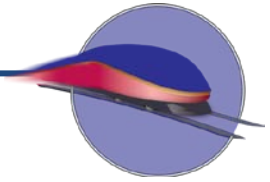


Project Name: PA- Keystone Corridor- Keystone West Date of Submission: 8/24/09 Version Number: 3

High Speed Intercity Passenger Rail (HSIPR) Program

Application Form

Track 3–Planning



Welcome to the Track 3–Planning Application for the Federal Railroad Administration’s High Speed Intercity Passenger Rail (HSIPR) Program. Applicants for Track 3 are required to submit this Application Form and Supporting Materials (forms and documents) as outlined in Section G of this application and as detailed 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 this document and provide any supporting documentation electronically.
- 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 3 Planning 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 Planning Project, please indicate “N/A.”
- Narrative questions should be answered concisely in the space provided.
- Applicants must upload this completed application form and any supporting documentation 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 Application Information

(1) Application Point of Contact (POC) Name: Toby Fauver		POC Title: Deputy Secretary, Local and Area Transportation		
Street Address / City: 400 North Street - 8 th Floor	City: Harrisburg	State: PA	Zip Code: 17120	Telephone Number: 717-787-8197
Fax: 717-787-5491		Email: tfauver@state.pa.us		

(2) Name of lead State applying: Pennsylvania
States are the only eligible applicants under Track 3

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

(4) Is this Planning Project related to additional applications for HSIPR funding? Yes No Maybe
If “Yes” or “Maybe” provide the following information:

Application Program/Project Name	Lead Applicant	Track	Total HSIPR Funding Requested (if known)	Status of Application
PA-Keystone Corridor-Keystone East	Pennsylvania	Track 1a - FD/Construction	\$ 300M - 400M	Will Apply
		Track 1a - FD/Construction	\$	Applied
		Track 1a - FD/Construction	\$	Applied
		Track 1a - FD/Construction	\$	Applied



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B. Project Overview

<p>(1) Planning Project Name: PA- Keystone Corridor- Keystone West</p>		
<p>(2) Which corridor service(s) is (are) the subject of the Planning Project (Corridor name, between which cities/stations, etc)? <i>Please limit your response to 1,000 characters.</i></p> <p style="margin-left: 20px;">Amtrak currently operates its Pennsylvanian Service as one round trip per day between Harrisburg and Pittsburgh, serving nine stations. The segment of intercity passenger rail service east of Harrisburg, Amtrak’s Keystone Service, has seen significant improvements in recent years, with maximum authorized speeds of up to 110 mph and 14 round trips per day due to the success of PennDOT/Amtrak’s KCIP program. Pennsylvania’s upcoming Track 2 Keystone East Improvement Program aims to decrease trip time by up to 15 minutes and improve top speed. Increasing service from Harrisburg to Pittsburgh is a logical progression to create a successful corridor linking most of Pennsylvania. The improved service corridor would encourage increased rail travel between key cities such as Harrisburg, Altoona and Pittsburgh as well to other Midwestern destinations in Ohio and beyond.</p>		
<p>(3) Which of the following planning activities are proposed to be funded under the HSIPR Program?</p> <p><input checked="" type="checkbox"/> Alternative Analysis Studies</p> <p><input checked="" type="checkbox"/> Service Development Planning</p> <p><input checked="" type="checkbox"/> “Service” or “Tier 1” NEPA</p> <p><input type="checkbox"/> Other <i>(Please Describe):</i></p>		
<p>(4) Describe the service attributes of the Program/Project for which you are planning <i>(check all that apply):</i></p> <table style="width: 100%; border: none;"> <tr> <td style="width: 50%; vertical-align: top;"> <input checked="" type="checkbox"/> Additional Service Frequencies <input checked="" type="checkbox"/> New Service <input type="checkbox"/> Service Quality Improvements </td> <td style="width: 50%; vertical-align: top;"> <input checked="" type="checkbox"/> Improved On-Time performance on Existing Route <input checked="" type="checkbox"/> Increased Average Speeds/Shorter Trip Times <input type="checkbox"/> Other <i>(Please Describe):</i> </td> </tr> </table>	<input checked="" type="checkbox"/> Additional Service Frequencies <input checked="" type="checkbox"/> New Service <input type="checkbox"/> Service Quality Improvements	<input checked="" type="checkbox"/> Improved On-Time performance on Existing Route <input checked="" type="checkbox"/> Increased Average Speeds/Shorter Trip Times <input type="checkbox"/> Other <i>(Please Describe):</i>
<input checked="" type="checkbox"/> Additional Service Frequencies <input checked="" type="checkbox"/> New Service <input type="checkbox"/> Service Quality Improvements	<input checked="" type="checkbox"/> Improved On-Time performance on Existing Route <input checked="" type="checkbox"/> Increased Average Speeds/Shorter Trip Times <input type="checkbox"/> Other <i>(Please Describe):</i>	
<p>(5) What are the anticipated start and end dates for this Planning Project? (mm/yyyy)</p> <p style="text-align: center;">Start Date: 10/2009 End Date: 10/2011</p>		
<p>(6) Total Cost of Planning Activity(s) (Year of Expenditure (YOE) Dollars*): \$ 1,500,000</p> <p style="margin-left: 20px;">Of this amount, how much would come from the FRA HSIPR Program: (YOE Dollars**) \$ 750,000</p> <p style="font-size: small; margin-left: 20px;">* Year-of-Expenditure (YOE) dollars are inflated from the base year. Applicants should include their proposed inflation assumptions (and methodology, if applicable) in the supporting documentation</p> <p style="font-size: small; margin-left: 20px;">** This is the amount for which the applicant is applying.</p>		
<p>(7) Planning Project Overview. <i>Please limit response to 4,000 characters.</i></p>		



Please provide a description of work for the planning activities to be funded under the HSIPR Program, including:

- Component of a Service Development Plan
- Planning Tasks / Milestones
- Preparation of Documents, Including Expected Deliverables

Detail the nature of any studies to be conducted and the expected outcomes from these, including design, technical and field studies. Also include anticipated outreach and coordination efforts with the public, agencies, affected railroads, and property owners, as applicable.

Keystone Corridor West will examine the necessary elements of extending current Keystone Service, operated by Amtrak between Harrisburg, PA and New York, NY by way of Philadelphia, PA, west to Pittsburgh, PA. In order to achieve this goal and to establish a plan to ensure future implementation of such service, a Service Development Plan (SDP) and a Programmatic NEPA document will be prepared. An SDP and Programmatic NEPA document are required in FRA's Track 2 Corridor Programs application, and serve as a good base for future service improvements.

The Keystone Corridor West SDP will consist of the following parts: Project Purpose and Need, Alternatives Development; Infrastructure Improvements for Feasible Alternatives; Safety Accommodations; Rail Equipment: Condition, Availability, Performance; Future Service/Operating Plan; Future Ridership/Revenue Forecasts; Capital/Operating Cost Estimates; Assessment of Impacts/Benefits; Public Outreach; and finally, a Program Implementation Plan, including a Program Management Plan, a Financial Plan and Stakeholder Agreements. These SDP components, including all elements of design and field studies, will be in coordination with the public and/or affected parties as applicable, and are expected to become deliverables. When added together they will form the SDP for future expansion of service on Keystone Corridor West.

In addition to the SDP, a programmatic NEPA document will be prepared. Required components of a Programmatic NEPA document include: Purpose and Need; Corridor SDP (see above); Alternatives Considered; Assessment of Existing/Local Conditions and Affected Environment; Identification of Environmental Constraints; Assessment of Impacts and Potential Permitting Requirements; Public Outreach and Notification; and Final Documentation. It is expected that the programmatic NEPA document prepared will be an Environmental Impact Statement (EIS), performed in accordance with the Federal Railroad Administration's (FRA) policies. Upon completion of an environmental fatal flaws analysis, an outline/schedule would detail where additional NEPA documentation is likely to be required, the efforts to conduct and complete preliminary engineering and the other efforts necessary to develop the Keystone Corridor West project for advancement to Final/Design Construction. Such efforts would include a plan for resolution of institutional and stakeholder issues. A timeline for each key element (further engineering, individual NEPA and potential permitting, stakeholder agreement and public outreach) and significant milestones would be prepared.

(8) Future Project Overview Narrative: Provide an overview of the main features and characteristics and milestones of the Program/Project that is the subject of the planning study, including a brief description of the items listed below. *Please limit response to 4,000 characters.*

- The location of the Program/Project (upload map if applicable)
- The intercity passenger rail service proposed (if applicable)
- The types of improvements under consideration/evaluation
- Connectivity and integration with other modes

- How the Program/Project supports the States' strategic transportation goals

Currently, the Keystone Corridor is served by Amtrak's Pennsylvanian Service operating one round trip per day with a travel time between Pittsburgh and Harrisburg of 5 hours, 29 minutes. Automobile travel time between the same locations is approximately 2 hours less than by train, hindering ridership growth and service frequency due to the lack of intermodal competitiveness. The railroad line from Harrisburg to Pittsburgh is part of Norfolk Southern's Pittsburgh Line, which consists of a double track configuration on right-of-way able to support 4 tracks. This segment is heavily used for freight rail operating at varying speeds, which necessitates frequent crossovers by passenger rail service and limits the ability to schedule additional rail service. There is no electrification present along the line west of Harrisburg, prohibiting the extension of the Keystone Service's all-electric trains directly to Pittsburgh. Improvements being contemplated to facilitate improved service from Pittsburgh to Harrisburg include: possible full electrification, construction of additional passenger-only tracks, major interlocking improvements, concrete tie installation, and rolling stock acquisition.

The Keystone Corridor West Planning Project will lead to the development of a Service Development Implementation/Business Plan and Programmatic NEPA document to expand existing Keystone service and add future capacity to intercity passenger rail between Pittsburgh, PA and Harrisburg, PA. The ultimate goal of this planning project is to study the improvements required to extend current Keystone Service west to Pittsburgh, increasing service frequency from one round-trip a day to eight round-trips, and increasing the maximum allowable speed (MAS) to 110 mph, the current MAS for the Keystone Service between Harrisburg, PA and Philadelphia, PA. Pennsylvania's strategic transportation goals will be met through increasing the maximum allowable speed to 110 mph from the current 79 mph, which will significantly decrease travel time and congestion. The improved service corridor will also encourage increased rail travel vs. air and auto travel, and provide energy efficient transportation choices. The planned investment of extending the current Keystone Service is provision of beneficial impacts for intercity passenger rail through travel time reductions, increased frequencies, and enhanced service quality.

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C. Eligibility Information

(1) Provide the percentage and amount of matching funds: *Applications submitted under Track 3 require at least a 50% non-Federal match.*

Percentage: 50 %

Total Amount (YOE*): \$ 750,000

* Year-of-Expenditure (YOE) dollars are inflated from the base year. Applicants should include their proposed inflation assumptions (and methodology, if applicable) in the supporting documentation

(2) Indicate the source, amount and percentage of matching funds:

Non FRA Funding Sources	New or Existing Funding Source?	Status of Funding ¹	Type of Funds	Dollar Amount (YOE Dollars)	% of Total Project Cost	Describe any uploaded supporting documentation to help FRA verify funding source
PA Act 44 Intercity Passenger Rail Funds	Existing	Committed	State	750,000	50%	N/A
	New	Committed				
	New	Committed				
	New	Committed				

(3) Is the planning activity included in the State’s Statewide Transportation Improvement Program (STIP) at the time of application? Yes No

If not, describe / explain: As of August 24, 2009, Keystone Corridor West planning activity is not currently included in the Pennsylvania Statewide Transportation Improvement Program (STIP). The Pennsylvania State Rail Plan is currently under development. Parts of this program may be incorporated in the the STIP framework.

¹ 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 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, and additional debt capacity that requires no further approvals and has been dedicated by the sponsoring agency to the proposed project.

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.



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D. Public Return on Investment

(1) Project Benefits. *Please limit response to 4,000 characters.*

Describe the benefits that are anticipated to result from the planned investment which is subject to this planning activity, including the extent to which the activity may be expected to:

- Lead to benefits for intercity passenger rail including travel time reductions, increased frequencies, and enhanced service quality
- Address safety issues
- Address intercity passenger rail reliability issues
- Be integrated and complementary to the relevant comprehensive planning process (23 U.S.C. 135)
- Support livable communities
- Promote environmental quality and/or energy efficiency
- Provide other public benefits in a cost-effective manner

The Keystone Service currently operates between New York, NY, Philadelphia, PA and Harrisburg, PA. The planned investment would extend the Keystone Service from Harrisburg, PA west to Pittsburgh, PA, which is the logical next step in intercity passenger rail expansion of the highly successful Pennsylvania High Speed Rail Vision. The expansion of service will provide benefits for intercity passenger rail through travel time reduction, increased service frequency, and enhanced service quality. By increasing the maximum operating speed from 79 mph to 110 mph, travel time will be significantly reduced. When combined with track improvements, travel time may be reduced by up to two hours. In addition, increasing frequency from will aid in making rail transit a more attractive mode choice between Harrisburg, Pittsburgh and Midwestern destinations. Service quality will improve with electrification of the tracks from Harrisburg to Pittsburgh, creating a fully electrified corridor, more comfortable and efficient than the combination diesel and electric service used currently.

The planned investment will improve safety on the greater transportation network by diverting automobile trips to safer intercity passenger rail. In addition, safety improvements will also be realized by improving track movements and conditions that allow for safe travel at higher speeds.

Livable communities put an emphasis on creating a network of transportation options other than single occupant automobiles. This includes the development of walkable communities with easy access to mass transit options, both in the form of bus and rail. The planned investment will provide cross state access for Pennsylvanians to reliable and frequent passenger rail service, while providing connections to the Northeast via Amtrak's Northeast Corridor as well as linking to Amtrak's trains to the Midwest. The increased ridership that will result from the planned investment will encourage integrated private development along the corridor. Intermodal connections will undoubtedly be provided linking rail stations with bus systems that further extend the reach of transit options in Pennsylvania.

Improvements to passenger rail service encourage wider use of intercity passenger rail and diversion of auto and air trips to rail service. Environmental benefits can result from a reduction in the number and share of trips made by automobiles and airplanes, which are less efficient

than passenger rail in terms of per capita emissions and energy use. Diverting trips from automobiles to passenger rail may also lead to reductions in congestion and delay on heavily traveled highway corridors resulting in a reduction of emissions and wasted fuel from slow-moving or idling vehicles. The decrease in energy use caused by the growing ridership of greater energy efficient trains ultimately leads to a reduction in dependence on foreign oil, a key goal of the current state and Federal administrations.

E. Project Success Factors

(1) Planning Project Management Approach and Applicant Qualifications Narrative. *Please limit response to 4,000 characters.*

Describe qualifications of the applicant and its key partners to successfully complete the planning activities, including the following information:

- Management Experience – provide relevant information on experience in managing rail programs and planning activities of a similar size and scope to the one proposed in this application. Provide an organizational chart (or equivalent) that outlines the roles played by key Planning Project team members in completing activities as well as information on the role of contract support, engineering support and program management.
- Financial Management Capacity and Capability– provide relevant information on capability to absorb potential Planning Project cost overruns.
- Risk Assessment – provide a preliminary assessment of uncertainties within the planning process and possible mitigation strategies (consider grantee risk, funding risk, schedule risk and stakeholder risk).

Describe any areas in which you could use technical assistance, best practices, advice or support from others, including FRA.

The Commonwealth of Pennsylvania has a long history of working closely with Amtrak to undertake significant rail improvement projects for the benefit of the Keystone Corridor. The largest project undertaken was a joint venture by Amtrak and the Commonwealth from April 2002 to October 2006 with a total cost of \$145.5 million. Projects in the Improvement Program consisted of installation of concrete ties and continuous welded rails in a significant portion of the corridor, buildings and bridge improvements, communications and signals upgrades, and electric traction upgrades. Since the completion of the joint venture in October 2006, PennDOT and Amtrak have continued to plan, design and support construction of projects that improve the overall reliability and quality of passenger service on the Keystone Corridor, including station improvements in Lancaster, Mt. Joy and Elizabethtown, with more to begin in the next few years.

Recently, PennDOT has contracted a large scale planning effort to coordinate rail improvements in the Commonwealth. The Pennsylvania State Rail Plan is under development and features both passenger and freight rail components.

The Pennsylvania Department of Transportation has a healthy financial status with no outstanding debt and funding available to absorb cost overruns in the general fund. Attached is a copy of PennDOT's balance sheet, showing available funds for FY 2008. FY 2009 information will be available upon request in the future.

In addition to PennDOT's healthy financial status, legislative authority has been give to PennDOT to "... Provide financial assistance for an efficient and coordinated intercity common carrier surface transportation program, consisting of both intercity passenger rail service and intercity bus service transportation, with the intent of sustaining strong intercity connections..." (Chapter 15, Section 1516, Part Cof the Pennsylvania Consolidated Statutes).

(2) Timeliness of Planning Project Completion: Provide a brief timeline for completion of key milestones within the period of performance for the planning activity. *Please upload a schedule if available. Please limit response to 2,000 characters.*

Describe the extent to which the planning activities will:

- Directly lead to project and/or Service Development Program applications
- Lead to NEPA for route selection
- Lead to completion of a Service Development Program
- Lead to construction and service delivery

The following is a timeline of key milestones for the Keystone Corridor West Planning Program:

RFP Advertisement: 10/1/09

Consultant Selection: 11/1/09

Notice-to-Proceed: 1/15/10

Service Development Plan: 1/15/10 - 7/15/10

Conceptual Engineering: 3/15/10 - 9/15/10

Environmental Fatal Flaws & PE/NEPA Schedule: 7/15/10 - 11/15/10

Project Close-out: 11/15/10 - 12/31/10

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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 D, Question 3). *This section is optional.*

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G. Summary of Application Materials

Application Forms	Required	Optional	Reference	Description	Format
<input type="checkbox"/> Application Form	✓		HSIPR Guidance Section 4.3.3.3	This document to be submitted through <i>GrantSolutions</i> .	Form
Supporting Documents	Required	Optional	Reference	Description	Format
<input type="checkbox"/> Planned Investment map		✓	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 type="checkbox"/> SF 424: Application for Federal Assistance	✓		HSIPR Guidance Section 4.3.3.3	Please submit through <i>GrantSolutions</i>	Form
<input type="checkbox"/> SF 424A: Budget Information-Non Construction	✓		HSIPR Guidance Section 4.3.3.3	Please submit through <i>GrantSolutions</i>	Form
<input type="checkbox"/> SF 424B: Assurances-Non Construction	✓		HSIPR Guidance Section 4.3.3.3	Please submit through <i>GrantSolutions</i>	Form
<input 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**.