That the Secretary shall approve funding for capital expenditures, including advance purchase orders of materials, for the Corporation only after receiving and reviewing a grant request for each specific capital project justifying the Federal support to the Secretary’s satisfaction: *Provided further*, That none of the funds under this heading may be used to subsidize operating losses of the Corporation: *Provided further*, That none of the funds under this heading may be used for capital projects not approved by the Secretary of Transportation or on the Corporation’s fiscal year 2012 business plan: *Provided further*, That in addition to the project management oversight funds authorized under section 101(d) of division B of Public Law 110–432, the Secretary may retain up to an additional one-half of 1 percent of the funds provided under this heading to fund expenses associated with implementing section 212 of division B of Public Law 110–432, including the amendments made by section 212 to section 24905 of title 49, United States Code.】

**Explanation of Proposed Language Change:**

The FY 2013 budget request and the Administration's surface transportation authorization proposal realign all passenger rail activities and resources. Previous accounts, Capital Assistance for High-Speed Rail Corridors and Intercity Passenger Rail Service, Operating Grants to Amtrak, and Capital and Debt Service Grants to Amtrak, are proposed to be consolidated under the National High Performance Rail System. These resources will be distributed between two new accounts: (1) Network Development and (2) System Preservation. Funds will be available for competitive and non-competitive financial assistance.

**FEDERAL RAILROAD ADMINISTRATION  
CAPITAL AND DEBT SERVICE GRANTS TO THE  
NATIONAL RAILROAD PASSENGER CORPORATION**

**Program and Financing Schedule**  
(in thousands of dollars)

Account Number: 69-0125-0-1-401

Line	Line Title	FY 2011 Actual	FY 2012 Enacted	FY 2013 Request
	Obligations by program activity:			
0001	Capital Grants	649,088	622,000	-
0002	Debt Grants	263,472	271,000	-
0003	Oversight	1,473	15,272	-
0004	NECIP	0	14,012	-
0005	ADA	0	50,000	-
0091	Direct program activities, subtotal	914,033	972,284	-
<b>0100</b>	<b>Total direct program</b>	<b>914,033</b>	<b>972,284</b>	<b>0</b>
0799	Total direct obligations	914,033	972,284	-
0801	Reimbursable services	51,740	309,619	-
0809	Reimbursable program activities, subtotal	51,740	309,619	-
<b>0900</b>	<b>Total new obligations</b>	<b>965,773</b>	<b>1,281,903</b>	<b>0</b>
	Budgetary Resources:			
	Unobligated balance:			
1000	Unobligated balance brought forward, Oct 1	12,539	20,284	-
1050	Unobligated balance (total)	12,539	20,284	-
	Budget authority:			
	Appropriations, discretionary:			
1100	Appropriation	923,625	952,000	-
1130	Appropriations permanently reduced	(1,847)	-	-
<b>1160</b>	<b>Appropriation, disc (total)</b>	<b>921,778</b>	<b>952,000</b>	<b>0</b>
	Spending authority from offsetting collections, mandatory:			
1800	Collected	51,526	309,619	-
1801	Change in uncollected payments, Federal sources	214	-	-
<b>1850</b>	<b>Spending auth from offsetting collections, mand (total)</b>	<b>51,740</b>	<b>309,619</b>	<b>0</b>
<b>1900</b>	<b>Budget authority (total)</b>	<b>973,518</b>	<b>1,261,619</b>	<b>0</b>
<b>1930</b>	<b>Total budgetary resources available</b>	<b>986,057</b>	<b>1,281,903</b>	<b>0</b>

**FEDERAL RAILROAD ADMINISTRATION  
CAPITAL AND DEBT SERVICE GRANTS TO THE  
NATIONAL RAILROAD PASSENGER CORPORATION**

**Program and Financing Schedule (cont'd)**  
(in thousands of dollars)

Account Number: 69-0125-0-1-401

Line	Line Title	FY 2011 Actual	FY 2012 Enacted	FY 2013 Request
	Memorandum (non-add) entries:			
1941	Unexpired unobligated balance, end of year	20,284	-	-
	Change in obligated balance:			
	Obligated balance, start of year (net):			
3000	Unpaid obligations, brought forward, Oct 1 (gross)	75,097	10,977	-
3010	Uncollected pymts, Fed sources, brought forward, Oct 1	-	(214)	-
3020	Obligated balance, start of year (net)	75,097	10,763	-
3030	Obligations incurred, unexpired accounts	965,773	1,281,903	-
3040	Outlays (gross)	(1,029,893)	(1,292,666)	-
3050	Change in uncollected pymts, Fed sources, unexpired	(214)	-	-
3090	Unpaid obligations, end of year (gross)	10,977	-	-
3091	Uncollected pymts, Fed sources, end of year	(214)	-	-
<b>3100</b>	<b>Obligated balance, end of year (net)</b>	<b>10,763</b>	<b>0</b>	<b>0</b>
	Budget authority and outlays, net:			
	Discretionary:			
4000	Budget authority, gross	921,778	952,000	-
	Outlays, gross:			
4010	Outlays from new discretionary authority	903,270	952,000	-
4011	Outlays from discretionary balances	75,097	31,047	-
<b>4020</b>	<b>Outlays, gross (total)</b>	<b>978,367</b>	<b>983,047</b>	<b>0</b>
4070	Budget authority, net (discretionary)	921,778	952,000	-
<b>4080</b>	<b>Outlays, net (discretionary)</b>	<b>978,367</b>	<b>983,047</b>	<b>0</b>

**FEDERAL RAILROAD ADMINISTRATION  
CAPITAL AND DEBT SERVICE GRANTS TO THE  
NATIONAL RAILROAD PASSENGER CORPORATION**

**Program and Financing Schedule (cont'd)**  
(in thousands of dollars)

Account Number: 69-0125-0-1-401

Line	Line Title	FY 2011 Actual	FY 2012 Enacted	FY 2013 Request
	Budget authority and outlays, net:			
	Mandatory:			
4090	Budget authority, gross	51,740	309,619	-
	Outlays, Gross			
4100	Outlays from new discretionary authority	51,526	309,619	-
<b>4110</b>	<b>    Outlays, gross (total)</b>	<b>51,526</b>	<b>309,619</b>	<b>0</b>
	Offsets against gross budget authority and outlays:			
	Offsetting collections (collected) from:			
4120	Federal sources	(51,526)	(309,619)	-
<b>4130</b>	<b>    Offsets against gross budget authority and outlays (total),       mandatory</b>	<b>-51,526</b>	<b>-309,619</b>	<b>0</b>
	Additional offsets against gross budget authority only:			
4140	Change in uncollected pymts, Fed sources, unexpired	-214	-	-
<b>4150</b>	<b>    Additional offsets against budget authority only (total)</b>	<b>-214</b>	<b>0</b>	<b>0</b>
<b>4180</b>	<b>  Budget authority, net (total)</b>	<b>921,778</b>	<b>952,000</b>	<b>0</b>
<b>4190</b>	<b>  Outlays, net (total)</b>	<b>978,367</b>	<b>983,047</b>	<b>0</b>

**Program and Performance Statement**

Under the Administration's surface transportation authorization proposal, capital and debt service activities of the National Railroad Passenger Corporation (Amtrak) will be eligible for competitive grants under the System Preservation and Renewal component of the new National Rail System program, funded within the Multimodal Account of the Transportation Trust Fund.

**FEDERAL RAILROAD ADMINISTRATION  
CAPITAL AND DEBT SERVICE GRANTS TO THE  
NATIONAL RAILROAD PASSENGER CORPORATION**

**Object Classification Schedule**  
in thousands of dollars

Account Number: 69-0125-0-1-401

<b>Line</b>	<b>Line Title</b>	<b>FY 2011 Actual</b>	<b>FY 2012 Enacted</b>	<b>FY 2013 Request</b>
Direct Obligations:				
25.3	Other goods and services from federal sources	1,473	29,284	-
41.0	Grants, subsidies, and contributions	912,560	943,000	-
99.9	Subtotal, obligations, Direct obligations	912,560	972,284	-
Allocation Account - reimbursable				
41.0	Grants, subsidies, and contributions	51,740	309,619	-
99.9	Total new obligations	964,300	1,281,903	-

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**FEDERAL RAILROAD ADMINISTRATION  
CAPITAL ASSISTANCE FOR HIGH SPEED RAIL CORRIDORS AND  
INTERCITY PASSENGER RAIL**

**Program and Financing Schedule**  
(in thousands of dollars)

Account Number: 69-0719-0-1-401

Line	Line Title	FY 2011 Actual	FY 2012 Enacted	FY 2013 Request
Obligations by program activity:				
0003	Capital Asst HSR Corridors and IPR Service Grants	237,477	1,732,523	-
0004	Capital Asst HSR Corridors and IPR Service Oversight	5,460	36,375	-
0005	Capital Asst HSR Corridors and IPR Service Research and Demonstrating Technologies	10,707	13,051	-
0006	Capital Asst HSR Corridors and IPR Service Planning Activities	18,308	31,692	-
0091	Direct program activities, subtotal	271,952	1,813,641	-
0809	Reimbursable program activities, subtotal	0	0	-
0900	Total new obligations	271,952	1,813,641	-
Budgetary Resources:				
Unobligated balance:				
1000	Unobligated balance brought forward, Oct 1	2,485,271	1,813,641	-
1021	Recoveries of prior year unpaid obligations	322	0	-
1050	Unobligated balance (total)	2,485,593	1,813,641	-
Budget authority:				
Appropriations, discretionary:				
1131	Unobligated balance of appropriations permanently reduced	-400,000	0	-
1160	Appropriation, disc (total)	-400,000	0	-
1930	Total budgetary resources available	2,085,593	1,813,641	-
Memorandum (non-add) entries:				
1941	Unexpired unobligated balance, end of year	1,813,641	-	-
Change in obligated balance:				
Obligated balance, start of year (net):				
3000	Unpaid obligations, brought forward, Oct 1 (gross)	13,374	275,727	1,726,175
3030	Obligations incurred, unexpired accounts	271,952	1,813,641	-
3040	Outlays (gross)	-9,277	-203,000	-337,000
3080	Recoveries of prior year unpaid obligations, unexpired	-322	-	-
3090	Unpaid obligations, end of year (gross)	275,727	1,886,368	1,549,368
3100	Obligated balance, end of year (net)	275,727	1,886,368	1,549,368
Budget authority and outlays, net:				
Discretionary:				
4000	Budget authority, gross	-400,000	-	-
Outlays, gross:				
4011	Outlays from discretionary balances	9,277	203,000	337,000
4070	Budget authority, net (discretionary)	-400,000	-	-
4080	Outlays, net (discretionary)	9,277	203,000	337,000
<b>4180</b>	<b>Budget authority, net (total)</b>	<b>-400,000</b>	<b>0</b>	<b>0</b>
<b>4190</b>	<b>Outlays, net (total)</b>	<b>9,277</b>	<b>203,000</b>	<b>337,000</b>

**FEDERAL RAILROAD ADMINISTRATION  
CAPITAL ASSISTANCE FOR HIGH SPEED RAIL CORRIDORS AND  
INTERCITY PASSENGER RAIL**

**Program and Performance Statement**

Through this program, FRA provides capital grants to States to invest and improve intercity passenger rail service, including the development of new high-speed rail capacity. Activity in this account includes the \$8 billion provided by the *American Recovery and Reinvestment Act* and \$2.1 billion provided in subsequent enacted appropriations.

No funds are requested in this account for 2013, as the Administration is proposing to include passenger rail (including high-speed rail) within its multi-year surface transportation authorization. As part of the authorization proposal, the new National High Performance Rail System program would be created, funded out a dedicated Multimodal Account of the Transportation Trust Fund. Activities currently carried out in this account would be continued in 2013 within a new Network Development account.

**Object Classification Schedule**  
(in thousands of dollars)

Account Number: 69-0719-0-1-401

Line	Line Title	FY 2011 Actual	FY 2012 Enacted	FY 2013 Request
	Direct Obligations:			
11.3	Personnel compensation	-	1,647	-
12.1	Civilian personnel benefits	-	511	-
25.1	Advisory and assistance service	19,318	49,426	-
41.0	Grants, subsidies, and contributions	252,634	1,764,215	-
99.9	Total new obligations	271,952	1,813,641	0

**FEDERAL RAILROAD ADMINISTRATION  
CAPITAL ASSISTANCE FOR HIGH SPEED RAIL CORRIDORS AND  
INTERCITY PASSENGER RAIL – ARRA**

**Program and Financing Schedule**  
(in thousands of dollars)

Account Number: 69-0719-0-1-401

Line	Line Title	FY 2011 Actual	FY 2012 Enacted	FY 2013 Request
	Obligations by program activity:			
0001	Capital Asst HSR (ARRA) Grants	6,960,783	186,667	-
0002	Capital Asst HSR (ARRA) Oversight	4,344	43	-
0091	Direct program activities, subtotal	6,965,127	186,710	-
<b>0100</b>	<b>Total direct program</b>	<b>6,965,127</b>	<b>186,710</b>	<b>0</b>
0801	Reimbursable services	-	-	-
0809	Reimbursable program activities, subtotal	-	-	-
<b>0900</b>	<b>Total new obligations</b>	<b>6,965,127</b>	<b>186,710</b>	<b>0</b>
	Budgetary Resources:			
	Unobligated balance:			
1000	Unobligated balance brought forward, Oct 1	7,114,507	186,710	-
1021	Recoveries of prior year unpaid obligations	37,330	-	-
<b>1050</b>	<b>Unobligated balance (total)</b>	<b>7,151,837</b>	<b>186,710</b>	<b>0</b>
	Budget authority:			
	Appropriations, discretionary:			
1100	Appropriation	-	-	-
<b>1160</b>	<b>Appropriation, disc (total)</b>	<b>0</b>	<b>0</b>	<b>0</b>
	Spending authority from offsetting collections, discretionary:			
1700	Collected	-	-	-
1701	Change in uncollected payments, Federal sources	-	-	-
<b>1750</b>	<b>Spending auth from offsetting collections, disc (total)</b>	<b>0</b>	<b>0</b>	<b>0</b>
<b>1850</b>	<b>Spending auth from offsetting collections, mand (total)</b>	<b>0</b>	<b>0</b>	<b>0</b>
<b>1900</b>	<b>Budget authority (total)</b>	<b>0</b>	<b>0</b>	<b>0</b>
<b>1930</b>	<b>Total budgetary resources available</b>	<b>7,151,837</b>	<b>186,710</b>	<b>0</b>
	Memorandum (non-add) entries:			
1940	Unobligated balance expiring	-	-	-
1941	Unexpired unobligated balance, end of year	186,710	-	-

**FEDERAL RAILROAD ADMINISTRATION  
CAPITAL ASSISTANCE FOR HIGH SPEED RAIL CORRIDORS AND  
INTERCITY PASSENGER RAIL – ARRA**

**Program and Financing Schedule (cont'd)**  
(in thousands of dollars)

Account Number: 69-0719-0-1-401

Line	Line Title	FY 2011 Actual	FY 2012 Enacted	FY 2013 Request
Change in obligated balance:				
Obligated balance, start of year (net):				
3000	Unpaid obligations, brought forward, Oct 1 (gross)	868,813	7,501,477	6,381,195
3010	Uncollected pymts, Fed sources, brought forward, Oct 1	-	-	-
Adjustments to uncollected pymts, Fed sources, brought forward, Oct 1				
3011		-	-	-
3020	Obligated balance, start of year (net)	868,813	7,501,477	6,381,195
3030	Obligations incurred, unexpired accounts	6,965,127	186,710	0
3040	Outlays (gross)	-295,133	-1,045,000	-1,423,000
3050	Change in uncollected pymts, Fed sources, unexpired	-	-	-
3051	Change in uncollected pymts, Fed sources, expired	-	-	-
3061	Obligated balance transferred from other accounts	-	-	-
3080	Recoveries of prior year unpaid obligations, unexpired	-37,330	-	-
3081	Recoveries of prior year unpaid obligations, expired	-	-	-
3090	Unpaid obligations, end of year (gross)	7,501,477	6,643,187	5,220,187
3091	Uncollected pymts, Fed sources, end of year	-	-	-
<b>3100</b>	<b>Obligated balance, end of year (net)</b>	<b>7,501,477</b>	<b>6,643,187</b>	<b>5,220,187</b>
Budget authority and outlays, net:				
Discretionary:				
4000	Budget authority, gross	-	-	-
Outlays, gross:				
4010	Outlays from new discretionary authority	-	-	-
4011	Outlays from discretionary balances	295,133	1,045,000	1,423,000
<b>4020</b>	<b>Outlays, gross (total)</b>	<b>295,133</b>	<b>1,045,000</b>	<b>1,423,000</b>

**FEDERAL RAILROAD ADMINISTRATION  
CAPITAL ASSISTANCE FOR HIGH SPEED RAIL CORRIDORS AND  
INTERCITY PASSENGER RAIL – ARRA**

**Program and Financing Schedule (cont'd)**  
(in thousands of dollars)

Account Number: 69-0719-0-1-401

Line	Line Title	FY 2011 Actual	FY 2012 Enacted	FY 2013 Request
	Offsets against gross budget authority and outlays:			
	Offsetting collections (collected) from:			
4030	Federal sources	-	-	-
<b>4040</b>	<b>Offsets against gross budget authority and outlays, disc (total)</b>	<b>0</b>	<b>0</b>	<b>0</b>
	Additional offsets against gross budget authority only:			
4050	Change in uncollected pymts, Fed sources, unexpired	-	-	-
4052	Offsetting collections credited to expired accounts	-	-	-
<b>4060</b>	<b>Additional offsets against budget authority only (total)</b>	<b>0</b>	<b>0</b>	<b>0</b>
4070	Budget authority, net (discretionary)	-	-	-
<b>4080</b>	<b>Outlays, net (discretionary)</b>	<b>295,133</b>	<b>1,045,000</b>	<b>1,423,000</b>
<b>4180</b>	<b>Budget authority, net (total)</b>	<b>0</b>	<b>0</b>	<b>0</b>
<b>4190</b>	<b>Outlays, net (total)</b>	<b>295,133</b>	<b>1,045,000</b>	<b>1,423,000</b>

**Object Classification Schedule**  
(in thousands of dollars)

Account Number: 69-0719-0-1-401

Line	Line Title	FY 2011 Actual	FY 2012 Enacted	FY 2013 Request
	Direct Obligations:			
25.1	Advisory & assistance service	22,310	43	-
41.0	Grants, subsidies, and contributions	6,942,817	186,667	-
99.9	Total new obligations	6,965,127	186,710	-

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**DEPARTMENT OF TRANSPORTATION  
FEDERAL RAILROAD ADMINISTRATION**

**NORTHEAST CORRIDOR IMPROVEMENT PROGRAM  
APPROPRIATIONS LANGUAGE**

NORTHEAST CORRIDOR IMPROVEMENT PROGRAM

(CANCELLATION)

*Of the funds made available for the Northeast Corridor Improvement Program, as authorized by Public Law 94-210, \$4,419,000 are hereby permanently cancelled: Provided, That no amounts may be cancelled from amounts that were designated by the Congress as an emergency requirement pursuant to the Concurrent Resolution on the Budget or the Balanced Budget and Emergency Deficit Control Act of 1985, as amended.*

**Explanation of Proposed Language Change:**

FRA proposes to cancel \$4 million in unobligated balances from this account.

**FEDERAL RAILROAD ADMINISTRATION  
NORTHEAST CORRIDOR IMPROVEMENT PROGRAM**

**Program and Financing Schedule**  
(in thousands of dollars)

Account Number: 69-0123-0-1-401

Line	Line Title	FY 2011 Actual	FY 2012 Enacted	FY 2013 Request
	Obligations by program activity:			
0001	Northeast Corridor Improvement Program	-	1,176	-
<b>0900</b>	<b>Total new obligations</b>	<b>0</b>	<b>1,176</b>	<b>0</b>
	Budgetary Resources:			
	Unobligated balance:			
<b>1000</b>	<b>Unobligated balance brought forward, Oct 1</b>	<b>5,595</b>	<b>5,595</b>	<b>4,419</b>
	Budget authority:			
	Appropriations, discretionary:			
1131	Unobligated balance of appropriations permanently reduced	-	-	-4,419
<b>1160</b>	<b>Appropriation, disc (total)</b>	<b>0</b>	<b>0</b>	<b>-4,419</b>
<b>1930</b>	<b>Total budgetary resources available</b>	<b>5,595</b>	<b>5,595</b>	<b>0</b>
	Memorandum (non-add) entries:			
1941	Unexpired unobligated balance, end of year	5,595	4,419	-
	Change in obligated balance:			
	Obligated balance, start of year (net):			
3000	Unpaid obligations, brought forward, Oct 1 (gross)	633	-	-
3030	Obligations incurred, unexpired accounts	-	1,176	-
3040	Outlays (gross)	-633	-1,176	4,419
3090	Unpaid obligations, end of year (gross)	-	-	4,419
<b>3100</b>	<b>Obligated balance, end of year (net)</b>	<b>0</b>	<b>0</b>	<b>4,419</b>
	Budget authority and outlays, net:			
	Discretionary:			
<b>4000</b>	<b>Budget authority, gross</b>	<b>0</b>	<b>0</b>	<b>-4,419</b>
	Outlays, gross:			
4010	Outlays from new discretionary authority	-	-	-4,419
4011	Outlays from discretionary balances	633	1,176	-
<b>4020</b>	<b>Outlays, gross (total)</b>	<b>633</b>	<b>1,176</b>	<b>-4,419</b>
<b>4070</b>	<b>Budget authority, net (discretionary)</b>	<b>0</b>	<b>0</b>	<b>-4,419</b>
<b>4080</b>	<b>Outlays, net (discretionary)</b>	<b>633</b>	<b>1,176</b>	<b>-4,419</b>
<b>4180</b>	<b>Budget authority, net (total)</b>	<b>0</b>	<b>0</b>	<b>-4,419</b>
<b>4190</b>	<b>Outlays, net (total)</b>	<b>633</b>	<b>1,176</b>	<b>-4,419</b>



**FEDERAL RAILROAD ADMINISTRATION  
NORTHEAST CORRIDOR IMPROVEMENT PROGRAM**

**Program and Performance Statement**

This program provided funds to continue the upgrade of passenger rail service in the corridor between Washington, D.C., and Boston, Massachusetts. Since 2001, capital funding has been provided in the Amtrak appropriation. Under the Administration's surface transportation authorization proposal, Federal resources for capital improvements to the Northeast Corridor will be an eligible activity under the new National High Performance Rail System program, funded within the Multimodal Account of the Transportation Trust Fund.

**Object Classification Schedule**  
(in thousands of dollars)

Account Number: 69-0123-0-1-401

<b>Line</b>	<b>Line Title</b>	<b>FY 2011 Actual</b>	<b>FY 2012 Enacted</b>	<b>FY 2013 Request</b>
	Direct Obligations:			
25.1	Advisory and Assistance Service	-	1,176	-
99.9	Total new obligations	-	1,176	-

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**DEPARTMENT OF TRANSPORTATION  
FEDERAL RAILROAD ADMINISTRATION**

**NEXT GENERATION HIGH SPEED RAIL  
APPROPRIATIONS LANGUAGE**

**NEXT GENERATION HIGH SPEED RAIL**

(CANCELLATION)

*Of the funds made available for Next Generation High Speed Rail, as authorized by sections 1103 and 7201 of Public Law 105-178, \$1,973,000 are hereby permanently cancelled: Provided, That no amounts may be cancelled from amounts that were designated by the Congress as an emergency requirement pursuant to the Concurrent Resolution on the Budget or the Balanced Budget and Emergency Deficit Control Act of 1985, as amended.*

**Explanation of Proposed Language Change:**

FRA proposes to cancel \$2 million in unobligated balances from this account.

**FEDERAL RAILROAD ADMINISTRATION  
NEXT GENERATION HIGH SPEED RAIL**

**Program and Financing Schedule**  
(in thousands of dollars)

Account Number: 69-0722-0-1-401

Line	Line Title	FY 2011 Actual	FY 2012 Enacted	FY 2013 Request
	Obligations by program activity:			
0001	High Speed Non-Electric Locomotives	-	-	-
0002	Grade Crossing Hazardous Mitigation/low cost Innovative Technology	-	3,981	-
0003	Track Structures Technology	-	0	-
0004	Corridor Planning	-	3,014	-
0005	MagLev	964	0	-
0091	Direct program activities, subtotal	964	6,995	-
0809	Reimbursable program activities, subtotal	-	-	-
<b>0900</b>	<b>Total new obligations</b>	<b>964</b>	<b>6,995</b>	<b>0</b>
	Budgetary Resources:			
	Unobligated balance:			
1000	Unobligated balance brought forward, Oct 1	8,543	8,968	1,973
1021	Recoveries of prior year unpaid obligations	1,389	-	-
<b>1050</b>	<b>Unobligated balance (total)</b>	<b>9,932</b>	<b>8,968</b>	<b>1,973</b>
	Budget authority:			
	Appropriation Discretionary:			
1131	Unobligated balance of appropriations permanently reduced	-	-	-1,973
<b>1900</b>	<b>Budget authority (total)</b>	<b>0</b>	<b>0</b>	<b>-1,973</b>
<b>1930</b>	<b>Total budgetary resources available</b>	<b>9,932</b>	<b>8,968</b>	<b>0</b>
	Memorandum (non-add) entries:			
1941	Unexpired unobligated balance, end of year	8,968	1,973	-
	Change in obligated balance:			
3020	Obligated balance, start of year (net)	9,560	6,735	10,589
3030	Obligations incurred, unexpired accounts	964	6,995	-
3040	Outlays (gross)	(2,400)	(3,141)	(1,168)
3080	Recoveries of prior year unpaid obligations, unexpired	(1,389)	-	-
3090	Unpaid obligations, end of year (gross)	6,735	10,589	9,421
<b>3100</b>	<b>Obligated balance, end of year (net)</b>	<b>6,735</b>	<b>10,589</b>	<b>9,421</b>

**FEDERAL RAILROAD ADMINISTRATION  
NEXT GENERATION HIGH SPEED RAIL**

**Program and Financing Schedule (cont'd)**  
(in thousands of dollars)

Account Number: 69-0722-0-1-401

<b>Line</b>	<b>Line Title</b>	<b>FY 2011 Actual</b>	<b>FY 2012 Enacted</b>	<b>FY 2013 Request</b>
	Budget authority and outlays, net:			
	Discretionary:			
4000	Budget authority, gross	-	-	(1,973)
	Outlays, gross:			
4010	Outlays from new discretionary authority	-	-	(1,973)
4011	Outlays from discretionary balances	2,400	3,141	3,141
<b>4020</b>	<b>Outlays, gross (total)</b>	<b>2,400</b>	<b>3,141</b>	<b>1,168</b>
<b>4070</b>	<b>Budget authority, net (discretionary)</b>	<b>0</b>	<b>0</b>	<b>(1,973)</b>
<b>4080</b>	<b>Outlays, net (discretionary)</b>	<b>2,400</b>	<b>3,141</b>	<b>1,168</b>
<b>4080</b>	<b>Budget authority, net (discretionary)</b>	<b>0</b>	<b>0</b>	<b>-1,973</b>
<b>4190</b>	<b>Outlays, net (total)</b>	<b>2,400</b>	<b>3,141</b>	<b>1,168</b>

**Program and Performance Statement**

The Next Generation High-Speed Rail Program funds research, development, and technology demonstration projects and the planning and analysis required to evaluate high-speed rail technology proposals. No new funds are requested for this program in 2013.

**Object Classification Schedule**  
(in thousands of dollars)

Account Number: 69-0722-0-1-401

<b>Line</b>	<b>Line Title</b>	<b>FY 2011 Actual</b>	<b>FY 2012 Enacted</b>	<b>FY 2013 Request</b>
	Direct Obligations:			
25.2	Other services	964	3,981	-
41.0	Grants, subsidies, and contributions	-	3,014	-
99.9	Total new obligations	964	6,995	-

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**FEDERAL RAILROAD ADMINISTRATION  
EMERGENCY RAILROAD REHABILITATION AND REPAIR**

**Program and Financing Schedule**  
(in thousands of dollars)

Account Number: 69-0124-0-1-401

Line	Line Title	FY 2011 Actual	FY 2012 Enacted	FY 2013 Request
	Obligations by program activity:			
0001	Emergency Railroad Rehabilitation and Repair	1,729	3,498	-
0091	Direct program activities, subtotal	1,729	3,498	-
<b>0100</b>	<b>Total direct program</b>	<b>1,729</b>	<b>3,498</b>	<b>0</b>
<b>0900</b>	<b>Total new obligations</b>	<b>1,729</b>	<b>3,498</b>	<b>0</b>
	Budgetary Resources:			
	Unobligated balance:			
1000	Unobligated balance brought forward, Oct 1	5,227	3,498	-
<b>1050</b>	<b>Unobligated balance (total)</b>	<b>5,227</b>	<b>3,498</b>	<b>0</b>
<b>1930</b>	<b>Total budgetary resources available</b>	<b>5,227</b>	<b>3,498</b>	<b>0</b>
1941	Unexpired unobligated balance, end of year	3,498	-	-
	Change in obligated balance:			
	Obligated balance, start of year (net):			
3000	Unpaid obligations, brought forward, Oct 1 (gross)	6,361	5,582	-
3020	Obligated balance, start of year (net)	6,361	5,582	-
3030	Obligations incurred, unexpired accounts	1,729	3,498	-
3040	Outlays (gross)	-2,508	-9,080	-
3090	Unpaid obligations, end of year (gross)	5,582	-	-
<b>3100</b>	<b>Obligated balance, end of year (net)</b>	<b>5,582</b>	<b>0</b>	<b>0</b>
	Budget authority and outlays, net:			
	Discretionary:			
4011	Outlays from discretionary balances	2,508	9,080	-
<b>4020</b>	<b>Outlays, gross (total)</b>	<b>2,508</b>	<b>9,080</b>	<b>0</b>
<b>4080</b>	<b>Outlays, net (discretionary)</b>	<b>2,508</b>	<b>9,080</b>	<b>0</b>
<b>4190</b>	<b>Outlays, net (total)</b>	<b>2,508</b>	<b>9,080</b>	<b>0</b>

**FEDERAL RAILROAD ADMINISTRATION  
EMERGENCY RAILROAD REHABILITATION AND REPAIR**

**Program and Performance Statement**

Funding for this program was provided in a supplemental appropriation in 2008. This program provides discretionary grants to States to repair and rehabilitate Class 2 and Class 3 railroad infrastructure damaged by hurricanes, floods, and other natural disasters in areas for which the President declared a major disaster under title IV of the *Robert T. Stafford Disaster Relief and Emergency Assistance Act of 1974*. In 2013, no new funding is requested for this program.

**Object Classification Schedule**  
(in thousands of dollars)

Account Number: 69-0124-0-1-401

<b>Line</b>	<b>Line Title</b>	<b>FY 2011 Actual</b>	<b>FY 2012 Enacted</b>	<b>FY 2013 Request</b>
	Direct Obligations:			
41.0	Grants, subsidies, and contributions	1,729	3,498	-
99.9	Total new obligations	1,729	3,498	-



**FEDERAL RAILROAD ADMINISTRATION  
RAILROAD SAFETY TECHNOLOGY PROGRAM**

**Program and Financing Schedule**  
(in thousands of dollars)

Account Number: 69-0701-0-1-401

Line	Line Title	FY 2011 Actual	FY 2012 Enacted	FY 2013 Request
Obligations by program activity:				
0001	Railroad Safety Technology Program	49,913	87	-
0100	Total direct program	49,913	87	-
<b>0900</b>	<b>Total new obligations</b>	<b>49,913</b>	<b>87</b>	<b>0</b>
Budgetary Resources:				
Unobligated balance:				
1000	Unobligated balance brought forward, Oct 1	50,000	87	0
<b>1930</b>	<b>Total budgetary resources available</b>	<b>50,000</b>	<b>87</b>	<b>0</b>
Memorandum (non-add) entries:				
1941	Unexpired unobligated balance, end of year	87	-	-
Change in obligated balance:				
Obligated balance, start of year (net):				
3020	Obligated balance, start of year (net)	-	41,980	-
3030	Obligations incurred, unexpired accounts	49,913	87	-
3040	Outlays (gross)	-7,933	-42,067	-
3090	Unpaid obligations, end of year (gross)	41,980	-	-
3100	Obligated balance, end of year (net)	41,980	0	0
Budget authority and outlays, net:				
Discretionary:				
Outlays, gross:				
4011	Outlays from discretionary balances	7,933	42,067	-
4020	Outlays, gross (total)	7,933	42,067	0
4080	Outlays, net (discretionary)	7,933	42,067	0
4180	Budget authority, net (total)	0	0	0

**FEDERAL RAILROAD ADMINISTRATION  
RAILROAD SAFETY TECHNOLOGY PROGRAM**

**Program and Performance Statement**

The Railroad Safety Technology Program provides competitive grants to passenger and freight rail carriers, railroad suppliers, and State and local governments for projects that have a public benefit of improved railroad safety and efficiency. Projects may include the deployment of train control technologies, train control component technologies, processor-based technologies, electronically controlled pneumatic brakes, rail integrity inspection systems, rail integrity warning systems, switch position indicators and monitors, remote control power switch technologies, track integrity circuit technologies, and other new technologies to improve the safety of railroad systems. Priority is given to projects that make technologies interoperable between railroad systems; accelerate the deployment of train control technology on high risk corridors, such as those that have high volumes of hazardous materials shipments, or over which commuter or passenger trains operate; or benefit both passenger and freight safety and efficiency. Entities need not have developed plans required under sections 20156(e)(2) and 20157 of title 49 of the United States Code. However, to qualify for a grant under this program, all applicants must demonstrate that they are currently developing the required plans.

No new funds are requested in this account for fiscal year 2013.

**Object Classification Schedule**  
(in thousands of dollars)

Account Number: 69-0701-0-1-401

Line	Line Title	FY 2011 Actual	FY 2012 Enacted	FY 2013 Request
	Direct Obligations:			
41.0	Grants, subsidies, and contributions	49,913	87	-
99.9	Total new obligations	49,913	87	-

**FEDERAL RAILROAD ADMINISTRATION  
GRANTS TO THE NATIONAL RAILROAD PASSENGER  
CORPORATION**

**Program and Financing Schedule**  
(in thousands of dollars)

Account Number: 69-0704-0-1-401

Line	Line Title	FY 2011 Actual	FY 2012 Enacted	FY 2013 Request
	Obligations by program activity:			
0001	AMTRAK	-	1,553	-
<b>0900</b>	<b>Total new obligations</b>	<b>0</b>	<b>1,553</b>	<b>0</b>
	Budgetary Resources:			
	Unobligated balance:			
1000	Unobligated balance brought forward, Oct 1	973	1,553	-
1021	Recoveries of prior year unpaid obligations	580	-	-
<b>1050</b>	<b>Unobligated balance (total)</b>	<b>1,553</b>	<b>1,553</b>	<b>0</b>
<b>1930</b>	<b>Total budgetary resources available</b>	<b>1,553</b>	<b>1,553</b>	<b>0</b>
	Memorandum (non-add) entries:			
1941	Unexpired unobligated balance, end of year	1,553	-	-
	Change in obligated balance:			
	Obligated balance, start of year (net):			
3000	Unpaid obligations, brought forward, Oct 1 (gross)	4,654	76	-
3010	Uncollected pymts, Fed sources, brought forward, Oct 1	-	-	-
3020	Obligated balance, start of year (net)	4,654	76	-
3030	Obligations incurred, unexpired accounts	-	1,553	-
3040	Outlays (gross)	-3,998	-1,629	-
3080	Recoveries of prior year unpaid obligations, unexpired	-580	-	-
3090	Unpaid obligations, end of year (gross)	76	-	-
3091	Uncollected pymts, Fed sources, end of year	-	-	-
<b>3100</b>	<b>Obligated balance, end of year (net)</b>	<b>76</b>	<b>0</b>	<b>0</b>
	Budget authority and outlays, net:			
	Discretionary:			
4011	Outlays from discretionary balances	3,998	1,629	0
<b>4020</b>	<b>Outlays, gross (total)</b>	<b>3,998</b>	<b>1,629</b>	<b>0</b>
<b>4080</b>	<b>Outlays, net (discretionary)</b>	<b>3,998</b>	<b>1,629</b>	<b>0</b>
<b>4190</b>	<b>Outlays, net (total)</b>	<b>3,998</b>	<b>1,629</b>	<b>0</b>

**FEDERAL RAILROAD ADMINISTRATION  
GRANTS TO THE NATIONAL RAILROAD PASSENGER  
CORPORATION**

**Program and Performance Statement**

The National Railroad Passenger Corporation (Amtrak) was established in 1970 through the *Rail Passenger Service Act*. Amtrak is operated and managed as a for-profit corporation with all Board members appointed by the Executive Branch of the Federal Government, with the advice and consent of the Senate. Amtrak is not an agency or instrument of the U.S. Government. Since 2006, Federal resources specifically for Amtrak have been provided through separate appropriation accounts for operating, capital, and debt service grants.

Under the Administration's surface transportation authorization proposal, Amtrak will be an eligible grantee under the System Preservation and Renewal account of the new National High Performance Rail System program, funded within the Multimodal Account of the Transportation Trust Fund.

**Object Classification Schedule**  
(in thousands of dollars)

Account Number: 69-0704-0-1-401

<b>Line</b>	<b>Line Title</b>	<b>FY 2011 Actual</b>	<b>FY 2012 Enacted</b>	<b>FY 2013 Request</b>
	Direct Obligations:			
25.3	Purchases of goods and services from Government Accounts	-	1,553	-
99.9	Total new obligations	-	1,553	-

**FEDERAL RAILROAD ADMINISTRATION  
GRANTS TO THE NATIONAL RAILROAD PASSENGER  
CORPORATION – ARRA**

**Program and Financing Schedule**  
(in thousands of dollars)

Account Number: 69-0704-0-1-401

<b>Line</b>	<b>Line Title</b>	<b>FY 2011 Actual</b>	<b>FY 2012 Enacted</b>	<b>FY 2013 Request</b>
	Memorandum (non-add) entries:			
1941	Unexpired unobligated balance, end of year	-	-	-
	Change in obligated balance:			
	Obligated balance, start of year (net):			
3000	Unpaid obligations, brought forward, Oct 1 (gross)	322,781	4,713	-
3020	Obligated balance, start of year (net)	322,781	4,713	-
3040	Outlays (gross)	-318,068	-4,713	-
3090	Unpaid obligations, end of year (gross)	4,713	-	-
<b>3100</b>	<b>Obligated balance, end of year (net)</b>	<b>4,713</b>	<b>0</b>	<b>0</b>
	Budget authority and outlays, net:			
	Discretionary:			
4011	Outlays from discretionary balances	318,068	4,713	-
<b>4020</b>	<b>Outlays, gross (total)</b>	<b>318,068</b>	<b>4,713</b>	<b>0</b>
<b>4080</b>	<b>Outlays, net (discretionary)</b>	<b>318,068</b>	<b>4,713</b>	<b>0</b>

**Program and Performance Statement**

In 2009, the American Recovery and Reinvestment Act (ARRA) provided \$1.3 billion to Amtrak for capital grants, of which \$450 million was designated for capital security grants to fund enhancements in situational awareness, improvised explosive devices (IED) and Vehicle Borne Improvised Explosive Device detection, risk assessment/risk reduction cycle optimization (when vulnerabilities are discovered), and quick response communications within the intercity passenger rail network. The remaining \$850 million funds projects that remediate vulnerabilities in the system's physical infrastructure and enhance national incident management and risk mitigation capabilities in the intercity passenger rail network.

**FEDERAL RAILROAD ADMINISTRATION  
INTERCITY PASSENGER RAIL GRANT PROGRAM**

**Program and Financing Schedule**  
(in thousands of dollars)

Account Number: 69-0715-0-1-401

Line	Line Title	FY 2011 Actual	FY 2012 Enacted	FY 2013 Request
Obligations by program activity:				
0001	Intercity Passenger Rail Grant Program	48,054	35,552	-
0002	Oversight	-	250	-
<b>0900</b>	<b>Total new obligations</b>	<b>48,054</b>	<b>35,802</b>	<b>0</b>
Budgetary Resources:				
Unobligated balance:				
1000	Unobligated balance brought forward, Oct 1	78,423	34,277	-
1021	Recoveries of prior year unpaid obligations	3,908	1,525	-
<b>1050</b>	<b>Unobligated balance (total)</b>	<b>82,331</b>	<b>35,802</b>	<b>0</b>
<b>1930</b>	<b>Total budgetary resources available</b>	<b>82,331</b>	<b>35,802</b>	<b>0</b>
Memorandum (non-add) entries:				
1941	Unexpired unobligated balance, end of year	34,277	-	-
Change in obligated balance:				
Obligated balance, start of year (net):				
3000	Unpaid obligations, brought forward, Oct 1 (gross)	31,303	65,818	80,076
3010	Uncollected pymts, Fed sources, brought forward, Oct 1	-	-	-
3020	Obligated balance, start of year (net)	31,303	65,818	80,076
3030	Obligations incurred, unexpired accounts	48,054	35,802	-
3040	Outlays (gross)	-9,631	-20,019	-20,019
3080	Recoveries of prior year unpaid obligations, unexpired	-3,908	-1,525	-
3090	Unpaid obligations, end of year (gross)	65,818	80,076	60,057
3091	Uncollected pymts, Fed sources, end of year	-	-	-
<b>3100</b>	<b>Obligated balance, end of year (net)</b>	<b>65,818</b>	<b>80,076</b>	<b>60,057</b>
Budget authority and outlays, net:				
Discretionary:				
4010	Outlays from new discretionary authority	-	-	-
4011	Outlays from discretionary balances	9,631	20,019	20,019
<b>4020</b>	<b>Outlays, gross (total)</b>	<b>9,631</b>	<b>20,019</b>	<b>20,019</b>
<b>4080</b>	<b>Outlays, net (discretionary)</b>	<b>9,631</b>	<b>20,019</b>	<b>20,019</b>
<b>4190</b>	<b>Outlays, net (total)</b>	<b>9,631</b>	<b>20,019</b>	<b>20,019</b>

**FEDERAL RAILROAD ADMINISTRATION  
INTERCITY PASSENGER RAIL GRANT PROGRAM**

**Program and Performance Statement**

This competitive grant program encourages State participation in its passenger rail service. Under this program, a State or States may apply for grants for up to 50 percent of the cost of capital investments necessary to support improved intercity passenger rail service that either requires no operating subsidy or for which the State or States agree to provide any needed operating subsidy. To qualify for funding, States must include intercity passenger rail service as an integral part of Statewide transportation planning as required under section 135 of title 23 of the United States Code. Additionally, the specific project must be on the Statewide Transportation Improvement Plan at the time of application.

No new funds are requested for this program in 2013.

**Object Classification Schedule**  
(in thousands of dollars)

Account Number: 69-0715-0-1-401

<b>Line</b>	<b>Line Title</b>	<b>FY 2011 Actual</b>	<b>FY 2012 Enacted</b>	<b>FY 2013 Request</b>
	Direct Obligations:			
41.0	Grants, subsidies, and contributions	48,054	35,802	-
99.9	Total new obligations	48,054	35,802	-

**Exhibit III-1**

**RAIL LINE RELOCATION AND IMPROVEMENT PROGRAM  
Summary by Program Activity  
Appropriations, Obligation Limitations, and Exempt Obligations  
(\$000)**

<b>Line</b>	<b>FY 2011 Actual</b>	<b>FY 2012 Enacted</b>	<b>FY 2013 Request</b>	<b>Change FY 2012—2013</b>
Rail Line Relocation	10,511	-	-	-
<b>TOTAL</b>	<b>10,511</b>	<b>0</b>	<b>0</b>	<b>0</b>
<b>Positions</b>				
Direct Funded	0.0	0.0	0.0	0.0
Reimbursable, Allocated, Other	0.0	0.0	0.0	0.0
<b>Total Positions</b>	<b>0.0</b>	<b>0.0</b>	<b>0.0</b>	<b>0.0</b>
<b>FTE</b>				
Direct Funded	0.0	0.0	0.0	0.0
Reimbursable, Allocated, Other	0.0	0.0	0.0	0.0
<b>Total FTE</b>	<b>0.0</b>	<b>0.0</b>	<b>0.0</b>	<b>0.0</b>

**Program and Performance Statement**

This program provides Federal assistance to States for relocating or making necessary improvements to local rail lines. No new funds are requested for this program in 2013.



**FEDERAL RAILROAD ADMINISTRATION  
RAIL LINE RELOCATION AND IMPROVEMENT PROGRAM**

**Program and Financing Schedule**  
(in thousands of dollars)

Account Number: 69-0716-0-1-401

Line	Line Title	FY 2011 Actual	FY 2012 Enacted	FY 2013 Request
Obligations by program activity:				
0001	Rail Line Relocation	31,766	51,268	-
<b>0900</b>	<b>Total new obligations</b>	<b>31,766</b>	<b>51,268</b>	<b>0</b>
Budgetary Resources:				
Unobligated balance:				
1000	Unobligated balance brought forward, Oct 1	72,523	51,268	-
<b>1050</b>	<b>Unobligated balance (total)</b>	<b>72,523</b>	<b>51,268</b>	<b>0</b>
Budget authority:				
Appropriations, discretionary:				
1100	Appropriation	10,532	-	-
1130	Appropriations permanently reduced	-21	-	-
<b>1160</b>	<b>Appropriation, disc (total)</b>	<b>10,511</b>	<b>0</b>	<b>0</b>
<b>1900</b>	<b>Budget authority (total)</b>	<b>10,511</b>	<b>0</b>	<b>0</b>
<b>1930</b>	<b>Total budgetary resources available</b>	<b>83,034</b>	<b>51,268</b>	<b>0</b>
Memorandum (non-add) entries:				
1941	Unexpired unobligated balance, end of year	51,268	-	-
Change in obligated balance:				
Obligated balance, start of year (net):				
3000	Unpaid obligations, brought forward, Oct 1 (gross)	6,741	34,240	65,253
3020	Obligated balance, start of year (net)	6,741	34,240	65,253
3030	Obligations incurred, unexpired accounts	31,766	51,268	-
3040	Outlays (gross)	-4,267	-20,256	-20,256
3090	Unpaid obligations, end of year (gross)	34,240	65,253	44,997
<b>3100</b>	<b>Obligated balance, end of year (net)</b>	<b>34,240</b>	<b>65,253</b>	<b>44,997</b>
Budget authority and outlays, net:				
Discretionary:				
4000	Budget authority, gross	10,511	-	-
Outlays, gross:				
4010	Outlays from new discretionary authority	-	-	-
4011	Outlays from discretionary balances	4,267	20,256	20,256

**FEDERAL RAILROAD ADMINISTRATION  
RAIL LINE RELOCATION AND IMPROVEMENT PROGRAM**

**Program and Financing Schedule (cont'd)**  
(in thousands of dollars)

Account Number: 69-0716-0-1-401

Line	Line Title	FY 2011 Actual	FY 2012 Enacted	FY 2013 Request
<b>4020</b>	<b>Outlays, gross (total)</b>	<b>4,267</b>	<b>20,256</b>	<b>20,256</b>
4070	Budget authority, net (discretionary)	10,511	-	-
<b>4080</b>	<b>Outlays, net (discretionary)</b>	<b>4,267</b>	<b>20,256</b>	<b>20,256</b>
<b>4180</b>	<b>Budget authority, net (total)</b>	<b>10,511</b>	<b>0</b>	<b>0</b>
<b>4190</b>	<b>Outlays, net (total)</b>	<b>4,267</b>	<b>20,256</b>	<b>20,256</b>

**Object Classification Schedule**  
(in thousands of dollars)

Account Number: 69- - /X -0716 -000-0

Line	Line Title	FY 2011 Actual	FY 2012 Enacted	FY 2013 Request
	Direct Obligations:			
41.0	Grants, subsidies, and contributions	31,766	51,268	-
99.9	Total new obligations	31,766	51,268	-

**FEDERAL RAILROAD ADMINISTRATION  
PENNSYLVANIA STATION REDEVELOPMENT PROJECT**

**Program and Financing Schedule**  
(in thousands of dollars)

Account Number: 69-0723-0-1-401

Line	Line Title	FY 2011 Actual	FY 2012 Enacted	FY 2013 Request
	Obligations by program activity:			
0001	Pennsylvania Station redevelopment project	59,827	19	0
<b>0900</b>	<b>Total new obligations</b>	<b>59,827</b>	<b>19</b>	<b>0</b>
	Budgetary Resources:			
	Unobligated balance:			
1000	Unobligated balance brought forward, Oct 1	59,827	19	0
<b>1930</b>	<b>Total budgetary resources available</b>	<b>59,827</b>	<b>19</b>	<b>0</b>
	Change in obligated balance:			
	Obligated balance, start of year (net):			
3000	Unpaid obligations, brought forward, Oct 1 (gross)	19	55,359	44,306
3030	Obligations incurred, unexpired accounts	59,827	19	0
3040	Outlays (gross)	(4,487)	(11,072)	(11,072)
<b>3100</b>	<b>Obligated balance, end of year (net)</b>	<b>55,359</b>	<b>44,306</b>	<b>33,234</b>
	Budget authority and outlays, net:			
	Discretionary:			
4011	Outlays from discretionary balances	4,487	11,072	11,072
<b>4080</b>	<b>Outlays, net (discretionary)</b>	<b>4,487</b>	<b>11,072</b>	<b>11,072</b>
<b>4190</b>	<b>Outlays, net (total)</b>	<b>4,487</b>	<b>11,072</b>	<b>11,072</b>

**Program and Performance Statement**

Funds are used to redevelop the Pennsylvania Station in New York City, which involves renovating the James A. Farley Post Office building. Funding for this project was included in the Grants to the National Railroad Passenger Corporation appropriation in 1995 through 1997, and the Northeast Corridor Improvement Program in 1998. In 2000, an advance appropriation of \$20 million was provided for 2001, 2002, and 2003. In 2001, Congress specified that the \$20 million advance appropriation provided in 2000 for the Farley Building was to be used exclusively for fire and life safety initiatives.

No new funds are requested for this program in 2013.

**FEDERAL RAILROAD ADMINISTRATION  
PENNSYLVANIA STATION REDEVELOPMENT PROJECT**

**Object Classification Schedule**  
(in thousands of dollars)

Account Number: 69-0723-0-1-401

<b>Line</b>	<b>Line Title</b>	<b>FY 2011 Actual</b>	<b>FY 2012 Enacted</b>	<b>FY 2013 Request</b>
	Direct Obligations:			
41.0	Grants, subsidies, and contributions	59,827	19	-
99.9	Total new obligations	59,827	19	-

**FEDERAL RAILROAD ADMINISTRATION  
ALASKA RAILROAD REHABILITATION**

**Program and Financing Schedule**  
(in thousands of dollars)

Account Number: 69-0730-0-1-401

Line	Line Title	FY 2011 Actual	FY 2012 Enacted	FY 2013 Request
	Change in obligated balance:			
	Obligated balance, start of year (net):			
3020	Obligated balance, start of year (net)	46	-	-
3040	Outlays (gross)	(46)	-	-
	Budget authority and outlays, net:			
	Discretionary:			
4011	Outlays from discretionary balances	46	-	-
<b>4020</b>	<b>Outlays, gross (total)</b>	<b>46</b>	<b>0</b>	<b>0</b>
<b>4080</b>	<b>Outlays, net (discretionary)</b>	<b>46</b>	<b>0</b>	<b>0</b>

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**DEPARTMENT OF TRANSPORTATION  
FEDERAL RAILROAD ADMINISTRATION**

**ADMINISTRATIVE PROVISIONS—FEDERAL RAILROAD ADMINISTRATION**

SEC. 150. Hereafter, notwithstanding any other provision of law, funds provided in this Act for the National Railroad Passenger Corporation shall immediately cease to be available to said Corporation in the event that the Corporation contracts to have services provided at or from any location outside the United States. For purposes of this section, the word “services” shall mean any service that was, as of July 1, 2006, performed by a full-time or part-time Amtrak employee whose base of employment is located within the United States.

SEC. 151. The Secretary of Transportation may receive and expend cash, or receive and utilize spare parts and similar items, from non-United States Government sources to repair damages to or replace United States Government owned automated track inspection cars and equipment as a result of third-party liability for such damages, and any amounts collected under this section shall be credited directly to the Safety and Operations account of the Federal Railroad Administration, and shall remain available until expended for the repair, operation and maintenance of automated track inspection cars and equipment in connection with the automated track inspection program.

【SEC. 152. Notwithstanding any other provisions of law, rule, or regulation, the Secretary of Transportation is authorized to allow the issuer of any preferred stock heretofore sold to the Department to redeem or repurchase such stock upon the payment to the Department of an amount determined by the Secretary.】

SEC. 【153】152. None of the funds provided to the National Railroad Passenger Corporation may be used to fund any overtime costs in excess of \$35,000 for any individual employee: *Provided*, That the president of Amtrak may waive the cap set in the previous proviso for specific employees when the president of Amtrak determines such a cap poses a risk to the safety and operational efficiency of the system: *Provided further*, That Amtrak shall notify House and Senate Committees on Appropriations within 30 days of waiving such cap and delineate the reasons for such waiver.

SEC. 153. *RAILROAD SAFETY USER FEES.*

(a) *SCHEDULE OF RAILROAD SAFETY USER FEES.* The Secretary of Transportation shall prescribe by regulation, for application in the current fiscal year and in subsequent fiscal years, a schedule of rail safety fees for railroad carriers subject to Part A of Subtitle V of title 49, United States Code. The fees shall cover the costs of carrying out such Part and Chapter 51 of title 49, United States Code, (transportation of hazardous materials) and shall be imposed fairly on railroad carriers, in reasonable relationship to appropriate criteria to

*be developed by the Secretary. The Secretary shall amend this regulation periodically so as to ensure that the schedule of fees covers such costs.*

*(b) COLLECTION PROCEDURES. The Secretary shall prescribe procedures to collect the fees. The Secretary may use the services of a department, agency, or instrumentality of the United States Government or a State or local authority to collect the fees, and may reimburse the department, agency, instrumentality, or authority a reasonable amount for its services.*

*(c) COLLECTION, DEPOSIT, AND USE.—*

*(1) Fees collected under this section shall be deposited in the Federal Railroad Administrations Safety and Operations account as offsetting collections.*

*(2) Such fees shall be collected and available to the extent provided in appropriations acts.*



**DEPARTMENT OF TRANSPORTATION  
FEDERAL RAILROAD ADMINISTRATION**

**HISTORY OF APPROPRIATIONS, FY 2003 TO FY 2012**  
(thousands of dollars)

Account	FY 2003 <sup>1/</sup>	FY 2004 <sup>2/</sup>	FY 2005 <sup>3/</sup>	FY 2006 <sup>4/</sup>	FY 2007
<b>Appropriations Realized:</b>					
Safety and Operations	116,300	129,536	138,117	144,490	150,271
Railroad Safety Technology Program	686	--	--	--	--
Local Rail Freight Assistance	29,134	--	--	--	--
Railroad Research and Development	--	33,824	35,737	54,524	34,524
Rail Line Relocation and Improvement	--	--	--	--	--
Pennsylvania Station	19,870	--	--	--	--
Amtrak	1,043,175	1,217,773	1,207,264	1,293,633 <sup>5/</sup>	1,293,550 <sup>6/</sup>
Amtrak Reform Council	--	--	--	--	--
Intercity Passenger Rail Grants	--	--	--	--	--
Next Generation High-Speed Rail	30,252	37,179	19,493	--	--
Alaska Railroad Rehabilitation	21,857	24,853	24,800	9,900	--
Capital Assistance for High-Speed Rail Corridors and Intercity Passenger Rail	--	--	--	--	--
<b>SUBTOTAL, Appropriations Realized</b>	<b>1,261,274</b>	<b>1,443,165</b>	<b>1,425,411</b>	<b>1,502,547</b>	<b>1,478,345</b>
<b>Other New Authority:</b>					
Railroad Rehabilitation and Improvement Financing Program	7,470	5,713	--	--	3,294
Emergency Railroad Rehabilitation and Repair	--	--	--	--	--
Capital Grants to the National Railroad Passenger Corporation	--	--	--	--	--
Capital Assistance for High-Speed Rail Corridors and Intercity Passenger Rail Service	--	--	--	--	--
<b>TOTAL, FRA Budget Authority</b>	<b>1,268,744</b>	<b>1,448,878</b>	<b>1,425,411</b>	<b>1,502,547</b>	<b>1,481,639</b>

**Notes:**

- 1/ FY 2003 appropriations (P.L. 108-7) reflect a 0.65% across-the-board rescission.
- 2/ FY 2004 appropriations (P.L. 108-199) reflect a 0.59% across-the-board rescission.
- 3/ FY 2005 appropriations (P.L. 108-447) reflect a 0.80% across-the-board rescission.
- 4/ FY 2006 appropriations (P.L. 109-115) reflect a 1.0% across-the-board rescission.
- 5/ FY 2006 Amtrak total appropriations includes Operating Grants (\$495.0M), Capital/Debt Service Grants (\$780.0M), and Efficiency Grants (\$40.0M), of which \$8.3M is available for revenue service demonstration only.
- 6/ FY 2007 full year CR appropriations (P.L. 110-5) reflect Amtrak total appropriations, which include Operating Grants (\$495.0M), Capital and Debt Service Grants (\$780.0M), and Efficiency Grants (\$31.3M).

**DEPARTMENT OF TRANSPORTATION  
FEDERAL RAILROAD ADMINISTRATION**

**HISTORY OF APPROPRIATIONS, FY 2003 to FY 2012 (cont'd)**  
(thousands of dollars)

Account	FY 2008	FY 2009	FY 2010	FY 2011 <sup>13/</sup>	FY 2012
<b>Appropriations Realized:</b>					
Safety and Operations	150,193	159,445	172,270	176,596	178,596
Railroad Safety Technology Program	--	--	50,000	--	--
Local Rail Freight Assistance	--	--	--	--	--
Railroad Research and Development	35,964	33,950	37,613	35,030	35,000
Rail Line Relocation and Improvement	20,040 <sup>7/</sup>	25,000	34,532	10,511	--
Pennsylvania Station	--	--	--	--	--
Amtrak	1,325,000 <sup>8/</sup>	1,490,000 <sup>10/</sup>	1,564,625 <sup>12/</sup>	1,483,652 <sup>14/</sup>	1,418,000 <sup>16/</sup>
Amtrak Reform Council	--	--	--	--	--
Intercity Passenger Rail Grants	30,000	90,000	--	--	--
Next Generation High-Speed Rail	--	--	--	--	--
Alaska Railroad Rehabilitation	--	--	--	--	--
Capital Assistance for High-Speed Rail Corridors and Intercity Passenger Rail	--	--	2,500,000	[-400,000] <sup>15/</sup>	--
<b>SUBTOTAL, Appropriations Realized</b>	<b>1,561,197</b>	<b>1,798,395</b>	<b>4,359,040</b>	<b>1,705,789</b>	<b>1,631,596</b>
<b>Other New Authority:</b>					
Railroad Rehabilitation and Improvement Financing Program	20,751	16,753	18,441	23,692	--
Emergency Railroad Rehabilitation and Repair	20,000 <sup>9/</sup>	--	--	--	--
Capital Grants to the National Railroad Passenger Corporation	--	1,300,000 <sup>11/</sup>	--	--	--
Capital Assistance for High-Speed Rail Corridors and Intercity Passenger Rail Service	--	8,000,000 <sup>11/</sup>	--	--	--
<b>TOTAL, FRA Budget Authority</b>	<b>1,601,948</b>	<b>11,115,148</b>	<b>4,377,481</b>	<b>1,729,481</b>	<b>1,631,596</b>

**Notes:**

- 7/ FY 2008 Rail Line Relocation and Improvement Financing Program appropriations (P.L. 110-161) reflect a 2% rescission on \$5.24M in earmarks.
- 8/ FY 2008 appropriations (P.L. 110-161) reflect Amtrak total appropriations of Operating Grants (\$475.0M) and Capital/Debt Service Grants (\$850.0M).
- 9/ FY 2008 Emergency Supplemental (P.L. 110-329).
- 10/ FY 2009 appropriations (P.L. 111-8) reflects Amtrak total appropriations of Operating Grants (\$550.0M) and Capital/Debt Service Grants (\$940.0M).
- 11/ FY 2009 ARRA appropriations (P.L. 111-5) reflect \$1.3B for Amtrak and \$8.0B for High-Speed Rail Corridors and Intercity Passenger Rail Service.
- 12/ FY 2010 appropriations (P.L. 111-117) reflect Amtrak total appropriations of Operating Grants (\$563.0M) and Capital/Debt Service Grants (\$1,001.6M).
- 13/ FY 2011 full year CR appropriations (P.L. 112-10) reflect a 0.02% across-the-board rescission.
- 14/ FY 2011 full year CR appropriations for Amtrak (P.L. 111-17) reflect Operating Grants (\$563M) and P.L. 112-10 reflects Capital/Debt Service Grants (\$921.7M).
- 15/ FY 2011 appropriations (P.L. 112-10) reflect a \$400M rescission of prior year unobligated balances.
- 16/ FY 2012 appropriations (P.L. 112-55) reflect Amtrak total appropriations including Operating Grants (\$466.0M), Capital/Debt Service Grants (\$952.0M), of which not less than \$50.0M shall be made available to bring Amtrak served facilities and stations into compliance with the Americans with Disabilities Act.

**DEPARTMENT OF TRANSPORTATION  
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**DISCUSSION OF EXHIBIT 300s**

The Exhibit 300 is designed to coordinate OMB's collection of agency information for its reports to the Congress required by the Federal Acquisition Streamlining Act of 1994 (FASA Title V) and the Clinger-Cohen Act of 1996; to ensure the business case for investments are made and tied to the mission statements, long-term goals and objectives, and annual performance plans developed pursuant to the GPRA. For IT, Exhibit 300s are designed to be used as one-stop documents for many of IT management issues such as business cases for investments, IT security reporting, Clinger Cohen Act implementation, E-Gov Act implementation, Government Paperwork Elimination Act implementation, agency's modernization efforts, and overall project investment management. FRA has completed exhibit 300s for each of our IT projects; they can be found online at [www.dot.gov](http://www.dot.gov).

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**DEPARTMENT OF TRANSPORTATION  
FEDERAL RAILROAD ADMINISTRATION**

**RESEARCH, DEVELOPMENT, AND TECHNOLOGY BUDGET AUTHORITY**  
(thousands of dollars)

Program	FY 2011 Actual	FY 2012 Enacted	FY 2013 Request	FY 2013 Applied	FY 2013 Development
<b>Railroad Research and Development</b>	<b>35,030</b>	<b>35,000</b>	<b>35,500</b>	<b>6,936</b>	<b>25,813</b>
<i>Track Research</i>	<i>10,804</i>	<i>10,773</i>	<i>11,179</i>	<i>2,400</i>	<i>6,028</i>
Track and Structures	5,076	5,075	5,010	1,400	3,610
Track and Train Interaction	3,353	3,353	3,418	1,000	2,418
R&D Facilities and Test Equipment/TTC (F)	2,375	2,345	2,251	n.a.	n.a.
Sustainability Improvements (F)	-	-	500	n.a.	n.a.
<i>Rolling Stock Program</i>	<i>8,521</i>	<i>8,522</i>	<i>8,322</i>	<i>1,686</i>	<i>6,636</i>
Rolling Stock and Components	2,794	2,794	2,796	446	2,350
Hazardous Materials Transportation	1,443	1,444	1,496	240	1,256
Train Occupant Protection	4,284	4,284	4,030	1000	3,030
<i>Train Control and Communication</i>	<i>9,286</i>	<i>9,286</i>	<i>8,086</i>	<i>900</i>	<i>7,186</i>
Train Control	7,330	7,330	6,473	600	5,873
Grade Crossings	1,956	1,956	1,613	300	1,313
<i>Human Factors Program</i>	<i>3,045</i>	<i>3,045</i>	<i>3,542</i>	<i>350</i>	<i>3,192</i>
<i>Railroad Systems Issues</i>	<i>3,374</i>	<i>3,374</i>	<i>3,871</i>	<i>1,100</i>	<i>2,771</i>
System Research	3,374	3,374	3,471	900	2,571
Program Oversight	-	-	400	200	200
<i>Railroad Cooperative Research Program</i>	<i>0</i>	<i>0</i>	<i>500</i>	<i>500</i>	<i>0</i>
<b>Safety and Operations</b>	<b>4,490</b>	<b>4,696</b>	<b>4,771</b>	<b>1,200</b>	<b>3,571</b>
Salaries and Expenses (R&D)	4,490	4,696	4,771	1,200	3,571
<b>Subtotal, Research and Development</b>	<b>37,145</b>	<b>37,351</b>	<b>37,520</b>	<b>8,136</b>	<b>29,384</b>
<b>Subtotal, Technology Investment (T)</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
<b>Subtotal, Facilities (F)</b>	<b>2,375</b>	<b>2,345</b>	<b>2,751</b>	<b>0</b>	<b>0</b>
<b>TOTAL, FRA</b>	<b>39,520</b>	<b>39,696</b>	<b>40,271</b>	<b>8,136</b>	<b>29,384</b>

n.a. Not applicable

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**U.S. DEPARTMENT OF TRANSPORTATION  
FEDERAL RAILROAD ADMINISTRATION**

**Railroad Safety Strategy:  
FY 2013**



**February 2012**

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## INTRODUCTION

Section 102 of the *Rail Safety Improvement Act of 2008* (RSIA), quoted below, directed the Federal Railroad Administration (FRA) to develop a railroad safety strategy and submit it at the same time as the President's budget. This report's organization mirrors the legislation language structure.

### ***“SEC. 102. RAILROAD SAFETY STRATEGY***

*“(a) SAFETY GOALS—In conjunction with existing federally-required and voluntary strategic planning efforts ongoing at the Department and the Federal Railroad Administration as of the date of enactment of this Act, the Secretary shall develop a long-term strategy for improving railroad safety to cover a period of not less than 5 years. The strategy shall include an annual plan and schedule for achieving, at a minimum, the following goals:*

*“(1) Reducing the number and rates of accidents, incidents, injuries, and fatalities involving railroads including train collisions, derailments, and human factors.*

*“(2) Improving the consistency and effectiveness of enforcement and compliance programs.*

*“(3) Improving the identification of high-risk highway-rail grade crossings and strengthening enforcement and other methods to increase grade crossing safety.*

*“(4) Improving research efforts to enhance and promote railroad safety and performance.*

*“(5) Preventing railroad trespasser accidents, incidents, injuries and fatalities.*

*“(6) Improving the safety of railroad bridges, tunnels, and related infrastructure to prevent accidents, incidents, injuries, and fatalities caused by catastrophic failures and other bridge and tunnel failures.*

*“(b) RESOURCE NEEDS.—The strategy and annual plan shall include estimates of the funds and staff resources needed to accomplish the goals established by subsection (a). Such estimates shall also include the staff skills and training required for timely and effective accomplishment of each such goal.*

*“(c) SUBMISSION WITH THE PRESIDENT'S BUDGET.—The Secretary shall submit the strategy and annual plan to the Senate Committee on Commerce, Science, and Transportation and the House of Representatives Committee on Transportation and Infrastructure at the same time as the President's budget submission.*

*“(d) ACHIEVEMENT OF GOALS.—*

*“(1) PROGRESS ASSESSMENT.—No less frequently than annually, the Secretary shall assess the progress of the Department toward achieving the strategic goals described in subsection (a). The Secretary shall identify any deficiencies in achieving the goals within the strategy and develop and institute measures to remediate such deficiencies. The Secretary and the Administrator shall convey their assessment to the employees of the Federal Railroad Administration and shall identify any deficiencies that should be remediated before the next progress assessment.*

*"(2) REPORT TO CONGRESS.—Beginning in 2009, not later than November 1 of each year, the Secretary shall transmit a report to the Senate Committee on Commerce, Science, and Transportation and the House of Representatives Committee on Transportation and Infrastructure on the performance of the Federal Railroad Administration containing the progress assessment required by paragraph (1) toward achieving the goals of the railroad safety Strategy and annual plans under subsection (a).*

This document is FRA's strategy for fiscal year (FY) 2013. FRA will provide an evaluation of its performance 1 year from this budget submission.

## **BACKGROUND**

FRA promotes and regulates safety throughout the Nation's railroad industry. Most of the regulatory authority is codified under parts 200 to 249 of title 49 of the Code of Federal Regulations (49 CFR 200–249). FRA has numerous enforcement tools under its authority, including defect and deficiency warnings, civil penalties, compliance and emergency orders, special notices, and directives.

FRA executes its regulatory and inspection responsibilities through a diverse staff of railroad safety experts. FRA safety inspectors specialize in five safety disciplines assigned to eight regional offices across the Nation. These disciplines consist of Track, Signal and Train Control (S&TC), Motive Power and Equipment (MP&E), Operating Practices (OP), and Hazardous Materials (HM). In addition, FRA's field components include program managers and specialists for highway-rail grade crossing safety, trespass prevention, rail and infrastructure integrity, and industrial hygiene.

The railroad industry's safety record improved significantly from FY 2001 through FY 2010, with the total number of all reportable rail-related accidents and incidents declining 31 percent (16,699 vs. 11,450, respectively).<sup>1</sup> During this period, the number of train accidents fell 38 percent (3,093 vs. 1,919), casualties (deaths and injuries) dropped 27 percent (12,349 vs. 8,956), and highway-rail grade crossing incidents decreased 42 percent (3,415 vs. 1,982).

## **LONG-TERM STRATEGY MEASURES**

The long-term safety achievements expected from RSIA section 102 and other FRA safety efforts are best evaluated using the performance measures FRA established pursuant to the *Government Performance and Results Act of 1993* (GPRA). Since 2003, FRA has been using these goals to measure regional and overall FRA safety performance. Regional management can monitor and compare their performance data against the GPRA goals on a monthly basis.

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<sup>1</sup> Collisions, derailments, fires, explosions, acts of God, or other events involving the operation of railroad on-track equipment (standing or moving) and causing reportable damages greater than the reporting threshold for the year in which the accident/incident occurred must be reported using FRA Form F6180.54. The threshold for calendar year 2011 was \$9,400.

FRA focuses on achieving safety improvements through rulemakings, compliance oversight and enforcement, and alternative methods, such as the Risk Reduction Program (RRP). RRP improves safety by using innovative methods, processes, and technologies to identify and mitigate individual and systemic factors that contribute to accidents. Industry stakeholders collaboratively analyze “upstream” predictive data to target their efforts.

FRA’s GPRA goals for FYs 2013 through 2017, based on existing resources, are listed below.<sup>2</sup>

**1: Grade Crossing Incidents\***

Measure	2013	2014	2015	2016	2017
Rate Per Million Train-Miles	3.100	2.900	2.700	2.500	2.300

\* Includes train accidents.

**2: Human Factor-Caused Train Accidents**

Measure	2013	2014	2015	2016	2017
Rate Per Million Train-Miles	1.100	1.090	1.080	1.070	1.060

**3: Track-Caused Train Accidents**

Measure	2013	2014	2015	2016	2017
Rate Per Million Train-Miles	1.060	1.055	1.050	1.045	1.040

**4: Equipment-Caused Train Accidents**

Measure	2013	2014	2015	2016	2017
Rate Per Million Train-Miles	0.420	0.418	0.415	0.413	0.410

**5: Signal/Miscellaneous Train Accidents**

Measure	2013	2014	2015	2016	2017
Rate Per Million Train-Miles	0.530	0.510	0.490	0.470	0.450

In FY 2011, FRA reevaluated its hazmat measure and developed a new measure that more adequately reflects FRA’s hazmat program and goals. The new measure uses hazmat ton-miles in its methodology. The table below shows the new hazmat goals using the old and new measure.

<sup>2</sup> FRA evaluates and updates its GPRA goals annually using the latest safety data available. As such, future GPRA goals could improve further with new safety initiatives and additional resources to implement such initiatives.

## 6: Non-Accident Hazardous Materials Releases

Measure	2013	2014	2015	2016	2017
Rate Per Million Train-Miles— Old Methodology	0.780	0.780	0.780	0.780	0.780
Rate Per 200 Million Ton- Miles—Revised Methodology	1.220	1.218	1.215	1.213	1.210

FRA also has an overall accidents and incidents per million train-miles performance measure as part of the U.S. Department of Transportation (DOT) safety performance goals. Programs such as the National Safety Program Plan (NSPP), the National Inspection Plan (NIP), rulemakings, RRP, and inspections contribute to achieving these safety goals.

### DOT Safety Performance Goal: Rail Accidents/Incidents

Measure	2013	2014	2015	2016	2017
Rate Per Million Train-Miles	16.300	16.100	15.900	15.700	15.500

## RSIA SAFETY GOALS

**Goal #1: Reducing the number and rates of accidents, incidents, injuries, and fatalities involving railroads, including train collisions, derailments, and human factors.**

### National Safety Program Plan (NSPP)

The NSPP is the FRA Office of Railroad Safety’s annual document designed to ensure the sound implementation of the National Safety Program, including identification of recurring and nonrecurring special-emphasis activities for the year. FY 2006 was the first year that FRA produced a unified NSPP with submissions from all of the safety disciplines, regions, and Railroad System Oversight Managers (RSOM) for each Class I railroad. The NSPP is issued to every employee in the Office of Railroad Safety. Employees are advised that quarterly assessments of all regional, RSOM, and FRA headquarters initiatives will occur.

The NSPP provides a mechanism for planning recurring activities (e.g., dispatch center assessments performed triennially on a rotating basis). At the national level, it identifies emphasis areas based on data analyses, including interregional initiatives directed at particular system-level issues of concern for major railroads operating in multiple regions. The NSPP for FY 2011 integrates safety planning for all elements of the Office of Railroad Safety into a single document, and fully supports GPRA and DOT goals.

### National Inspection Plan (NIP)

In December 2004, the Office of Inspector General (OIG) recommended that FRA submit to the Secretary of Transportation a comprehensive rail safety plan for implementing a program that makes meaningful use of available data on which to focus inspection activities. In 2005, FRA issued the National Rail Safety Action Plan, which contains the development and

implementation of a new NIP. Under this approach, FRA inspectors focus their efforts on locations that, according to data-driven models, are likely to have safety problems.

The purpose of the NIP is to optimize FRA's ability to reduce the rates of various types of train accidents, releases of hazardous materials, and casualties from human factor errors. The plan provides guidance to each regional office on how its inspectors, who each specialize in one of the six inspection disciplines, should divide their work by railroad and by State.

The NIP is a process that involves three steps. In the first step, FRA headquarters produces an initial baseline plan for each of the Agency's eight regions based on an analysis of historical accident and inspection data. In the second step, the regional administrators may adjust the goals for their respective regions based on local knowledge and emerging issues. In the third step, FRA will monitor how the regions are meeting their inspection goals. The NIP is implemented through a Web-based interface that allows FRA headquarters and regional offices to monitor progress in field inspections during a fiscal year.

### Dashboard

In 2008, FRA deployed an internal dashboard tool on its secure Web site to provide its leadership, regional management, and inspection workforce multiple views of the Agency's current and historical enforcement efforts. Inspection data from the field is compiled in near-real time environment, which updates every 24 hours. This routine nightly process creates the data stores points used to display detail and aggregated data graphically (bar graphs and gauges). The dashboard is also used as an effective performance management tool. It maintains more than 15 different metrics (e.g., inspection days, defect ratios, violations) at the inspector, discipline, and regional levels. Finally, the dashboard enables several complex query and report programs from the main secure Web site that have been integrated into the output displays and provide users additional detail. It is a decision-support tool in managing limited inspection resources when scheduling enforcement activities such as focused inspections and audits. It also allows FRA headquarters managers to monitor inspection activities in the regions to ensure that enforcement and compliance policy is applied uniformly.

Additionally, by using the dashboard "cube," an online analytical processing data-mining tool, headquarters and regional staff are able to view inspections summarized by a variety of categories (e.g., inspector activity) and correlate this with information on what types of accidents and incidents are occurring in the region. This allows a joint effort to address where the safety hazards are being identified and plan inspection activities accordingly. The regional managers also use this data to ensure each discipline and inspector is maintaining the goals and to address outliers in the data.

NIP and GPRA links are also available on the dashboard.

FRA anticipates that it will publish an inspector activity report dashboard by the end of 2012. Based upon the inspector activity reports submitted by the field, FRA management will be able to review the daily activities of its safety inspector staff through various charts and graphs.

## Positive Train Control (PTC)

FRA is continuing to support national deployment of advanced signal and train control technology—positive train control (PTC) systems—to improve the safety, security, and efficiency of freight, intercity passenger, and commuter rail services. PTC refers to processor-based and communication-based technology capable of preventing train-to-train collisions, overspeed derailments, incursion into established roadway work zone limits, and the movement of a train through a switch not properly lined. PTC systems vary widely in complexity and sophistication based on the level of automation and functionality they implement, the system architecture used, and the degree of train control they are capable of assuming. Current PTC system designs serve as either non-vital or vital safety overlays for existing methods of rail operations, or as stand-alone systems that provide the functionality necessary to implement new methods of rail operations. PTC technology also has the potential capability to limit adverse consequences of events such as hijackings and runaways.

Based on RSIA requirements and assistance from the Railroad Safety Advisory Committee (RSAC) PTC Working Group, FRA published a new Federal regulation on January 15, 2010, and an amended regulation on September 27, 2010. Pursuant to the rule, 42 railroads submitted plans for implementing PTC. FRA reviewed each plan and provided written notification of its approval or provisional approval, approval or provisional approval with conditions, or disapproval. Since then, FRA has received and approved the revised and corrected plans. One additional railroad submitted an initial plan. FRA reviewed it and recently notified the railroad about issues and concerns that require correction or further clarification.

Thirty-seven railroads will implement PTC systems on their properties; the remaining five do not have to implement PTC based on the allowable exceptions in the rule. Each implementation plan presents a timeline for PTC system implementation; however according to statutory mandate, all required PTC systems must be implemented by December 31, 2015. Most of the 37 railroads will complete pilot testing by the end of CY 2013 and full implementation during CYs 2014 and 2015.

The scope of deployment (approximately one-half of all route miles of track in the United States), and the statutory deadline necessitate significant FRA oversight, guidance, and technical assistance, as well as requiring railroads to begin deployment prior to completion of their pilot testing. FRA will provide field engineering and oversee pre-revenue service system testing during FY 2013 through the first quarter of FY 2016. FRA will also provide formal approval and system certification of the Southern California Regional Rail Authority PTC system during FY 2013, followed by formal approval and system certification of the remaining 36 PTC systems during FY 2014 through first quarter FY 2016. As required by RSIA, FRA will submit a status report to Congress on the railroads implementation progress by the end of first quarter FY 2013.

After FRA issued its PTC final rule on January 15, 2010, and denied reconsideration on July 8, 2010, the Association of American Railroads (AAR) filed a petition for review of the rule with the U.S. Court of Appeals for the District of Columbia. AAR filed another petition for review after FRA issued the PTC final rule amendments. The Court consolidated both petitions on October 22, 2010 (collectively, “Petition for Review”).

FRA and AAR entered into a settlement agreement on March 2, 2011. The terms and conditions of the settlement agreement include the joint filing of a motion to hold the Petition for Review in abeyance, pending completion of this rulemaking. The Court granted the motion on March 3, 2011. The settlement agreement provides that FRA will issue two notices of proposed rulemaking (NPRM). FRA issued the first NPRM on August 17, 2011 which addresses whether the PTC rule should eliminate two tests that could require PTC to be installed on track segments not specifically required to be equipped by Congress. FRA expects to issue a final rule on this matter during FY 2012. The second NPRM that will address how to handle en-route failures of PTC-equipped trains, circumstances under which a signal system could be removed after PTC installation, and whether yard movements and certain other train movements should qualify for a *de minimis* risk exception to the PTC rule. FRA is in the process of developing this NPRM.

RSIA authorized \$50 million per year between FY 2009 through FY 2013 for a grant program to support execution of railroad safety technology projects that yield public benefits in improved railroad safety and efficiency. Congress appropriated the funds (69-X-0701) in the FY 2010 appropriation, with which FRA awarded nine grants. FRA will provide technical and financial oversight of the projects until their completion, which is expected by March 31, 2013.

The high-speed rail system design and development efforts will continue through FY 2017. All of these efforts include PTC system development and deployment with FRA providing ongoing PTC technical support.

#### Rail Route Analysis Requirements for Security-Sensitive Hazardous Materials

On November 25, 2008, the Pipeline and Hazardous Materials Safety Administration (PHMSA), in close consultation with FRA, published a final rule implementing the *9/11 Commission Act of 2007*(the Act). Among other provisions, the Act required DOT to issue a final rule that required rail carriers of security-sensitive hazardous materials to “select the safest and most secure route to be used in transporting” those materials, based on the rail carrier’s analysis of safety and security risks on primary and alternate transportation routes. FRA is administering the PHMSA rule and can require a carrier to change routes if (1) the carrier failed to conduct an adequate analysis or (2) the carrier failed to select the safest and most secure route. This action would only be taken after consulting with PHMSA, the Transportation Security Administration (TSA), and the Surface Transportation Board.

PHMSA’s rail routing rule requires rail carriers of security-sensitive hazardous materials to compile traffic data annually on shipments of these materials. The U.S. Department of Homeland Security (DHS) and DOT have determined that security-sensitive materials are bulk shipments of poison-by-inhalation (PIH) materials; certain explosive materials that pose a hazard of mass explosion, fragment projectile or fire hazard; and certain high-level radioactive material shipments. Railroads are required annually to analyze and assess the safety and security of the routes used to transport these security-sensitive materials and all available practicable alternative routes over which they have authority to operate, and to solicit input from State, local, and tribal officials regarding security risks to high-consequence targets along or in proximity to the routes. The route assessment must consider a minimum of 27 risk factors, including rail infrastructure characteristics along the route, proximity to iconic targets, environmentally sensitive or

significant areas, population densities, and emergency response capabilities. After considering mitigation measures to reduce safety and security risks, the railroads are to select the practicable routes that pose the lowest overall risks.

Using funding from DHS, the Railroad Research Foundation developed a risk management tool that had assisted rail carriers in performing the safety and security analyses mandated by RSIA. The Rail Corridor Risk Management System is a Web-based interactive tool that enables rail carriers to identify route characteristics using the 27 risk factors and to weigh safety and security impacts. This tool provides a standardized, consistent approach to selecting the rail routes posing the lowest overall safety and security risks for security-sensitive hazardous materials.

In FY 2010, FRA created the Routing Rule Compliance Team consisting of members from FRA's Offices of Railroad Safety, Policy, and Chief Counsel, as well as representatives from PHMSA and TSA. The purpose of this team is to verify that railroads comply with the new routing rule regulation. In FY 2011, the FRA team met with all Class I railroads and was briefed on each railroad's routing plan. At each meeting, which took place at each respective railroad's facilities, the team examined the carrier's decision-making process for selecting routes to ensure that (1) the railroad conducted an adequate analysis of the route, and (2) the railroad selected the safest and most secure route, given economic viability. This process will be repeated annually. Class II and Class III railroads that transport security-sensitive hazardous material are also required to follow the Routing Rule Regulation. The Routing Rule Compliance Team is working diligently on a plan of inspection that will begin in FY 2012 that includes Class II and Class III railroads.

#### Confidential Close Call Reporting System (C3RS)

Since 2007, FRA has sponsored 12 C3RS pilot projects on divisions of four railroads: Union Pacific Railroad, Canadian Pacific Railway, New Jersey Transit, and Amtrak (nine yard locations). Contributing to this initiative's effectiveness is the partnering that occurs with railroad labor, including the United Transportation Union, Brotherhood of Locomotive Engineers and Trainmen, and the American Train Dispatchers Association. The C3RS initiative enhances railroad safety culture by building trust and relying on the program's core operating principles—it is voluntary, confidential, and non-punitive, and the collected data is used to recommend corrective actions and provide feedback.

Based on railroad industry support and positive evaluations of the pilot projects, FRA proposes to advance this concept to a national level in FY 2013.

#### Rulemakings

Through its Railroad Safety Advisory Committee (RSAC), FRA works collaboratively with Government entities, railroads, unions, trade associations, suppliers, and other stakeholders to develop mutually satisfactory solutions on safety issues. Recent RSAC rulemakings completed include passenger rail hours of service, concrete crossties, conductor certification, and PTC. Its schedule for 2011 also included medical standards for safety-critical personnel, critical incident stress plans, and minimum training standards and plans for each class or craft of safety-related employee.



FRA has worked to develop several other new regulations through the traditional rulemaking process as well. These rulemakings include restrictions on use of electronic devices (cell phone and texting restrictions) and minimum safety and health requirements for camp car sleeping quarters. FRA has begun traditional rulemakings that establish (1) emergency notification systems for highway-rail grade crossings, (2) requirements for atmosphere-supplying emergency escape breathing apparatuses, and (3) modifications of FRA's drug and alcohol regulation to include maintenance-of-way employees.

FRA will work with regulated entities in support of the implementation of new regulations.

### Risk Reduction Program (RRP)

The RRP is an FRA-led, industry-wide initiative to reduce accidents and injuries, build strong safety cultures by developing innovative methods, processes, and technologies to identify and correct individual and systemic contributing factors using "upstream" predictive data. RRP will incorporate developing knowledge of precursors to actual accidents, confidential reporting, effective problem analysis, and corrective actions. The adoption of new non-regulatory approaches creates the opportunity for accelerated improvement but does not supersede current regulatory approaches. After FRA initiated this program on its own, RSIA made completion of a regulation on it mandatory by October 2012.

FRA envisions a wide variety of projects that could fit under the RRP umbrella. Some examples include the close call reporting systems, peer observation programs, management development systems, and the collision hazard analysis currently in place on some commuter railroads. In addition, use of the Track Quality Index or innovative uses of wayside equipment monitors and sensors for predictive maintenance or capital investment may qualify as RRP programs. Any innovative use of predictive data could become a potential pilot.

FRA has also initiated a program to make the use of personal electronic devices by railroad employees engaged in safety-critical work socially unacceptable. FRA is developing peer-to-peer coaching programs to effect major safety culture changes throughout the industry with assistance of the RSAC. The first meeting of the RSAC working group, which focused on electronic device distraction, was held in October 2011.

The Office of Railroad Safety provided limited grants when funds were made available in response to the provision in RSIA that allows FRA to develop pilot programs to inform development of the regulation. In October 2009, FRA provided grants to several projects submitted by Amtrak and Class I freight railroads. The projects listed below were chosen for their likeliness to improve safety, reduce risk and for the applicability for collaborative transfer to other railroads.

- Safety Culture Change (Amtrak)
- Reduce Grade Crossing Fatalities (Amtrak)
- Cross-functional Risk Reduction (Amtrak)
- Track Substructure Risk Mitigation and Reliability Improvement Project (Amtrak)
- Behavioral Accident Prevention Process (PRIDE) (BNSF Railway)

- Unattended Track Geometry Inspection (Soo Line Railroad)
- Continuous High-Speed Rail Test (CSX Transportation)
- Broken Rail Risk Reduction (Norfolk Southern Railway)
- Fatigue Risk Management System (Union Pacific Railroad)

FRA selected and provided additional grants to the projects that showed the greatest ability to affect risk levels. During the summer of 2011, FRA solicited proposals from short-line railroads, universities, and other interested stakeholder organizations in order to increase the variety of projects targeted at identifying innovative and proactive ways to address safety, and provided grants to the projects selected.

In addition to the voluntary programs, FRA will promulgate a regulation requiring certain railroads to develop and implement a risk reduction program, and file the RRP plans with FRA. Once the regulation is in effect, FRA will initiate approval of the RRP plans and monitor the railroads' compliance, to ensure that railroads proactively identify and address risks associated with the RRP. The regulation will not apply to the entire industry. It will only apply to Class I, certain passenger railroads, and other railroads with inadequate safety performance. To initiate the process for developing a regulation for risk reduction programs, FRA published an Advance Notice of Proposed Rulemaking in CY 2010 and held two public hearings to obtain comments in July 2011.

### Passenger Rail

In 2009, FRA formally established the Passenger Rail Division (PRD) to support the RSIA initiative for the development of passenger rail system safety programs throughout the United States and to support the *American Recovery and Reinvestment Act of 2009* (ARRA) initiative for high-speed and commuter passenger rail development. PRD is coordinating and maintaining FRA safety policies, regulations, and guidance for all matters related to high-speed, intercity rail, commuter rail, and shared-use rail operations.

The primary focus of PRD is to develop new Federal standards for passenger rail equipment and operations. The program will also help to evaluate the safety of proposed rail operations. This division concentrates on issues associated with the selection, implementation, and evaluation of passenger rail projects pertaining to system safety and emergency response plans. PRD also addresses many of the issues associated with the selection, implementation, and evaluation of "new start" railroads and the associated planning and determination of compliance with existing Federal regulations. PRD is currently working with new start railroads in Florida, Colorado, California, Texas, Michigan, Pennsylvania, North Carolina, New Jersey, and New York. The Division's responsibilities also include a focus on pilot projects that involve application of new technologies to improve safety.

FRA has an outreach program to provide passenger railroads with training and information on system safety techniques. FRA collaborates with the American Public Transportation Association to conduct system safety audits on passenger rail operations. System safety for passenger rail operations is currently a voluntary program. However, PRD staff is working with an RSAC working group to develop a system safety regulation that requires all passenger

railroads to develop and implement system safety programs that satisfy the RSIA requirements for a risk reduction program.

System safety uses innovative hazard management techniques to proactively identify and address safety issues before accidents occur. The use of system safety supports the FRA Railroad Safety Strategy in that the hazard management techniques can reduce the number, frequency, and severity of all passenger rail-related accidents, injuries, and fatalities, including those accidents related to trespassing and highway-rail grade crossings. PRD goals include issuance of an NPRM on System Safety in FY 2012.

Beginning in FY 2013, FRA will participate in the implementation of the system safety regulation. This will include review and approval of system safety program plans from commuter railroads and intercity passenger railroads, along with their commuter/passenger host railroads. FRA will then conduct initial and periodic field audits to assess implementation of the programs.

The division will continue to provide training and information on system safety and FRA requirements to all passenger rail new starts. PRD's goal is for all passenger rail new starts to have adequate training and information to establish their own system safety plans. A continuing future goal for PRD is outreach to new start commuter railroads to ensure safe operation.

FRA regulations currently support maximum train speeds of 150 mph. The vision contained in RSIA and ARRA contemplates train speeds of up to 220 mph. FRA is currently working with two high-speed rail developers to identify appropriate safety requirements.

As noted above, FRA recently promulgated a new regulation on hours of service for passenger train employees engaged in commuter or intercity passenger rail transportation as well as tourist, scenic, and excursion railroads. It provides substantive hours of service limitations for such train employees including the use of applicable fatigue science to analyze employee work schedules and mitigate the effects of fatigue. In FY 2013, FRA will oversee the implementation of this regulation.

## **Goal #2: Improving the consistency and effectiveness of enforcement and compliance programs.**

FRA has many ongoing programs in place to improve the consistency and effectiveness of enforcement and compliance programs, including those presented below.

### Industrial Hygiene

The Industrial Hygiene Division has a dual role within FRA. It is responsible for performing activities in support of enforcement of regulations and implementing internal Occupational Safety and Health Administration (OSHA) compliance programs for the safety and health of FRA employees.

In regulatory enforcement, the division has primary responsibility for ensuring compliance with regulations governing occupational noise exposures in locomotive cabs and exposures to contaminants in the cabs of maintenance-of-way equipment. As the Occupational Noise Exposure Regulation for the locomotive cab occupants is fully implemented, more enforcement efforts are expected to take place there. The Division supports the MP&E, Track, OP, HM, and S&TC disciplines in the use of fall protection for railroad bridge work, diesel exhaust in locomotive cabs, and non-occupational noise rules, enforcing U.S. Environmental Protection Agency (EPA) noise standards from 40 CFR 201 under 49 CFR 210, as well as support of enforcement activities under 49 CFR 229.129, Audible Warning Device (train horns). The division will also play a role in the enforcement of new regulations, including those recently issued addressing camp car safety.

The division also has primary responsibility for FRA internal safety and health compliance programs including blood borne pathogens, confined space entry, hearing conservation, hazard communication, radiation protection, and injury and illness reporting. The division develops the structure of the programs, develops and provides the training associated with them, provides guidance for compliance, and maintains all necessary records.

### Discipline-Specific Technical Training

The Safety Improvement and Development Division (SIDDD) is staffed with discipline-specific trainers that train inspectors throughout the year on FRA safety regulations. The primary mission of the SIDDD is to manage the Office of Railroad Safety's Technical Training Program for the 600 Federal and participating State railroad safety inspectors and specialists of the six technical disciplines. To accomplish this mission, the team designs, develops, and delivers specialized internal courses and administers contract training from external sources, as necessary. A test is given before and after each class to confirm that inspectors are learning skills to enforce safety regulations effectively. Classroom training using established training modules includes enforcement directives from newly issued technical bulletins, enforcement manuals, and rule modifications. This focus improves uniformity of enforcement nationwide and is a way of determining that FRA inspectors meet agency qualification requirements.

Technical training is based on organizational needs and is therefore considered mandatory. Various types of analyses are performed to determine the organizational needs, including feedback from headquarters, the regions, and the inspectors. On average, the team manages approximately 45 classes in 22 different courses of study each year. SIDDD also develops and delivers general training to all Federal and State employees who may be assigned to perform accident investigations or write specialized reports, and to meet special Agency needs such as steam locomotive inspections, using radar to monitor train speeds, and fatigue-related assessments for safety-related railroad employees. On average, new inspectors attend 7 weeks of classroom training during their first 2 years of employment, and all inspectors and regional specialists attend at least 1 week of classroom training per year.

SIDDD also develops and administers on-the-job training standards for new railroad safety inspectors and inspector trainees. These standards, based on a model used by the Department of Defense, are specific to FRA inspection tasks. They are designed to ensure that the tasks are

fully described, that conditions for learning transfer are present, and that standards of proficiency are met before an inspector is deemed qualified.

FRA promotes continuous learning by encouraging use of the Inspector Competency Model. Several years ago, FRA initiated a workforce planning and development project for the six railroad safety inspector disciplines. The purpose is to position FRA for success by ensuring that the workforce has the necessary knowledge and skills to contribute fully to mission accomplishment, now and in the future. The workforce planning process included input from the Federal Railroad Administrator, Deputy Administrator, and all levels of the Office of Railroad Safety, including focus groups of specialists and inspectors from each discipline. FRA identified 16 core competencies for the five safety inspector disciplines. Application of the inspector competency model is delegated principally to the regions to manage, and it provides FRA a means to measure employees objectively and identify those needing additional development. Such employees receive non-punitive positive interventions such as coaching, mentoring, self-study, practice with feedback, or formal training, as appropriate.

FRA incorporates elements of the inspector competency model in technical training. For example, several competencies are employed in a fourth level evaluation following inspector attendance at a technical training course. A fourth level evaluation requires the inspector to complete a series of specific tasks associated with the subject matter covered in the course. After completing the tasks, the inspector answers a self-assessment proficiency questionnaire against several core competencies from the model. The questionnaire is then forwarded to the first level supervisor and SIDD specialist for further evaluation. A fourth level evaluation enables FRA to measure learning transfer, and provides SIDD a means to determine if course modifications need to be considered.

Section 401 of RSIA required FRA to draft a training regulation for all safety-related railroad employees. Once this rule is issued, FRA will review and approve training programs developed by railroads, contractors, learning institutions, and training organizations the railroad industry intends to administer to qualify safety-related railroad workers. FRA will identify compliant and non-compliant training programs, and when necessary, provide specific recommendation(s) for program remediation. In addition, FRA will conduct national oversight audits to evaluate proper implementation and execution of training programs affecting safety-related railroad workers.

### Technical Bulletins

Technical bulletins are internal documents (usually memoranda) issued to FRA's regional personnel by FRA's Director of Safety Assurance and Compliance. The bulletins provide interpretive guidance and they help clarify specific issues under the rail safety regulations and other safety issues. Technical bulletins improve the awareness of inspectors and industry persons in terms of what is expected from them when enforcing or complying with existing safety regulations. The intermediate outcome is more uniform compliance, which improves the quality of compliance and data used to measure achievement of safety goals. Newly produced bulletins are immediately distributed to inspectors by email, added to REG-Trieve disks every quarter (which are distributed to inspectors for easy access to these documents on their laptop computers), and incorporated into training classes. Division Staff Directors associated with the

subject matter contained in the technical bulletin are also required to host a briefing webinar with all Office of Railroad Safety stakeholders in the field. The purpose of the webinar is to immediately communicate organizational expectations and give stakeholders an opportunity to ask questions related to the newly issued technical bulletin. Technical bulletins are also posted on the FRA Web site.

### Compliance Manuals

The Office of Railroad Safety uses six manuals to establish and clarify organizational expectations for railroad safety inspectors, safety specialists, and regional managers. The manuals are primary source documents for both classroom and on-the-job training.

The General Manual describes the organization of DOT, of FRA generally, and of the Office of Railroad Safety specifically. This manual includes step-by-step instructions that regions and inspectors must use when performing accident investigations, clarifies general expectations for use of enforcement and other compliance tools, explains in general terms other safety mechanisms and investigations the Office of Railroad Safety uses to ensure a higher level of safety in the United States, and provides interviewing guidance.

The Office of Railroad Safety also publishes compliance manuals on the FRA public Web site for the five railroad safety inspection disciplines. These manuals establish organizational expectations for inspection tasks, establish specialized investigation requirements, and explain application of FRA safety regulations.

All of the discipline compliance manuals are currently under major revision.

### Performance Evaluations

Performance evaluations for regional administrators include GPRA safety goals. Quarterly progress reports are provided to the regions showing their progress toward their share of annual national goals. The intermediate outcome provides a means for evaluating what the region is doing to improve safety and a way to check on what their region is doing to succeed at improving safety.

### Rail Integrity

In August 2011, FRA established the Rail and Infrastructure Integrity Division, which includes the rail integrity and bridge and structures staff, to provide expert advice and assistance on safety issues related to management, inspection, and maintenance of railroad rail and components; and rail defect development, rail failure, and rail-caused train accidents. This Division maintains 49 CFR 213, Track Safety Standards. They perform onsite inspections, investigations, and evaluations to determine the effectiveness of railroad safety programs that address the inspection, maintenance, and replacement of rail. The staff analyzes non-destructive rail inspection programs and processes, rail maintenance programs, and makes recommendations based on their analyses. They also provide oversight related to the capabilities of non-destructive detection

systems, training and experience of flaw detector car operators, and the defect verification process used by test car operators.

FRA staff worked with industry through RSAC to develop a new performance-based model for scheduling rail flaw detection, adjusted remedial actions for rail flaws, plug rail test requirements, and a significantly improved reporting of the rail inspection information. FRA was also instrumental in developing a minimum qualification for detector car operators, new section 213.238. FRA will support the implementation of new rail integrity standards.

The Rail and Infrastructure Integrity staff developed a methodology for the review of railroad plans and procedures for the installation, maintenance, and inspection of continuous welded rail and to assure compliance with new regulations recently issued in that area. The group has a responsibility to coordinate the review and conformance assessment of the railroad continuous welded rail plans, distribution and processing of the plans, and make the necessary recommendations to ensure that consistent continuous welded rail maintenance plans are effective nationwide. The review and assessment of the railroad continuous welded rail plans expands FRA's capability to enforce any non-compliant continuous welded rail maintenance and installation condition.

FRA has developed a class that provides specific training to the inspectors concerning the rail inspection processes, rail inspection technologies, rail defect development and identification, and rail manufacturing. In addition, the Rail and Infrastructure Integrity staff developed a track inspector rail defect reference manual for use by inspectors and a rail integrity fundamentals training course to enhance inspector knowledge of non-destructive test methods, rail flaw detection processes, rail flaw development, rail manufacturing processes, and characteristics of different rail types. The use of the Rail Defect Reference Manual will ensure continued and accurate FRA oversight in railroad rail failure analysis and rail failure-caused derailment investigations. Proper rail failure analysis is particularly important when working with the various agencies and organizations associated with derailment investigations and is an essential tool for the inspectors to use when providing reports on rail-related incidents to the media or other agencies. The first edition of the manual has been completed and will be distributed to the inspectors in FY 2012. The manual will be revised periodically as required.

#### Automated Track Inspection Program (ATIP)

In the field of track geometry technology, FRA currently oversees a fleet of five track inspection cars: three cars under ATIP and two cars under FRA's Office of Railroad Policy and Development (RPD), and one auxiliary/buffer car. These advanced, specially designed cars provide accurate track geometry information as well as other track-related intelligence data to assess compliance with 49 CFR 213, Federal Track Safety Standards. Since 2001, the fleet has inspected close to half a million miles<sup>3</sup> of the U.S. rail network over a span of almost 3,000 days. Collectively, the cars can average about 154 miles per day out of approximately 140,000 miles of main and siding track, with major priorities given to passenger, hazardous material (hazmat), and defense-related routes. With deployment of advanced track inspection technologies and through strategic track inspection planning, ATIP has achieved a 359 percent increase in inspection

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<sup>3</sup> Source: Track Data Management System.

frequency in the last decade. The track data collected under ATIP is used by FRA's railroad inspectors and by railroads to ensure track safety and to assess track safety trends within the industry. The railroads often use ATIP data as a way of checking quality assurance on their inspection and maintenance. To facilitate use of the collected data, ATIP will distribute quarterly survey reports to the Agency and railroad managers to promote consistent application. ATIP will place additional emphasis on Amtrak and commuter routes to promote passenger safety. To support this goal, ATIP will identify track segment locations based on quality index for additional attention by ATIP, regions, and railroads. Future plans include introduction of autonomous (unmanned) track geometry measurement system to increase track inspection mileage while reducing per mile inspection cost relative to the ATIP cars. Another strategy being formulated is more efficient use of track data for inspection prioritization to align ATIP goals more closely with FRA's risk-based inspection planning. The FRA goal is to survey approximately 75,000 miles per year using ATIP cars and begin to transition to the use of the more cost effective autonomous track geometry measurement system.

**Goal #3: Improving the identification of high-risk highway-rail grade crossings and strengthening enforcement and other methods to increase grade crossing safety.**

During the past 4 calendar years for which complete data is available, grade crossing collisions have decreased 27.5 percent, from 2,776 in 2007 to 2,013 in 2010. Casualties have likewise declined, with fatalities and injuries down 22.7 percent and 21.3 percent, respectively. While these are encouraging trends, the number of incidents and casualties remains a concern for FRA.

FRA will promote and enhance public safety over the next 5 years by reducing rail-related deaths and injuries due to collisions at highway-rail grade crossings. This will be achieved by using additional public outreach and educational programs and increasing law enforcement partnerships.

During the 5-year period, FRA will continue to partner with national organizations (e.g., Operation Lifesaver), the Federal Motor Carrier Safety Administration (FMCSA), the Federal Highway Administration (FHWA), the National Highway Traffic Safety Administration (NHTSA), and non-Federal law enforcement agencies to increase awareness and enforcement of highway-rail grade crossing violations. In 1972, when Operation Lifesaver began, approximately 12,000 collisions between trains and motor vehicles occurred annually. By 2010, the number of train motor vehicle collisions had fallen to 2,013, approximately 83 percent below the 1972 level. On August 31, 2010, the National Transportation Safety Board commended Operation Lifesaver as a leader in reducing highway-rail grade crossing accidents.

The following is a brief description of some of the organizations and how FRA will work with them:



Organization	Description and FRA Activities
FMCSA	Focuses on reducing crashes, injuries, and fatalities involving large trucks and buses. FRA will join forces with FMCSA outreach efforts and activities to prevent collisions at highway-rail grade crossings. FRA and FMCSA will provide assistance to Operation Lifesaver as it develops a sophisticated Web-based, e-learning tool to provide crossing safety training to drivers of commercial motor vehicles.
FHWA, NHTSA	FRA will continue to work with these agencies and FMCSA to encourage Departmental advocacy for improving crossing safety. FRA is a member of the Department's Intelligent Transportation Systems Management Council to facilitate the inclusion of crossing safety into the development of IntelliDrive.
Operation Lifesaver	A nonprofit, international, continuing public education program first established in 1972 to end collisions, deaths, and injuries at places where roadways cross train tracks, and on railroad rights-of-way. FRA will provide funding and assistance in program development.
Law Enforcement	Increases partnerships between FRA and law enforcement through FRA's Law Enforcement Liaison Program. In addition, works with the National Sheriffs' Association and the International Chiefs of Police Association to foster a better relationship with law enforcement. FRA's Law Enforcement Liaison Program uses active and retired law officers to work with local law enforcement agencies to stress the importance of enforcement in the prevention of crossing collisions.

Prior to FY 2013, FRA will have:

1. Updated model legislation for highway-rail grade crossing violations.
2. Issued a rule that requires each railroad carrier to establish and maintain a toll-free telephone service for rights-of-way over which it dispatches trains for the reporting of emergencies or other problems. The NPRM was issued on March 3, 2011, a public hearing was held on September 29, 2011, and comments received are currently under review.
3. Studied the effectiveness of various highway-rail grade crossing treatments on designated high-speed rail corridors (e.g., Northeast Corridor, North Carolina, and Michigan) and evaluated the economic benefits of the treatments. The purpose of this study is to demonstrate the benefits of making improvements at crossings where passenger and commuter train speeds are being increased.
4. Revised the DOT crossing inventory form, FRA F6180.71, to include new fields that will enhance the ability of States, railroads, FRA, and others to evaluate safety at crossings; and commenced a rulemaking mandating the periodic updating of the inventory using the new form by railroads, per RSIA.
5. Issued rules or establish policy and guidance on responsibility for safety at private crossings. This is an action identified in the 2004 Secretary's Action Plan and a continuation of efforts began in 2006.
6. Updated the Compilation of State Laws and Regulations Affecting Highway-Rail Grade Crossings. This publication compiles the existing State laws concerning highway-rail grade crossings and will be made available to the public.

In FY 2013, FRA will:

1. Research the risk reduction associated with commonly used Alternative Safety Measures in quiet zones (e.g., escape medians) to determine appropriate standard effectiveness

rates. This study will potentially expand the approved Supplementary Safety Measures while eliminating the cumbersome review process of Alternative Safety Measures.

2. Work with FRA's Office of Chief Counsel to update model legislation for highway-rail grade crossing violations.

In FY 2014, FRA will:

1. Conduct a study determining the effectiveness of the new Manual on Uniform Traffic Control Devices requirement for all passive crossings to be equipped with either stop or yield signs.

In FY 2015, FRA will:

1. Conduct a study assessing the impact of quiet zones on crossing safety.

In FY 2016, FRA will:

1. Analyze and evaluate highway-rail grade crossing treatments being installed on higher-speed rail corridors (80 miles-per-hour to 110 miles-per-hour).
2. Evaluate existing and potential practices for incorporating highway-rail grade crossing safety into Connected Vehicles (ITS).

In FY 2017, FRA will:

1. Update model legislation for highway-rail grade crossing violations.
2. Conduct a study on the demographics of drivers that are involved in fatal highway-rail grade crossing collisions to better target crossing collision efforts.
3. Update the Compilation of State Laws and Regulations Affecting Highway-Rail Grade Crossings. This publication compiles State laws concerning highway-rail grade crossings and will be available to the public.

#### **Goal #4: Improving research efforts to enhance and promote railroad safety and performance.**

##### FRA Research and Development

The primary goals of the FRA research and development (R&D) program are to enhance railroad safety for conventional rail and to support the development and deployment of safe high-speed rail operations. FRA R&D assists in providing the foundation of fundamental engineering and knowledge upon which the safety assurance process is based. To improve the effectiveness of the FRA R&D program, FRA has:

- Implemented a process for selecting areas of investigation, with the highest priority given to activities that are most likely to reduce risk while improving performance.
- Expanded our cooperative research programs, both in conventional and high-speed rail, to ensure stakeholder support and ensure the maximum benefit at the earliest possible time.
- Improved alignment of our safety technology R&D with those of the industry stakeholders to speed results and better ensure adoption.

- Expanded the use of technology demonstrations and cooperative pilot programs to refine technology and develop procedures and recommended practice for its use.
- Implemented a process to track the adoption of FRA-sponsored safety technologies, assess the real-world impact on safety and performance, and provide feedback for R&D process improvement.

The process for selecting and evaluating R&D projects has been enhanced by adding additional “gates” for evaluation as safety technology progresses. This helps ensure the early identification of the most promising technologies and the timely termination of R&D activities, which no longer appear promising. An annual review of the entire research program is conducted by the independent Transportation Research Board. Once again, this review helps ensure the highest priorities are given to areas of investigation that have the greatest potential for improving safety and performance. Priorities for project selection include areas that present significant safety risks or unacceptable safety trends, where technology is most likely to have a positive impact on both safety and performance, and where there is a clear path to real-world implementation.

The R&D project evaluation and selection process has been used to identify those projects that have the potential for *significant safety impact, a positive impact on performance, and appropriate technology available*. For those projects, selected emphasis is placed on producing maximum possible real-world impacts at the earliest possible time. To accomplish this, the Office of Research and Development (OR&D) seeks to establish the partnerships with appropriate stakeholders (including railroads, rail labor, suppliers, and technology providers) early in the life of the project. Emphasis will also be placed on conducting cost-benefit analyses for emerging safety technologies to ensure the likelihood for adoption by the industry. This minimizes the time between a successful R&D “proof of concept” and the application in the field. Close collaboration with Office of Railroad Safety guarantees early identification and remediation of potential regulatory barriers to innovation.

FRA’s OR&D has expanded the use of targeted grants and cooperative agreements involving both railroads and technology providers to provide a fast start to establish stakeholder buy-in, and demonstrated real-world impact at the earliest possible time.

Key R&D results anticipated for FY 2013 include:

- **Fatigue**—Following the publication of a report on the fatigue status of the U.S. railroad industry, work will continue on understanding the probabilities of accidents given a level of fatigue. The Fatigue Avoidance Scheduling Tool will be used to evaluate working rosters.
- **Distraction Training Program**—Research will be conducted by Veolia Transportation, Inc. at the FRA’s Cab Technology Integration Laboratory at the Volpe Center to validate Veolia’s distraction awareness and sustained attention training program. The resulting sustained attention training program will be made available to the railroad industry. This research activity and experimental results will be published as an FRA technical report.

- **High-Speed Rail Locomotive Planning and Scheduling (Operator's) Display**—An Information Requirements Analysis will be updated from French high-speed rail operational procedures to meet U.S. rail operational procedures. In addition, a cognitive task analysis for U.S. operators will be conducted resulting in a new list of display requirements that will be incorporated into a display. The prototyped display will be installed in FRA's Cab Technology Integration Laboratory to allow human-in-the-loop testing, which is planned for the following years of this effort. Reports on the Information Requirements Analysis and the Cognitive Task Analysis for U.S. passenger or high-speed operational locomotive engineers will be published.
- **Safety Culture**—Complete several peer-reviewed publications documenting outcomes and impacts of safety culture implementations in industry, and validation of a new safety measure that is more sensitive to detect changes in program improvement than other traditional safety measures.
- **Critical Incident Intervention Program**—A final report will summarize a pilot intervention aimed at reducing the effects of traumatic exposure with recommendations for an industry-wide program to control the risks associated with post traumatic stress disorder and acute stress disorder in a railroad setting due to exposure to critical incidents such as grade crossing and trespasser fatalities.
- **Countermeasures to Reduce Suicides on Railway Rights-of-Way**—A report will summarize the effectiveness of one or more pilot studies to reduce railway suicides, such as signage along rights-of-way.
- **Program Evaluation**—A plan for building program evaluation capacity within FRA will be developed and publicized.
- **Strategic Job Analysis**—A final report summarizing several strategic job analyses will be published, summarizing the knowledge skills and abilities needed for key safety-critical positions in the railroad industry to help improve the recruitment, selection, and training of safety-critical employees. Of particular emphasis will be on the changing role of inspectors and other positions as the Agency transitions from a prescriptive compliance-based inspection system to a more collaborative-based safety management system. Another emphasis will be on the identification and clarification of critical positions for successful implementation of the high-speed rail system in the United States.
- **PTC**—Produce recommendation for PTC interoperability standards, which includes cab design layout, Edge Messaging Protocol, Advanced Message Queuing Protocol, Class C peer-to-peer messaging, Class D multicast messaging, and Locomotive Integration Gateway. Produce deployable advanced braking algorithm to enable precision braking. Complete the 220 MHz radio development for PTC data communication. Complete the PTC-compatible Employee In Charge Portable Terminal development to enhance wayside worker safety.

- **Rail Integrity**–Transition the laser-based ultrasonic rail defect inspection technology to standard railroad practice by developing industry recommended practices and standards for their application to safety assurance. In addition, develop new tools to visualize internal rail flaws using ultrasonic tomography techniques to improve rail defect detection and quantification significantly.
- **Track Geometry**–Continued development of recommended practices and recommended safety standards for the use of autonomous track geometry inspection technology. Transition the autonomous technology into service through pilot demonstrations and evaluations.
- **Track Buckling Prevention**–Continued development and implementation of industry recommended practice for deployment of rail temperature prediction technology to reduce the number of track buckling derailments.
- **Improved Hazardous Material Safety:**
  - Development of advanced test criteria for evaluating the effectiveness of new hazardous material tank car designs.
  - Evaluation of improved non-destructive tank car inspection techniques will support the development of improved industry recommended practice and Federal safety regulations.
  - Reduce non-accident releases of hazardous materials by eliminating pressure relief devices on tank cars carrying low-pressure materials such as sodium hydroxide solution.
  - Evaluate the benefits of Electronic Pneumatic Brakes and Distributed Power to minimize the number of derailed tank cars in case of train accidents and reduce the consequences of released product.
- **Automated Wayside Vehicle Inspection**–FRA R&D is looking for ways to improve the effectiveness of inspections using advanced technology, thereby improving overall safety. FRA R&D will partner with Class I railroads to conduct pilot demonstration and analysis on the performance of wayside detector systems. This project will examine wayside sensor data to determine optimum use of resources.

### High-Speed Rail

Fostering high-speed rail in the United States has been part of FRA’s mission since FRA was established in 1967. During the 1980s and 1990s, FRA played a central role in managing and facilitating the growth of high-speed service on the Northeast Corridor. In response to the *Intermodal Surface Transportation Efficiency Act of 1991*, FRA began formally designating high-speed rail corridors for future development and funding corridor improvements primarily directed at safety. With enactment of ARRA, which provided \$8 billion in capital assistance for high-speed rail corridors and intercity passenger rail service, and President Obama’s strategic

plan for high-speed rail—*Vision for High-Speed Rail in America*—FRA is helping to make high-speed rail a reality in markets across the Nation.

Three separate award announcements were made (January 28, 2010; October 28, 2010; and May 9, 2011) for the \$10.1 billion in available funding. For all three HSIPR funding rounds, the Federal Railroad Administrator issued interim program guidance for the high-speed passenger rail program that identified safety planning as evaluation criteria for merit consideration of proposed projects and programs. The guidance described how FRA would provide specificity and additional safety guidance for development of high-speed rail systems. FRA received nearly 500 applications from 39 states; Washington, D.C.; and Amtrak requesting more than \$75 billion in high-speed rail funding made available under the Recovery Act and FY 2010 appropriations.

FRA is working with the California High-Speed Rail Authority on the creation of a new system operated predominantly on grade-separated, dedicated tracks with an operating speed of up to 220 miles-per-hour. Nearly \$3.6 billion in HSIPR funding has been awarded to initiate the project, including construction of an initial section in the Central Valley. The 800-mile, statewide program will provide reliable, high-speed electrified train service between the Bay Area, the Central Valley, Sacramento, and Southern California, providing an express travel time between Los Angeles and San Francisco of less than 2 hours 40 minutes. Phase I calls for a 520-mile system connecting Anaheim and Los Angeles through the Central Valley to San Francisco by 2020; Phase II would extend the system north to Sacramento and south to San Diego by 2026. FRA and the Authority have been working to plan and design this system for over a decade.

The hallmark of world-class, high-speed rail is safety. FRA believes that railroads conducting high-speed operations in the United States can provide service as safe as, or safer than, any high-speed rail operation elsewhere. In anticipation of such service, and to promote public safety, FRA has developed and issued in November 2009 the High-Speed Passenger Rail Safety Strategy. This strategy endeavors to achieve uniformly safe rail passenger service, regardless of speed. The Strategy includes (1) establishing safety standards and program guidance, (2) applying a system safety approach to address concerns on specific rail lines, and (3) ensuring that railroads involved in passenger train operations effectively and efficiently manage train emergencies. Because the severity of collisions and derailments increases with speed, safety performance targets for preventive measures are tiered to become more stringent as speed increases.

The strategy divides the safety issues into four categories: prevention, mitigation, emergency management, and system safety plans. Each category includes FRA initiatives to address the corresponding safety issues. Some initiatives are fully developed with specific goals in place to address issues. For example:

- Vehicle track interaction and safety issues related to track and structures will be addressed through a final rule scheduled to be published in the first quarter of FY 2012.
- Standards for PTC systems that define increased functionalities for higher speeds were identified in 2010.
- Structural standards for Tier I trainsets (up to 125 miles-per-hour) are under review in the RSAC Engineering Task Force. Initial guidance was issued in CY 2010.

- Structural standards for Tier II and above will commence after Tier I guidelines are completed.

System safety is also a strategy component. The purpose of a system safety plan is to improve railroad safety through a structured, proactive program that the railroad operator develops and implements. The plan can also support development of a strong safety culture and requires processes and procedures to identify and manage hazards inherent to the passenger railroad. High-speed rail systems and other new passenger rail service require development and evaluation of system safety plans to integrate the process of identifying safety needs and managing them over time. FRA PRD will continue to evolve system safety plans in practice for high-speed rail entities throughout the period 2013 to 2017.

Longer-term initiatives that address specific issues will be developed throughout FY 2012, as other projects are completed and technical resources become available.

### **Goal #5: Preventing railroad trespasser accidents, incidents, injuries and fatalities.**

Deaths among trespassers on railroad rights-of-way (2,298 in the 5-year period 2006–2010, or approximately 460 annually) are the leading cause of fatalities attributable to railroad operations in the United States. From a study completed in May 2008, FRA learned that trespassers who die are an average of 38 years old and are most often Caucasian males. Approximately two-thirds were under the influence of alcohol or drugs. Coroners described the activity of more than 43 percent of the decedents as walking,<sup>4</sup> standing, sleeping, lying, reclining, lounging, or sitting on the track or in the gauge, i.e., between the rails. Seven percent were walking<sup>5</sup> or running across the track. Other activities included riding a recreational vehicle (all-terrain vehicle, dirt bike, snowmobile, etc.), standing outside the gauge but obviously too close, riding or getting on or off a train, driving a highway vehicle, or being on a bridge or trestle. Tunnels were not mentioned.

#### Future Trespass Prevention Strategies

FRA's future trespass prevention strategies include the following:

1. Promote and enhance public safety by reducing rail-related deaths and injuries due to trespassing on railroad rights-of-way and other property, using increased public outreach and education programs. Strategy consists of activities that FRA plans and organizes. For example, FRA plans to hold a 3-day conference in August 2012 dedicated to the issues associated with railroad trespassing. Additionally, FRA's grade crossing managers conduct their own form of outreach through public speaking engagements and distributing FRA produced outreach flyers. FRA's Law Enforcement Liaison program promotes enforcement by using our liaison officers to engage in training sessions with fellow police officers about railroad trespassing issues. (Ongoing throughout the next 5 years.)

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<sup>4</sup> Walking along the track or inside the railroad track.

<sup>5</sup> Walking across the track to get from one side to the other.

2. Partner with national organizations to increase awareness and enforcement of railroad trespassing, including Operation Lifesaver. Strategy is FRA's effort to support efforts being conducted by stakeholders in railroad safety. For example, a FRA regional crossing manager is part of a working group organized by the governor of New Jersey following two separate incidents that resulted in the deaths of three teenagers.

Prior to FY 2013, FRA will:

1. Host a Right-of-Way Trespass Reduction workshop that will take an in-depth look at the issues surrounding one of the more significant risk areas facing the rail community: trespassing and fatalities on the railroad rights-of-way. The goal of the workshop will be to identify and share existing industry-leading practices and explore new strategies that the rail industry could pursue to reduce the number of right-of-way and trespasser incidents and fatalities. This is tentatively scheduled for the third quarter of FY 2012.
2. Conduct a demographic study of profiles collected by the rail industry to provide information regarding the at-risk audience to be targeted for additional education and outreach activities. It should be noted that previous attempts failed to garner the necessary support from the rail industry to conduct the study. Efforts are ongoing to find alternative methods to obtain this information.
3. Review and update trespass and vandalism prevention strategies.
4. Using data collected by the railroads and working with the Geographic Information System (GIS) plot each trespassing incident and fatality. This information will be useful to direct additional outreach, educational resources, and law enforcement activities to areas in need. Effective June 2011, railroads are required to provide latitude/longitude locations for all trespassing casualties reported to FRA.
5. Update the *Compilation of State Laws and Regulations Affecting Highway-Rail Grade Crossing*.
6. FRA will develop a Web site for educators and law enforcement officials that outlines facts, lesson plans, and State laws designed for them.

In FY 2013, FRA will:

1. Review and update model trespass legislation and vandalism model legislation.

In FY 2014, FRA will:

1. Study the impact of Rails-to-Trails program on trespasser and pedestrian safety.
2. Review and update trespass and vandalism prevention strategies.

In FY 2015, FRA will:

1. Host a Right-of-Way Trespass Reduction workshop (as in 2012).
2. Conduct a demographic study of trespasser profiles.

In FY 2016, FRA will:

1. Use the new data being collected under Part 225 to conduct an analysis on suicides on railroad rights-of-way.



2. Use the GIS information being collected on trespassing incidents being reported under Part 225 to conduct an analysis to locate “hot spots” where trespassing is likely to occur.

In FY 2017, FRA will:

1. Update the *Compilation of State Laws and Regulations Affecting Highway-Rail Grade Crossing*.
2. Review and update model trespass legislation and vandalism model legislation.
3. Review and update trespass and vandalism prevention strategies.

**Goal #6: Improving the safety of railroad bridges, tunnels, and related infrastructure to prevent accidents, incidents, injuries, and fatalities caused by catastrophic failures and other bridge and tunnel failures.**

### FRA Bridge Safety Program

Bridges and tunnels are integral to the infrastructure and safe operations of railroads. During that 25-year period between January 1, 1982, through December 31, 2006, catastrophic structural failure<sup>6</sup> of railroad bridges caused 51 train accidents and injured two people. Between January 1, 2007, through December 31, 2010, 12 train accidents occurred due to catastrophic structural failures, resulting in seven injuries and no fatalities. Of these 12 bridge failures, 10 involved timber trestles, one involved a steel pile trestle, and one was caused by failure of the mechanism of a movable bridge. The most severe of these accidents occurred in 2007 on the M&B Railroad near Myrtlewood, Alabama, where a train carrying solid fuel rocket motors derailed when a timber trestle railroad bridge collapsed under the train. Several cars, including one car carrying a rocket motor, rolled onto their sides and six people were injured. FRA has also learned about four instances in which trains operated over structural deficiencies in steel bridges due to lack of adherence to FRA’s the bridge safety guidelines. These instances could have resulted in serious train accidents.

Railroads must manage their structures to prevent any occurrence of a catastrophic failure. Bridge management including inspection, load capacity evaluation, design, and construction depends on sound engineering practices. Typically, professional organizations of experts in the field, such as the American Railway and Maintenance-of-Way Association (AREMA), evolve and document these practices and standards. FRA will actively participate in the maintenance and development of railroad bridge consensus standards through membership on AREMA structures committees.

FRA has been conducting evaluations of railroad bridge management programs since the 1980s, before the Statement of Agency Policy on the Safety of Railroad Bridges was issued as an interim statement in 1995 and in final form in August 2000. The policy issued guidelines by which railroads should implement bridge safety management programs, and by which FRA evaluated those programs. FRA issued a revised bridge policy statement in January 2009 to add recommendations developed in 2008 by the Railroad Bridge Working Group of RSAC. In

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<sup>6</sup> FRA uses the term “catastrophic failure” to describe an incident in which a bridge collapses or directly causes a train accident. A “bridge failure” is a situation in which a bridge is no longer capable of safely performing its intended function.

September 2007, FRA also issued Safety Advisory 2007-03 to further explain and amplify important aspects of FRA's bridge safety policy and to re-emphasize the need for railroads to adopt and implement safe maintenance practices to prevent bridge failures.

Prior to the promulgation of the Part 237 bridge safety standards, FRA evaluated bridge management practices on a representative sample of railroads, including Class I, II, and III freight railroads and passenger carriers. The evaluations generally compared a railroad's program with the FRA Bridge Safety Policy guidelines, and included observations of individual bridges to determine their general condition and the accuracy of the railroad's inspection reports. Most large railroads generally conformed to the FRA guidelines, but FRA found instances in which management had not adequately evaluated or addressed critical items from railroad bridge inspection reports before the items developed into critical failures or near-failures. Many of the smaller railroads evaluated also generally conformed to the guidelines, but a considerable number either fell short by a large degree or showed no evidence of bridge inspection, management, or maintenance.

Following enactment of RSIA, FRA's RSAC developed recommendations for a Federal regulation to govern railroads' bridge management programs. The bridge safety standards final rule was published on July 15, 2010, in the Federal Register as 49 CFR 237, and became effective on September 13, 2010. Pursuant to the rule, railroads must implement bridge management programs that include annual railroad bridge inspections by qualified persons. Track owners must maintain accurate inventories of their bridges, know their safe load capacities, and conduct special inspections when weather or other conditions warrant. Bridge management programs also must require adequate design and effective supervision of bridge modification and repairs that would materially modify a bridge's capacity. Finally, railroads must audit their bridge management and inspection programs.

The bridge safety standards include a staggered schedule for the adoption of bridge management programs, with the initial group of track owners, including Class I freight railroads and major passenger carriers, required to comply by March 14, 2011. Shortly thereafter, FRA staff began meeting with affected track owners to review their programs for compliance. Future evaluations will compare adopted bridge management programs with regulatory requirements for content, and a track owner's practices with those called for in their bridge management program.

In addition to developing regulations and evaluating bridge management programs, FRA is working with the American Short Line and Regional Railroad Association and Class I railroads to develop model programs that small railroads can adopt for safe, effective, and efficient bridge management.

#### Future Bridge Safety Strategy

FRA's strategy for enhancing railroad bridge safety moving forward follows several paths. To help affected parties clearly understand regulatory requirements, FRA intends to provide education and outreach, especially for smaller entities, through FRA and industry conferences and seminars. FRA also will ensure that track owners' policies and bridge management programs meet the minimum regulatory requirements. If FRA finds deficiencies, it plans to use

the non-punitive provisions of the railroad inspection program to place the track owners on notice. If track owners then do not substantially improve within a reasonable timeframe, FRA will consider imposing civil penalties. FRA would prefer to see such funds expended on the maintenance and improvement of the railroad infrastructure. Once FRA is satisfied that a track owner's bridge management program meets the regulatory requirements, FRA will audit the track owner's compliance with their adopted program.

The following milestones are based on current staffing.

Prior to FY 2013, FRA will:

1. Complete Part 237 reviews of Class I railroads and major passenger systems.
2. Begin Part 237 reviews of Class II railroads.
3. Perform bridge inspection audits of Class I railroads and major passenger systems.
4. Develop and publish a Bridge Safety Standards compliance manual.

In FY 2013, FRA will:

1. Complete Part 237 reviews of Class II railroads.
2. Begin Part 237 reviews of Class III and other railroads.<sup>7</sup>
3. Perform bridge inspection audits of Class I and Class II railroads.
4. Revise Appendix A to Part 237

In FY 2014, FRA will:

1. Perform Part 237 reviews of 10 percent of Class III and other railroads.
2. Perform bridge inspection audits of all classes of railroads.
3. Create guidelines for railroad tunnel management and inspection.

In FY 2015, FRA will:

1. Perform Part 237 reviews of 10 percent of Class III and other railroads.
2. Perform bridge inspection audits of all classes of railroads.
3. Review and consider updating Part 214, Subpart B – Bridge Worker Safety Standards.
4. Review Part 237, Bridge Safety Standards, for possible revision.

In FY 2016, FRA will:

1. Perform Part 237 reviews of 10 percent of Class III and other railroads.
2. Perform bridge inspection audits of all classes of railroads.
3. Audit Class I railroads and major passenger system Bridge Management Programs.
4. Review Class I railroads and major passenger systems bridge load capacities

In FY 2017, FRA will:

1. Perform Part 237 reviews of 10 percent of Class III and other railroads.
2. Perform bridge inspection audits of all classes of railroads.

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<sup>7</sup> Other railroads are defined as tourist, scenic, and excursion railroad operations whether they are connected to the general railroad system of transportation (as referenced in the Bridge Safety Standards)

3. Audit Class II railroad Bridge Management Programs.
4. Review Class II railroad bridge load capacities

## RESOURCES NEEDED

The resources needed to implement the safety programs and goals in this strategy are included in FRA's budget request for FY 2013.

## PROGRESS ASSESSMENT

A review of the 5-year results of FRA's safety program demonstrates the progress made.

### 1. GRADE CROSSING INCIDENTS\*

Fiscal Year	Incidents	Train-Miles (000s)	Rate per Million Train-Miles	
			Actual	GPRA Goal
2007	2,812	797,119	3.53	3.75
2008	2,547	785,011	3.24	3.75
2009	2,053	690,702	2.97	3.65
2010	1,982	695,914	2.85	3.65
2011**	1,972	715,933	2.75	3.50

\* Includes train accidents.

### 2. HUMAN FACTOR-CAUSED TRAIN ACCIDENTS

Fiscal Year	Incidents	Train-Miles (000s)	Rate per Million Train-Miles	
			Actual	GPRA Goal
2007	1,034	797,119	1.30	1.66
2008	967	785,011	1.23	1.66
2009	713	690,702	1.03	1.35
2010	653	695,914	0.94	1.35
2011**	678	715,933	0.95	1.25

### 3. TRACK-CAUSED TRAIN ACCIDENTS

Fiscal Year	Incidents	Train-Miles (000s)	Rate per Million Train-Miles	
			Actual	GPRA Goal
2007	1,004	797,119	1.26	1.15
2008	860	785,011	1.10	1.15
2009	709	690,702	1.03	1.15
2010	671	695,914	0.96	1.15
2011**	657	715,933	0.92	1.12

\*\* FY 2011 actuals are based on 12 months of preliminary data, as of January 11, 2012, and are provided for transparency of reporting to date; but might differ significantly from the full-year data due to reporting submission requirements. Official data will be published in FRA's annual rail safety statistics report.

### 3. TRACK-CAUSED TRAIN ACCIDENTS

Fiscal Year	Incidents	Train-Miles (000s)	Rate per Million Train-Miles	
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2009	709	690,702	1.03	1.15
2010	671	695,914	0.96	1.15
2011**	657	715,933	0.92	1.12

### 4. EQUIPMENT-CAUSED TRAIN ACCIDENTS

Fiscal Year	Incidents	Train-Miles (000s)	Rate per Million Train-Miles	
			Actual	GPRA Goal
2007	334	797,119	0.419	0.521
2008	342	785,011	0.436	0.521
2009	252	690,702	0.365	0.450
2010	253	695,914	0.364	0.450
2011**	232	715,933	0.324	0.450

### 5. OTHER (SIGNAL AND MISCELLANEOUS) TRAIN ACCIDENTS

Fiscal Year	Incidents	Train-Miles (000s)	Rate per Million Train-Miles	
			Actual	GPRA Goal
2007	405	797,119	0.508	0.647
2008	391	785,011	0.498	0.647
2009	332	690,702	0.481	0.647
2010	342	695,914	0.491	0.593
2011**	342	715,933	0.478	0.590

### 6. NON-ACCIDENT RAIL HAZMAT RELEASES, Revised Methodology

Fiscal Year	Releases	Hazardous Material Ton-Miles (000,000s)	Rate per 200-million Ton-Miles	
			Actual	GPRA Goal
2007	721	118,127	1.221	1.348
2008	706	115,080	1.227	1.326
2009	650	113,180	1.149	1.278
2010	688	115,270 <sup>†</sup>	1.194 <sup>†</sup>	1.278
2011**	716	115,138 <sup>†</sup>	1.244 <sup>†</sup>	1.249

<sup>†</sup> Estimated.

\*\* FY 2011 actuals are based on 12 months of preliminary data, as of January 11, 2012, and are provided for transparency of reporting to date; but might differ significantly from the full-year data due to reporting submission requirements. Official data will be published in FRA's annual rail safety statistics report.

## DOT SAFETY PERFORMANCE GOAL

### RAIL-RELATED ACCIDENTS/INCIDENTS

Fiscal Year	Accidents	Train-Miles	Rate per Million Train-Miles	
			Actual	GPRA Goal
2007	13,797	797,118,737	17.31	16.70
2008	13,260	785,011,433	16.89	18.45
2009	11,572	690,701,794	16.75	17.00
2010	11,450	695,914,138	16.45	16.40
2011**	11,027	715,933,279	15.40	16.40

\*\* FY 2011 actuals are based on 12 months of preliminary data, as of January 11, 2012, and are provided for transparency of reporting to date; but might differ significantly from the full-year data due to reporting submission requirements. Official data will be published in FRA's annual rail safety statistics report.

## CONCLUSION

FRA's Railroad Safety Strategy includes a variety of approaches to achieve industry safety improvements. The NSPP is focused on critical safety projects that are designed to advance safety improvements. The NIP focuses Federal inspection efforts toward areas on railroads needing the most attention and monitors progress made achieving inspection goals.

Rulemakings are improving industry actions by providing improved methods to achieve safety advancements. The RRP is a process that brings industry and FRA together to build a strong safety culture. Highway-rail grade crossing and trespass prevention programs promote enhancing public safety through public outreach, educational programs, and increased law enforcement partnerships. FRA's research and development program has a positive safety impact, a positive impact on performance, and identifies promising available technology. Emphasis is placed on producing the maximum possible real-world impact at the earliest possible time.

GPRA requires Federal agencies to develop strategic plans with long-term, outcome-oriented goals and objectives, annual goals linked to achieving the long-term goals, and annual reports on the results achieved. FRA uses this process to evaluate all aspects of its safety programs with the overall focus on six GPRA goals that are designed to support two of DOT's safety strategic objectives (to reduce transportation-related accidents and incidents, and to reduce all transportation-related hazardous materials incidents), as well as its current strategic objective to reduce deaths and injuries. FRA has consistently achieved safety improvements reducing highway-rail grade crossing incidents, human factor-caused train accidents, track-caused train accidents, equipment-caused train accidents, and other (signal and miscellaneous) train accidents per train-mile, and rail non-accident hazardous materials releases per ton-mile. In the FY 2009 "Top Management Challenges," DOT's Inspector General noted that grade crossing collisions and deaths had declined, that FRA had strengthened its crossing program, and that FRA can do more by "effectively implementing the safety mandates in RSIA."

**U.S. DEPARTMENT OF TRANSPORTATION  
FEDERAL RAILROAD ADMINISTRATION**

**Railroad Safety Strategy:  
Progress Assessment – FY 2012**



**February 2012**

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## SUMMARY OF PROGRESS

This document reports on the Federal Railroad Administration's fiscal year (FY) 2011 progress toward achieving *Rail Safety Improvement Act of 2008* (RSIA) and railroad industry safety improvements. FRA continues to make progress towards achieving the goals of its safety strategy for FYs 2012 through 2016. As shown by this report, FRA is positioned to meet the RSIA mandates that will improve railroad safety. In FY 2011, the grade crossing incident rate, as well as the number of human factor-, track-, and equipment-caused train accidents declined. Non-accident rail hazmat releases and overall rail-related accidents/incidents also declined. FRA focused in particular on advancing initiatives to develop its Risk Reduction Program (RRP) and high-speed passenger rail program, ensure timely implementation of positive train control (PTC) systems by December 2015, and issue within the statutorily timeframe hours of service regulations for passenger train employees.

## BACKGROUND

FRA promotes and regulates safety throughout the Nation's railroad industry. Most of its regulatory authority is codified under Title 49 Code of Federal Regulations (CFR) Parts 200–249. FRA has numerous enforcement tools under its authority, including defect and deficiency warnings, civil penalties, compliance and emergency orders, special notices, and directives.

FRA executes its regulatory and inspection responsibilities through a diverse staff of railroad safety experts. FRA safety inspectors specialize in five safety disciplines assigned to eight regional offices across the Nation. These disciplines consist of Track, Signal and Train Control (S&TC), Motive Power and Equipment (MP&E), Operating Practices (OP), and Hazardous Materials (HM). In addition, FRA's field components include program managers for highway-rail grade crossing safety and trespass prevention, personnel to assess rail and infrastructure integrity, and industrial hygienists.

The railroad industry's safety record improved significantly from FY 2001 through FY 2010, with the total number of all reportable rail-related accidents and incidents declining 31 percent (16,699 vs. 11,450, respectively).<sup>1</sup> During this period, train accidents also fell by 38 percent (3,093 vs. 1,919), casualties (deaths and injuries) dropped 27 percent (12,349 vs. 8,956), and highway-rail grade crossing incidents decreased 42 percent (3,415 vs. 1,982).

## FRA SAFETY PERFORMANCE MEASURES

The long-term safety achievements expected from RSIA section 102 and other FRA safety efforts are best evaluated using the performance measures FRA established pursuant to the *Government Performance and Results Act of 1993* (GPRA). Since 2003, FRA has been using these goals to measure regional and overall FRA safety performance.<sup>2</sup>

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<sup>1</sup> Collisions, derailments, fires, explosions, acts of God, or other events involving the operation of railroad on-track equipment (standing or moving) and causing reportable damages greater than the reporting threshold for the year in which the accident/incident occurred must be reported using Form FRA F6180.54. The threshold for calendar year 2011 was \$9,400.

<sup>2</sup> FRA evaluates and updates GPRA goals annually using the latest safety data available.

A historic review of FRA's s GPRA measures over a 5-year period demonstrates the safety progress achieved.

## **FRA SAFETY PERFORMANCE MEASURES**

### **1. GRADE CROSSING INCIDENTS\***

Fiscal Year	Incidents	Train-Miles	Rate per Million Train-Miles	
			Actual	GPRA Goal
2007	2,812	797,118,737	3.53	3.75
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2010	1,982	695,914,138	2.85	3.65
2011**	1,972	715,933,279	2.75	3.50

\* Includes train accidents.

### **2. HUMAN FACTOR-CAUSED TRAIN ACCIDENTS**

Fiscal Year	Accidents	Train-Miles	Rate per Million Train-Miles	
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2007	1,034	797,118,737	1.30	1.66
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2009	713	690,701,794	1.03	1.35
2010	653	695,914,138	0.94	1.35
2011**	678	715,933,279	0.95	1.25

### **3. TRACK-CAUSED TRAIN ACCIDENTS**

Fiscal Year	Accidents	Train-Miles	Rate per Million Train-Miles	
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2007	1,004	797,118,737	1.26	1.15
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2008	706	115,079,552,454	1.227	1.326
2009	650	113,179,992,644	1.149	1.278
2010	688	115,269,689,981†	1.194†	1.278
2011**	716	115,137,593,942†	1.244†	1.249

† Estimated.

### DOT SAFETY PERFORMANCE GOAL

#### 1. RAIL-RELATED ACCIDENTS/INCIDENTS

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## RSIA SAFETY GOALS

### **Progress Assessment for RSIA Safety Goal #1: Reducing the number and rates of accidents, incidents, injuries, and fatalities involving railroads, including train collisions, derailments, and human factors.**

#### National Safety Program Plan (NSPP), National Inspection Plan (NIP), and Dashboard

These three tools work together to ensure optimal short-, mid-, and long-term planning at all levels of the organization. The FY 2011 NSPP, issued in October 2010 and updated quarterly to reflect progress and revisions, includes recurring and nonrecurring special-emphasis activities. Throughout FY 2011, the National Inspection Plan (NIP) was refined in preparation of the updated plan.

The Dashboard has become an integral part of FRA's self-auditing program. During FY 2011, managers and specialists in both headquarters and the regions used the Dashboard to identify quickly and easily trends and developing issues to refine inspection plans and refocus resources. Inspectors also accessed the tool to measure their work against goals and the national average. Regional managers ensured that the tool provided incentives for the inspectors to deliver quality and legitimate inspections and not simply inflate their activity levels. Also within Dashboard, a GPRA link presents the rail safety performance measures and goals. Regional management can monitor and compare their performance against the goals on a monthly basis.

The NIP provides guidance for the allocation of inspection resources among the railroads in a given State and within a technical discipline. It establishes quantitative objectives for inspection of major railroads, by State, based on analysis of available data pertinent to risk, including recent accidents, incidents, and inspections. Regional management can review the numbers, make comments, and change the distribution of resources.

#### Positive Train Control (PTC)

During FY 2011, the following actions in the areas of regulatory reform and project safety oversight have been completed in support of meeting deployment of PTC by the December 31, 2015, statutory deadline.

##### *Regulatory Reform*

In August 2011, FRA issued the first of two planned NPRMs detailing proposed changes to the final regulation of January 15, 2010. FRA is proposing to remove various regulatory requirements that require railroads to either conduct further analyses or meet certain risk-based criteria in order to avoid PTC system implementation on track segments that do not transport PIH or toxic-inhalation-hazard materials traffic and are not used for intercity or commuter rail passenger transportation as of December 31, 2015. For the first 20 years of the proposed rule, the estimated quantified benefits to the industry due to the proposed regulatory relief total approximately \$620 million, discounted at 7 percent, and \$818 million, discounted at 3 percent. Substantial cost savings would accrue largely from not installing PTC system wayside components along approximately 10,000 miles of track. Although these rail lines would forgo

some risk reduction, the reductions would likely be small since these lines pose a much lower risk of accidents because they generally do not carry passenger trains or PIH materials and generally have lower accident exposure. A separate NPRM will address the issues of how to handle en route failures of PTC-equipped trains, circumstances under which a signal system may be removed after PTC installation, and whether yard movements and certain other train movements should qualify for a *de minimis* risk exception to the PTC rule. This second NPRM will also address any other issues that might be raised by interested parties in a properly filed petition for rulemaking under 49 CFR Part 211.

FRA has been working with the Federal Communications Commission (FCC) to resolve communications bandwidth issues in high traffic density urban areas. Insufficient bandwidth would preclude proper operation of radio-based PTC systems; the FCC issued a Public Notice requesting information on which to base spectrum allocation and reallocation to support PTC.

#### *Project Safety Oversight*

FRA personnel provided ongoing technical support to railroads currently implementing PTC. FRA facilitated resolution of interoperability disagreements between two railroads that previously necessitated disapproval of their PTC implementation plans, which the railroads revised and FRA subsequently approved. In addition, FRA processed more than 100 requests for amendments to previously approved implementation plans and monitored railroads' compliance with their implementation plans.

#### Rail Route Analysis Requirements for Security-Sensitive Hazardous Materials

FRA established a Routing Rule Compliance Team (Team), consisting of FRA, Pipeline and Hazardous Materials Safety Administration, and Transportation Security Administration staff, to verify compliance with the 2008 Final Rule on Rail Hazardous Materials Routing. The Team met throughout FY 2011 with all Class I railroads to determine if any of routes had changed since briefings in 2010 and to evaluate compliance. FRA also worked with the American Short Line and Regional Railroad Association to coordinate reviews for Class II and III railroads. The majority of these railroads have a single route and single interchange point. FRA has already reviewed some of these routes and plans to complete the remaining reviews in FY 2012.

#### Rulemaking Activities

FRA focused on development of RSIA-mandated and other priority regulations during FY 2011. The most significant rule issued this fiscal year was the hours of service regulations for train employees providing commuter and intercity rail passenger transportation. FRA issued the NPRM and final rule within less than 6 months of each other. FRA also advanced the regulatory framework for new high-speed trainsets and the high-speed rail safety strategy. During FY 2011, the full RSAC met twice, while working groups and task forces met 24 times to discuss regulatory issues and develop recommendations for addressing them. Some issues affect the entire industry, while others relate to passenger operations. The issues discussed addressed the following:

- Conductor Certification
- Training Standards
- Track Standards, Including Rail Integrity and Concrete Crossties
- Passenger Car Engineering Standards
- Passenger Hours of Service
- Passenger Vehicle/Track Interaction
- Passenger Rail System Safety Programs
- General Passenger Safety Issues
- Dark Territory
- Medical Standards
- Critical Incidents (Effect on Employees)
- Electronic Device Distraction
- Northeast Corridor Safety
- Passenger Train Doors

### Conductor Certification

An NPRM was published in November 2010 and a final rule was issued in October 2011. The rule requires railroads to have programs for certifying conductors that include formal processes for training current and prospective conductors and determining their competence, before permitting them to serve as conductors.

### Concrete Crossties

RSIA required that concrete crossties regulations for Class 1 through 5 track include, as appropriate, (1) limits for rail seat abrasion, (2) concrete crosstie pad wear limits, (3) missing or broken rail fasteners, (4) loss of appropriate toeload pressure, (5) improper fastener configurations, and (6) excessive lateral rail movement. FRA published a final rule on April 1, 2011, and an amended final rule, in response to petitions for reconsideration, on September 9, 2011.

### Minimum Training Standards and Plans

As required by RSIA, FRA is developing minimum training standards, including on-the-job training, for each class and craft of safety-related railroad employee and their railroad contractor and subcontractor equivalents. The RSAC working group formed to assist with this task held six 2-day meetings this fiscal year. The working group developed a consensus recommendation document in a regulatory text format, which the full RSAC unanimously approved on December 14, 2010. FRA will issue an NPRM in FY 2012.

FRA is also considering public comments on an NPRM addressing emergency escape breathing apparatus. In addition, FRA is considering expansion to maintenance-of-way employees of regulations on misuse of alcohol and drug and expects to issue an NPRM in FY 2012.

### Risk Reduction Program (RRP)

In December 2010, FRA published an ANPRM to formally initiate development of the statutorily-required regulation. The comment period closed in February 2011, and FRA held two public hearings to gather more information. FRA is currently reviewing the public input and expects to publish an NPRM in FY 2012.

The RRP participated fully in the current pilot implementations of the Confidential Close Call Reporting System (C3RS), which provides an opportunity for railroad employees to report safety problems without fear of punishment. Mid-term evaluations have shown that implementation of C3RS has reduced risk in the pilot locations, and the RRP is currently working to develop a version of the program that can be implemented nationwide.

RRP has also initiated a program to make the use of personal electronic devices by railroad employees engaged in safety-critical work socially unacceptable. RRP developed a proposal to develop peer-to-peer coaching programs to effect major safety culture changes throughout the industry, and the RSAC has accepted this activity as a task. The first meeting of the RSAC working group focused on electronic device distraction was held in October 2011.

### Passenger Rail

The Division continued to provide training and information on system safety and FRA requirements to all passenger rail new starts. FRA's goal is for all passenger rail new starts to have adequate training and information to establish their own System Safety Plans. The PRD participated/coordinated with the regions and the American Public Transportation Association on the Metro-North Railroad in New York, Music City Star Railroad in Tennessee, Virginia Railway Express in Virginia, Capital Metro Railroad in Texas, and MARC in Maryland System Safety Audits in FY 2011. FRA also made significant progress towards development of an NPRM on System Safety for passenger railroads.

FRA is currently working with new start railroads in Florida, Colorado, California, Texas, Michigan, Pennsylvania, North Carolina, New Jersey, and New York to ensure safety of these new passenger train operations.

In FY 2011, FRA continued working with two high-speed rail developers to identify appropriate safety requirements for those operations. The State of Florida has terminated its high-speed rail program.

### **Progress Assessment for RSIA Safety Goal #2: Improving the consistency and effectiveness of enforcement and compliance programs.**

#### Industrial Hygiene

The Industrial Hygiene Division addressed various compliance issues industry-wide regarding Section 229.129 of the Train Horn Rule. FRA continued to compile "frequently asked questions" that will form compliance guidance for MP&E inspectors on this rule.

FRA also continued to monitor occupational noise exposure for all discipline inspectors to determine whether to establish a hearing conservation program. FRA will continue collecting data for at least another year to assess exposure to excessive noise. To date, FRA has not identified exposures that would require implementation of a hearing conservation program. Staff performed audits of Class I railroads for compliance with 49 CFR Parts 227 and 229, the

Occupational Noise Rule, including provision of personal protective equipment and posting of exposure measurements.

FRA investigated community noise complaints (40 CFR Part 210 and 49 CFR Part 210) and potential asbestos and diesel exhaust exposures of railroad employees. FRA performed several studies, riding in locomotive cabs of lead and trailing units, to evaluate locomotive engineer and conductor exposures to components of diesel exhaust.

FRA completed initial and refresher training for hazard communication covering blood borne pathogens and confined space entry as part of FRA's Safety and Health program. Staff also conducted training for all safety disciplines at all Office of Railroad Safety regional conferences.

Other internal safety and health initiatives include revision of the *Employee Response to Emergencies Plan* for FRA headquarters employees, and training of employees and contractors on the *Plan for Sustaining Essential Government Services During a Pandemic*. The FRA Safety and Health Committee SharePoint site includes information including committee membership, safety and wellness tips, Occupational Safety and Health Administration program documents, and links to other safety and health-related resources. The site allows the Safety and Health Committee to communicate more effectively with the FRA workforce.

#### Discipline-Specific Technical Training

As in past years, FRA held several discipline-specific technical training classes focused on areas within its five disciplines: Motive Power and Equipment, Hazardous Materials, Operating Practices, Signal and Train Control, and Track. These training courses were held in various locations throughout the United States, and provided our inspectors with an opportunity to understand new practices. New inspectors attend 7 weeks of training in their first 2 years. All other inspectors receive a minimum of 1 week of training during the year, with the ability to request more training if desired. Our inspectors have found this training to be an excellent opportunity to increase their knowledge and share their experiences.

#### Technical Bulletins, Compliance Manuals, and Safety Advisories

On May 9, 2011, FRA issued General Technical Bulletin No. G-11-01, Modifications to Chapter 4, Accident Investigation Guidelines, of the August 2009 General Manual

In FY 2011, revisions continued on Compliance Manuals for all disciplines. The Rail Integrity manual was published in August 2011.

Safety Advisories are FRA notices in the Federal Register providing guidance and clarification of existing requirements or other important safety issues. Advisories usually include recommendations that affected parties (railroad owners or operators, shippers, consignees, equipment manufacturers and suppliers) should follow. On April 1, 2011, FRA issued SA 2011-01, Equipment Fouling Adjacent Tracks.



## Rail Integrity

In August 2011, FRA established the Rail and Infrastructure Integrity Division, which includes the rail integrity and bridge and structures staff, to provide expert advice and assistance on safety issues related to management, inspection, and maintenance of railroad rail and components; and rail defect development, rail failure, and rail-caused train accidents. This Division maintains 49 CFR 213, Track Safety Standards. They perform onsite inspections, investigations, and evaluations to determine the effectiveness of railroad safety programs that address the inspection, maintenance, and replacement of rail. The staff analyzes non-destructive rail inspection programs and processes, rail maintenance programs, and makes recommendations based on their analyses. They also provide oversight related to the capabilities of non-destructive detection systems, training and experience of flaw detector car operators, and the defect verification process used by test car operators.

FRA has been working with RSAC to develop a new performance-based model for scheduling rail flaw detection, adjusted remedial actions for rail flaws, plug rail test requirements, and improved reporting of rail inspection information. Consensus has been reached to revise the Track Safety Standards sections 213.113, 213.237, and 213.241. Through these regulatory changes, FRA also developed a minimum qualification for detector car operators that was approved as new regulation section 213.238. The NPRM is being developed.

FRA developed a methodology for the review of railroad plans and procedures for the installation, maintenance, and inspection of continuous welded rail (CWR) and to assure compliance with new regulations recently issued in that area. FRA has a responsibility to coordinate the review and conformance assessment of the railroad CWR plans, distribution and processing of the plans, and make the necessary recommendations to ensure that consistent CWR maintenance plans are effective nationwide. The review and assessment of the railroad CWR plans expands FRA's capability to enforce any noncompliant CWR rail maintenance and installation condition.

In addition, FRA developed a Rail Defect Reference Manual for inspectors and a Rail Integrity Fundamentals training course to enhance inspector knowledge of non-destructive test methods, rail flaw detection processes, rail flaw development, rail manufacturing processes, and characteristics of different rail types. The Rail Defect Reference Manual, distributed to inspectors in August 2011, will ensure continued and accurate FRA oversight in railroad rail failure analysis and rail failure-caused derailment investigations. Proper rail failure analysis is important in derailment investigations and is an essential tool for the inspectors to use when providing reports on rail-related incidents. FRA will revise the manual periodically and expects to complete the next revision, which will include additional sections on industry rail welding and grinding practices, by the end of 2012.

## Automatic Track Inspection Program (ATIP)

FRA currently oversees a fleet of five track geometry rail cars, three cars under ATIP, and two cars under the Office of Railroad Policy and Development. These advanced, specially designed cars provide accurate track geometry information and data to assess compliance with 49 CFR

Part 213, Federal Track Safety Standards. In FY 2011, FRA operated its fleet to conduct inspections nationwide. Since 2000, the fleet has inspected close to half a million miles of the U.S. rail network over a span of about 3,000 days.<sup>1</sup> Collectively, the cars average about 157 miles per day of approximately 140,000 miles of main and siding track, with major priorities given to passenger, hazardous material, and defense-related routes. FRA is working to implement an autonomous track geometry measurement system, which will leverage ATIP inspection with this more cost-effective inspection system. The Progress Assessment for RSIA Safety Goal #4 discusses the unmanned system more fully.

### Performance Evaluations

FRA continued to include GPRA goals in the performance evaluations of regional administrators, providing further incentive to track progress and make necessary adjustments to meet the goals in FY 2011.

### **Progress Assessment for RSIA Safety Goal #3: Improving the identification of high-risk highway-rail grade crossings and strengthening enforcement and other methods to increase grade crossing safety.**

In FY 2011, FRA reviewed and evaluated local, State and Federal laws that addressed rail trespassing, vandalism, and violations of highway-rail grade crossing signal warning devices. FRA also developed a model for prevention and enforcement strategies. FRA expects to issue this model early in FY 2012 and make it available to the States. In addition, FRA has developed presentations discussing its trespassing strategies for law enforcement officials. These presentations will soon be available on FRA's Web site.

In March 2011, FRA issued an NPRM on Emergency Notification Systems. This rule would make it easier for the public to report unsafe conditions at highway-rail grade crossings. The proposal would require railroads to establish toll-free telephone numbers to allow the public to report malfunctioning highway-rail grade crossing warning signals, disabled vehicles blocking crossings, or any other unsafe conditions at crossings. Under the proposed rule, once the railroad receives a call from the public about a malfunctioning crossing signal or a vehicle stalled on the crossing, train operators in that area would be immediately notified of the unsafe condition in an effort to avoid an accident. FRA held a public hearing on September 29, 2011 and expects to publish a final rule in 2012.

The National Crossing Inventory, required by the RSIA, will establish an inventory for all crossings in the United State, both public and private. During FY 2011, FRA made substantial progress towards developing an NPRM for issuance in FY 2012. The proposed rule would improve railroad safety by ensuring that all highway-rail and pathway grade crossings are submitted to a national file that will allow FRA to greatly enhance their analyses of these grade crossings. The new DOT Crossing Inventory Form will be published in conjunction with the final rule.

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<sup>1</sup> Source: Track Data Management System.

During FY 2011, FRA encouraged communities and States to implement pilot programs under Operation Lifesaver's Railroad Safety Public Awareness Program. These programs address the need for targeted and sustained community outreach. FRA also encouraged the development of community action plans that incorporate a problem-solving model designed to provide a step-by-step approach for addressing crossing safety issues. FRA will continue to encourage such activities.

#### **Progress Assessment for RSIA Safety Goal #4: Improving research efforts to enhance and promote railroad safety and performance.**

Throughout FY 2011, FRA made progress towards Research and Development goals, including:

##### Fatigue

The report on the fatigue status of passenger train employees, Work Schedules and Sleep Patterns of Railroad Train and Engine Service Employees in Passenger Operations, was completed in March 2011. A separate report describing the risk estimates (based on the validation study), Analysis of the Relationship between Operator Effectiveness Measures and Economic Impacts of Rail Accidents, was completed in May 2011.

FRA is planning further evaluation work of the validated fatigue models (Fatigue Audit InterDyne (FAID) and the Fatigue Avoidance Scheduling Tool (FAST)) for use in the industry in the Cab Technology Integration Laboratory (CTIL) locomotive simulator located at Volpe. As we begin experiments in CTIL, for example, we plan to derive a model prediction based on a work schedule that will be used to test an experimental design in the simulator. We would then compare the predicted performance of the fatigue modeling software with the actual performance in the locomotive simulator to see how well the fatigue models compare against the experimental results, both for the overall group and individual participants. The DOT Safety Council is also developing requirements and specifications for the next generation of fatigue modeling, criteria for evaluating the usefulness and effectiveness of fatigue models, and guidelines for their use. This initiative is being led by FRA.

##### Locomotive Cab Displays and Controls

The purpose of this research is to develop human factors guidance to support the design and evaluation of locomotive moving-map displays through simulations using the CTIL. Through the use of GPS and digital map technologies embedded in moving-map displays, assess operator performance using a moving-map display that demonstrates how train-driving information can be provided to the locomotive engineer to potentially yield better situation awareness, reduce workload, and minimize the potential for train collisions. Moving-map displays are useful for training and trip planning and route preview. Research will show whether these displays enhance operator situation awareness and improve human performance. Moving-map displays can be used as a primary device for track navigation and could help during inclement weather when mileposts and other signage may be difficult to read.

During FY 2011, FRA initiated research to help develop human factors engineering guidance to support the design of moving-map displays. During summer 2011, Volpe researchers, under an interagency agreement with the FRA, conducted research in CTIL to examine human

performance with and without the use of a version of a moving-map display, ordinarily only used in simulators for training purpose.

### PTC Systems

FRA completed awards of approximately \$49.9 million in railroad safety technology grants to nine grantees to address common PTC implementation technology issues adversely impacting completion of deployment by the end of December 2015. Awards were made to Southern California Regional Rail Authority (Interoperable Communications Infrastructure Deployment), Meteorcomm (220 MHz PTC Radio Development), MTA (ACSES Specifications), Amtrak (Interoperable ACSES and I-ETMS Operations), Kansas City Southern Railway (Analog to Digital Communications Upgrades), Howard University (Interoperable Identity and Key Management), MARC (Testing of I-ETMS at 125 miles per hour), Wabtec (Video Track Database Verification), and the Railroad Research Foundation (Route Risk Evaluation). FRA is currently providing ongoing grant management oversight. FRA is also providing technical assistance and grant management oversight of high-speed rail PTC projects being undertaken by CALTRAIN (\$27 million) and the California High-Speed Rail Authority (\$16 million) in support of the 2015 deployment deadline.

FRA collaboration with the Association of American Railroads (AAR) on PTC interoperability standards continues. Thirty-two standards are under development or review—three have been approved and issued by AAR, four are undergoing final review, and 25 are under development. The ITC standards work continues on the adaptive braking algorithm project. Phase 1 of the project, (theoretical analysis of the physics of locomotive braking) is complete, and field verification of the analytical model has begun with preliminary results indicating the theoretical analysis is correct. The objective of this project is an improved braking algorithm that can be used in any PTC system to prevent loss of operating efficiency or capacity in PTC operation.

Work also continues on the Employee In Charge Portable Terminal. Prototype testing was successfully completed at the Transportation Technology Center and on the BNSF Railway. A production version of the project has undergone critical design review. The terminal is used to assure roadway worker protection in work zones during PTC operation.

FRA has awarded system type approval and certification to the Amtrak ACSES II PTC system and the BNSF ETMS Version 6.0 PTC System. FRA has also awarded system type approval to the I-ETMS system. FRA is conducting final certification testing for the Amtrak ITCS system for operations to 110 miles per hour on the Amtrak Michigan Line.

### Rail Integrity

In response to NTSB safety reports and recommendations addressing train derailments caused by undetected internal head defects under shelling, FRA initiated a rail integrity project to improve the reliability of flaw detection, particularly internal head cracks including under shelling. With further development, FRA will potentially be capable of rail inspection testing at over 40 miles per hour. A prototype was developed that uses laser, air-coupled sensors, and proprietary statistical pattern recognition to perform ultrasonic inspection of rails for internal flaws. A

statistical pattern recognition algorithm maximizes defect indications and minimizes false positives. The prototype was blind-tested at TTCI in June 2009: reliability of detection was better than the American Railway Engineering and Maintenance-of-Way Association (AREMA) standard for >40% H.A. TDs and worse than AREMA standard for <40% H.A. TDs.

Based on lessons learned from the TTC test, the prototype was refined further. A successful blind was conducted at Herzog, Inc. Rail Defect Testing Facility in St. Joseph, Missouri, in June 2010. This test also indicated a potential application of the prototype for Rail Surface Characterization. Since then, project activities have been devoted mainly to gather additional data at the University of California at San Diego (UCSD) Rail Defect Mapping Test-bed for proof-of-principle for rail surface characterization. Also a number of technology demonstrations to industry (BNSF, Sperry, Dapco, Herzog, and Loram) have been conducted. A presentation on project status was given at the TRB Annual Meeting in January 2011, and the related technical paper was accepted for publication in the TRB TRR Journal. Another presentation was given at the AREMA meeting in Minneapolis in September 2011.

Current plans envision the involvement of a rail inspection provider (such as Herzog) to bring the technology to the field. Feedback from the railroads (particularly BNSF) has been that the immediate implementation of the guided wave technology will likely occur with a wheel-based (contact) solution. Industry feedback indicates that the laser/air-coupled (non-contact) solution requires additional development, and continuing FRA support, to build confidence.

A 250-foot-long rail defect farm has been constructed at UCSD with BNSF donations for refinement of this UCSD prototype and for potential testing by other developers of rail inspection systems.

Throughout FY 2011, further development for maximization of speed reliability of defect detection, and surface characterization for optimization of rail grinding operations.

### Track Geometry

Autonomous Track Geometry Measurement System (ATGMS) is a research and development program to adapt service-proven track geometry measurement technology to autonomous operation. The ATGMS system reduces capital and operating costs of geometry inspection systems. It also provides routine and frequent data for safety assurance activities and track degradation analysis. The pilot system has completed over 460,000 miles of testing on the Amtrak Auto Train to ensure system reliability and to refine the data collection software and systems. This system is currently installed on DOTX221 and will be performing long distance testing in consist with DOTX220 to complete data comparison objectives between autonomous and manned geometry systems. A second system is being designed and manufactured as a carbody-mounted system to reduce system life-cycle costs. This system will be commissioned and tested on the Amtrak NEC in early 2012.

Technology refinements are currently in development to obtain 90-day maintenance intervals, improve automatic geo-location performance, and to perform automatic track degradation and

reporting functions. A second ATGMS system is currently being developed for deployment on Amtrak's Northeast Corridor.

Railroads will see a benefit with this system. Continuous unmanned geometry data collection provides critical track real-time information wherever the system(s) are deployed with no impact on rail traffic operations. The system can be installed on normal revenue railcars or locomotives and run in consist. Track testing is automatically scheduled based on normal operation of the vehicle. ATGMS provides a reduction in complexity, size, and cost of traditional geometry systems without compromising performance.

### Track Buckling Prevention

Track buckling-related derailments are very costly to the railroad industry. According to the FRA Office of Railroad Safety database, there were more than 150 derailments related to track buckles and/or sun kinks between 2005 and 2009, resulting in more than \$43 million in damages.

There are guidelines in AREMA's Manual for Railway Engineering for rail installation and track maintenance practices for CWR to minimize the risk of track buckling. However, with all the guidelines followed, precautions still need to be taken in circumstances when a combination of factors becomes conducive to track buckling. For example, on hot summer days, railroads impose slow orders when ambient temperatures reach a certain limit. Some railroads issue slow orders based on the ambient temperature from weather forecasts while others deploy track inspectors to measure rail temperatures before issuing slow orders.

The rationale of issuing slow orders using ambient temperature is based on the belief that the rail temperature typically rises 30 °F to 35 °F above the ambient temperature. If the rail temperature becomes substantially higher than the stress-free rail temperature, or rail neutral temperature, longitudinal forces can build up and accentuate the risk of track buckling.

The practice of slow orders is effective in reducing track buckling-related derailments and associated costs. However, excessive slow orders and subjective inspections cost the railroad industry millions of dollars each year. Excessive slow orders can also be an issue for high density tracks, possibly impacting the Nation's economic well-being.

For more reliable determination of slow orders and assessment of track buckling risk, FRA has sponsored the development of a model for predicting rail temperatures based on real-time meteorological forecast data. The model was validated using both forecast and locally observed weather data. The predicted rail temperatures were found to be within reasonable ranges. The model has been implemented into a Web-based rail-weather application that can be accessed by participating railroads. It was demonstrated and tested on Amtrak's NEC in 2007. Further trials were conducted at selected locations on the Union Pacific Railroad and BNSF networks in late 2008. Most of these test locations have local weather stations and other wayside measurement systems continuously collecting weather and track data including rail temperature. The model has been implemented via an online Web application and is predicting rail temperatures for the entire United States.

The model is based on a transient heat transfer process in which the energy balance continuously changes, causing the rail temperatures to rise or fall. Among the factors considered in the model are heat input due to solar radiation and heat loss due to convection. Recent developments have included further refinements of the model algorithm by incorporating additional weather parameters and addressing broader track conditions. Improvements to the online application are currently underway and will continue into FY 2012; specifically, the user interface and available options are being enhanced in order to make the application more attractive to end users.

### Improved Hazardous Material Tank Car Designs

R&D has three ongoing projects to improve the tank car designs that carry hazardous materials. One of the studies is welded steel sandwich panels. One of the concepts examined in Government and industry research to improve the crashworthiness of railroad tank cars is to treat the commodity-carrying tank as a protected entity. These welded steel sandwich structures are examined as a means to protect the commodity-carrying tank against penetrations and punctures from impacting objects in the event of an accident (i.e. derailment or collision). Preliminary testing has been conducted to determine the most promising structure; the next step is to conduct a full scale test to determine how much protection can be improved from the current tank car.

The second project is research on a different design for the protection of top fitting on tank cars. Two designs were tested on a full scale test and compared to the baseline tank car. It proved to protect the top fittings on tank cars in case of a rollover scenario that can be found on a train accident. R&D has plans to continue this research to include different tank car design specifications, especially the ones carrying toxic by inhalation materials.

Finally, research will be conducted on the analysis of different impactors and impact conditions on tank cars. The purpose of this research is to evaluate the puncture behavior of tank cars under a more general range of impact conditions. These analyses will help to better understand the damage caused by the different impactors on different tank cars and should provide us with conclusions/recommendations for performance tests for tank head and shell, and to develop testing procedures to evaluate the improvements of new tank car designs.

### Improved Hazardous Material Car Inspection

Current research is being conducted to evaluate the different non-destructive techniques used to determine the structural integrity of tank cars. TTCI, under contract with FRA, and along with industry participation, are evaluating these methods to determine the probability of detection (POD) for various non-destructive examination (NDE) methods used in the inspection of railroad tank car circumferential butt welds (girth seam welds), fillet welds, and leak test samples. The emergence of a damage tolerance approach to determine inspection intervals for an engineered structure—in this case, a railroad tank car—requires the quantification of the detectable flaw size for the NDE methods used during inspection. Damage tolerance techniques have initiated an evolution in NDE understanding, methods, and requirements. NDE quantification using the POD approach is a key measure of NDE effectiveness and is integral to damage tolerance requirements.

### Automated Wayside Vehicle Inspection

There is a need for comprehensive analysis of data gathered via wayside detection systems to determine the reliability and consistency of the technologies, and their impact on operational safety, inspection requirements and regulations, and operational efficiency. One of the major goals of the FRA's Wayside Detection R&D program is to assess and evaluate the effectiveness of various detectors as they relate to reduction in railroad incidents and accidents. The U.S. railroads have been actively installing various detectors on their networks to monitor equipment and vehicle performance. Ultimately, performance monitoring and proactive maintenance should help railroads improve and advance inspection methods, while supporting safety assurance. FRA R&D is looking for ways to improve the effectiveness of inspections using advanced technology, thereby improving overall safety. The FRA Office R&D is currently working to partner with Class I railroads to conduct pilot demonstration and analysis on the performance of wayside detector systems. This project will examine wayside sensor data to determine optimum use of resources.

### High-Speed Rail

Vehicle/track interaction and issues related to track geometry and inspection will be addressed through a final rule scheduled to be published in FY 2012. In FY 2011, FRA prepared the final rule based on industry comments to the proposed rule, including clarifying comments from the French National Railway Corporation requested by FRA and input from the rulemaking's advisory task force. FRA worked with its task force to finalize consensus recommendations to support the rule's requirements.

Other important initiatives include program management for the development and application of high-speed rail safety standards and regulation and RSIA and ARRA safety mandates for high-speed rail corridors. Existing FRA regulations generally support maximum train speeds of 150 miles per hour. The RSIA and ARRA high-speed rail vision contemplates speeds of up to 220 miles per hour. In FY 2011, PRD continued working with two high-speed rail developers to identify appropriate safety requirements for those applications. PRD expects to have defined general safety parameters for California high-speed rail in FY 2012. However, identification and funding of additional projects could require PRD attention.

### Structural Standards for Tier II and Above

Early in FY 2011, the RSAC re-tasked the Engineering Task Force to continue developing safety recommendations for other passenger rail equipment. The Task Force has already made significant progress in addressing safety features of equipment intended to operate at speeds both above 125 miles per hour in an exclusive operating environment, and also at or below 125 miles per hour in a shared operating environment, and is considering requirements for crashworthiness, interior occupant protection, glazing, emergency egress, fire safety, and other features. Ultimately, Task Force recommendations may take the form of technical evaluation criteria and procedures, proposed revisions to existing regulations, and proposed adoption of new regulations, including rules of particular applicability.



In FY 2011, the Task Force continued its work by newly concentrating on crashworthiness and occupant protection safety recommendations for high-speed passenger trains—including those contemplated for the high-speed rail projects planned in California—as the previous Task Force did for conventional-speed passenger trains. Among its other activities, the Task Force may also focus on the following: revisions to FRA’s locomotive fuel tank safety standards specific to diesel multiple unit locomotives; revisions to FRA’s safety glazing standards and related emergency window exit regulations; and, in general, revisions to FRA’s Tier II Passenger Equipment Safety Standards (49 CFR Part 238), which currently apply to passenger equipment operated at speeds above 125 miles per hour up to 150 miles per hour in a shared operating environment.

**Progress Assessment for RSIA Safety Goal #5: Preventing railroad trespasser accidents, incidents, injuries, and fatalities.**

A trespass and vandalism prevention strategies document, titled Railroad Trespassing, Vandalism, and Highway-Rail Grade Crossing Warning Device Violation Prevention Strategies, was made available to States and local governments and organizations and was posted on FRA’s Web site. A press release announcing the new strategies document was issued on January 20, 2011. The demographic study using profiles collected by the rail industry is in progress. FRA started collecting latitude and longitude information on each trespassing casualty reported to FRA as of June 1, 2011. Once enough data is collected, FRA will begin to use the data, which will enable FRA to start to geo-locate each incident.

FRA is reviewing and updating model trespass and vandalism legislation.

**Progress Assessment for RSIA Safety Goal #6: Improving the safety of railroad bridges, tunnels, and related infrastructure to prevent accidents, incidents, injuries, and fatalities caused by catastrophic failures and other bridge and tunnel failures.**

The Bridge Safety Standards include a staggered schedule for the adoption of Bridge Management Programs. The initial group of track owners, including Class I freight railroads and passenger carriers, were required to adopt their respective Bridge Management Programs by March 14, 2011. Shortly thereafter FRA bridge staff began meeting with these affected track owners in order to review their programs for compliance with Part 237 regulations. Future evaluations of railroad bridge management practices will compare an adopted bridge management program against regulatory requirements for content, followed by a comparison of a track owner’s actual practice against that called for in their adopted bridge management program.

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