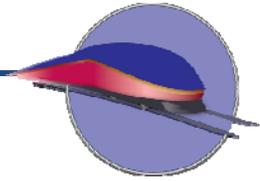


Project Name: IN-Indiana Gateway Corridor Date of Submission: 08/24/09 Version Number: 1

High-Speed Intercity Passenger Rail (HSIPR) Program

Application Form



Track 1a–Final Design (FD)/Construction & Track 4–FY 2009 Appropriations Projects

Welcome to the Track 1a Final Design (FD)/Construction and Track 4 Application for the Federal Railroad Administration’s High-Speed Intercity Passenger Rail (HSIPR) Program. Applicants for Track 1a FD/Construction and/or Track 4 are required to submit this Application Form and Supporting Materials (forms and documents) as outlined in Section G of this application and in the HSIPR Guidance.

We appreciate your interest in the program and look forward to reviewing your application. If you have questions about the HSIPR program or this application, please contact us at HSIPR@dot.gov.

Instructions:

- Please complete the HSIPR Application electronically. See Section G for a complete list of the required application materials.
- In the space provided at the top of each section, please indicate the project name, date of submission (mm/dd/yy) and the application version number. The distinct Track 1a and/or Track 4 project name should be less than 40 characters and follow the following format: State abbreviation-route or corridor name-project title (e.g., HI-Fast Corridor-Track Work IV).
- For each question, enter the appropriate information in the designated gray box. If a question is not applicable to your FD/Construction Project, please indicate “N/A.”
- Narrative questions should be answered concisely within the limitations indicated.
- Applicants must upload this completed application and all other application materials to www.GrantSolutions.gov by August 24, 2009 at 11:59pm EDT.
- Fiscal Year (FY) refers to the Federal Government’s fiscal year (Oct. 1- Sept. 30).
- Please direct questions to: HSIPR@dot.gov

A. Point of Contact and Applicant Information

(1) Application Point of Contact (POC) Name: Keith Bucklew		POC Title: INDOT Director, Freight Mobility		
Street Address: 100 North Senate Ave., N955	City: Indianapolis	State: IN	Zip Code: 46204	Telephone Number: 317-233-2376
Fax:		Email: KBucklew@indot.in.gov		

(2) Name of lead State or organization applying (only States may apply for Track 4): Indiana

(3) Name(s) of additional States and/or organizations applying in this group (if applicable): N/A

(4) Is this project for which you are applying for HSIPR funding related or linked to additional applications for HSIPR funding that may be submitted in this or subsequent rounds of funding? Yes No Maybe
 If “yes” or “maybe,” provide the following information:

Program/Project Name	Lead Applicant	Track	Total HSIPR Funding Proposed (if known)	Status of Application
Chicago Terminal Limits for the MWRRRS	Illinois	Track 1a - FD/Construction	\$172 million	Will Apply
		Track 1a - FD/Construction	\$	Applied
		Track 1a - FD/Construction	\$	Applied
		Track 1a - FD/Construction	\$	Applied
		Track 1a - FD/Construction	\$	Applied
		Track 1a - FD/Construction	\$	Applied
		Track 1a - FD/Construction	\$	Applied
		Track 1a - FD/Construction	\$	Applied

Project Name: IN-Indiana Gateway Date of Submission: 08/24/09 Version Number: 1

B. Project Overview

<p>(1) FD/Construction Project Name: IN-Indiana Gateway</p>
<p>(2) Indicate the Track under which you are applying: Track 1a - FD/Construction <i>Please note if you are applying for Track 1a–FD/Construction and Track 4 <u>concurrently</u>, you must submit two separate versions of this application into www.GrantSolutions.gov (one for Track 1a –FD/Construction and one for Track 4–FY 2009 Appropriations Projects).</i></p>
<p>(3) Indicate the activity(ies) for which you are applying (check both if applicable):</p> <p style="text-align: center;"> <input checked="" type="checkbox"/> Final Design <input checked="" type="checkbox"/> Construction </p>
<p>(4) What are the anticipated start and end dates for the FD/Construction Project? (mm/yyyy)</p> <p style="text-align: center;"> Start Date: 11/2009 End Date: 11/2011 </p>
<p>(5) Total Cost of the FD/Construction Project (year of expenditure (YOE) Dollars*): \$ 71,364,980</p> <p>Please provide proposed inflation assumptions and methodology, if applicable in the space below. <i>Please limit response to 1,000 characters.</i></p> <p>Annual inflation is assumed to be 3.5%, based on the 1995-2008 average annual change in the AAR Annual Indexes of Chargeout Prices and Wage Rates – East (Total Excluding Fuel), (1977=100).</p> <p>Of the total cost of the FD/Construction Project, how much would come from the FRA HSIPR Program: (YOE Dollars**) \$ 71,364,980</p> <p>Indicate percentage of total cost to be covered by <u>matching funds</u> N/A % <i>Applications submitted under Track 4 require at least a 50 percent non-Federal match to be eligible for HSIPR funding.</i></p> <p><small>* Year-of-Expenditure (YOE) dollars are inflated from the base year. ** This is the amount for which the applicant is applying.</small></p>
<p>(6) Project Overview Narrative. <i>Please limit response to 5,000 characters.</i></p> <p>Provide an overview of the main features and characteristics of the FD/Construction Project, including:</p> <ul style="list-style-type: none"> • The location of the project including name of rail line(s), State(s), and relevant jurisdiction(s) (include map if available in supporting documentation). • Identification of service(s) that would benefit from the project, the stations that would be served, and the State(s) where the service operates. • How the project was identified through a planning process and how the project is consistent with an overall plan for developing High-Speed Rail/Intercity Passenger Rail service. • How the project will fulfill a specific purpose and need in a cost-effective manner. • The project’s independent utility. • The specific improvements contemplated. • Any use of railroad assets or rights-of-way, and potential use of public lands and property. • Other rail services, such as commuter rail and freight rail that will make use of, or otherwise be affected by, the project. <p>The Indiana Gateway project is situated on Norfolk Southern Railway's (NSR) Chicago Line between Porter, Indiana and the Indiana/Illinois state line. It addresses the single most delay-prone intercity rail passenger corridor in the country, doing so in a way that provides both stand-alone congestion relief benefits as well as a path towards development of the lane as a high-speed corridor within the Chicago Hub Network. The project boundaries extend from CP-479 just east of Porter, IN, at railroad milepost CD 479.0, to the Indiana/Illinois state line at railroad milepost CD 508.3. The corridor is depicted in</p>

the map included in the application materials.

Fourteen Amtrak trains traverse the corridor daily, including the Capitol Limited, Lake Shore Limited, Blue Water, Wolverine and Pere Marquette services. Existing intercity rail passenger corridors which would benefit from these improvements include: Wolverine, Bluewater and Pere Marquette services - Chicago - Kalamazoo - Battle Creek - Detroit , Grand Rapids - Port Huron; Lake Shore Limited service - New York/Boston - Albany - Buffalo - Cleveland - Toledo - Chicago; Capitol Limited service - Washington- Pittsburgh - Cleveland - Toledo - South Bend - Chicago. Benefiting services are located in the States of Indiana, Illinois, Michigan, Ohio, New York, Massachusetts, Maryland, Pennsylvania, West Virginia, and the District of Columbia

The Project consists of independent infrastructure improvement projects at seven locations on the NSR Chicago Line, and one location on the Amtrak Michigan Line at Porter, IN. The eight independent projects are each designed to provide improved operational flexibility in each location, thus enabling intercity passenger and freight traffic to be routed in a more efficient and fluid manner than is currently possible on this highly congested line segment. Congestion related train delay would be reduced in each location and the intercity passenger service on-time performance improved.

Improvements include: Relocation, reconfiguration, and addition of high-speed crossovers and related signal system improvements, minor rail line additions at two locations achieved by lengthening and rehabilitation of existing sidings, and the creation of a new parallel passing siding. All work, including the minor rail line additions, will take place within the existing railroad right-of-way. No use of public lands or property will be required. The improvement elements will have independent utility and can be constructed and placed into service on an individual and independent basis, thus providing immediate benefits in each proposed location as full implementation progresses. Further details concerning the improvements are provided in the supporting materials.

The projects proposed in the Indiana Gateway application were identified and refined through a multi-phase process. First, potential projects were identified by Norfolk Southern’s field transportation, engineering, industrial engineering and dispatching personnel. Projects were filtered to identify those which specifically benefitted intercity passenger train performance. The effectiveness of these project items were simulated under current and future rail traffic conditions using RTC (Rail Traffic Controller) modeling software, and costs of the projects were estimated by Norfolk Southern’s Engineering Design and Construction group. Projects meeting the environmental guidelines for the ARRA process were evaluated for cost effectiveness and prioritized. Finally, a field review by Norfolk Southern and Amtrak personnel validated the desirability of each project as proposed.

As described below in Section D, an RTC study of the proposed improvements showed a reduction in train delay time for all train types of 11.6 minutes per 100 train-miles, a 24% reduction; an increase in average speed of Amtrak trains of 3.7 mph, a 6.6% increase; and a reduction in cumulative hours of stop/delay time per week of 1.4 hours, a 61% reduction.

(7) Status of Activities: Are any FD or Construction activities that are part of this planned investment underway or completed?

Yes (Final Design) Yes (Construction) No

If “Yes,” please describe the activities that are underway or completed in the table below.¹ If more than three activities, please detail in Section F of this application.

¹ Please note: (a) requests for reimbursement of costs incurred prior to enactment of the relevant appropriations will not be considered and (b) supporting documentation for activities may also be required as noted in Appendix 2 of the HSIPR Guidance.

Activity	Description	Completed? (If yes, check box)	Actual Initiation Date (mm/yyyy)	Actual or Anticipated Completion Date (mm/yyyy)
		<input type="checkbox"/>		
		<input type="checkbox"/>		
		<input type="checkbox"/>		

(8) Describe the project service objectives (check all that apply):

- Additional Service Frequencies
- Improved Service Quality
- Improved On-Time Performance on Existing Route
- Increased Average Speeds/Shorter Trip Times
- Other (Please Describe):

(9) Types of capital investments contemplated (check all that apply):

- Structures (bridges, tunnels, etc.)
- Track Rehabilitation
- New or restored sidings/passing tracks
- Major Interlockings
- Station(s)
- Communication, Signaling and Control
- Rolling Stock Refurbishments
- Rolling Stock Acquisition
- Support Facilities (Yards, Shops, Admin. Buildings)
- Grade Crossing Improvements
- Electric Traction
- Other (Please Describe):

(10) Right-of-Way-Ownership. Provide information for all railroad right-of-way owners in the FD/Construction Project area. Where railroads currently share ownership, identify the primary owner. *If more than three owners, please detail in Section F of this application.*

Type of Railroad	Railroad Right-of-Way Owner	Route Miles	Track Miles	Status of Agreements to Implement Projects
Class 1 Freight	Norfolk Southern Railway	29.3	58.6	No Agreement, but Host Railr
Amtrak	Amtrak	1	1	No Agreement, but Host Railr
Amtrak				Master Agreement in Place

<p>(11) Services. Provide information for all existing rail services within project boundaries (freight, commuter, and intercity passenger). <i>If more than three services, please detail in Section F of this application.</i></p>						
Type of Service	Name of Operator	Top Speed Within Project Boundaries		Number of Route-Miles Within Project Boundaries	Average Number of Daily One-Way Train Operations ² within Project Boundaries	Notes
		Passenger	Freight			
Freight	Norfolk Southern Railway	N/A	60	29	87.4	Includes trackage rights tenants (CP, CSXT, IHB, and SCIH)
Intercity Passenger	Amtrak	79	N/A	29	14	
Freight						
<p>(12) Rolling Stock Type. Describe the fleet of locomotives, cars, self-powered cars, and/or trainsets that would be intended to provide the service upon completion of the project. <i>Please limit response to 1,000 characters.</i></p> <p>Existing Amtrak services, including Capitol Limited, Lake Shore Limited, Blue Water, Wolverine and Pere Marquette, would use existing motive power and trainsets.</p>						
<p>(13) Intercity Passenger Rail Operator. Provide the status of agreements with partners that will operate the benefiting high-speed rail/intercity passenger rail service(s) upon completion of the planned investment (e.g., Amtrak). Name of Operating Partner: Amtrak Status of Agreement: Final executed agreement on project scope/outcomes</p>						
<p>(14) Benefits to Other Types of Rail Service(s). Are benefits to non-intercity-passenger rail services (e.g., commuter, freight) foreseen? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No If “Yes”, provide further details in Section E, Question 2.</p>						

² One daily round-trip train operation should be counted as two daily one-way train operations.

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C. Eligibility Information

(1) Select applicant type, as defined in Appendix 1.1 of the HSIPR Guidance (only States may apply for Track 4):

- State
- Amtrak

If one of the following, please append appropriate documentation as described in Section 4.3.1 of the HSIPR Guidance:

- Group of States
- Interstate Compact
- Public Agency established by one or more States
- Amtrak in cooperation with a State or States

(2) Establish Completion of Preliminary Engineering. In the space(s) below, please list the documents that establish completion of Preliminary Engineering for the project covered by this application. See HSIPR Guidance Appendix 2.2. If more than four references need to be listed, please place the additional information in Question F.

Document Name	Completion Date (mm/yyyy)
Schematic Plan of Existing and Proposed Conditions	08/2009
Scaled Plans of Preliminary Design overlaid on recent Aerial Imagery (2005)	08/2009

(3) Establish Completion of NEPA Documentation (the date document was issued and how documentation can be verified by FRA). The following are approved methods of NEPA verification (in order of FRA preference): 1) References to large EISs and EAs that FRA has previously issued, 2) Web link if NEPA document is posted to a website (including www.fra.gov), 3) Electronic copy of non-FRA documents attached with supporting documentation, or 4) a hard copy of non-FRA documents (large documents should not be scanned but should be submitted to FRA via an express delivery service). See HSIPR Guidance Section 1.6 and Appendix 3.2.9.

Documentation	Date (mm/yyyy)	Describe How Documentation Can be Verified
<input checked="" type="checkbox"/> Categorical Exclusion Documentation	09/2009	FRA CE worksheets are being submitted with the Application and CE documentation will be complete within 2-3 weeks of the date of application.
<input type="checkbox"/> Final Environmental Assessment		
<input type="checkbox"/> Final Environmental Impact Statement		

(4) Indicate if there is an environmental decision from FRA (date document was issued and web hyperlink if available).

Documentation	Date (mm/yyyy)	Hyperlink (if available)
<input type="checkbox"/> Categorical Exclusion Determination		
<input type="checkbox"/> Finding of No Significant Impact		
<input type="checkbox"/> Record of Decision		

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D. Public Return on Investment

(1) **1A. Transportation Benefits.** See HSIPR Guidance Section 5.1.1.1. Please limit response to 8,000 characters:

How is the project anticipated to improve Intercity Passenger Rail (IPR) service? Describe the overall transportation benefits, including information on the following (*please provide a level of detail appropriate to the type of investment*):

- **IPR network development:** Describe improvements to intermodal connections and access to stations as well as actual and potential expansions to the IPR network that may result from the project (including opportunities for interoperability with other services).
- **IPR service performance improvements** (*also provide specific metrics in table 1B below*): Please describe service performance improvements directly related to the project, as well as a comparison with the existing service (*without project*). Describe relevant reliability improvements (e.g., increases in on-time performance, reduction in operating delays), reduced schedule trip times, increases in frequencies, aggregate travel time savings (resulting from reductions to both schedule time and delays, expressed in passenger-minutes), and other relevant performance improvements.
- **IPR service results** (*also provide specific metrics in table 1B below*): Describe relevant outcomes of the service improvement such as increases in ridership, passenger-miles, and other results in comparison with the existing service (*without project*).
- **Suggested supplementary information** (*only when applicable*):
 - **Transportation Safety:** Describe overall safety improvements that are anticipated to result from the FD/Construction Project, including railroad and highway-rail grade crossing safety benefits, and benefits resulting from the shifting of travel from other modes to safer IPR service.
 - **Cross-modal benefits from the FD/Construction Project, including benefits to:**
 - ✓ **Commuter Rail Services** – Service improvements and results (applying the same approach as for IPR above).
 - ✓ **Freight Rail Services** – Service performance improvements (e.g., increases in reliability and capacity), results (e.g. increases in ton-miles or car-miles of the benefiting freight services), and/or other congestion, capacity or safety benefits.
 - ✓ **Congestion Reduction/Alleviation in Other Modes; Delay or Avoidance of Planned Investments** – Aviation and highway congestion reduction/alleviation, and/or other capacity or safety benefits. Describe any planned investments in other modes of transportation that may be avoided or delayed due to the improvement to IPR service that will result from the project.

An RTC (Rail Traffic Controller) study was performed to model the improvements in intercity passenger and freight operating performance resulting from the proposed improvements. The base case reflected the present track configuration, and modeled the movement over nine days of 14 daily Amtrak trains and an average of 87.4 daily freight trains, including trains operated by trackage rights tenants. The improved case reflected the infrastructure improvements proposed here. and used the same train operations as the base case. Each simulation was run six times and the results averaged.

The RTC study showed a reduction in train delay time for all train types of 11.6 minutes per 100 train-miles (from 47.0 to 35.4), a 24.7% reduction; an increase in average speed of Amtrak trains of 3.7 mph (from 55.8 mph to 59.5 mph), a 6.6% increase; and a reduction in cumulative hours of stop/delay time per week of 1.4 hours (from 2.3 to 0.9), a 61% reduction.

1B. Operational and Ridership Benefits Metrics: In the table(s) below, provide information on the anticipated transportation benefits and ridership changes projected to result from the project. Please do not include benefits and changes that would occur even if the project is not implemented (for example, as a result of population or economic growth factors).

Project/Program Metric	Actual— FY 2008 levels	Projected Totals by Year (Actual Levels <u>Plus</u> Project-Caused Changes Only)		“X” If N/A or Unsure
		First Full Year After Project Completion	Fifth Full Year After Project Completion	
Annual passenger-trips				<input checked="" type="checkbox"/>
Annual passenger-miles (millions)				<input checked="" type="checkbox"/>
Annual IPR seat-miles offered (millions)				<input checked="" type="checkbox"/>
Average number of daily round train trip operations (typical weekday)				<input checked="" type="checkbox"/>
On-time performance (OTP) ³ – percent of trains on time at endpoint terminals				<input checked="" type="checkbox"/>
Average train operating delays: minutes of en-route delays per 10,000 train-miles ⁴	4,700	3,540	3,540	<input type="checkbox"/>
Top operating speed (mph)				<input checked="" type="checkbox"/>
Average scheduled operating speed (mph) (between endpoint terminals)	55.8	59.5	59.5	<input type="checkbox"/>

(2) 2A. Economic Recovery Benefits. *This section is required for Track 1a, and optional for Track 4. Please limit response to 4,000 characters. For more information, see Section 5.1.1.2 of the HSIPR Guidance.*

Describe the contribution the FD/Construction Project is intended to make towards economic recovery and reinvestment, including information on the following:

- How the project will result in the creation and preservation of jobs, including number of onsite and other direct jobs (on a 2,080 work-hour per year, full-time equivalent basis), and timeline for achieving the anticipated job creation.
- How the different phases of the project will affect job creation (consider the construction period vs. operating period)
- How the project will create or preserve jobs or new or expanded business opportunities for populations in Economically Distressed Areas (consider the construction period vs. operating period)
- How the project will result in increases in efficiency by promoting technological advances.
- How the project represents an investment that will generate long-term economic benefits (including the timeline for achieving economic benefits and describe how the project was identified as a solution to a wider economic challenge)
- If applicable, how the project will help to avoid reductions in State-provided essential services.

Using an FHWA rule of thumb that one man-year of employment is estimated to result from each \$100,000 investment in infrastructure construction, it is estimated that this project will result in the creation of 703 jobs during the construction phase.

³ As calculated and reported by Amtrak according to its existing procedures and definitions. An example can be found at page E-7 of the May 2009 Monthly Performance Report at <http://www.amtrak.com/pdf/0905monthly.pdf>. ‘On-time’ is defined as within the distance-based thresholds originally issued by the Interstate Commerce Commission, which are: 0 to 250 miles and all Acela trains—10 minutes; 251 to 350 miles—15 minutes; 351 to 450 miles—20 minutes; 451 to 550 miles—25 minutes; and 551 or more miles—30 minutes.

⁴ As calculated by Amtrak according to its existing procedures and definitions. Useful background can be found at pages E-1 through E-6 of Amtrak’s May, 2009 Monthly Performance Report at <http://www.amtrak.com/pdf/0905monthly.pdf>

Neither Lake County nor Porter County is an Economically Distressed area.

2B. Job Creation: Provide the following information about job creation through the life of the FD/Construction Project. Please consider construction, maintenance, and operations jobs.

Anticipated number of <u>annual</u> onsite and other direct jobs created (on a 2080 work-hour per year, full-time equivalent basis)	FD/ Construction Period	First full Year of Operations	Fifth full Year of Operations
	703	N/A	N/A

(3) Environmental Benefits. *Please limit response to 4,000 characters.*

How will the FD/Construction project improve environmental quality, energy efficiency, and reduction in the Nation’s dependence on oil? Address project-caused changes in the following:

- Any projected reductions in key emissions (CO₂, O₃, CO, PM_x, and NO_x) and their anticipated effects. Provide any available forecasts of emission reductions from a baseline of existing service for the first and fifth years of full operation (*provide supporting documentation if available*).
- Any expected energy and oil savings from traffic diversion from other modes and changes in the sources of energy for transportation. Provide any available information on changes from the baseline of the existing service for the first and fifth years of full operation (*provide supporting documentation if available*).
- Use of green methods and technologies. Address green building design, “Leadership in Environmental and Energy Design” building design standards, green manufacturing methods, energy efficient rail equipment, and/or other environmentally-friendly approaches.

By improving on-time performance and reliability of service on the fourteen daily Amtrak trains which use this corridor, these independent improvements will each produce manifold environmental benefits by retaining existing Amtrak ridership and diverting new riders from private automobiles. The results of the RTC (Rail Traffic Controller) modeling described in Section (D) 1A above indicate that these improvements collectively will reduce fuel consumption by Amtrak trains by 332 gallons per week (cumulative) and fuel consumption by freight trains by 430 gallons per week (cumulative). These effects will also result in emission reductions which have not been quantified.

(4) Livable Communities Project Benefits Narrative. *(For more information, see Section 5.1.1.3 of the HSIPR Guidance, Livable Communities). Please limit response to 3,000 characters.*

How will the FD/Construction Project foster Livable Communities? Address the following:

- Integration with existing high density, livable development: Provide specific examples, such as (a) central business districts with walking/biking and (b) public transportation distribution networks with transit-oriented development.
- Development of intermodal stations: Describe such features as direct transfers to other modes (both intercity passenger transport and local transit).

N/A

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E. Project Success Factors

(1) Project Management Approach and Applicant Qualifications Narrative: Please provide separate responses to each of the following. Additional information on project management is provided in Section 5.1.2.1 of the HSIPR Guidance, Project Management.

1A. Applicant qualifications. Please limit response to 2,000 characters.

Management experience: Does the applicant have experience in managing rail investment projects and managing projects of a similar size and scope to the one proposed in this application?

- Yes - Briefly describe experience (brief project(s) overview, dates)
- No- Briefly describe expected plan to build technical and managerial capacity; provide reference to Project Management Plan.

Norfolk Southern Railway Company will assume day-to-day responsibility for managing this rail investment project and will do so in close coordination with Indiana DOT and Amtrak, which owns the right-of-way-for one of the individual projects. Norfolk Southern conducts in excess of \$800 million in engineering capital improvements annually, and is well-equipped to manage the Indiana Gateway project.

1B. Describe the organizational approach for the different project stages included in this application (final design, construction), including the roles of staff, contractors and project stakeholders in implementing the project. For construction activities, provide relevant information on work forces, including railroad contractors and grantee contractors. Please limit response to 2,000 characters.

Final Design of the seven (7) sub-projects on Norfolk Southern Railway Company's property will be performed Design & Construction and Communications & Signal Departments using both in-house staff and the services of establish engineering service providers under going service contracts. The Final Design effort will be performed in close coordination with IN DOT. Norfolk Southern's Engineering Department supervisory staff will directly manage, coordinate, and oversee the Construction Phase the seven (7) sub-project located on NSR owned rail corridor, which at all times will remain in active service under considerable traffic volume. Primary work on the project will be performed by Norfolk Southern's agreement track and signal forces, with supplemental work performed by specialized contractors as needed.

Likewise Amtrak's Engineering Department will progress Final Design for the one (1) sub-project that is located on their property using both in-house staff and the services of establish engineering service providers. The Final Design effort will be performed in close coordination with IN DOT. Amtrak's Engineering Department supervisory staff will directly manage, coordinate, and oversee the Construction Phase of its one (1) sub-project located on the Amtrak owned rail line, which at all times will remain in active service. Primary work on the project will be performed by Amtrak's agreement track and signal forces, with supplemental work performed by specialized contractors as needed.

The construction phase of all eight (8) sub-projects will also be monitored by IN DOT.

1C. Does the FD/Construction Project require approval by FRA of a waiver petition from a Federal railroad safety regulation? (Reference to, or discussion of, potential waiver petitions will not affect FRA’s handling or disposition of such waiver petitions.)

- YES- If yes, explain and provide a timeline for obtaining the waivers
- NO

Please limit response to 1,500 characters.

1D. Provide a preliminary self-assessment of project uncertainties and mitigation strategies (consider funding risk, schedule and budget risk and stakeholder risk). Describe any areas in which the applicant could use technical assistance, best practices, advice or support from others, including FRA. Please limit response to 2,000 characters.

The primary project uncertainties are weather and material availability. Winter weather which inhibits outdoor construction is endemic to this region of the country and cannot be avoided. We will consider as many alternative vendors as possible to maximize the level of material available on schedule.

(2) Stakeholder Agreements Narratives. *Additional information on Stakeholder Agreements is provided in Section 5.1.2.2 of the HSIPR Guidance.*

Under each of the following categories, describe the applicant’s progress in developing requisite agreements with key stakeholders. In addition to describing the current status of any such agreements, address the applicant’s experience in framing and implementing similar agreements, as well as the specific topics pertaining to each category.

2A. Ownership Agreements – Describe how agreements will be finalized with railroad infrastructure owners listed in the “Right-of-Way Ownership” and “Service Description” tables in Section B. If appropriate, “owner(s)” may also include operator(s) under trackage rights or lease agreements. Describe how the parties will agree on project design and scope, project benefits, project implementation, use of project property, project maintenance, scheduling, dispatching and operating slots, project ownership and disposition, statutory conditions and other essential topics. Summarize the status and substance of any ongoing or completed agreements. *Please limit response to 2,000 characters.*

Norfolk Southern Railway (NSR) and Amtrak, which have direct ownership of the track and facilities to be constructed or improved, and IN DOT substantially agree on the scope of the project, responsibility for project design and implementation, the resulting operating benefits for Intercity Passenger Rail and other rail service including bottleneck and congestion relief in a major corridor, the railroads’ commitment to helping to achieve, to the extent they are capable, the anticipated project benefits, a plan to timely implement construction and operational improvements, management and mitigation of project risks, a financial plan detailing sources and uses of funding, maintenance responsibilities, continuing use and ownership of the rights-of-way by both NSR and Amtrak for Intercity Passenger Rail and freight rail service, including any compensation for use of the corridor for Intercity Passenger Rail service, and disposition responsibilities. The railroads will give assurances regarding the adequacy of infrastructure capacity to accommodate both existing and reasonably projected future freight and passenger operations on the project corridor and that collective bargaining agreements with the railroad’s employees (including terms regulating the contracting of work) will remain in full force and effect according to their terms for work performed by the railroad on the subject railroad transportation corridor. The parties will assure that the project and the Intercity Passenger Rail operations on the corridor comply with liability requirements consistent with 49 U.S.C. §28103. The parties intend to finalize a written agreement on or about the award date for the funding and will submit the agreement to the FRA for approval prior to its execution.

2B. Operating Agreements – Describe the status and contents of agreements with the intended operator(s) listed in “Services” table in the Project Overview section above. Address project benefits, operation and financial conditions, statutory conditions, and other relevant topics. *Please limit response to 2,000 characters.*

Existing Intercity Passenger Rail service will continue to be operated by Amtrak under existing agreements.

2C. Selection of Operator – This question applies to Track 1a only. If the proposed operator railroad was not selected competitively, please provide a justification for its selection, including why the selected operator is most qualified, taking into account cost and other quantitative and qualitative factors, and why the selection of the proposed operator will not needlessly increase the cost of the project or of the operations that it enables or improves. *Please limit response to 1,000 characters.*

Existing Intercity Passenger Rail service will continue to be operated by Amtrak.

2D. Other Stakeholder Agreements – Provide relevant information on other stakeholder agreements including State and local governments. *Please limit response to 2,000 characters.*

N/A

2E. Agreements with operators of other types of rail service – Describe any cost sharing agreements with operators of non-intercity passenger rail service (e.g., commuter, freight). *Please limit response to 2,000 characters.*

Norfolk Southern Railway will provide \$4,055,000 in supplemental funding during the period of project activity for bridge rehabilitation work on the territory encompassed by the project.

(3) Financial Information.

3A. Capital Funding Sources. Please provide the following information about your funding sources (if applicable).

Non FRA Funding Sources	New or Existing Funding Source?	Status of Funding ⁵	Type of Funds	Dollar Amount (YOE Dollars)	% of Project Cost	Describe Uploaded Supporting Documentation to Help FRA Verify Funding Source
N/A	New	Committed				
	New	Committed				
	New	Committed				

3B. Capital Investment Financial Agreements: Describe any cost sharing contribution the applicant intends to make towards the FD/Construction Project, including its source, level of commitment, and agreement to cover cost increases or financial shortfalls. Describe the status and nature of any agreements between funding stakeholders that would provide for the applicant’s proposed match, including the responsibilities and guarantees undertaken by the parties. Provide a brief description of any in-kind matches that are expected. *Please limit response to 2,000 characters.*

Norfolk Southern Railway (NSR) will provide \$4,055,000 in supplemental funding during the period of project activity for bridge rehabilitation work on the territory encompassed by the project. In addition, NSR intends to provide in-kind funding of Preliminary Engineering and environmental consulting services valued at \$90,000.

3C. Operating Financial Plan: Does the applicant expect that the State operating subsidy requirements for the benefiting intercity passenger rail service will significantly increase, **as a result of the project**, during the first five years after project completion?

Yes No

If “Yes,” please complete the table below (in YOE dollars) and answer the following questions. *Please limit response to 2,000 characters.*

- (a) How did you project future State operating subsidies for the benefiting service(s); and
- (b) What are the source, nature, and likelihood of the funding that will enable the State to finance the projected increases in annual operating subsidies due to the project?

⁵ Reference Notes: The following categories and definitions are applied to funding sources:

Committed: Committed sources are programmed capital funds that have all the necessary approvals (e.g. legislative referendum) to be used to fund the proposed project/program without any additional action. These capital funds have been formally programmed in the State Rail Plan and/or any related local, regional, or State Capital Investment Program CIP or appropriation. Examples include dedicated or approved tax revenues, State capital grants that have been approved by all required legislative bodies, cash reserves that have been dedicated to the proposed project/program, and additional debt capacity that requires no further approvals and has been dedicated by the sponsoring agency to the proposed project/program.

Budgeted: This category is for funds that have been budgeted and/or programmed for use on the proposed project but remain uncommitted, i.e., the funds have not yet received statutory approval. Examples include debt financing in an agency-adopted CIP that has yet to be committed in their near future. Funds will be classified as budgeted where available funding cannot be committed until the grant is executed, or due to the local practices outside of the project sponsor's control (e.g., the project development schedule extends beyond the State Rail Program period).

Planned: This category is for funds that are identified and have a reasonable chance of being committed, but are neither committed nor budgeted. Examples include proposed sources that require a scheduled referendum, requests for State/local capital grants, and proposed debt financing that has not yet been adopted in the agency's CIP.

Subsidy	Actual— FY 2009 levels (YOE Dollars)	Projected Totals by Year (Actual Levels <u>Plus</u> Project Caused Changes Only) (YOE Dollars)	
		First Full Year After Project Completion	Fifth Full Year After Project Completion
State operating subsidy (total for all benefiting services)			
<p>(4) Financial Management Capacity and Capability – Provide audit results and describe applicant capability to absorb potential cost overruns, financial shortfalls, or financial responsibility for potential disposition requirements (include as supporting documentation as needed). Provide statutory references/ legal authority to build and oversee a rail capital investment. <i>Please limit response to 2,000 characters.</i></p> <p>Norfolk Southern's and Amtrak's Engineering Departments will oversee construction of their sub-projects on this corridor. Primary work on the project will be performed by Norfolk Southern and Amtrak agreement track and signal forces, with supplemental work performed by specialized contractors as needed. Norfolk Southern and Amtrak will monitor cost control during the life of the project, the estimates for which include an adequate and appropriate level of contingencies.</p>			
<p>(5) Timeliness of Project Completion – Provide the following information on the dates and duration of key activities, if applicable. <i>For more information, see Section 5.1.3.1 of the HSIPR Guidance, Timeliness of Project Completion.</i></p>			
Final Design Duration:	6 months		
Construction Duration:	20 months		
Rolling Stock Acquisition Duration:	N/A months		
Rolling Stock Testing Duration:	N/A months		
Service Operations Start date:	N/A (mm/yyyy)		
<p>(6) If applicable, describe how the project will promote domestic manufacturing, supply and other industries, including United States-based equipment manufacturing and supply industries. <i>Please limit response to 1,500 characters.</i></p> <p>Approximately 30% of total project expenditures will be devoted to acquisition of track and signal components sourced from domestic US manufacturers.</p>			
<p>(7) If applicable, describe how the project will help develop US professional railroad engineering, operating, planning and management capacity needed for sustainable HSR/IPR development in the United States, including promotion of a diverse workforce. <i>Please limit response to 1,500 characters.</i></p> <p>Completion of the Final Design and construction of these independent improvements will increase the body of professional knowledge in HSR/IPR development and congestion mitigation techniques, thus making development and implementation of downstream projects more accessible. The resulting increase in engineering and operating employment in this area will facilitate efforts to increase employment and facilitate promotion of a diverse workforce.</p>			

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F. Additional Information

(1) Please provide any additional information, comments, or clarifications and indicate the section and question number that you are addressing (e.g., Section E, Question 1B). *This section is optional.*

(B) 13 - Amtrak will continue to operate existing services under its existing agreement with NSR; no new service agreements are required or contemplated.

(C) 1 - Indiana is a participant in the Midwest High Speed Rail Interstate Compact established by Memorandum of Understanding dated July 27, 2009

(D) 1B metrics are based on the RTC (Rail Traffic Controller) study for the project corridor..

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G. Summary of Supporting Materials

Application Form	Required	Optional	Reference	Description	Format
<input checked="" type="checkbox"/> This Application Form	✓		HSIPR Guidance Section 4.3.3.3	This document to be submitted through <i>GrantSolutions</i> .	Form
Supporting Forms	Required	Optional	Reference	Description	Format
<input checked="" type="checkbox"/> General Info.	✓		HSIPR Guidance Section 4.3.5	This document to be submitted through <i>GrantSolutions</i> .	Form
<input checked="" type="checkbox"/> Detailed Capital Cost Budget	✓		HSIPR Guidance Section 4.3.5	This document to be submitted through <i>GrantSolutions</i> .	Form
<input checked="" type="checkbox"/> Annual Capital Cost Budget	✓		HSIPR Guidance Section 4.3.5	This document to be submitted through <i>GrantSolutions</i> .	Form
<input checked="" type="checkbox"/> Project Schedule	✓		HSIPR Guidance Section 4.3.5	This document to be submitted through <i>GrantSolutions</i> .	Form
Supporting Documents	Required	Optional	Reference	Description	Format
<input checked="" type="checkbox"/> Map of the Planned Investment		✓	Application Question B.6	Map of the Planned Investment location. Please upload into <i>GrantSolutions</i> .	None
Standard Forms	Required	Optional	Reference	Description	Format
<input checked="" type="checkbox"/> SF 424: Application for Federal Assistance	✓		HSIPR Guidance Section 4.3.3.3	Please submit through <i>GrantSolutions</i>	Form

<input checked="" type="checkbox"/> SF 424C: Budget Information-Construction	✓		HSIPR Guidance Section 4.3.3.3	Please submit through <i>GrantSolutions</i>	Form
<input checked="" type="checkbox"/> SF 424D: Assurance Construction	✓		HSIPR Guidance Section 4.3.3.3	Please submit through <i>GrantSolutions</i>	Form
<input checked="" type="checkbox"/> FRA Assurances Document	✓		HSIPR Guidance Section 4.3.3.3	May be obtained from FRA's website at http://www.fra.dot.gov/downloads/admin/assurancesandcertifications.pdf . The document should be signed by an authorized certifying official for the applicant. Submit through <i>GrantSolutions</i> .	Form

PRA Public Protection Statement: Public reporting burden for this information collection is estimated to average 32 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. According to the Paperwork Reduction Act of 1995, a federal agency may not conduct or sponsor, and a person is not required to respond to, nor shall a person be subject to a penalty for failure to comply with, a collection of information unless it displays a currently valid OMB control number. The valid OMB control number for this information collection is **2130-0583**.