Office of Passenger and Freight Programs

&

Office of Railroad Safety

Program Management Plan

September 6, 2013

TABLE OF CONTENTS

1.0	**Background**	**3**
2.0	**Roles and Responsibilities of Key Personnel**	**3**
3.0	**Specific RRS Support Activities**	**5**
4.0	**Resource Requirements**	**6**
	Attachments	

1.0 Background

The Federal Railroad Administration (FRA) provides funding; training and technical assistance; and oversight for intercity passenger rail and freight rail projects throughout the country. The majority of FRA's program funds are administered by the Office of Passenger and Freight Programs (RPD-10) through a highly diversified grant and loan portfolio. RPD-10's portfolio includes programs with various project types, grantee/borrower types, statutory requirements and project costs (less than one hundred thousand up to several billion dollars).

FRA's grant/loan portfolio is organized into smaller geographically based regional portfolios. Each regional portfolio is managed by a Regional Team comprised of a team lead (called Regional Manager) and subject matter experts from RPD-10 and other FRA Offices (Office of Railroad Policy and Development (RPD), Office of Safety (RRS), Office of Chief Counsel (RCC), Office of Financial Management (RFM) and Public Affairs). Teams are responsible for funding selection and obligation, project delivery, and monitoring and oversight activities (see Attachment A).

RPD-10's team approach to program management is commonly referred to as a matrix organization. The matrix organization structure facilitates the horizontal flow of skills and information across functions within FRA. Matrix organizations are used in both the private and public sector and benefit in efficiency by sharing highly skilled and capable resources between functional units to ensure successful project delivery from start to finish.

One of the challenges associated with operating a matrix organization is the clear definition of roles and responsibilities. Therefore, RPD-10 has developed Program Management Plans to define RPD-10's support needs and how support will be delivered through the Regional Teams. These plans will improve the efficiency and effectiveness of FRA's programs, while informing FRA management of each Office's resource requirements to provide support to RPD-10. While this Program Management Plan focuses solely on support needs for the High-Speed Intercity Passenger Rail Program, future updates of the plan will include support needs for all RPD-10 administered programs.

2.0 Roles and Responsibilities of Key Personnel

RPD-10's Regional Teams provide a comprehensive and structured approach to program management that leverages RRS expertise in FRA Headquarters, as well as the Regional Offices. As members of the Regional Teams, RRS staff may be involved in commenting on applications, reviewing deliverables during project delivery, participating in project monitoring and oversight, and providing training and technical assistance to RPD-10 personnel and customers. This section describes the roles and responsibilities of key personnel in both RPD-10 and RRS (Passenger Rail Division – PRD, Headquarters and Regional Offices) involved in activities

described in this Program Management Plan. Other subject matter experts within RRS will be called upon on an as needed basis, as determined by RRS resource managers.

RPD-10's national portfolio encompasses seven regions:

- Northwest
- Southwest
- Central
- Midwest
- Southeast
- Mid-Atlantic
- Northeast

The geographic boundaries for these regional portfolios are not to be confused with RRS Regions – they are divided up differently. Within RRS, PRD has identified Points of Contact (POC) within each of RPD-10's regions. Each RRS Regional Office has also identified a Regional Passenger Rail Chief Inspector to work/coordinate directly with the PRD POCs and RPD-10's Regional Managers (or in some cases RPD-10's High Speed Rail (HSR) Project Managers).

The roles and responsibilities of RPD-10's Regional Managers and HSR Project Managers, PRD's POCs and the RRS Regional Passenger Rail Chief Inspectors are as follows:

RPD-10 Regional Manager – Serves as a single point of contact for RPD-10 customers within a defined region. Leads an FRA Regional Team of subject matter experts in providing RPD-10 customers with technical assistance and training regarding grant applications/obligations and loan application processing, agreement deliverables and project monitoring and oversight. Responsible for monitoring and reporting on overall progress and performance of an assigned regional portfolio.

RPD-10 High Speed Rail Project Manager – Primarily responsible for construction oversight of a specific high speed rail corridor program funded through FRA's High-Speed Intercity Passenger Rail Program (HSIPR). Works as a member of a Regional Team(s) providing technical assistance to customers and conducting extensive monitoring and oversight activities to ensure successful delivery of the corridor program. HSR Project Managers do not work on projects outside of the HSIPR Program (except in the Northeast Corridor), however they may have other duties as assigned.

RPD-10 Engineering Staff – Works as a member of a Regional Team(s) providing: comments to Regional Managers regarding grant applications/obligations and loan applications, technical assistance to customers on preliminary engineering and final design related deliverables and initial and final inspections of projects funded by FRA loans.

PRD POC - Responsible for providing support to RPD-10's Regional Managers, HSR Project Managers and the RRS Regional Passenger Rail Specialists. Works as a member of a Regional Team participating in grant and loan application reviews as needed, identifying safety critical

elements and coordinating safety activities with RRS Headquarters and Regional Office staff based on project location and scope.

RRS Regional Passenger Rail Chief Inspector – Works as a member of a Regional Team providing technical assistance and construction oversight support to RPD-10's Regional Manager and/or HSR Project Manager.

3.0 Specific RRS Support Activities

Based on the roles and responsibilities described above, RPD-10 and RRS have identified the following support activities:

3.1 PRD

- Provide primary POCs to serve on Regional Teams and POCs for special projects (e.g. equipment)
- Assist the Regional Passenger Rail Chief Inspectors in the coordination of safety activities with RRS Headquarters and RPD-10's Regional Teams
- Provide support/ guidance to Regional Passenger Rail Chief Inspectors in identifying safety critical project elements (including System Safety-Risk Assessments).[1]
- Provide guidance on Risk Assessments to RPD-10 Regional Managers. For example, PRD will review risk models and work with RPD-10 before assessments commence.
- Review Statements of Work prior to obligation and identify RRS requirements. Track the requirements throughout the delivery of projects to ensure they are met and completion is documented.

3.2 RRS Regional Offices

- Designate Regional Passenger Rail Chief Inspectors to work with the Regional Teams and PRD
- Regional Passenger Rail Chief Inspectors will coordinate with RPD-10 Regional Managers and/or HSR Project Managers on providing RRS regional staff to conduct periodic rail safety inspections during project construction designed to ensure compliance to the FRA Code of Federal Regulations and a final safety inspection upon project completion. RPD-10 may have consultant resources available to support RRS regional staff. Inspection reports completed by RRS regional staff will be provided to the RPD-10 Regional Manager and/or HSR Project Manager and PRD POC.

[1] (1) Grants requiring Risk Assessment should be structured to place the responsibility for such assessments on the Grantee. (2) Completing Passenger Rail System Safety Plans based on the APTA Model should not be a requirement for Grantees, except if the Grantee is an Operating Passenger Railroad. Example: Amtrak

- Regional Passenger Rail Chief Inspectors will participate in Regional Team meetings and/or other project related meetings as requested by RPD-10 Regional Manager

3.3 RRS Headquarters

Subject matter experts from RRS Headquarters will provide support on a project-by-project basis as requested by RPD-10:

Highway-Rail Crossing and Trespasser Prevention

- Educate grantees on quiet zones
- Review major grade crossing projects including upgrades and closures and provide comments to RPD-10 engineering staff
- Review grade crossing designs, signage, and warning systems and provide comments to RPD-10 engineering staff
- Review Trespasser Prevention Programs and provide comments to RPD-10 engineering staff

Motive Power & Equipment

- Provide technical assistance to RPD-10's Equipment Project Manager on passenger rail equipment projects

Signal and Train Control

- Coordinate with RPD-10 Regional Managers and/or HSR Project Managers on providing technical assistance to RPD-10 customers implementing PTC.
- Review and recommend approval of PTC design and implementation plans to RPD-10 engineering staff.

Track

- Review track designs as needed and provide comments to RPD-10 engineering staff.
- Review and recommend approval of all HSR Cant Deficiency requests and onsite test monitoring as required.

4.0 Resource Requirements

Based upon the roles and responsibilities identified within this Program Management Plan, RRS has identified the following resources to provide the support described above:

<u>PRD</u>

- Four PRD staff to serve as Points of Contact

RRS Regional Offices

- One Regional Passenger Rail Chief Inspector from each Regional Office to serve on RPD-10's Regional Teams

RRS Headquarters

- Various Subject Matter Experts, as needed

LIST OF ATTACHMENTS

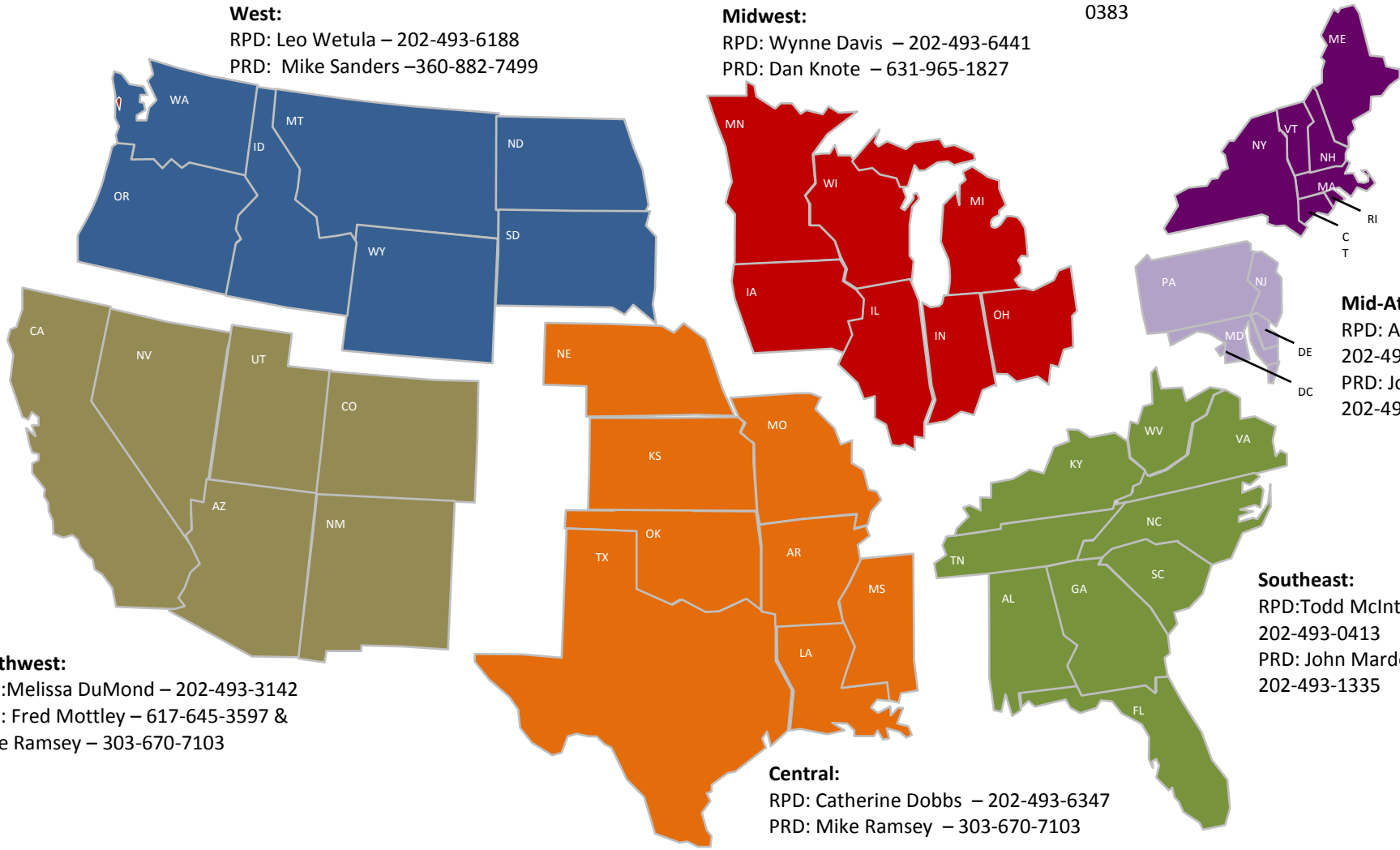
A – Regional Portfolios Map (with Regional Managers and PRD POCs)
B – Office of Safety - Regional Office Map (with Passenger Rail Chief Inspectors)
C – Regional Team Matrix
D – RRS Safety Participation By RPD-10 Project Phase
E – Inventory of Obligated RPD-10 HSIPR Projects Involving RSS
F – Construction Inspection Report Template
G – RRS RISPC Inspection Report Instructions
H - RRS RISPC Inspection Report Form

ATTACHMENT A – Regional Portfolios Map

Northeast:
RPD: Trevor Gibson – 202-493-6371
PRD: Charlie Whalen – 617-416-0383

West:
RPD: Leo Wetula – 202-493-6188
PRD: Mike Sanders –360-882-7499

Midwest:
RPD: Wynne Davis – 202-493-6441
PRD: Dan Knote – 631-965-1827



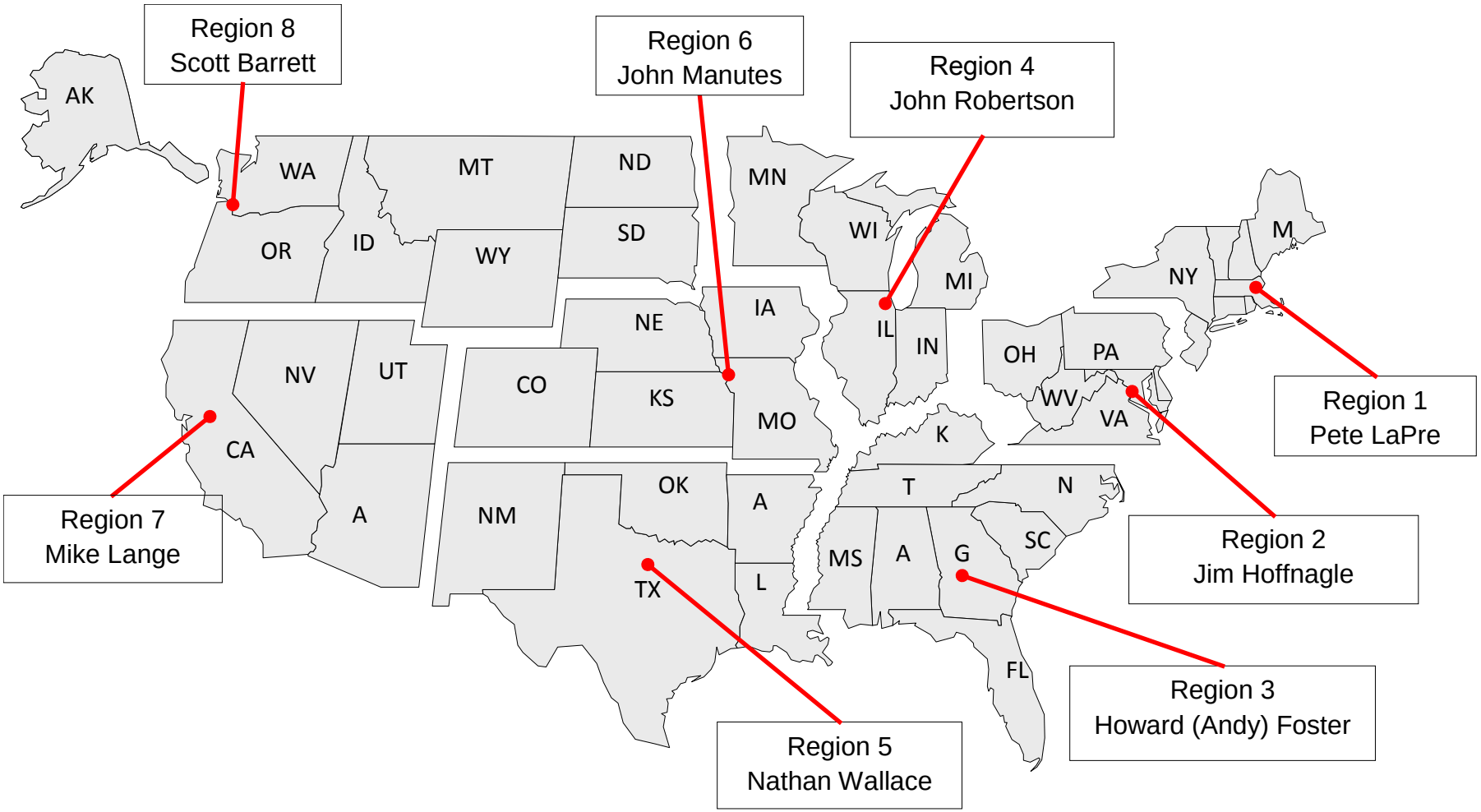
Mid-Atlantic:
RPD: Adam Denton
202-493-6329
PRD: John Mardente
202-493-1335

Southeast:
RPD:Todd McIntyre
202-493-0413
PRD: John Mardente
202-493-1335

Southwest:
RPD:Melissa DuMond – 202-493-3142
PRD: Fred Mottley – 617-645-3597 &
Mike Ramsey – 303-670-7103

Central:
RPD: Catherine Dobbs – 202-493-6347
PRD: Mike Ramsey – 303-670-7103

Attachment B – Office of Safety – Regional Office Map (with Passenger Rail Chief Inspectors)



Attachment C – Regional Team Matrix

Attachment D – Office of Safety Participation By RPD-10 Project Phase

Application Review/Obligations

- HSIPR Grant Applications/Obligations – PRD POCs and RRS Regional Administrators will receive a list of applications received for informational purposes. RPD-10 may consult with PRD and RRS Regional Administrators on questions related to applications. PRD POCs will review Statements of Work (other than state rail plans and service development plans) prior to obligation to ensure any RRS requirements are included (note: PRD POC's will track identified requirements throughout the Project Development Process to ensure they are met and completion is documented)

Planning

- State Rail Plans – No review of deliverables by RRS is required. A final copy of the plan will be provided to the PRD POC and the appropriate RRS Regional Administrator.
- Service Development Plans – No review of deliverables by RRS is required. A final copy of the plan will be provided to the PRD POC and the appropriate RRS Regional Administrator.

NEPA

- Categorical Exclusions – No review of deliverables by RRS is required. A final copy of the CE will be provided to the PRD POC and the appropriate RRS Regional Administrator.
- Environmental Assessments – Based on the project elements, RRS may need to review a preliminary risk assessment on the identified alternatives conducted by the project sponsor for the purpose of evaluating decisions on mitigation measures such as sound walls and other decisions where hazards could be created. A copy of the draft EA/FONSI, and FONSI will be provided to the PRD POC and the appropriate RRS Regional Administrator.
- Tier I Environmental Impact Statements – A copy of the draft and final EIS and ROD will be provided to the PRD POC and the appropriate RRS Regional Administrator.
- Tier II Environmental Impact Statements - RRS will review a preliminary risk assessment on the identified alternatives conducted by the project sponsor for the purpose of evaluating decisions on mitigation measures such as sound walls and other decisions where hazards could be created. Comments will be provided to the RPD-10 Regional Manager/HSR Project Manager for transmittal to the grantee.

Preliminary Engineering

- System Safety Plan (including Preliminary Hazard Analysis) – RRS will review and provide comments to the RPD-10 Regional Manager/HSR Project Manager for transmittal to the grantee.
- Training and Technical Assistance – RRS will coordinate with the RPD-10 Regional Manager/HSR Project Manager on providing assistance to grantees for New Start HSR projects, PTC projects and Rolling Stock. RRS subject matter experts may also provide assistance for other HSR project elements (e.g. track designs) as needed.

Final Design

- System Safety Plan (including Final Hazard Analysis) – RRS will review and provide comments to the RPD-10 Regional Manager/HSR Project Manager for transmittal to the grantee.
- Training and Technical Assistance – RRS will coordinate with the RPD-10 Regional Manager/HSR Project Manager on providing assistance to grantees for New Start HSR projects, PTC projects and Rolling Stock. RRS subject matter experts may also provide assistance for other HSR project elements (e.g. track designs) as needed.

Construction

- Field Inspections – RRS will provide periodic and final safety inspections in accordance with schedules jointly developed by the RPD-10 Regional Manager/HSR Project Manager and RCC
- Certifications – RRS will provide any required Safety Certifications. RPD-10 Regional Manager/HSR Project Manager will be notified.

Integrated Testing (Pre-revenue)

- Testing Plans and Verification of Integrated Testing – RRS will review and approve testing plans and verify integrated testing for New Start HSR projects, PTC projects and Rolling Stock.
- Certifications – RRS will provide any remaining Safety Certifications as required. RPD-10 Regional Manager/HSR Project Manager will be notified.

Attachment E – Inventory of Obligated HSIPR Projects Involving RSS

Attachement F – Construction Inspection Report Template

Attachment G – RRS RISPC Inspection Report Instructions

The Railroad Inspection System for PC (RISPC) is a proprietary application utilized by Federal Railroad Administration inspectors and state inspectors to record and upload their inspection activity into a central database. The inspector fills out a FORM FRA F6180.96 Inspection Report when citing a Railroad, Shipper, Contractor or Service Provider for exceptions to 49 CFR Parts 107-180 and 200-242, Emergency Orders, United States Code, Railroad Operating Rules and Railroad Safety Rules. The inspection report records the who, what, why, where and when observed by the inspector. Exceptions to these rules are recorded as defects and/or violation defects. At the conclusion of the inspection, the inspector may print a hard-copy of the report and provide this to the railroad contact, fax it, or attach a copy to an e-mail. Inspection reports are uploaded to the central server every few days, where the data is posted to an internal website for use by FRA staff.

If a violation defect was cited, the inspector will create a violation report within RISPC, which auto-populates with key fields from the Inspection Report. This violation report is one component of the violation packet sent to the FRA Office of Chief Counsel, as proof a regulation was not followed. This too can be printed, or sent by e-mail. The completed violation report is uploaded to the central server within 60 days of the inspection date.

RISPC has been used by FRA inspectors since 1995, with several upgrades and improvements over the years. The most notable change is the use of reference files that can be modified at a central location, and downloaded to the local PC during a communication session, allowing changes to be applied quickly. This is especially handy when new regulations become effective. Without RISPC, the FRA would not have the means to track the various types of inspection activities and would be unable to calculate its National Inspection Plan, used to help direct all inspection activity on an annual basis.

NOTE: Inspectors are to complete an RISPC Inspection report for all field inspections and HSR related meetings, using Source Code 1. This will enable FRA to identify all regional activities associated with FRA funded HSR Grants. A copy of the RISPC report is to be provided to the RPD Project Manager and the Passenger Rail Division POC>

Attachment H – RRS RISPC Inspection Report Form

DEPARTMENT OF TRANSPORTATION
FEDERAL RAILROAD ADMINISTRATION (FRA)

INSPECTION REPORT

OMB Approval No.: 2130-0509

Inspector's Name	Inspector's Signature	Inspector's ID No.	Report No.	Date yy	mm	dd
JOE INSPECTOR		99999	56	2013	07	23

Railroad/Company Name & Address	R/C	Division	RR/Co. Representative (Receipt Acknowledged)
	R		Name
	RR/Co. Code	Subdivision	Title
			Signature

From: City	Codes	Destination City & County	Codes	From Latitude
State		City		From Longitude
County		County		To Latitude
Mile Post: From	To	Inspection Point		To Longitude

Activity Code:											
Units:											
Sub Units:											

Item	Initials/Milepost	Equipment/Track #	Type/Kind	49 CFR/ USC	Defect	Subrule	Speed	Class	Train #/Site	SNFR*	RCL**	# of Occ.***	Activity Code
1										N	N	1	

Description			
Violation Recommended	☐ Yes	☑ No	Latitude: / Longitude:
Written Notification to FRA of Remedial Action is:	☐ Required	☑ Optional	Railroad Action Code ☐☐☐ Date(mm/dd/yyyy): Comments on back?

Source Code	File Number	IDs of Accompanying Inspector(s)

Page 1 of 1

FORM FRA F 6180.96 (Revised 03/10) *SNFR-Special Notice for Repairs **FRA COPY** **RCL-Remote Control Locomotive ***# of Occ.-Number of Occurrences