

Appendix B

SURFACE TRANSPORTATION BOARD (STB) STATEMENT 81-1 PROCEDURE FOR SAMPLING WAYBILL RECORDS

Effective: January 1, 2021

I. Sample of Waybill Record¹

A. Definition of Frame for Study

The waybill records to be used as a frame for this study shall include all waybills and other documents used in lieu of waybills to authorize movement of revenue freight and/or used as a basis for settlement. Apply the sample to all waybill records which cover the following linehaul revenue movements or settlements for movements:

1. Terminations on the reporting railroad's or system's lines or any of their U.S. railroad subsidiaries,
2. Terminations for traffic of foreign railroads for which the reporting railroad (or its subsidiaries) has a joint-line settlement agreement to do the waybilling and revenue billing.

If the files are not complete for the subject traffic of this study (population), then notify the STB's Office of Economics. The subject traffic not covered by the files would have to be sampled individually. Include substituted truck for rail service, LCL, outbound transit movements where the net freight charges may be zero, exempt traffic, and traffic moving under contract rates. All revenue traffic must be included.

B. Stratification and Replication

Waybills in the file to be used as a frame for this study may be in any order. The waybill files used must be the final audited waybill settlement files.

Stratify each waybill record in the study frame into one of seven strata by traffic type² and size based on the total number of carloads/TCUs for the waybill movement. Table 1 shows

¹ Option: The respondent railroads have an option to transmit 100% of the applicable traffic with data in prescribed form as shown in Attachment 1 on a quarterly basis as defined below in Part IV, Subpart A. The STB will apply the same sampling procedure described below. When the sample is completed, the STB will return the railroads' file of 100% of waybill data elements retaining only the sampled data and the control totals.

² The two traffic types are carload traffic (i.e., non-intermodal) and intermodal traffic (i.e., trailer/container units or TCUs).

the specifications of stratification. For each reporting period, obtain the total count of waybills in each of the seven strata. These are the population counts.

Select four systematic subsamples from each of the seven strata. Each systematic subsample for a stratum will have its own random start. A different random start for each of the four subsamples is to be drawn from Table 2. Draw random starts from Table 2 just as you would read across a page of ordinary print. For each row there are 10 separate random starts. After drawing a random start, select every Kth waybill record for each subsample. Table 1 contains the values of the Kth interval for each stratum. For each reporting period, obtain counts of selected waybills for each of the seven strata. This sampling procedure is illustrated below in Part V.

Draw the study waybills for each stratum from a continuous sequential counting of the waybills from work-day to work-day and from week to week until the end of the reporting period. At the beginning of each reporting period, the sequential count of waybills would have to restart from "1" for each stratum. Then assign a new set of random starts from Table 2 for each of the seven strata and proceed as in Item No. 2. Ensure that every group of waybills in the population has been sampled once and only once. After a waybill record has been selected, it must be transmitted no matter how unusual it is. There is to be no substitution.

II. Quality Control

A. Quality of Railroad's Input

The reporting railroad has the responsibility to maintain the quality of submitted waybills in machine readable input (MRI) form, especially for key items. Failure to meet minimum standards will lead to increased rejection of waybill records which will be returned to respondent for correction. If necessary, the whole file for a reporting period might be returned for correction. If errors are serious and persistent, it is possible that the STB may order the railroad to supply additional data for the submitted waybill copies or records for a special study. It may require joint efforts by railroads, the STB, shipper groups, and others to eliminate errors that are industry wide (for example, commodity code errors which involve the origin freight stations).

B. Computer Edit of MRI

Shipment data on waybills selected for STB study will be reviewed for validation (e.g., improbable Freight Station Accounting Codes (FSACs) or Standard Transportation Commodity Codes (STCCs)) and extreme outliers (e.g., intermodal equipment on tank cars, unusually high weights for the commodity carried). Quantitative comparisons can be made on a quarterly basis against comparable data from the Quarterly Report of Freight Commodity Statistics (QCS reports) as reported by the Class I railroads. Errors will probably be greatest in the beginning until any programming bugs are eliminated and ambiguous instructions are clarified. The

advantages of MRI will be greater for those railroads who effectively edit study waybills before submitting them to the STB.

III. Elimination of Routine Submission of Hard Copy Waybills

No hard copy waybills will be required when the waybill sample is submitted in an acceptable format. The STB, however, may order railroads to submit hard copies for other purposes such as special studies.

IV. Transmission of MRI

A. Submission of Sampled Waybill Data

Submit sampled waybill data in the prescribed format as shown in Attachment 1, Waybill Data Elements, to the agent designated by the STB. Respondent railroads shall submit files on an audit month basis unless the railroad chooses to report on an audit quarter basis. Quarters shall cover the following four periods: (1) January, February, and March; (2) April, May, and June; (3) July, August, and September; and (4) October, November, and December.

Identification of the file should include: addressee, addresser, official to contact with telephone number, and identification of the file including the reporting period.

Please send a separate Transmittal Form OPAD-1 for each transmitted file to the designated contractor with the following information:

1. Identification of the file.
2. The number of waybills selected in the sample for each of the seven strata.
3. The total population count of waybills for each of the strata from which the sample was selected. The total count for the seven strata combined should equal 100% of the subject traffic as defined in the "Definition of Frame for Study" of this procedure.

B. Timely Reporting

The respondent railroads shall transmit the files to the designated contractor within 60 days of the end of the reporting period.

C. STB Contact Information

For additional assistance with the procedure for sampling waybill data, please send an email to Economic.Data@stb.gov, or write to:

Surface Transportation Board
Office of Economics
395 E Street, SW
Washington, DC 20423-0001

V. Illustration: Drawing Four Subsamples from a Stratum

Assuming that random starts Nos. 36, 139, 28 and 102 were drawn in that order from Table 2 for stratum 6 (in actual application draw new random starts), then “36” is in subsample 1, “139” is in subsample 2, “28” is in subsample 3, and “102” is in subsample 4. Each waybill selected by random starts and every Kth (stratum 6) waybill selected thereafter is assigned its subsample code as follows:

Stratum 6 (Start of reporting period):

Random Numbers:	36	139	28	102
Subsample Code:	1	2	3	4
Kth Interval:	+160	+160	+160	+160

Count or Waybills in Stratum:

Record Numbers:	1, 2, ... 28, ... 36, ... 102, ... 139, ... 188, ... 196, ... 262, ... 299, etc.
Subsample Code:	3, 1, 4, 2, 3, 1, 4, 2,

Waybill Records	<u>Enter</u> stratum code and subsample code into data record for selected waybill.
*	*
Population counts and record counts by strata	<u>Obtain</u> count of total number of waybills in stratum 6 (population count) and number of waybills selected. This is the sample for the reporting period.
*	*
Transmittal Form	<u>Accumulate</u> records for the reporting period and data elements for selected waybills for STB study.
*	*
Contractor	<u>Submit</u> file to contractor designated by STB.

Similarly, repeat the sampling procedure for each remaining stratum using the Kth interval and the random starts applicable to that stratum.

Table 1: Selection of Waybills for STB Study

Stratum	No. of Non-Intermodal Carloads per Waybill	Random Starts³	Kth Interval	Sample Rate
1	1 to 2	*	20	1/5
2	3 to 15	*	20	1/5
3	16 to 60	*	16	1/4
4	61 to 100	*	12	1/3
5	101 and over	*	8	1/2
Stratum	No. of Intermodal TCUs per Waybill	Random Starts	Kth Interval	Sample Rate
6	1 to 2	*	160	1/40
7	3 and over	*	20	1/5

³ Draw from Table 2 a new random start as required at the beginning of the reporting period for each subsample (1, 2, 3, and 4) within a stratum. Draw random starts from Table 2 just as you would read across a page of ordinary print. For each row there are 10 separate random starts. After random numbers for a stratum have been exhausted, return to first row and repeat. Thus, for stratum 1 there are four random starts, for stratum 2 there are four random starts, etc.

Table 2: Random Starts for MRI Sample

Use for Stratum 1 (1-2 Cars), Stratum 2 (3-15 Cars), and Stratum 7 (3 and over TCUs)

Rate of 1 of 5

13	11	1	7	20	3	19	18	5	10
16	2	8	9	14	12	4	17	6	15
14	7	20	15	8	16	6	9	19	12
2	4	1	18	17	5	10	3	11	13

9	14	16	4	3	19	11	12	5	2
7	18	8	15	1	13	20	17	6	10
11	17	10	20	13	5	7	18	16	4
12	8	9	6	14	15	1	3	19	2

Use for Stratum 3 (16-60 Cars) Rate of 1 of 4

8	16	14	6	2	4	3	5	12	15
11	9	7	13	1	10	9	10	2	5
4	3	11	16	12	7	6	13	8	15
14	1	4	6	7	8	10	3	14	12

5	13	1	16	2	9	15	11	6	14
8	7	4	9	5	11	13	2	3	1
12	10	15	16	15	13	6	16	9	4
5	7	10	11	1	2	8	12	14	3

Use for Stratum 4 (61-100 Cars) Rate of 1 of 3

11	4	8	12	1	10	3	5	2	6
7	9	6	5	12	10	11	3	2	9
1	8	7	4	2	6	11	7	4	10
3	1	9	5	8	12	2	10	12	11

1	9	3	8	6	5	4	7	7	5
2	9	4	8	11	12	10	3	6	1
11	10	4	2	12	1	8	7	5	3
9	6								

Use for Stratum 5 (101 or More Cars) Rate of 1 of 2

7	1	4	6	8	5	2	3	8	1
2	3	5	6	7	4	5	8	3	2
6	1	7	4	7	4	3	8	6	2
5	1	8	7	4	5	1	6	2	3

3	2	4	1	7	8	6	5	6	8
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2	4	5	3	1	7	3	7	6	8
5	4	1	2	1	7	8	2	5	3
6	4	2	4	7	1	5	3	6	8

Use for Stratum 6 (1-2 TCUs) Rate of 1 of 40

38	76	109	134	155	7	132	65	95	91
79	46	37	141	69	28	131	5	160	12
53	20	144	63	126	16	19	74	121	66
39	71	68	6	151	17	159	117	58	78

130	13	25	18	99	86	140	77	59	61
84	47	50	123	23	104	40	143	98	107
41	97	114	4	42	81	127	34	9	1
118	87	149	136	54	15	128	32	64	119

120	148	88	156	103	96	73	67	145	21
14	142	62	85	22	115	72	154	137	75
80	106	27	48	94	52	26	3	158	152
60	51	101	138	35	2	89	57	70	111

33	147	157	153	82	112	8	29	30	55
24	113	49	36	122	110	125	139	105	44
135	31	133	10	129	83	11	93	90	100
92	108	45	43	56	146	150	102	124	116

ATTACHMENT 1

WAYBILL DATA ELEMENTS

One fixed sized main record is to be developed for each selected waybill. Left justify alpha-numerics—space fill; right justify numerics—zero fill. Maintain validation check against overflows. Include the total freight revenue, total fuel surcharges, total transit charges, total misc. charges, total weight of lading, total number of carloads, and TCUs as covered by the study waybill in the appropriate items of this attachment. Round revenue items including other charges to the nearest dollar (\$) (e.g., \$0.49 rounds down, \$0.50 rounds up). Show weight of lading in units of hundredweight (CWT). The asterisk in front of the number for the data element indicates that it is a key item. (A key element is an element that must be reported in order for a railroad to qualify for MRI. All other elements that can be obtained from the railroad's computer files should be reported.)

DATA ELEMENTS FOR STB STUDY

- *1. Waybill Record: (1 digit numeric)

Data reported are based on the waybill record (MRI). This number will be one (1) until further notice.

- *2. Waybill Number: (6 digit numeric)

Assigned to each waybill document by the originating railroad.

- *3. Waybill Date: (6 digit numeric)

Of the form MMDDYY, where MM is month, DD is day, and YY is year. It is the date the waybill is prepared by the originating railroad.

- *4. Accounting Month and Year: (4 digit numeric)

Of the form MMYYY, where MM and YY are the month and year during which the study waybill was entered into the railroad's revenue accounting system. This information is subsequently reflected in the net income statement of the company for the specified account month.

- *5. Number of Carloads on Waybill: (4 digit numeric)

Indicate the total number of carloads on the sample waybill.

*6. Car Initials: (4 character alpha-numeric)

Identify the car ownership as recorded in the Official Rail Equipment Register issued by the Association of American Railroads. Enter the first car in record for this study waybill.

*7. Car Number: (6 digit numeric)

Assigned by the owner and which, when combined with the owner's car initial code, uniquely identifies the freight car used in the move.

*8. Intermodal (TOFC/COFC) Service Code: (3 character alpha/numeric, space fill)

The code for the Intermodal Service Code (ISC) must be entered in the first position of the field. If possible, when different ISCs are used during the course of the sampled waybill movement, enter the code for the applicable ISC at termination in the first position of the field, and the code for the applicable ISC at origination in the second position of the field. For example, 'B C' indicates that the TOFC movement started on ISC 20 and terminated on ISC 22. **NOTE: three blanks in this field will indicate the movement is not intermodal in nature.** 'Unknown' ISC's are indicated by 'X'.

REVISED INTERMODAL SERVICE PLAN CODE REPORTING

Intermodal Service Code	Unit Owner	Service Provided by Carrier	Determination of Charges	STB Alternate Coding
15	Motor/Rail	R-R, Ramp to Ramp	Agreed between Trucker & Rail	A
20	Rail	T-R-T, Door to Door	Truck Competitive Rates	B
22	Rail	T-R, Door to Destination Ramp	Truck Competitive Rates	C
25	Rail	R-R, Ramp to Ramp	Special Mode of Code 20 Rates	D
27	Rail	R-T, Origin Ramp to Door	Truck Competitive Rates	E
40	Steamship/ Stack Operator	T-R-T, Door to Door	Domestic Container Movements Without Prior or Subsequent Waterborne Movement. Applies to U.S./Canada/Mexican Traffic. Equipment Supplied by Stack Operator or Steamship Line.	F
42	Steamship/ Stack Operator	T-R, Door to Destination Ramp	Domestic Container Movements Without Prior or Subsequent Waterborne Movement. Applies to U.S./Canada/Mexican Traffic. Equipment Supplied by Stack Operator or Steamship Line.	G
45	Steamship/ Stack Operator	R-R, Ramp to Ramp	Domestic Container Movements Without Prior or Subsequent Waterborne Movement. Applies to U.S./Canada/Mexican Traffic. Equipment Supplied by Stack Operator or Steamship Line.	H

Intermodal Service Code	Unit Owner	Service Provided by Carrier	Determination of Charges	STB Alternate Coding
47	Steamship/ Stack Operator	R-T, Origin Ramp to Door	Domestic Container Movements Without Prior or Subsequent Waterborne Movement. Applies to U.S./Canada/Mexican Traffic. Equipment Supplied by Stack Operator or Steamship Line.	I
60	Patron	T-R-T, Door to Door	Patron Supplied Equipment	K
62	Patron	T-R, Door to Destination Ramp	Patron Supplied Equipment	L
65	Patron	R-R, Ramp to Ramp	Patron Supplied Equipment	M
67	Patron	R-T, Origin Ramp to Door	Patron Supplied Equipment	N
80	Steamship/ Stack Operator	T-R-T, Door to Door	International Shipments With Prior or Subsequent Waterborne Movement. Includes Alaska, Hawaii, Puerto Rico. Equipment Supplied by Stack Operator or Steamship Line.	O
82	Steamship/ Stack Operator	T-R, Door to Destination Ramp	International Shipments With Prior or Subsequent Waterborne Movement. Includes Alaska, Hawaii, Puerto Rico. Equipment Supplied by Stack Operator or Steamship Line.	P
85	Steamship/ Stack Operator	R-R, Ramp to Ramp	International Shipments With Prior or Subsequent Waterborne Movement. Includes Alaska, Hawaii, Puerto Rico. Equipment Supplied by Stack Operator or Steamship Line.	Q
87	Steamship/ Stack Operator	R-T, Origin Ramp to Door	International Shipments With Prior or Subsequent Waterborne Movement. Includes Alaska, Hawaii, Puerto Rico. Equipment Supplied by Stack Operator or Steamship Line.	R
Unknown	Unknown	Unknown	Unknown	X

*9. Number of TCUs on Waybill: (4 digit numeric)

Indicate the number of TCUs for the study waybill.

*10. Trailer or Container Initials: (4 character alpha-numeric)

Identifying the ownership of the trailer or container on flat car as recorded in the Intermodal Equipment Register. Enter the first trailer or container in record for this study waybill.

*11. Trailer or Container Number: (6 digit numeric)

Assigned by owner and which, when combined with the owner's trailer/container initials, uniquely identifies the trailer/container used in move.

*12. Commodity Code (STCC-HAZMAT): (7 digit numeric)

STCC which identifies the product designation for the commodity being transported. For hazardous materials or hazardous substances only, use the 49-series HAZMAT Code in lieu of the regular STCC.

*13. Billed Weight (CWT): (9 digit numeric)

The total billed weight (hundredweight) of the commodity being transported for the study waybill (the weight protecting the rate).

14. Actual Weight of Lading (CWT): (9 digit numeric)

Record the total actual weight of the commodity being transported (hundredweight) for the study waybill.

*15. Freight Revenue (\$): (9 digit numeric)

Show total freight line-haul revenue from origin to destination on waybill in dollars for the study waybill. The total freight line-haul revenue should include any fuel surcharges associated with the waybill.

16. Transit Charges (\$): (9 digit numeric)

Show transit charges in dollars for the study waybill. This field should not be masked.

17. Miscellaneous Charges (\$): (9 digit numeric)

Show total of all other charges excluding transit and freight revenue charges in dollars for the study waybill. This field should not be masked.

*18. Interstate/Intrastate: (1 digit numeric (inferred))

Infer an "Interstate" routing via exception tables in routings where the origin and destination stations are within a state, but the customary interstate routing exists and reenters the state. Interstate should also include import, export, ex-lake and lake cargo movements.

- (1) Interstate
- (2) Intrastate
- (9) Unknown

*19. Transit: (1 digit numeric)

- (0) Not a transit movement

- (1) Transit - indicates that the shipment is the outbound movement from a transit point where some service had been performed to the destination point (which can be another transit point)
 - (9) Unknown
20. All Rail/Intermodal: (1 digit numeric)
- (1) All Rail (unimodal)
 - (2) Intermodal (a continuous movement involving a railroad(s) and another mode)
 - (9) Unknown
21. Type of Move (Import/Export): (1 digit numeric (inferred))
- (0) Neither import nor export
 - (1) Imported commodity
 - (2) Exported commodity
 - (3) Commodity imported and exported (e.g., bridge traffic)
 - (9) Unknown
22. Type of Move via Water: (1 digit numeric (inferred))
- (0) Not a water movement
 - (1) Ex-Lake (From Great Lakes to reporting railroad)
 - (2) Lake Cargo (Rail to Great Lakes)
 - (3) Intercoastal
 - (4) Coastwise
 - (5) Inland waterways
 - (9) Unknown
23. Substituted truck for rail service: (1 digit numeric)
- (0) Not a substituted truck-for-rail
 - (1) Study movement involves substituted truck for rail service
 - (9) Unknown
24. Docket 28300 Miles: (4 digit numeric)
- Enter the Docket 28300 miles of the respondent railroad for the study waybill movement.
25. Rebill: (1 digit numeric)
- (0) Local shipment
 - (1) Originated – Delivered
 - (2) Received – Delivered
 - (3) Received – Terminated

26. Stratum identification: (1 digit numeric)

- (1) One to two carloads per waybill
- (2) Three to fifteen carloads per waybill
- (3) Sixteen to sixty carloads per waybill
- (4) Sixty-one to one hundred carloads per waybill
- (5) One hundred-one or more carloads per waybill
- (6) One to two intermodal trailer/container units (TCUs) per waybill
- (7) Three or more intermodal trailer/container units (TCUs) per waybill
- (9) Optional study: 100% selection of all waybills

*27. Subsample code number: (1 digit numeric)

Enter the subsample code number which identifies the waybill as being selected in subsample 1, 2, 3, or 4. Enter code 9 for optional study where there is 100% selection of all waybills.

*28. Transborder Flag: (1 digit alpha-numeric)

- (0) Normal U.S. Termination
- (1) Pseudo termination near the border or shipment terminated in either Canada or Mexico

*29. Contract Rate Flag: (1 digit alpha-numeric)

- (0) Not a contract rate
- (1) Contract rate (contract rate flag and reported revenue is CONFIDENTIAL and used only by the STB and the Federal Railroad Administration (FRA))

*30. Waybill Identifier for Retrieval: (25 digits alpha-numeric)

Code(s) or number(s) to be filled in by reporting railroad which will aid the reporting railroad in identifying and retrieving a copy of study waybill for error check or for STB special study as required.

*31. Reporting Railroad: (3 digit numeric)

Identify reporting railroad's AAR code. The reporting railroad's code might differ from the terminating railroad's code as shown in item No. 32T since the reporting railroad might be reporting for its subsidiary or for other railroads under joint-line settlement agreements.

*32. Routing: (Total of 85 characters)

Use code abbreviations for interchanges (junctions) and numerical codes for railroads from Freight Mandatory Rule 260 as published by the Association of American Railroads. See attached format layout for description of data required. For origin FSAC, record code for actual originating station on origin railroad. For termination FSAC, record code for actual termination station on terminating railroad.

*33. Fuel Surcharges (\$): (9 digit numeric)

Show any fuel surcharges in dollars for the study waybill. This field should not be masked.

FORMAT LAYOUT OF WAYBILL DATA ELEMENTS

Field	Data Description	Positions	Form	Column(s)
1	Waybill Record	1	N	1
2	Waybill Number	6	N	2-7
3	Waybill Date	6	N	8-13
4	Accounting Period (mo/yr)	4	N	14-17
5	Number of Carloads	4	N	18-21
6	Car Initials	4	A/N	22-25
7	Car Number	6	N	26-31
8	TOFC/COFC Plan	3	A/N	32-34
9	Number of TOFC/COFCs	4	N	35-38
10	Trailer/Container Initials	4	A/N	39-42
11	Trailer/Container Number	6	N	43-48
12	Commodity Code (STCC-HAZMAT)	7	N	49-55
13	Billed Weight (CWT)	9	N	56-64
14	Actual Weight (CWT)	9	N	65-73
15	Total Freight LH Revenue (\$)	9	N	74-82
16	Transit Charges (\$)	9	N	83-91
17	Miscellaneous Charges (\$)	9	N	92-100
18	Interstate/Intrastate Code	1	N	101
19	Transit Code	1	N	102
20	All Rail/Intermodal Code	1	N	103
21	Type of Move: Import/Export	1	N	104
22	Type of Move via Water	1	N	105
23	Substituted truck-for-rail service	1	N	106
24	Docket 28300 miles	4	N	107-110
25	Rebill	1	N	111
26	Stratum Identification	1	N	112
27	Subsample Code	1	N	113

Field	Data Description	Positions	Form	Column(s)
28	Transborder	1	N	114
29	Contract Rate Flag	1	N	115
30	Waybill Identifier	25	A/N	116-140
31	Reporting Railroad	3	N	141-143
32	Routing	85	A/N	144-228
32A	Origin FSAC	5	N	144-148
32B	Origin Railroad	3	N	149-151
32C	Interchange #1 Rule 260	5	A/N	152-156
32D	First Bridge RR	3	N	157-159
32E	Interchange #2 Rule 260	5	A/N	160-164
32F	Second Bridge RR	3	N	165-167
32G	Interchange #3 Rule 260	5	A/N	168-172
32H	Third Bridge RR	3	N	173-175
32I	Interchange #4 Rule 260	5	A/N	176-180
32J	Fourth Bridge RR	3	N	181-183
32K	Interchange #5 Rule 260	5	A/N	184-188
32L	Fifth Bridge RR	3	N	189-191
32M	Interchange #6 Rule 260	5	A/N	192-196
32N	Sixth Bridge RR	3	N	197-199
32O	Interchange #7 Rule 260	5	A/N	200-204
32P	Seventh Bridge RR	3	N	205-207
32Q	Interchange #8 Rule 260	5	A/N	208-212
32R	Eighth Bridge RR	3	N	213-215
32S	Interchange #9 Rule 260	5	A/N	216-220
32T	Termination Railroad	3	N	221-223
32U	Termination FSAC	5	N	224-228
33	Fuel Surcharges (\$)	9	N	229-237

File Specification:

Reporting railroad: xxx (AAR code)

Name and telephone no. of contact for technical assistance

Accounting period = xx (M)/xx (YR); xx, xx, xx, (M), xx, (YR)

Total Record Count = xxx,xxx,xxx

*Stratum 1 Record Count = xxx,xxx,xxx

*Stratum 2 Record Count = xxx,xxx,xxx

*Stratum 3 Record Count = xxx,xxx,xxx

*Stratum 4 Record Count = xxx,xxx,xxx

*Stratum 5 Record Count = xxx,xxx,xxx

*Stratum 6 Record Count = xxx,xxx,xxx

*Stratum 7 Record Count = xxx,xxx,xxx

*Population Count = xxx,xxx,xxx

*Stratum 1 Population Count = xxx,xxx,xxx

*Stratum 2 Population Count = xxx,xxx,xxx

*Stratum 3 Population Count = xxx,xxx,xxx

*Stratum 4 Population Count = xxx,xxx,xxx

*Stratum 5 Population Count = xxx,xxx,xxx

*Stratum 6 Population Count = xxx,xxx,xxx

*Stratum 7 Population Count = xxx,xxx,xxx

Note: The file specification should be noted on an external label, as well as, transmitted with other documentation. Data for items with asterisks need not be listed on external label but should be maintained by reporting carrier. It should also be transmitted with other documentation (Transmittal Form OPAD-1). If the reporting railroad's files differ for any of the physical characteristics listed here, then the railroad must obtain STB permission to submit its files for MRI.

Testing Procedures

Before installing a procedure for selecting and processing a waybill sample, each participating railroad must undergo a 'pilot test' to determine that all data will be received and that all data is correct.

As a check on the completeness of the sample, each participating carrier will submit a sample file for a quarter of a year. The information in this file will be compared with the carrier's QCS report for the quarter. If the sample information (expanded by the inverse of the appropriate sampling fraction) lies within an acceptable sampling confidence interval as determined by the STB or its contractor, the sample will be deemed complete.

To check the validity of submitted waybills, the designated contractor will determine the nature, number, and percent of errors found in the file compared to the current waybill sample. If there are no significant errors found in the submitted sample, the sample will be deemed correct. If there are significant errors in the carrier's current waybill submissions, then the carrier may meet the second requirement if it corrects the errors and changes its error checking procedure. When a carrier believes its procedures detect and correct all significant errors, it may submit the file generated by the new process. To ensure the validity of the submitted data, the STB may request some hard copies of waybills for review.

Any carrier who satisfies the above two tests may submit files in lieu of the sample of hard copies of waybills at the beginning of any quarter. The timing of the testing and acceptance for the file will be negotiated with each respondent carrier or a group of affiliated carriers filing on a consolidated basis.

Supplemental Information Regarding the Waybill Sample

As part of its continuing effort to reduce paperwork burdens, and as required by the Paperwork Reduction Act of 1995 (PRA), 44 U.S.C. §§ 3501-3521, the Board has approval from the Office of Management and Budget (OMB) to collect the Waybill Sample. This existing collection (OMB Control No. 2140-0015) may be accessed at <https://www.reginfo.gov/public/do/PRAMain> and by searching for “Surface Transportation Board.”

For existing, approved collections, the Board is required to seek an extension of its approval at least every three years and to seek approval for any modification of it. During the review process for an extension or modification, comments may be submitted at www.reginfo.gov/public/do/PRAMain by selecting “Currently under Review - Open for Public Comments” or by using the search function, as described above. For further information regarding this collection, please contact Chris Oehrle, PRA Officer, Surface Transportation Board, 395 E Street, S.W., Washington, DC 20423-0001 or send an email at PRA@stb.gov. Assistance for the hearing impaired is available through the Federal Relay Service at (800) 877-8339.

The estimated total, annual hourly burden for filing this report is approximately 561.3 hours. The details of this estimate may also be found at www.reginfo.gov/public/do/PRAMain.

The data contained in the Waybill Sample is considered highly confidential proprietary information. Waybill Sample data is released, subject to appropriate protective conditions, through the STB’s Office of Economics. The regulations governing release of that data are set forth at 49 C.F.R. § 1244.9.