

Supporting Statement for  
Paperwork Reduction Act Submission

Waybill Compliance Survey

**A. Justification**

1. Need for Information

The Surface Transportation Board is, by statute, responsible for the economic regulation of railroads operating in the United States. The Waybill Sample is the Board's primary means of gathering information about freight rail shipments terminated in the United States. A waybill, which is a document describing the characteristics of an individual rail shipment, identifies originating and terminating freight stations, the names of all railroads participating in the movement, the point of all railroad interchanges, the number of cars, the car types, movement weight in hundredweight, the commodity, and the freight revenue. The Board requires a railroad to submit a statistical sample of the waybills for the traffic it handles if, in any of the three preceding years, the railroad terminated at least 4,500 carloads on its line.

Data from the Waybill Sample is used by the Board as input in analyses and studies necessary to carry out the regulatory responsibilities of the Board. Other Federal agencies (the Department of Transportation and the Department of Agriculture, for example) use the Waybill Sample as part of their information base. The Waybill Sample is also used by States as a major source of information for developing state transportation plans. In addition, non-government groups seek access to Waybill Sample data for such uses as market surveys, development of verified statements in Board and State formal proceedings, forecast of rail equipment requirements, economic analyses and forecasts, and academic research.

The Waybill Compliance Survey, for which approval is sought here, is required to be filed by all railroads that terminate traffic in the United States but do not currently submit waybill samples. The survey requirement, codified at 49 CFR 1244.2(f), enables the Board to identify those railroads that should be submitting an annual Waybill Sample. In addition, information about a rail carrier's total annual operating revenues helps the Board determine whether other regulatory requirements may apply. The authority to collect the above information is found in Sections 49 U.S.C. 11144, 11145, and 11901(e)(1).

2. Use of Data Collected

The Waybill Compliance Survey is used to determine whether a railroad meets the criteria established at 49 CFR 1244 for inclusion in the Waybill Sample and ensures that the Board is collecting a Waybill Sample from all railroads that are required to participate. The information in the survey also provides a measure of the total traffic covered by the Waybill Sample. The revenue information is collected on a voluntary basis and helps the Board anticipate what other regulatory provisions may apply to a particular carrier.

3. Reduction Through Improved Technology

For many years, the Board has allowed respondents to file the survey by FAX. Beginning with the next Waybill Survey, the Board will accept filing by email. The Board will email the form to any railroad that supplies its email address.

4. Identification of Duplication

This information is not duplicated by any other agency. The Board is the only source of waybill information.

5. Minimizing Burden for Small Businesses

The survey does not require special record keeping and takes less than 0.5 hours to complete.

6. Frequency Reduction Consequences

The Waybill Survey is conducted on an annual basis. Less frequent submission of the survey might result in failure to identify a railroad that should be required to submit a Waybill Sample for a particular year.

7. Special Circumstances

Not applicable.

8. Consultation Outside Agency

The Board provided a 60-day comment period regarding this extension of approval in 71 FR 75811. A Federal Register notice seeking comments from respondents is being published simultaneously with this submission.

9. Payment or Gift

No payment or gift is made in connection with this survey form.

10. Assurance of Confidentiality

All data pertaining to this form are open to public inspection.

11. Sensitive Information

This form does not collect sensitive information.

12. Estimated Burden Hours and Cost

The Board estimates that 120 railroads will respond to this survey and that it will take each respondent approximately one half hour to complete and process the survey form. The Board believes that this is a conservative estimate, based on a past survey of responders who indicated that the annual Waybill Survey took approximately 0.5 hours to complete. Improvements in technology may have reduced the burden associated with this collection, and the actual burden hours (estimated at approximately 60 hours annually for all respondents) may be less. Based on current labor rates the total annual industry cost of completing the survey form is estimated at \$500.00.

13. Record Keeping Burden

No additional record keeping is required to complete this form.

14. Annualized Cost To the Federal Government

The Board estimates the annual cost of this collection to be \$350, including the cost of publishing notice of the collection in the Federal Register and staff time to review the responses.

15. Program Changes to Items 13 and 14 of OMB Form 83-1

None.

16. Publication of Data and/or Results

No data from this survey form will be published.

17. Display of Expiration date for OMB approval

Expiration date is displayed.

18. Exceptions to the Certification for Paperwork Reduction Act Submissions

Not applicable.

**B. Collection of Information Employing Statistical Methods**

Not Applicable.