

**INFORMATION COLLECTION
SUPPORTING JUSTIFICATION**

**Solicitation of Applications and Notice of Funds Availability for
High-Speed Rail Corridors and Intercity Passenger Rail Service- Capital
Assistance and Planning Grants Program
OMB Control Number 2130-0584**

Summary of Submission:

- This is a revision to the information collection previously approved by OMB, which expires on January 31, 2013.
- The total number of burden hours requested for the submission is 20,384 hours.
- The total number of burden hours previously approved as 47,450 hours.
- There is a decrease of 27,066 hours for this collection due to an adjustment of required hours to complete both applications and reporting requirements for the High-Speed Rail Corridors and Intercity Passenger Rail (HSRCIP) program.

1. EXPLAIN THE CIRCUMSTANCES THAT MAKE THE COLLECTION OF INFORMATION NECESSARY. IDENTIFY ANY LEGAL OR ADMINISTRATIVE REQUIREMENTS THAT NECESSITATE THE COLLECTION. ATTACH A COPY OF THE APPROPRIATE SECTION OF EACH STATUTE AND REGULATION MANDATING OR AUTHORIZING THE COLLECTION OF INFORMATION.

Background

After 60 years and more than 1.8 trillion investment dollars, the United States has developed the world's most advanced highway and aviation systems. During this time, the nation has made a relatively modest investment in passenger rail systems. As congestion on highways and in the air continues to grow and environmental costs mount, there is a growing need for diverse transportation options.

In 2009, President Obama announced a new vision to address the nation's transportation challenges. He called for a collaborative effort among the Federal government, States, railroads, and other stakeholders to help transform America's transportation system. The President's vision seeks to create an efficient high-speed passenger rail system to connect inner-city communities across America.

Developing a comprehensive high-speed intercity passenger rail network requires a long-term commitment at both the Federal and State levels. The President has jump-started the process with \$2 billion provided by the Department of Transportation (DOT) Appropriations Act of 2010 (FY10 Appropriations), \$8 billion provided by the American Recovery and Reinvestment Act (ARRA), \$90 million provided by the DOT Appropriations Act of 2009 (FY09 Appropriations), and approximately \$1.8 million remaining funds from the Transportation, Housing and Urban Development, and Related Agencies Appropriations Act, 2008 (FY08 Appropriations). Additional or future funding for high-speed intercity passenger rail may come from a variety of sources, including annual appropriations, one-time appropriations, redistribution of previously allocated or obligated funds, or distribution of residual funding from previous sources.

The Federal Railroad Administration (FRA) allocates funds to applicants with plans or programs that align with the President’s key strategic transportation goals: creating safe and efficient transportation choices, building a foundation for economic competitiveness, promoting energy efficiency and environmental quality, and supporting interconnected livable communities. Grants are being administered for the following types of projects:

- **Service Development Programs** - Aimed at new high-speed rail corridor services or substantial upgrades to existing corridor services. Grants are intended to fund a set of inter-related projects that constitute a phase (or geographic section) of a long-range corridor plan.
- **Individual Projects** – Aimed at discrete capital projects that will result in service benefits or other tangible improvements on a corridor. These projects include completion of preliminary engineering (PE), National Environmental Policy Act (NEPA) documentation, final design (FD), and construction, which can include equipment procurements to provide improved service and modernized fleets throughout the country
- **Planning Projects** – Aimed at helping to establish a pipeline of future construction projects and corridor development programs by completing Service Development Plans and service-level environmental analysis for corridors that are at an earlier stage of the development process, as well as State Rail Plans.

As the President outlined in his March 20, 2009 memorandum, “Ensuring Responsible Spending of Recovery Act Funds,” implementing agencies are to “develop transparent, merit-based selection criteria that will guide their available discretion in committing, obligating, or expending funds under the Recovery Act.” In order to achieve this goal, FRA created an application process that contains clear selection criteria and evaluation procedures.

The Application Process

In essence, the application process is grounded on three key principles: (1) promoting collaboration and shared responsibility among the Federal Government and States, groups of States within corridor regions, and governments, railroads and other private entities; (2) managing, rather than eliminating, risk through program management structure, controls and procedures that permit prudent but effective investments; and (3) ensuring early success while building a sustainable program to meet near-term economic recovery goals while developing public consensus for a long-term program. FRA has issued interim program guidance as well as detailed instructions to clearly explain the application process.

The applications include the standard items, such as the SF 424, all ARRA-relevant forms, and other necessary and relevant technical documents that are project-specific and voluntary.

In order to determine eligibility for funds, FRA must solicit applications and collect information from parties interested in obtaining and utilizing these funds for eligible projects.

Following allocation of funds to applicants, FRA must collect information from recipients in the form of various required reports in order to effectively monitor and track the progress of all funded projects. This process consists of:

- Tracking project activities and progress against the approved milestones in the Statement of Work through quarterly submission of the FRA Quarterly Progress Report
- Comparing the rate of a project's actual expenditures to the planned amounts in the approved project budget through the quarterly submission of the Federal Financial Report (SF-425)
- Tracking cumulative funds and job creation through the quarterly submission of the ARRA 1512(c) Report for ARRA recipients
- Capturing the cumulative activities and achievements of the project, with respect to objectives and milestones, through the one-time submission of the Final Performance Report

This collection of information is necessary in order to comply with the funding agreements outlined in the Notice of Grant Agreement and, for ARRA recipients, satisfy legal obligations identified in Section 1501(c).

2. INDICATE HOW, BY WHOM, AND FOR WHAT PURPOSE THE INFORMATION IS TO BE USED. EXCEPT FOR A NEW COLLECTION, INDICATE THE ACTUAL USE THE AGENCY HAS MADE OF THE INFORMATION RECEIVED FROM THE CURRENT COLLECTION.

Information collected by the FRA from external entities is used by DOT staff and officials to review grant applications to determine whether the application materials fulfill the requirements and criteria established by statute and agency guidelines. When FRA makes awards to recipients, the recipients are responsible for submitting reports on a regular basis to provide information on programmatic and financial progress. In order to reduce risk and comply with all fiduciary responsibilities, FRA focuses on grantee performance indicators and maintains strong monitoring efforts on an on-going basis.

2.1 Applications

The collection of information – applications and other necessary documentation – is used to ensure that grants are awarded to those applicants whose proposed project(s) are most consistent with the eligibility requirements, prioritized criteria, goals and purposes established in ARRA, Passenger Rail Investment and Improvement Act (PRIIA) and the FY 10, FY 09, and FY 08 Appropriations Acts, and other regulatory acts in the future.

2.2 Reporting Requirements

FRA collects information through grantee reporting mechanisms in order to monitor progress of selected projects; to validate that projects are within scope, schedule, and budget; to identify projects in need of additional FRA assistance or intervention; to fulfill part of FRA's monitoring and oversight mission; and to contribute to the development of accurate budget estimates for and responses to agency and Congressional inquiries.

3. DESCRIBE WHETHER, AND TO WHAT EXTENT, THE COLLECTION OF INFORMATION INVOLVES THE USE OF AUTOMATED, ELECTRONIC, MECHANICAL, OR OTHER TECHNOLOGICAL COLLECTION TECHNIQUES OR OTHER FORMS OF INFORMATION TECHNOLOGY, E.G. PERMITTING ELECTRONIC SUBMISSION OF RESPONSES, AND THE BASIS FOR THE DECISION FOR ADOPTING THIS MEANS OF COLLECTION. ALSO DESCRIBE ANY CONSIDERATION OF USING INFORMATION TECHNOLOGY TO REDUCE BURDEN.

FRA strongly encourages the use of advanced information technology, wherever possible, to reduce the burden on respondents. FRA has championed the use of advanced information technology, particularly electronic recordkeeping, for many years now. In compliance with both the requirements of the Paper Work Reduction Act (PRA) and the Government Paperwork Elimination Act (GPEA), FRA provides for electronic submission of application information under the High-Speed Rail Corridors and Intercity Passenger Rail Service - Capital Assistance and Planning Grants Program. In fact, FRA strongly encourages all grant applications submitted under this program by States' Departments of Transportation and other applicants to be submitted to FRA through the Internet at <http://www.grantssolutions.gov> or <http://www.grants.gov>.

Required reports must also be submitted electronically, either through e-mail or <http://www.federalreporting.gov/> per instructions outlined in the Notice of Grant Agreement and/or provided by FRA staff.

Only documents which are impractical to submit electronically, such as oversized engineering drawings, will be permitted to be transmitted to FRA in paper format.

In order to eliminate grantee burden, FRA maintains internal databases as mechanisms to track and illustrate grantee progress.

4. DESCRIBE EFFORTS TO IDENTIFY DUPLICATION. SHOW SPECIFICALLY WHY ANY SIMILAR INFORMATION ALREADY AVAILABLE CANNOT BE USED OR MODIFIED FOR USE FOR THE PURPOSES DESCRIBED IN ITEM 2 ABOVE.

In order to identify duplication, FRA maintains a database with unique elements that are used to compare and cross-walk against new or existing applications and all other data elements—internal or external—to minimize the amount of information requested from the grantee.

The applications are generally project specific, and the information provided in an application package is unique and not available elsewhere. In addition, new application materials are often required as applicants continue to develop projects and revise grant proposals, resulting in previously-submitted application materials becoming outdated.

When appropriate, to reduce duplication, relevant materials previously provided to FRA may be referenced and described as unchanged. To the extent referenced, this information need not be resubmitted for a grant application. This procedure is expected to continue to be followed by applicants in the future.

5. IF THE COLLECTION OF INFORMATION IMPACTS SMALL BUSINESSES OR OTHER SMALL ENTITIES (ITEM 5 OF OMB FORM 83-I), DESCRIBE ANY METHODS USED TO MINIMIZE BURDEN.

While States likely collect this information, the federal government has not participated in information collection from small businesses to date.

Participation is completely voluntary. Eligibility to participate is limited to States and in certain prescribed circumstances, Amtrak. High speed rail and intercity passenger rail services are large, technically complex, specialized, and very costly investments. Implementation of any conceivable high speed rail system would, at a minimum, cost hundreds of millions of dollars, exceeding the small business size standards. Small businesses are not expected to participate.

Likewise, small governmental entities would be unable to implement a high speed rail and intercity passenger rail system and are also ineligible to participate. Thus, there is no impact on small entities from this collection of information and no impact is expected from any additional collections of information.

6. DESCRIBE THE CONSEQUENCE TO FEDERAL PROGRAM OR POLICY ACTIVITIES IF THE COLLECTION IS NOT CONDUCTED OR IS CONDUCTED LESS FREQUENTLY, AS WELL AS ANY TECHNICAL OR LEGAL OBSTACLES TO REDUCING BURDEN.

6.1 Applications

FRA is currently responsible for the oversight and management of the largest discretionary infrastructure projects in the country. Since these large investments fall under the purview of FRA, it is also necessary that FRA request information from recipients that will satisfy agency reporting requirements. Without the collection of information, FRA would be unable to determine eligibility for the High-Speed Rail Corridors and Intercity Passenger Rail Service - Capital Assistance and Planning Grants Program. As well, without the collection of information, FRA would have been unable to disperse the more than \$10 billion appropriated for the Program, as Congress detailed specific eligibility requirements for recipients and projects. Further, ARRA and Federal regulations detail specific reporting requirements that a grantee must follow to ensure the funds are used appropriately. Hence, without this collection of information, FRA would be unable to ensure that all requirements for the Program are met.

FRA solicits information in the form of applications only when funding becomes available to support additional high-speed and intercity passenger rail projects. Without additional collections of information, FRA would not be able to evaluate proposed future projects, ensure compliance with Program requirements, and allocate funding in the event that funding again becomes available.

6.2 Reporting Requirements

FRA must collect information from grantees in the form of standard form reports and technical deliverables in order to ensure progress and performance and to meet the FRA's fiduciary responsibility. Without the collection of information in the form of reporting requirements, FRA would not be able to monitor and assess the progress of selected grants. Without the collection

of information, FRA would not be able to verify projects are on track for scope, schedule, and budget or identify projects needing additional FRA assistance or support. Further, without this collection of information, FRA would not be able to accurately provide current or future budget estimates or respond to agency or Congressional inquiries related to the status of selected projects or the High-Speed Rail Corridors and Intercity Passenger Rail Service - Capital Assistance and Planning Grants Program as a whole.

In sum, the collection of information enables FRA to fulfill ARRA and other statutory and regulatory requirements, contribute to the economic development of States and the District of Columbia, and promote and enhance safe rail transportation throughout the United States. In this, past collections and proposed future collections further FRA's goals and objectives, its core agency mission, and DOT's Strategic Goals.

7. EXPLAIN ANY SPECIAL CIRCUMSTANCES THAT WOULD CAUSE AN INFORMATION COLLECTION TO BE CONDUCTED IN A MANNER CONSISTENT WITH 5 CFR 1320.6:

It should be noted that funding authorized or appropriated under PRIIA, ARRA, and other appropriations acts requires recipients to adhere to all reporting requirements set forth in PRIIA, ARRA, and/or the applicable appropriations act.

All information collection requirements are in compliance with this section.

8. DESCRIBE EFFORTS TO CONSULT WITH PERSONS OUTSIDE THE AGENCY TO OBTAIN THEIR VIEWS ON THE AVAILABILITY OF DATA, FREQUENCY OF COLLECTION, THE CLARITY OF INSTRUCTIONS AND RECORDKEEPING, DISCLOSURE, OR REPORTING FORMAT (IF ANY), AND ON THE DATA ELEMENTS TO BE RECORDED, DISCLOSED, OR REPORTED.

As required by the Paperwork Reduction Act of 1995, FRA published a 60-day notice in the Federal Register on August 6, 2012, soliciting comments on this particular collection of information. See 77 FR 151. FRA received one comment from Washington State Department of Transportation regarding this information.

A telephone comment was received from Washington State Department of Transportation, State Rail and Marine Office. It was mentioned that it is often confusing by FRA's Federal Register notices posted on the Paperwork Reduction Act. We have not been explicit about what question(s) we are posting when we are looking for comments. We give a great deal of information, but they are not sure of the end goal.

FRA explained via telephone that we were looking, for any constructive feedback on our collection process for grant applications and post-award documentation. That feedback could range from thoughts like, "FRA's progress reports ask for too much information", to "we need a portal to register our grant submissions", and "it would be nice if FRA collected similar information for all grant programs."

No further action was needed.

On October 9, 2012, FRA published in the Federal Register a 30-day Notice Regarding Developing a comprehensive high-speed intercity passenger rail network, under the Office of Railroad Policy and Development. See 77 FR 195.

Through monthly calls with stakeholders, frequent contact with regional teams and the delivery of technical assistance, FRA meets with States to ensure that requested information is both useful to FRA and to the recipient, and that FRA is not causing undue burden on the recipient.

9. EXPLAIN ANY DECISION TO PROVIDE ANY PAYMENT OR GIFT TO RESPONDENTS, OTHER THAN REMUNERATION OF CONTRACTORS OR GRANTEES.

FRA has not and will not provide any payment or gift to respondents, including remuneration of contractors or grantees.

10. DESCRIBE ANY ASSURANCE OF CONFIDENTIALITY PROVIDED RESPONDENTS.

The solicitations requested that applicants use publicly available data or data that can be made public and methodologies that are accepted by industry practice and standards, to the extent possible. All material provided by applicants is proprietary and is subject to the Freedom of Information Act (FOIA).

Grant applications and related materials submitted by applicants pursuant to a notice of funding availability would become agency records and thus subject to the FOIA and to public release through individual FOIA requests. FRA also recognizes that certain information submitted in support of an application for funding in accordance with this notice could be exempt from public release under FOIA as a result of the application of one of the FOIA exemptions which protect trade secrets and commercial or financial information obtained from a person that is privileged or confidential.

Entities seeking exempt treatment must provide a detailed statement supporting and justifying their request and should follow FRA's existing procedures for requesting confidential treatment in the railroad safety context found at 49 CFR 209.11.

As noted in the Department's FOIA implementing regulation (49 CFR Part 7), the burden is on the entity requesting confidential treatment to identify all information for which exempt treatment is sought and to persuade the agency that the information should not be disclosed (see 49 CFR 7.17). The final decision as to whether the information meets the standards of exemption rests with FRA.

11. ADDITIONAL JUSTIFICATION FOR QUESTIONS OF A SENSITIVE NATURE.

FRA's information collection practice does not request any sensitive or private information and such requests are not expected in the future.

12. ESTIMATE OF THE HOUR BURDEN OF THE COLLECTION AND ANNUALIZED COST TO RESPONDENTS.

12.1 Applications

Through the solicitation of applications and the management of discretionary grants, FRA has calculated a burden associated with applications, deliverables and reports.

Application Burden:

FRA received the following breakdown of applications for FY10, ARRA, and FY09 funding:

Service Development Programs: 80
Individual PE / NEPA Projects: 122
Individual FD / Construction Projects: 211
Planning Projects: 70
Multi-State Planning Projects: 4

Total: 487

The majority of the projects that were submitted for Individual Projects and Service Development Programs were fairly well developed; therefore, FRA estimates that it did not generally take applicants more than 32 burden hours to assemble individual applications for Service Development, PE / NEPA, FD / Construction, Planning, and Multi-State Planning projects. Thus, the total application annual hour burden is estimated at 15,584 hours.

SERVICE DEVELOPMENT PROGRAMS

Due to the complexity and level of detail required to carry out a large scale capital infrastructure project under the Service Development Program, FRA requires applicants to fill out a three-part application including the narrative application form, the Statement of Work and the budget and schedule form. The total burden hour estimate for the entire Service Development Program application is 32 hours, and each form is listed below with its associated burden estimate.

Program	Form Number	Burden Hour Estimate
Service Development Program	6180.138c	10
Service Development Program	6180.138d	12
Service Development Program	6180.134	10
Total Burden Hours for SDP Application		32

FRA F 6180.138c (Narrative Application Form – Service Development Program - Part I) Form Components:

- A. Point of Contact and Applicant Information
- B. Eligibility information
- C. Corridor Service Overview, including a narrative explaining the linkages between the Service Development Program and the long-term goals of the HSIPR corridor
- D. Executive Summary of SDP project information, goals, service outcomes, capital investments, and breakouts of individual component projects and associated narrative and cost

- E. Infrastructure Owner(s) and Operator(s), including information regarding Right-of-Way Owners, Passenger Rail Operators, existing rail services, estimated benefits and approximate cost share provided by the beneficiary.
- F. Response to Evaluation Criteria, including (1) project readiness, (2) transportation benefits, (2b) other public benefits, (3) project delivery approach; and (4) sustainability of benefits.
- G. Statement of Work (SOW), containing sufficient detail so that both FRA and the applicant can (a) understand the expected outcomes of the work to be performed by the applicant, and (b) track applicant progress toward completing key project tasks and deliverables during the period of performance. The SOW should clearly describe project objectives, work for phases and/or groups of component projects, and the activities that directly contribute to the combined FRA and applicant effort funded under the grant agreement.
- H. Optional Supporting Information and associated attachments.

FRA F 6180.138d (Narrative Application Form – Service Development Program - Part II SOW) Form Components:

- A. Statement of Work instructions and guidance for the applicant to use while developing the SOW. Subsections include guidance around:
 - a. Background
 - b. Scope of Activities
 - i. General Objectives (stations served, corridor design, other related benefits of SDP)
 - ii. Description of Work (as outlined by phases, component project, or major task, including the geographical and physical boundaries of the program)
 - iii. Deliverables to be completed during the grant
 - c. Project Schedule
 - d. Project Cost Estimate/Budget (by phase)

FRA F 6180.134 (Service Development Program Budget and Schedule) Form Components:

- A. Detailed budget workbook in excel, containing the follow components: general information and assumptions, capital cost information, detailed and annual capital cost budget, instructions for operating and financial sheets, operating and maintenance information, operating and financial performance, sustainability analysis, program schedule.
- B. Budget breakdown by:
 - a. Track structures and track
 - b. Stations, terminals, intermodal
 - c. Support facilities: yards, shops, administrative buildings
 - d. Site work, right of way, land, existing improvements
 - e. Communications and signaling
 - f. Electric traction
 - g. Vehicles
 - h. Professional services
 - i. Unallocated contingency
 - j. Finance charges

C. Any relevant supporting forms

Respondent Universe:

States/DC/Amtrak

Burden time per response:

32 hours

Frequency of Response:

One-time

Total number of Responses:

80 applications

Total Burden:

2,560 hours

Calculation: 80 applications x 32 hrs. = 2,560 hours

INDIVIDUAL PE/NEPA PROJECTS

Due to the complexity and level of detail required to carry out large scale individual PE/NEPA Projects, FRA requires applicants to fill out a two-part application, including the narrative application form and the Statement of Work, both of which require an estimated 16 hours to develop. Therefore, the total burden hour estimate for the entire Individual PE/NEPA Project application is 32 hours, and each form is listed below.

Program	Form Number	Burden Hour Estimate
Individual PE/NEPA	6180.138a	16
Individual PE/NEPA	6180.138b	16
Total Burden Hours		32

FRA F 6180.138a, (Narrative Application Form – Individual PE/NEPA - Part I) Form Components:

- A. Point of contact and applicant information
- B. Eligibility information
- C. PE/NEPA activities summary, including anticipated funding levels tied to each activity, duration, funding source (if non-Federal), types of capital investments, anticipated service outcomes and related job creation
- D. Infrastructure owner(s) and operator(s), including types of services affected by the underlying project and existing rail services within the boundaries of the project (e.g. freight, commuter, and intercity passenger), and projected share of benefits that will be realized as a result of the project.
- E. Additional response to evaluation criteria, including:
- F. Project readiness
- G. Transportation and other public benefits
- H. Project Delivery Approach
- I. Sustainability of Benefits
- J. Statement of Work, containing project objectives, expected outcomes, a planned schedule to track progress through key project tasks and deliverables, and other relevant information necessary for the applicant to complete the work under the grant agreement
- K. Optional Supporting Information

FRA F 6180.138b (Individual PE/NEPA Part II Statement of Work) Form Components:

- A. Statement of Work instructions and guidance for the applicant to use while developing the SOW. Subsections include guidance around:
- B. Background
- C. Scope of Activities
 - a. General Objectives (stations served, corridor design, other related benefits of SDP)
 - b. Description of Work (as outlined by phases, component project, or major task, including the geographical and physical boundaries of the program)
 - c. Deliverables to be completed during the grant
- D. Project Schedule
- E. Project Cost Estimate/Budget (by phase)

Respondent Universe:

States/DC/Amtrak

Burden time per response:

32 hours

Frequency of Response:

One-time

Total number of Responses:

122 applications

Total Burden:

3,904 hours

Calculations: 122 applications x 32 hrs. = 3,904 hours

INDIVIDUAL FD/CONSTRUCTION PROJECTS

Due to the complexity and level of detail required to carry out large scale individual FD/Construction Projects, FRA requires applicants to fill out a three-part application, including the narrative application form, the Statement of Work and the budget and schedule form, all of which are listed below with their associated burden hour estimates. The total burden hour estimate for the entire Individual FD/Construction Project application package, therefore, is 32 hours.

Program	Form Number	Burden Hour Estimate
Individual FD/Construction	6180.138	10
Individual FD/Construction	6180.133	12
Individual FD/Construction	6180.139a	10
Total Burden Hours		32

FRA F 6180.138 (Individual FD/Construction – Part I) Form Components:

- A. Point of contact and applicant information
- B. Eligibility information
- C. FD/Construction project summary, including anticipated funding levels tied to each activity, duration, funding source (if non-Federal), types of capital investments,

- anticipated service outcomes and related job creation
- D. Infrastructure owner(s) and operator(s), including information regarding right-of-way owners, applicable Intercity passenger rail operator and the status of the agreement, existing rail services within the project boundaries (e.g. freight, commuter, and intercity passenger), and an estimate of the share of benefits realized by non-intercity passenger rail services and approximate cost share paid by the beneficiary
 - E. Additional response to evaluation criteria, including:
 - a. Project readiness
 - b. Transportation and other public benefits
 - c. Project Delivery Approach
 - d. Sustainability of Benefits
 - F. Statement of Work, containing project objectives, expected outcomes, a planned schedule to track progress through key project tasks and deliverables, and other relevant information necessary for the applicant to complete the work under the grant agreement
 - G. Optional Supporting Information

FRA F 6180.133 (Narrative Application Form Individual FD/Construction - Part II Statement of Work) Form Components:

- A. Statement of work instructions and guidance for the applicant to use while developing the SOW. Subsections include guidance around:
 - a. Background
 - b. Scope of Activities
 - i. General Objectives (stations served, corridor design, other related benefits of SDP)
 - ii. Description of Work (as outlined by phases, component project, or major task, including the geographical and physical boundaries of the program)
 - iii. Deliverables to be completed during the grant
 - c. Project Schedule
 - d. Project Cost Estimate/Budget (by phase)

FRA F 6180.139a (FD/Construction Individual Project Budget and Schedule Form) Form Components:

- A. Detailed budget workbook in excel, containing the follow components: general information and assumptions, capital cost information, including detailed capital cost budget and annual capital cost budget, and project schedule.
- B. Budget breakdown by:
 - a. Track structures and track
 - b. Stations, terminals, intermodal
 - c. Support facilities: yards, shops, administrative buildings
 - d. Site work, right of way, land, existing improvements
 - e. Communications and signaling
 - f. Electric traction
 - g. Vehicles
 - h. Professional services
 - i. Unallocated contingency
 - j. Finance charges

C. Any relevant supporting forms

Respondent Universe:

States/DC/Am
trak

Burden time per response:

32
hours

Frequency of Response:

One-time

Total number of Responses:

211 applications

Total Burden:

6,752 hours

Calculation: 211 applications x 32 hrs. = 6,752 hours

PLANNING PROJECTS

Due to the complexity and level of detail required to carry out large scale Planning projects, FRA requires applicants to fill out a detailed application, and all relevant attachments as required in the application package. Planning Applications take an approximate 32 hours to complete, as noted below.

Program	Form	Burden Hour Estimate
Planning	6180.135	32
Total Burden Hours		32

FRA F 6180.135 (Application Form – Planning) Form Components:

- A. Point of contact and applicant information
- B. Statement of Work, containing applicant information on project objectives, description of work, a planned schedule to track progress through key project tasks and deliverables, a project estimate/budget, project coordination, and project management.
- C. Response to Evaluation Criteria, including:
 - a. Potential transportation and public benefits
 - b. Future program viability and sustainability
 - c. Project delivery approach
- D. Optional Additional Information
- E. Checklist of Application Materials

Respondent Universe:

States/DC/Am
trak/Private
Entities

Burden time per response:

32

hours

Frequency of Response: One-time

Total number of Responses: 70 applications

Total Burden: 2,240 hours

Calculation: 70 applications x 32 hrs. = 2,240 hours

MULTI-STATE PLANNING PROJECTS

Due to the complexity and level of detail required to carry out large scale, Multi-State Planning projects, FRA requires applicants to fill out a detailed application and provide all relevant attachments as required in the application package. Multi-State Planning Applications take an approximate 32 hours to complete, as noted below.

Program	Form	Burden Hour Estimate
Multi-State Planning	6180.139	32
Total Burden Hours		32

FRA F 6180.139 (Multi-State Planning Proposal) Form Components:

- A. Point of contact and project information
- B. Proposal Details, including
 - a. Potential transportation and public benefits
 - b. Future program viability and sustainability
 - c. Project management proposal
 - d. Justification statement
 - e. Estimated cost
- C. Additional Information
- D. Checklist of Proposed Materials

Respondent Universe:

States/DC/Am
trak/Private
Entities

Burden time per response:

32
hours

Frequency of Response: One-time

Total number of Responses: 4 applications

Total Burden: 128 hours

Calculation: 4 applications x 32 hrs. = 128 hours

Application total: 2,560 hours + 3,904 hours + 6,752 hours + 2,240 hours + 128 hours = 15,584 hours

In the event of additional funding requiring collections of applications, FRA expects the total annual burden to respondents to be comparable, varying proportionally with the number of applications.

12.2 Reporting Requirements

Reporting requirements for selected grants may vary based on funding source, project type, and project duration. However, all projects are required to submit the Federal Financial Report (SF-425) on a quarterly basis.

Recipients also submit technical deliverables on a project-specific and voluntary basis, which generally includes the submission of an FRA Quarterly Progress Report and the Final Performance Report.

One hundred and fifty grants have been selected or are expected to be selected and must submit reports once obligated.

Federal Financial Report (SF-425)

All grantees must submit the Federal Financial Report once every quarter for every quarter during which the project is active. It is estimated that it will take approximately 2 hours to complete the report. An estimated 150 grants are expected to submit these reports four times a year. Total annual burden for this requirement is 1,200 hours.

Respondent Universe:		All Grantees
Burden time per response:		2 hours
Frequency of Response:		4 times a year
Total number of Responses:	150 Grants	
Total Burden:		1,200 hours

Calculation: 150 grants x 2 hrs. x 4 times a year = 1,200 hours

TECHNICAL DELIVERABLE BURDEN:

In addition to the standard forms that grantees submit, the technical deliverables submitted include the FRA Quarterly Progress Report and the Final Performance Report. The two deliverables and their associated burden hours are listed below:

FRA Quarterly Progress Report

All grantees must submit the FRA Quarterly Report once every quarter for every quarter during which the project is active. It is estimated that it will take approximately 1 hour to complete each report. An estimated 150 grants are expected to submit these reports four times a year. Total annual burden for this requirement is 600 hours.

Respondent Universe:		All Grantees
Burden time per report:		1 hour

Frequency of Report:		4 times
		a year
Total number of Grantees:	150 Grants	
Total Burden:		600 hours

Calculation: 150 grants x 1 hrs. x 4 times a year = 600 hours

Final Performance Report

All grantees must submit the Final Performance Report upon completion of the project. This report is submitted once. It is estimated that it will take approximately 20 hours on average to complete the report. Please note this is an average due to the wide variance in scope of grants. An estimated 150 grants are expected to submit this report. Total burden for this requirement is 3,000 hours.

Respondent Universe:		All
		Grantees
Burden time per response:		20
		hours
Frequency of Response:		Once
Total number of Responses:	150 Grants	
Total Burden:		3,000 hours

Calculation: 150 grants x 20 hrs. = 3,000 hours

Reporting Total: 1,200 hrs. + 600 hrs. + 3,000 hrs. = 4, 800 hours

TOTAL ANNUAL BURDEN:

Applications: 15,584 hours
 Reporting Requirements: 4,800 hours
TOTAL BURDEN HOURS: 20, 384 hours

13. ESTIMATE OF TOTAL ANNUAL COST BURDEN TO RESPONDENTS.

13.1 Applications

Please note that FRA expects the number and complexity of applications submitted to vary considerably and that there will be a wide variance in the level of effort required by each applicant.

As stated above, the estimated total application annual hour burden on respondents of the one-time collections of applications is 15,484 hours.

Although various personnel are involved in the development of an application, FRA estimates that the average cost for the services of these personnel was approximately \$25 per hour. Consequently, the total annual cost burden to respondents is estimated to be **\$389,600** (\$25 x 15,584 hours).

In the event of additional funding requiring collections of applications, FRA expects the total annual cost burden to respondents to be comparable, varying proportionally with the number of applications.

No additional cost to respondents beside the burden hours listed in question number 12.

13.2 Reporting Requirements

Please note that FRA expects the number and complexity of reports submitted to vary somewhat by grant and that there may be a wide variance in the level of effort required by each grantee.

As stated above, the estimated total annual hour burden of these reporting requirements on grantees is 4,800 hours.

Although various personnel are involved in the development of these reports, FRA estimates that the average cost for the services of these personnel is approximately \$25 per hour. Consequently, the total annual cost burden to grantees is estimated to be **\$120,000** (\$25 x 4,800 hours).

14. ESTIMATE OF THE ANNUALIZED COST TO THE FEDERAL GOVERNMENT.

14.1 Applications

Based on burden of previous requests for applications for FY09, ARRA and FY10 funding, the annual estimated cost to the Federal government is **\$797,500**. This cost reflects the need to establish an evaluation team to process and review each of the applications and make recommendations about which projects to fund. FRA estimates that the evaluation team included 29 contractors and staff from various agencies in the Department. This estimate is based on experience in the most recent round of solicitations, in which FRA received 98 applications for two project types and could have expected to receive an additional approximate 35, should additional funding for a third project type have been available. This figure was developed based on an anticipated 125 applications, time spent in reviews for each project type and the technical

and executive level reviewers, support staff and contractors required.

FRA did not utilize any special equipment or support, other than printing. As noted above in item 12, FRA received 487 applications. If each application is 25 pages, FRA would need to print as many as 12,175 pages for each of the 10 members of the executive evaluation team, which adds up to a total of 121,750 pages of printing.

Some of the members of the evaluation team reviewed electronic versions of the applications, but for the purpose of this estimate, FRA assumes that all members reviewed hard copies of all applications. FRA's printing costs are estimated at approximately one (1) cent per page, which adds up to a total printing cost of **\$1,218**.

TOTAL APPLICATION COST **\$798,718** (\$797,500 + \$1,218)

14.2 Reporting Requirements

The estimated annual cost to the Federal Government is \$324,000. This cost reflects total amount needed by FRA staff to review and evaluate the required reports submitted by grantees. Although various personnel are involved in the review of these reports, FRA estimates that the average cost for the services of FRA staff is approximately \$60/hour¹.

Required Reports:

Federal Financial Report (SF-425)

It is estimated that it will take one hour per FRA staff member to review each progress report. An estimated two FRA staff members review each report. An estimated 150 grants are expected to submit these reports four times a year. The estimated annualized cost to the Federal government for the evaluation team is **\$72,000**.

Report Universe:

		All
		Grantees
Number of FRA Staff Required:		2
Burden time per staff member per report:		1 hour
Frequency of Report:		4 times a year
Total number of Grantees:	150 Grants	
Total Burden:		1,200 hours
Total Cost:		\$72,000

Calculation: 150 grants x 2 staff x 1 hour x 4 times x \$60/hour= \$72,000

Technical Deliverables:

FRA Quarterly Progress Report

¹ Calculation: Estimated average annual salary \$125,000 divided by 2,087 hours per year = \$60/ hour (rounded)

It is estimated that it takes 1 hour per FRA staff member to review each progress report. An estimated two FRA staff members review each report, and an estimated 150 grants are expected to submit these reports four times a year. The estimated annualized cost to the Federal government for the evaluation team is **\$72,000**.

Report Universe:

		All
		Grantees
Number of FRA Staff Required:		2
Burden time per staff member per report:		1 hour
Frequency of Report:		4 times a year
Total number of Grantees:	150 Grants	
Total Burden:		1,200 hours
Total Cost:		\$72,000

Calculation: 150 grants x 2 staff x 1 hour x 4 times x \$60/hour = \$72,000

Final Performance Report

It is estimated that it will take 10 hours per FRA staff member to review each progress report. An estimated two FRA staff members review each report. An estimated 150 grants are expected to submit these once. The estimated annualized cost to the Federal government for the evaluation team is **\$180,000**.

Report Universe:

		All
		Grantees
Number of FRA Staff Required:		2
Burden time per staff member per report:		10 hours
Frequency of Report:		Once
Total number of Grantees:	150 Grants	
Total Burden:		3,000 hours
Total Cost:		\$180,000

Calculation: 150 grants x 2 staff x 10 hours x 1 time x \$60/hour = \$180,000

TOTAL REPORTING REQUIRMENT ANNUAL COST: \$72,000 + \$72,000 + \$180,000 = \$324,000

TOTAL BURDEN COSTS: \$798,718 (application costs) + \$324,000 (reporting requirement costs) = \$1,112,718

15. EXPLAIN REASONS FOR CHANGES IN BURDEN.

The total burden hours has decreased due to the adjustments in expected hours required to complete application forms for the HSIPR program. In the last submission, FRA estimated it would take applicants 50-200 hours to complete various application materials for the HSIPR program. In the present submission, FRA indicates that the materials are expected to take 32 hours.

16. PLANS FOR TABULATION AND PUBLICATION.

There are no plans for publication of applications and other documentation comprising this collection of information. The information collected was used exclusively for purposes of determining eligibility for the High-Speed Rail Corridors and Intercity Passenger Rail Service-Capital Assistance and Planning Grants Program and awarding program funds.

17. IF SEEKING APPROVAL NOT TO DISPLAY THE EXPIRATION DATE FOR OMB APPROVAL, EXPLAIN THE REASONS.

Once OMB approval is received, FRA will publish the approval number for these information collection requirements in the Federal Register.

FRA is not seeking approval to not display the expiration date for OMB approval of the information collections.

18. EXPLAIN ANY EXCEPTIONS TO THE CERTIFICATION STATEMENT

No exceptions are taken at this time.

19. IDENTIFIED IN ITEM 19 OF OMB FORM 83-I.

FRA does not request any exceptions to the certification statement.