

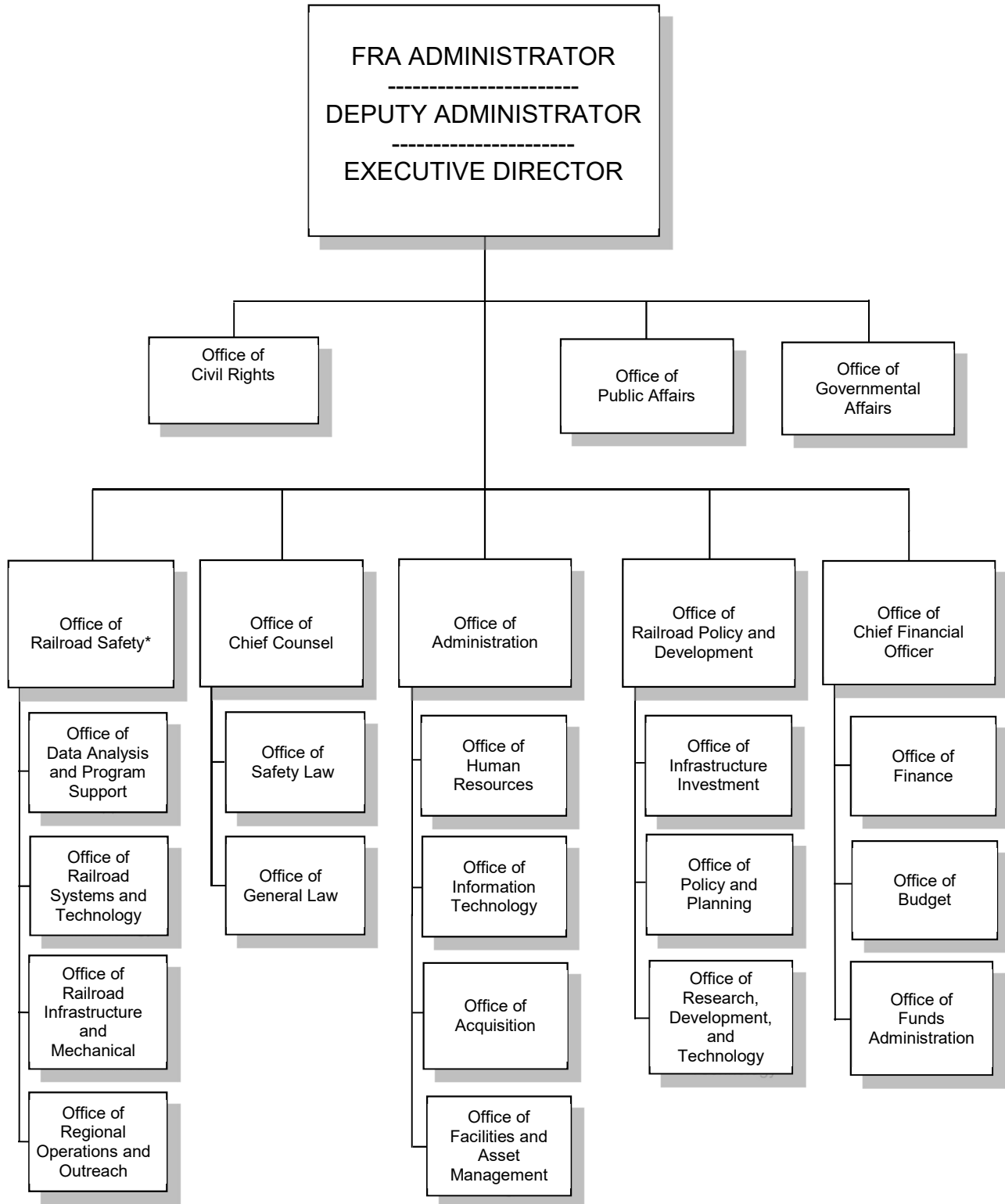
Subject: DEPARTMENT OF TRANSPORTATION ORGANIZATION MANUAL,  
FEDERAL RAILROAD ADMINISTRATION

1. PURPOSE. This Order provides the Department of Transportation Organization Manual for the Federal Railroad Administration (FRA), to reflect new organizational realignments.
2. CANCELLATION. DOT 1100.64D, Department of Transportation Organization Manual, Federal Railroad Administration, dated 05-05-2016.
3. BACKGROUND. The Federal Railroad Administration (FRA) was created by the Department of Transportation Act of 1966 (49 U.S.C. § 103, Section 3(e)(1)), and is the consolidated successor to agencies previously housed in the Departments of Commerce and Interior and the Interstate Commerce Commission. The purpose of FRA is to promulgate and enforce rail safety regulations; administer railroad Federal financial assistance programs; conduct research and development in support of improved railroad safety and national rail transportation policy; provide for the rehabilitation of Northeast Corridor rail passenger service; and consolidate government support of rail transportation activities. FRA is one of ten agencies within the U.S. Department of Transportation concerned with intermodal transportation.
4. EXPLANATION OF CHANGE.
  - a. Rename offices within the Office of Railroad Safety and the Office of Railroad Policy and Development to accurately reflect functions and purpose of offices:
    - 1) Divide the Office of Technical Oversight into two separate offices - the Office of Railroad Systems and Technology and the Office of Railroad Infrastructure and Mechanical - with specific technical functions in each office.
    - 2) Change the Office of Safety Analysis to the Office of Data Analysis and Program Support with minor changes in functions.
    - 3) Change the Deputy Associate Administrator for Railroad Safety to the Director, Office of Railroad Infrastructure and Mechanical.
    - 4) Change the Office of Regional Operations to Office of Regional Operations and Outreach.
    - 5) Change the name of the Office of Program Delivery to the Office of Infrastructure Investment to better align the office name with the office functions.
  - b. To clarify the mission and functions of the Office of Railroad Policy and Development.

- c. Modify the Office of Administration to add the Office of Facilities and Asset Management whose functions were previously embedded in the Office of the Associate Administrator and to more appropriately align them with the corresponding Office of the Secretary of Transportation (OST) office.
  - d. Modify the Office of Communications and Legislative Affairs by changing the name of the Office of Communications and Legislative Affairs to Office of Public Affairs; and creating the Office of Governmental Affairs, as is shown in FRA Budget Justifications beginning in Fiscal Year 2017 and continuing through Fiscal Year 2021.
5. MISSION. FRA's mission is to enable the safe, reliable, and efficient movement of people and goods for a strong America, now and in the future.
6. FUNCTION.
- a. General Description. FRA is responsible for regulating safety functions pertaining to railroads; conducting research and development activities in support of safer and more efficient rail transportation; investigating and issuing reports concerning collisions, derailments, and other railroad accidents resulting in serious injury to persons or to the property of the railroad; developing safety strategies to combat the causes of collisions, derailments, and other railroad accidents, as well as to reduce overall risk in the Nation's rail systems; promoting and strengthening the national rail system, including freight rail and high speed and high performing intercity passenger rail; maximizing the positive impacts on the U.S. economy by encouraging domestic manufacturing on rail projects through the enforcement of Buy America provisions; and strengthening local communities by supporting station-area development and strong connections among rail passenger services, intercity bus, local transit, bicycle/pedestrian, and airport facilities.
  - b. The FRA Administrator provides executive direction of the following:
    - Deputy Administrator
    - Executive Director
    - Office of Civil Rights
    - Office of Public Affairs
    - Office of Governmental Affairs
    - Office of Railroad Safety
    - Office of Chief Counsel
    - Office of Administration
    - Office of Railroad Policy and Development
    - Office of Chief Financial Officer
7. DELEGATIONS. Delegations to the FRA Administrator. The authority delegated from the Secretary of Transportation to the FRA Administrator is codified at 49 CFR §1.89

8. ORGANIZATION.

**FEDERAL RAILROAD ADMINISTRATION**



\* Includes the Chief Safety Officer

a. Office of the Administrator

- 1) Mission. The FRA Administrator, as a Presidential appointee, exercises the powers and authorities of his office as delegated under the provisions of 49 U.S.C. § 103(d) and (g); 49 CFR § 1.89.
- 2) Functions.
  - a) Principal advisor to the Secretary on railroad affairs and other intercity rail fixed guideway transportation matters.
  - b) Principal representative of the Department in relations with the Congress, other elements of government, the transportation community, and the public with respect to railroad affairs and other intercity rail fixed guideway transportation needs, policies, programs, resources, and actions.
  - c) Provides executive direction and leadership to the FRA.

b. Office of the Deputy Administrator

- 1) Mission. Assists the Administrator in the discharge of his/her responsibilities with authority to act for him/her in all matters not reserved to the Administrator. See 49 U.S.C. § 103(e).
- 2) Functions.
  - a) Participates in the making of policy and program decisions with the Administrator.
  - b) Responsible for the overall planning, direction, and control of FRA activities, and maintaining executive relationships with the Secretary, Deputy Secretary, Assistant Secretaries, other heads of operating administrations, Congress, other Federal agencies, the railroad community, and the public.
  - c) Ensures full and affirmative implementation of civil rights and equal opportunity programs, which fully meet regulatory, policy, and DOT requirements.
  - d) Develops and coordinates external and internal public affairs and communications programs promoting awareness of policies, accomplishments, programs, and employees.
  - e) Develops and coordinates congressional and legislative programs and activities.

c. Executive Director

- 1) Mission. Provides executive leadership over the administration and operation of the full range of day-to-day operations of FRA programs and managers.

2) Functions.

- a) Participates with the Administrator and Deputy Administrator in planning and establishing program policies, objectives, and priorities and directs the development of strategic action plans and the advancement of organizational excellence for the accomplishment of FRA's mission.
- b) Coordinates with the Office of Human Resources and the Chief Financial Officer (CFO) with respect to staffing levels approval authority to fill vacant positions, promotions (including career ladder promotions), FRA's awards program, allocation of full-time positions and similar functions.
- c) Coordinates with all offices with respect to correspondence involving the general public, in response to inquiries, grants, memoranda (internal and external), and responses to DOT requests for information.
- d) Approves travel authorizations and requests for reimbursement for certain identified positions.
- e) Approves budget documents and modifications thereto.
- f) Develops, implements, and coordinates crosscutting issues related to the achievement of FRA's mission.
- g) Ensures accountability for management actions, fiscal stewardship and accountability, and transparency in carrying out strategic priorities and operations.
- h) Recommends business process changes or improvements regarding the structure, operation, and well-being of FRA as these elements relate to the implementation of FRA programs.
- i) Promotes ongoing quality improvement, strategic plans, economy, and performance measurement and evaluation.
- j) Oversees the direction of the Executive Secretariat Team, which serves as the central clearing point for written communications directed to or issued by the Office of the Administrator.

d. Office of Civil Rights

- 1) Mission. Provides advice and guidance to the Administrator and FRA officials to assist them with achieving a diverse workplace and maintaining an environment that is free from discrimination in any of its management policies, practices, or procedures, while supporting the Agency's strategic mission. Develops and administers an FRA Civil Rights/Equal Employment Opportunity (EEO) program that fully complies with statutory requirements and adheres to FRA and DOT policy and guidance.

2) Functions.

- a) Provides technical assistance and guidance to the Administrator, Deputy Administrator, Executive Director, FRA officials, and employees on all matters relating to civil rights, EEO, and disadvantaged business enterprises. Develops and distributes EEO policies, guidelines, and procedures in coordination with the Departmental Office of Civil Rights (DOCR).
- b) Manages FRA's Affirmative Employment Program.
- c) Monitors and evaluates workplace activities to ensure that equal opportunity exists for FRA employees and candidates for employment.
- d) Conducts data and trends analyses on information related to management actions (hires, separations, promotions, details, and awards) affecting employment status.
- e) Assists the Agency with resolving complaints/concerns at the lowest level possible, which creates a safe and positive environment that contributes towards increased work productivity.
- f) Develops and manages the EEO training program, ensuring managers and employees are trained in their rights and responsibilities in EEO, as well as the rights and remedies available under the anti-discrimination and whistleblower laws applicable to them pursuant to the No FEAR Act. Provides other training, in conjunction with the Office of Human Resources and DOCR that serve as tools to proactively address potential concerns within the workforce while developing more productive, skillful employees and effective supervisors and managers.
- g) Implements and manages all aspects of FRA's internal EEO Precomplaint Program to ensure that counseling activities and products are in compliance with applicable laws and regulations.
- h) Assists with recruitment and outreach efforts. Administers the Minority Serving Institutions Programs, i.e., Historically Black Colleges and Universities and the Hispanic Serving Institutions, which helps establish a pipeline for careers at FRA with diversifying its workforce.
- i) Implements and enforces FRA's external civil rights programs to ensure compliance, monitoring, and timely investigation of complaints of discrimination and other civil rights matters pertaining to recipients and beneficiaries of FRA's financial assistance programs, i.e. National Railroad Passenger Corporation (Amtrak).
- j) Designs, plans, and implements programs to encourage and promote minority and other disadvantaged business enterprises to participate in FRA's contracts/subcontracts processes. Ensures EEO policies are implemented in the administration of the FRA rail recipient's contracts program. Encourages recipients of FRA financial assistance to utilize disadvantaged business enterprises as part of their acquisition strategies. Supports the DOT's Office of Small and Disadvantaged Business Utilization's responsibilities.

e. Office of Public Affairs

- 1) Mission. Plans, organizes, and develops strategy, as well as administers activities related to promoting public understanding, support, and awareness of the policies, programs, and accomplishments of FRA.
- 2) Functions.
  - a) Serves as FRA's advocate and provides leadership in managing media relations. Offers strategic advice and counsel to FRA leadership in dealing with sensitive, political, and newsworthy items, overseeing execution of such a strategy from conception to final delivery. Works to ensure accurate press surrounding the Agency's mission.
  - b) Provides technical support to the Office of the Administrator in the development, implementation, and analysis of public affairs strategies.
  - c) Prepares press releases, official statements, media advisories, press briefings, fact sheets, and other materials for distribution to the media, public, industry stakeholders, and other audiences.
  - d) Prepares speeches for the Administrator, Deputy Administrator, Executive Director, and other senior FRA officials.
  - e) Coordinates the personal appearances of the Administrator and Deputy Administrator at news conferences, ceremonies, and special events with media presence.
  - f) Compiles and distributes daily news clips of rail-related media stories, works with FRA program offices, and, the Office of Information Technology to ensure that the FRA website is accurate and up to date, and prepares and distributes various internal Agency-wide communications.
  - g) Manages the overall format and presentation of the external FRA internet website, in collaboration with the Office of Information Technology.
  - h) Provides executive guidance for an effective internal communications process throughout FRA to ensure effective message delivery.
  - i) Serves as liaison to all FRA program offices, departmental offices, other departmental modal administrations, and stakeholder groups as requested by the Administrator.
  - j) Plans, organizes, coordinates, and administers activities relating to marketing and outreach assistance to external stakeholders, customers, and partners at the national, regional and State levels in the railroad community and the public. Facilitates the planning and development of a collaborative, inclusive outreach process intended to identify, establish, and nurture marketing partnerships.

- k) Develops and maintains select internal and external marketing assistance and other outreach programs. Serves as the point of review for FRA's marketing tools, i.e., publications, and coordinates with FRA program offices in their outreach efforts.
- f. Office of Governmental Affairs
- 1) Mission. Plans, promotes, administers, and executes activities related to maintaining a positive and constructive relationship with congressional members, States, local governments and their associated offices.
  - 2) Functions.
    - a) Monitors legislation impacting rail transportation safety, and other like issues; provides input on FRA positions; and interacts with members of Congress, congressional staff, and other government offices.
    - b) Coordinates FRA interaction and outreach with Congress, including the coordination of all congressional hearings.
    - c) Facilitates the planning and execution of all congressional testimony and official responses to inquiries received from members of Congress, their staff or congressional committees.
    - d) Manages all correspondence and communications between the Administrator, FRA program offices and members of Congress and their staff, and congressional committees.
    - e) Provides guidance to FRA senior staff members regarding their interactions with members of Congress, their staff, and congressional committees.
    - f) Provides advice and support to the Administrator, Deputy Administrator, Executive Director, and other senior FRA officials.
    - g) Serves as liaison on governmental affairs matters to all departmental offices, other departmental operating administrations, and stakeholder groups as requested by the Administrator.
- g. Office of Chief Counsel
- 1) Mission. The Chief Counsel serves as the principal FRA legal officer and advisor to the Administrator and FRA officials.
  - 2) Functions. Sets the Office of Chief Counsel organizational goals and objectives. Plans, directs, controls and reports on mission activities in support of these goals and objectives.
    - a) Provides executive direction over the:



i. Office of Safety Law; and the

ii. Office of General Law

h. Office of Safety Law

1) Mission. Provides legal advice and support to FRA officials on matters of safety law and regulations.

2) Functions.

- a) Renders legal advice and support on the enforcement of railroad safety laws, regulations and directs the FRA program for assessing, compromising, and collecting civil penalties for violation of those laws, regulations, and orders. Exercises authority to issue disqualification orders for safety violations that demonstrate an individual's unfitness for safety-sensitive service in the railroad industry.
- b) Works with FRA officials, the Department of Justice, and the Office of the General Counsel in developing the DOT's legal position in administrative and court suits involving the enforcement of or challenges to railroad safety laws, regulations and orders.
- c) Develops, prepares, and provides legal interpretations of railroad safety laws, regulations, and orders and railroad safety notices in cooperation with appropriate elements within FRA. Provides legal advice to FRA personnel and support to the Office of the General Counsel on legislative activities involving railroad safety.
- d) Provides legal assistance internally and at public hearings on railroad safety rulemaking proceedings, petitions for exemption from railroad safety laws, petitions for waiver of FRA safety regulations and orders, and applications for approval of discontinuances or modifications of signal systems.
- e) Renders legal advice and support on FRA's investigation and reporting of accidents. Assists FRA safety personnel at public hearings held by the National Transportation Safety Board (NTSB) to investigate railroad accidents.
- f) Provides legal assistance to FRA's engineer and conductor certification program by advising the Review Boards, drafting decisions for the Review Boards, representing FRA in cases before the Administrative Hearing Officer, and supporting any related litigation.

i. Office of General Law

1) Mission. Provides legal advice and support to FRA officials on all matters of law and regulation except in areas related to rail safety.

2) Functions.

- a) Provides legal advice and support in the areas of procurement; financial assistance programs, including loans, grants and cooperative agreements, Amtrak; the Transportation Technology Center; Federal tort claims; financial management; railroad economics; station programs, including Washington Union Station and Moynihan Station; equal employment opportunity and civil rights; conflicts of interest; personnel and human resources; ethics; the Privacy Act, the Freedom of Information Act (FOIA); the Americans with Disabilities Act; National Environmental Policy Act and other environmental statutes and regulations; historic preservation; railroad bankruptcies; rail labor law; fiscal law, “Buy America” statutes; legislation of interest to FRA; and other general law matters.
- b) Works with FRA officials and OST General Counsel to develop the DOT’s legal position in administrative proceedings and litigation involving matters handled by the Office, including DOT submissions to the Surface Transportation Board (STB) on rail matters.
- c) Serves as the Agency’s Administrative Hearing Officer.
- d) Advises the Administrator with respect to appeals from review boards and Administrative Hearing Officer decisions.
- e) Manages FRA’s FOIA process.

j. Office of Railroad Policy and Development

- 1) Mission. The FRA Office of Railroad Policy and Development (RPD) improves railroad safety, efficiency, and capacity through financial assistance, planning, research, development, and the application of innovative technologies.

2) Functions.

- a) Sets RPD organizational goals and objectives. Plans, directs, controls, and reports on RPD mission activities in support of these goals and objectives.
- b) Partners and coordinates with DOT and other Federal, State, and rail-related organizations on matters associated with railroad programs, policy, planning, and research/development.
- c) Provides executive direction over the following offices:
  - i. Office of Infrastructure Investment;
  - ii. Office of Policy and Planning; and the
  - iii. Office of Research, Development and Technology.

#### k. Office of Infrastructure Investment

- 1) Mission. Manages Federal rail investment programs to develop and sustain high-performance passenger and freight rail services, including providing support to program stakeholders to ensure program success.
- 2) Functions.
  - a) Provides assistance to rail stakeholders preparing for, participating in, and implementing Federal rail investment programs, including developing standardized approaches to environmental compliance, corridor and project engineering, project financial planning and management, and operations.
  - b) Directs development of program strategy and policies, including guidance, rulemakings, standards, technical assistance strategies, oversight policies, and program performance measures, along with development of policy and legislative recommendations to continually enhance program performance.
  - c) Ensures a consistent, collaborative approach to all aspects of stakeholder relationships through standardized data, reporting, and management tools.
  - d) Directs implementation of Federal rail grant programs, including making selections and awards, managing and monitoring progress, reporting on status, completing projects, and closing grants.
  - e) Provides investment program coordination between FRA and the DOT Build America Bureau, and provides technical assistance to applicants and other stakeholders involved in DOT financing programs.

#### l. Office of Policy and Planning

- 1) Mission. Leads development of national rail strategy, programs, policy, and planning, including assessment of passenger and freight rail performance, investments, and policy issues. Provides support to rail stakeholders in planning and developing high-performance rail services.
- 2) Functions.
  - a) Coordinates rail planning and program development activities, including policy and legislative proposals, budget formulation, and strategic communication to diverse stakeholders.
  - b) Supports regional, State and railroad planning efforts, including development of tools and technical support for network, service and business planning, and oversees the planning elements of FRA's portfolio of grants, loans and other projects.

- c) Assesses passenger and freight industry service, on-time performance, financial performance, investments, and policy issues, and supports railroads and other stakeholders in advancing high-performance rail policy objectives and plans.
- d) Coordinates international activities, including visits from foreign officials, FRA travel to international venues, reciprocal technical assistance and global cooperation with international partners, and promotion of United States railroad and supply industry.
- e) Works closely with counterparts from other operating administrations and OST to support integrated multimodal passenger and freight policy and planning.
- f) Directs pre-award implementation of Federal rail grant programs, including application solicitation, evaluation and selection and leads benefit-cost analysis of the Department's rail investments.
- g) Manages the Amtrak annual cooperative agreement review of the 500+ projects and programs comprising Amtrak's workplan. Provides ongoing oversight of approved projects and programs included in the workplan. Additionally, manages the use of Federal funds on Amtrak's operating and debt programs. Monitors Amtrak's cash balances associated with program income accounts.

m. Office of Research, Development, and Technology

- 1) Mission. Administers research, development, and demonstration programs designed to improve the safety, security, efficiency, and capacity of freight and passenger rail transportation, including intercity, commuter, and high-speed ground transportation systems.
- 2) Functions.
  - a) Directs safety research, development, and demonstration programs in all areas of railroad operations and activities in consultation and cooperation with the Office of Railroad Safety (RRS) and the various entities that comprise the railroad industry.
  - b) Directs activities relating to the research, development, and demonstration programs designed to facilitate introduction of technologies to improve intercity passenger rail transportation, including high-speed rail systems, in the United States.
  - c) Serves as the primary source of information for the Secretary, the Administrator, and the other offices of FRA, on the technical capabilities of rail technologies including legacy rail technologies, current state-of-the-art technologies, and technologies potentially applicable to railroad operations and activities.
  - d) Implements research coordinated with other modes of transportation under the auspices of the Office of the Assistant Secretary for Research and Technology. Provides technical support to the Administrator in the Administrator's role as an

ex officio member of the U.S. Department of Transportation Research, Development and Technology Planning Council.

- e) Exercises custody over FRA's research-related assets, administering agreements for the operation of the Transportation Technology Center, research vehicles and such other research, development, and demonstration assets that may belong to FRA or in which FRA has an interest.
  - f) Investigates means for ensuring that advances in alternative fuels such as compressed natural gas (CNG) and liquefied natural gas (LNG) within the railroad are introduced in a safe manner.
  - g) Coordinates FRA railroad research, development, and demonstration activities undertaken overseas by international bodies, national governments, and foreign railroads.
  - h) Provides guidance to office staff on technology transfer. Conducts, procures, or manages the evaluation of various projects or programs that may inform FRA's policy, processes, stakeholder guidance, and/or performance strategy.
- n. Office of Railroad Safety
- 1) Mission. The Chief Safety Officer serves as the principal advisor to the Administrator and FRA officials on FRA's safety mission. See 49 U.S.C. § 103(f). Plans, organizes, coordinates, and administers railroad safety practices in the railroad industry and States. Enforces all Federal laws and related regulations designed to promote the safety of railroads. Executes FRA's authority having jurisdiction responsibility for Washington, DC's Union Station.
  - 2) Functions.
    - a) Provides safety advice, analysis, and support to the FRA Administrator and other FRA officials.
    - b) Cooperates and coordinates with DOT and other Federal, State, and rail-related organizations on matters associated with railroad safety issues.
    - c) Administers safety and security programs designed to optimize safety in rail operations for the industry and the public, to encourage constituency participation, and to integrate new initiatives into FRA activities.
    - d) Chairs the Railroad Safety Board.
    - e) Provides executive direction to the following offices:
      - i. Office of Railroad Systems and Technology;
      - ii. Office of Railroad Infrastructure and Mechanical;

iii. Office of Data Analysis and Program Support; and the

iv. Office of Regional Operations and Outreach.

o. Office of Railroad Systems and Technology

1) Mission. Promotes railroad safety through the establishment of policies, rules, and technical standards. Develops and maintains a national rail safety compliance and enforcement program. Oversees evaluation of petitions for waivers. Identifies research and development requirements and promotes a safe and secure environment in the railroad industry. This office is comprised of the technical disciplines of signal and train control, positive train control, operating practices, and technology integration. All functions listed below are specific to these technical disciplines.

2) Functions.

- a) Develops and implements procedures to increase the effectiveness and scope of the rail safety and security program.
- b) Develops and executes a national compliance and enforcement program.
- c) Ensures preparedness of inspectors to fulfill their safety compliance duties.
- d) Monitors and evaluates inspection practices in railroad operations and maintenance practices.
- e) Provides direction and guidance to the RRS's staff directors, specialists and inspectors for railroad signal systems, train control, operating practices, hazardous materials, and drug and alcohol technical issues related to inspection, enforcement, security, and accident activities.
- f) Supports regional and multi-regional teams during railroad oversight audits to evaluate proper implementation and execution of approved railroad safety programs, including training, system safety, risk reduction, emergency preparedness and reporting.
- g) Ensures coordination of safety enforcement policy and technical support within RRS, with other FRA program offices and DOT operating administrations, and with top-level railroad officials and industry/labor associates/committee executives, including work in support of the Railroad Safety Advisory Committee (RSAC) and response to the NTSB.
- h) Coordinates with RPD on research and development priorities, and on research to test and evaluate equipment and procedures.
- i) Identifies emerging or new technology being considered and tested by industry. Performs risk analysis of technology and its integration into the overall system and collaborates with industry to mitigate identified risk.

- j) Provides input into rulemakings to remove obsolete rules and update existing rules to accommodate advances in technology and operating practices to enhance rail safety.
- k) Provides technical support to respond to petitions for waivers related to the technical disciplines in this office from parties seeking relief from current regulatory requirements.

p. Office of Railroad Infrastructure and Mechanical

- 1) Mission. Promotes railroad safety through the establishment of policies, rules, and technical standards. Develops and maintains a national rail safety compliance and enforcement program. Oversees evaluation of petitions for waivers. Identifies research and development requirements and promotes a safe and secure environment in the railroad industry. This office is comprised of the technical disciplines of track, bridges and structures, and motive power and equipment. All functions listed below are specific to these technical disciplines.
- 2) Functions.
  - a) Develops and implements procedures to increase the effectiveness and scope of the rail safety and security program.
  - b) Develops and executes a national compliance and enforcement program.
  - c) Ensures preparedness of inspectors to fulfill their safety compliance duties.
  - d) Monitors and evaluates inspection practices in railroad operations and maintenance practices.
  - e) Provides direction and guidance to the RRS's staff directors, specialists and inspectors for railroad infrastructure (track, bridges, tunnels) and motive power and equipment technical issues related to inspection, enforcement, security, and accident activities.
  - f) Supports regional and multi-regional teams during railroad oversight audits to evaluate proper implementation and execution of approved railroad safety programs, including training, system safety, risk reduction, emergency preparedness and reporting.
  - g) Ensures coordination of safety enforcement policy and technical support within RRS, with other FRA program offices and DOT operating administrations, and with top-level railroad officials and industry/labor associates/committee executives, including work in support of the RSAC and response to the NTSB.
  - h) Coordinates with RPD on research and development priorities, and on research to test and evaluate equipment and procedures.

- i) Keeps abreast of technical advances and maintains continuous knowledge of current industry conditions and performance.
  - j) Provides input into rulemakings to remove obsolete rules and update existing rules to accommodate advances in technology and operating practices to enhance rail safety.
  - k) Provides technical support to respond to petitions for waivers related to the technical disciplines in this office from parties seeking relief from current regulatory requirements.
  - l) Plans, develops and administers the FRA occupational safety and health program for employees. Determines need for employee occupational health support requirements and assures that essential medical services are provided.
- q. Office of Data Analysis and Program Support
- 1) Mission. Develops, implements, and manages a rail safety program data collection, analysis, planning, and evaluation process. Develops long-range rail safety program training, goals and requirements.
  - 2) Functions.
    - a) Develops and administers rail safety planning, improvement and development processes and evaluation systems, including data-driven, risk-based models.
    - b) Initiates, develops, and implements safety rules and standards.
    - c) Plans and coordinates rail safety information systems analysis, design and development in coordination with the Office of Information Technology.
    - d) Directs and administers resource allocation systems, workload projections, and inspection coverage standards for placement of staffing resources in support of inspection activities.
    - e) Works with the Office of Railroad Systems and Technology and the Office of Railroad Infrastructure and Mechanical in the development and implementation of enforcement and compliance initiatives.
    - f) Directs and administers operations research and data science initiatives for evaluating the effects of changes within the National Railroad System that impact system factors such as safety, costs, efficiency, and service.
    - g) Prepares benefit-cost analysis to determine the economic impact from safety regulatory proposals.
    - h) Directs FRA's national security, emergency preparedness and incident response program.



- i) Directs accident analysis and reporting in coordination with the RRS's regional organization.
- j) Ensures coordination of safety enforcement policy and analytical support within RRS, with other FRA program offices and DOT operating administrations, and with top level railroad officials and industry/labor association/committee executives, including work in support of RSAC and responses to NTSB recommendations.

r. Office of Regional Operations and Outreach

- 1) Mission. Plans, develops, and implements regional programs to achieve safe operating and mechanical practices in the railroad industry. Develops communication and outreach programs that promote railroad safety and encourage voluntary participation of railroads and stakeholders to share safety data and participate in confidential close call reporting programs, grade crossing accident and trespassing prevention programs; Manages communications and training opportunities with railroad industry associations and stakeholders.
- 2) Functions.
  - a) Develops, implements, and monitors regional and railroad safety programs consistent with national railroad safety policies and programs.
  - b) Participates in the development of uniform administration of railroad safety practices, rules, regulations, procedures, and guidelines.
  - c) Coordinates accident investigations, special investigations, investigation of violations and complaints, and special studies.
  - d) Establishes and maintains relationships with union and railroad officials to promote cooperative efforts toward improving railroad safety.
  - e) Directs and administers the State Participation Program.
  - f) Provides executive direction over the FRA regional offices.
  - g) Develops and manages voluntary rail safety partnership programs such as Confidential Close Call Reporting System (C3RS), Fatality Analysis Maintenance-of-way Employees and Signalmen (FAMES), and Switching Operations Fatality Analysis (SOFA).
  - h) Coordinates with RPD on research and development priorities for human factors initiatives.
  - i) Coordinates outreach and railroad safety training with the shortline railroad industry by leveraging partnerships with industry stakeholders and the Shortline Safety Institute.

- j) Coordinates education and outreach with Federal, State, tribal and local authorities to reduce grade crossing incidents and trespassing on railroad right of way.

s. Office of Administration

1) Mission. Serves as the principal consultant and advisor to FRA management on matters relating to mission support services, general management and organization of FRA. Ensures FRA information technology is acquired and managed consistent with the Clinger-Cohen Act of 1996 and the Federal Information Technology Acquisition Reform Act of 2014 (FITARA). Serves as the FRA, Chief Human Capital Officer, ensuring FRA carries out its responsibilities for selecting, developing, training, and managing a high-quality workforce consistent with the government-wide human capital provisions included in the Homeland Security Act of 2002. Serves as FRA's Real Property Officer, ensuring owned and leased properties are managed in a manner compliant with Federal regulations and in support of FRA's mission. Provides and manages mission support programs and services in such a way as to promote operational effectiveness and efficiency, ensure compliance with public laws and Federal regulations, and support FRA's mission and goals. Serves as the Head of Contracting Authority and Competition Advocate to ensure goods and services are procured consistent with laws and regulations and that competition is obtained to the maximum extent practical.

2) Functions.

- a) Advises and assists the Administrator on all administrative and organizational management matters as they relate to FRA's missions, programs and objectives.
- b) Performs functions required as the Chief Sustainability Officer.
- c) Serves as FRA's Working Capital Fund representative, managing FRA's participation.
- d) Provides mission support services to FRA program offices to ensure their operational effectiveness and efficiency.
- e) Responsible for Agency-wide records management, including electronic records management, Paperwork Reduction Act program, standard operating procedures, directives coordination, and forms control.
- f) Maintains and updates FRA's portion of DOT and government-wide acquisition systems, serving as FRA's DP2 representative.
- g) Serves as the lead for workforce development, ensuring alignment of employee development and associated resources, with Agency priorities.
- h) Provides executive direction over the following offices:
  - i. Office of Human Resources;

- ii. Office of Information Technology;
- iii. Office of Acquisition; and the
- iv. Office of Facilities and Asset Management

t. Office of Human Resources

- 1) Mission. Directs all aspects of the FRA human resources program which includes workforce planning, position management, organizational development, position classification, compensation and pay administration, performance management, pre-employment and random drug testing, recruitment and placement, employee relations, labor relations, benefits, employee recognition, personnel security, and overall personnel program automation and reporting.
- 2) Functions.
  - a) Determines that human resources management programs support the mission of FRA and meet the respective needs of management and employees. Ensures that programs are carried out effectively, expeditiously, and efficiently, in accordance with all applicable laws, Executive Orders, policies, regulations, and standards.
  - b) Advises and consults with management concerning constructive and strategic approaches to human capital and workforce concerns.
  - c) Develops human resources policies, guidelines, and procedures.
  - d) Continuously monitors and evaluates recruitment, placement, and retention procedures and practices to ensure that FRA is in compliance with appropriate DOT and Federal program requirements pertaining to these activities. Oversees the FRA program to ensure workforce diversity initiatives are aggressively pursued.
  - e) Oversees the planning, development, implementation, and administration of programs related to labor relations and employee relations. Administers the FRA performance management, employee recognition, prevention of harassment and reasonable accommodation programs.
  - f) Administers the FRA position management, workforce planning, organizational development, and position classification programs. This includes organizational structure changes, position classification audit, personnel management evaluations, and administration of statutory and regulatory requirements for position classification, pay administration, and position management.

u. Office of Information Technology

- 1) Mission. Plans, develops, and administers the FRA Information Technology (IT) Program, including Enterprise Architecture, Solutions Architecture, Data

Management, Asset Management, IT Security, Web and Application Development, IT Capital Planning, and Continuity of Operations and Disaster Response coordination to include secure communications, IT support (systems, computing and wireless devices, and infrastructure), Agency-wide records management including directives coordination and forms control, and implementation of applicable provisions of the Privacy Act of 1974 and E-Government Act of 2002.

2) Functions.

- a) Implements electronic government initiatives to include FRA-wide coordination, update of progress, and adherence.
- b) Leads IT Capital Planning to ensure that IT programs and projects undertaken are selected and managed as an overall portfolio of investments and are consistent with departmental priorities and policies.
- c) Manages the IT Continuity of Operations and Disaster Response responsibilities to ensure that emergency procedures are followed and that the FRA Emergency Steering Group is informed and updated as to crisis situations and disaster recovery capabilities. Ensures secure communications, including National Security Information Handling.
- d) Leads Enterprise Architecture to facilitate cross-agency analysis and the identification of duplicative investments, gaps, and opportunities for collaboration.
- e) Ensures compliance with DOT and Federal IT standards and regulations, including Privacy Act requirements.
- f) Directs and administers IT security controls, Federal Information Security Modernization Act reporting and FRA-wide IT systems certification and accreditation.
- g) Responsible for data management and business intelligence capabilities.
- h) Manages the FRA IT infrastructure and provides program management oversight of the Agency's DOT Common Operating Environment components, hardware/software, and wireless communications.
- i) Plans and directs the design and development of FRA information systems and tools.
- j) Coordinates regional IT services/functions with RRS Program Managers and regional IT specialists.
- k) Ensures IT compliance with Section 508 Americans with Disabilities Act requirements and Web Content Accessibility Guidelines and Worldwide Web Consortium standards.

- l) Responsible for the development and management of internet and intranet sites, mobile and web applications and content management framework.

v. Office of Acquisition

- 1) Mission. To provide acquisition planning, contract execution, and contract administration support across FRA. Serves as liaison with OST Senior Procurement Executive to ensure continuous compliance with DOT acquisition guidance and policies.
- 2) Functions.
  - a) Provides acquisition guidance and support to the headquarters and field offices concerning all aspects of procurement to include the purchase card program.
  - b) Plans, executes, administers and closes out contracts, working closely with FRA's Office of Chief Financial Officer to ensure contract awards are timely, contract administration is prudent, and funds are de-obligated from completed contracts.
  - c) Oversees the Contracting Officer's Representative and Contracting Officer/Specialist training program to ensure that proper training is available and maintains a process that ensures bi-annual training requirements are met.
  - d) Develops acquisition policies and procedures that ensure contract planning, award and administration are consistently implemented.
  - e) Participates with the DOT's Senior Procurement Executive to ensure FRA acquisition processes are consistent and compliant with those of the DOT.

w. Office of Facilities and Asset Management

- 1) Mission. Plans, develops and administers a program of management and administrative services and activities to ensure operational effectiveness, efficiency, and compliance with public laws and Federal regulations. For each of these services, develops and administers Agency-wide policies and provides support, assistance and technical expertise to FRA headquarters and regional organizations.
- 2) Functions.
  - a) Manages FRA's real property inventory (owned and leased).
  - b) Manages FRA's space alterations in collaboration with the General Services Administration (GSA) or OST as appropriate.
  - c) Coordinates facility requirements and space adjustments for the FRA Headquarters.
  - d) Manages the FRA personal property inventory.

- e) Coordinates the preparation and execution of FRA's mail/shipping, printing, graphics and photography requirements.
- f) Manages FRA's fleet vehicles, transportation services, and transit benefits.
- g) Working with the Security, Preparedness and Accident Investigation Division, ensures all FRA office space complies with applicable security requirements.
- h) Coordinates with the DOT Office of Security on facilitating the FRA's emergency evaluations for Headquarters.
- i) Serves as the secondary Reconstitution Manager for FRA.

x. Office of Chief Financial Officer

- 1) Mission. Enforces the CFO Act of 1990 and ensures that financial management systems and policies are responsive to FRA requirements. Directs, manages, and coordinates all financial management matters for FRA; i.e., budgetary and program planning activities, accounting, and disbursement of funds. Serves as the principal consultant and advisor to FRA management on all financial management matters. Serves as primary liaison with Congress, Government Accountability Office (GAO), Office of Management and Budget (OMB), Office of Inspector General (OIG), and OST regarding financial management matters of FRA. Ensures that FRA support programs and services are in place to ensure operational effectiveness, efficiency, and compliance with public laws and Federal regulations.
- 2) Functions.
  - a) Develops and implements accounting policies and procedures for FRA.
  - b) Reviews and ensures quality, accuracy, and controls of all FRA financial matters according to generally accepted accounting practices, Federal budget processes, and the Government Performance and Results Act (GPRA).
  - c) Maintains and updates FRA's portion of the Department's automated accounting system.
  - d) Provides support and advice to FRA program offices on all aspects of budgetary policies, standards, and systems.
  - e) Establishes, maintains, and reports Agency performance measures, goals, and targets in accordance with GPRA.
  - f) Serves as audit liaison with OST, GAO, OMB, OIG, and Department of Treasury.
  - g) Ensures compliance with the Federal Manager's Financial Integrity Act.
  - h) Provides support services to FRA program offices to ensure their operational effectiveness and efficiency.

- i) Provides executive direction over the following offices:
  - i. Office of Finance;
  - ii. Office of Budget; and the
  - iii. Office of Funds Administration.

y. Office of Finance

- 1) Mission. Manages and coordinates all accounting and disbursing activities within FRA. Provides oversight, review, and support of FRA programs and initiatives to more efficiently and effectively operate and improve productivity in FRA operations. Operates a system of accounting for the resources and programs of FRA. Develops, implements, and administers financial management procedures and standards; performs maintenance of FRA's accounting computer files residing in the DOT automated accounting system. Provides financial reports and information to FRA program offices and external sources that depict the Agency's financial condition.
- 2) Functions.
  - a) Develops and implements accounting policies and procedures for FRA and serves as FRA liaison on all accounting matters.
  - b) In partnership with the Office of Funds Administration, implements and monitors financial management plans in the areas of fund control, cash management, and debt collection.
  - c) Maintains general ledger accounts for all appropriations and funds for the preparation and issuance of all required financial management reports.
  - d) In partnership with the Office of Funds Administration, performs analysis and reconciliation of all transactions and reports. Controls and distributes all related reports.
  - e) Performs the examination and certification function of claims received and payments made by FRA.
  - f) Serves as the CFO audit liaison with OST, GAO, the OMB, and the Department of Treasury.
  - g) Develops, implements, and monitors financial management policies, procedures, and standards applicable to FRA programs. Develops and implements financial programs for the purposes of improving the Agency's financial management practices.

- h) Maintains and updates FRA's portion of the DOT's automated accounting system and coordinates the implementation of FRA's system changes and enhancements to the automated accounting system.
- i) Conducts reviews of the automated accounting system and financial improvement initiatives/programs to ascertain the effectiveness and adequacy of the Agency's financial operations.
- j) Supports the Office of Budget for responses to questions from OST, OMB, and Congress.

z. Office of Budget

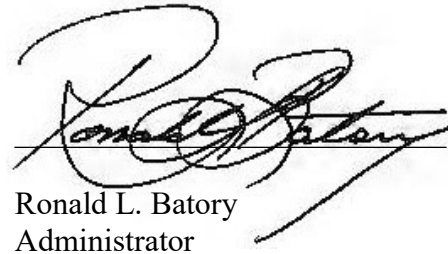
- 1) Mission. Manages and coordinates all budget formulation and budget oversight activities within FRA. Provides oversight, review, and support of FRA programs and initiatives to more efficiently and effectively operate and improve productivity in FRA operations. Develops, implements, and administers budget management procedures and standards; provides budget reports and information to program offices and external sources that depict the Agency's budget condition.
- 2) Functions.
  - a) Provides guidance and direction to FRA program offices on all aspects of FRA's budgetary policies, standards, and systems.
  - b) Provides direction over the formulation and presentation of FRA's budgets.
  - c) Administers execution procedures for 1) funding allocations; personnel ceiling allocations; compliance with anti-deficiency requirements; and reprogramming requirements.
  - d) Serves as FRA's Deputy CFO and principal representative with OST, OMB, GAO, and congressional committees for FRA budgetary affairs.

aa. Office of Funds Administration

- 1) Mission. Develops, implements, and administers budgetary execution processes within FRA in accordance with policy established by the Office of Budget.
- 2) Functions.
  - a) Establishes controls to assure that funds are properly used (Circular A-11).
  - b) Provides guidance and direction to FRA program offices on all aspects of FRA's budgetary execution policies, standards, and systems.
  - c) In partnership with the FRA program offices, develops FRA's office specific financial plans.



- d) Monitors and reviews use of funds to ensure that established limits are not exceeded, and funds are executed according to the financial plans and internal control policy.
- e) Certifies funds are available and appropriate for procurements and grants.
- f) Supports senior and program management by providing regular internal management reports as defined by the CFO.
- g) Supports the Office of Budget for responses to questions from OST, OMB, and Congress.
- h) Manages the Grants Management system and provides training to FRA as necessary.
- i) Provides financial grants management policy and technical support to FRA program offices.
- j) Manages the Travel Management system and provides travel policy and training to FRA.



Ronald L. Batory  
Administrator