

Supporting Statement for  
Paperwork Reduction Act Submission

OMB Control No. 2140-0010  
Expires January 31, 2016

Waybill Compliance Survey

**A. Justification**

1. Need for Information

The Surface Transportation Board is, by statute, responsible for the economic regulation of common carrier railroads operating in the United States. A carload waybill, which is a document describing the characteristics of an individual rail shipment, identifies originating and terminating freight stations, the names of line haul railroads participating in the movement, the point of all railroad interchanges, the number of cars, the car types, the movement weight, and the commodity being moved. Under 49 C.F.R. Part 1244, a railroad is required to file carload waybill sample information (Waybill Sample) for all line-haul revenue waybills terminating on its lines if, in any of the three preceding years, it terminated 4,500 or more revenue carloads, or it terminated at least 5% of the revenue carloads that terminate in a particular state. The Waybill Sample is the Board's primary means of gathering information about freight rail shipments terminated in the United States.

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 C.F.R. § 1244.2(f), enables the Board to identify those railroads that should be submitting an annual Waybill Sample. In addition, the Board collects information about a rail carrier's total annual operating revenues, which helps the Board determine whether other regulatory requirements may apply. Because many of the Board's reporting requirements apply only to railroads with large operating revenues, accurate determinations regarding the size of a railroad's operating revenues help the Board minimize the reporting burden for smaller railroads. The Board has authority to collect this information under 49 U.S.C. § 11145.

2. Use of Data Collected

The Waybill Compliance Survey is used to determine whether a railroad meets the criteria established at 49 C.F.R. § 1244 and ensures that the Board is collecting a Waybill Sample from all railroads that are required to submit one.

3. Reduction Through Improved Technology

The Board, through its contractor, accepts the information in this survey by email.

#### 4. Identification of Duplication

This information is not duplicated by any other agency. The Board is the only source of waybill information, and the information in each of these filings is unique.

#### 5. Minimizing Burden for Small Businesses

The survey does not require record keeping, beyond the records that a railroad would maintain in the normal course of business, and it takes less than 0.5 hours to complete.

#### 6. Consequences if Collection Not Conducted or Less Frequent

Our regulations require respondents to submit the Waybill Survey information 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

No special circumstances require the collection to be conducted in a manner inconsistent with the guidelines in 5 C.F.R. § 1320.5.

#### 8. Consultation Outside Agency

The Board provided a 60-day comment period regarding this extension of approval in 80 Fed. Reg. 66,968 (Oct. 30, 2015). In addition, 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

The data pertaining to this form may be confidential.

#### 11. Sensitive Information

The information collected may contain commercially sensitive information. A request for the Waybill Survey information will be considered by the Board on a case-by-case basis.

#### 12. Estimated Burden Hours.

The Board estimates that 523 railroads will respond to this survey, and based on a survey of responders, the Board estimates that it will take each respondent approximately one half hour

to complete and process the survey form, resulting in a total annual hourly burden of 261.5 hours.

13. Estimate of Total Annual Costs to Respondents

No non-hour costs have been identified for this collection. This form may be filed electronically.

14. Annualized Cost To the Federal Government

The Board estimates the annual cost of this collection to be \$446.68 including \$350 for the administration of the collection by the contractor that also administers the waybill-sample collection and the cost of two staff hours (GS-12-1 at \$48.34 hourly wage, including benefits) to review the annual operating-revenue data.

15. Explanation of Program Changes or Adjustments

There are no program changes or adjustments.

16. Publication of Data and/or Results

No data from this survey form will be published.

17. Display of Expiration date for OMB approval

The new expiration date for this collection will be published in the Federal Register when the collection is approved by OMB.

18. Exceptions to the Certification for Paperwork Reduction Act Submissions

No exceptions are sought.

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

Not applicable. This collection of information does not involve statistical methods.