

SURFACE TRANSPORTATION BOARD  
PROCEDURE FOR SAMPLING WAYBILL RECORDS BY COMPUTER

I. Sample of Waybill Records\*

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 line-haul revenue movements or settlements for movements:

1. Terminations on the reporting railroad's or system's lines or any or 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 computer files are not complete for the subject traffic of this study (population), then notify the Surface Transportation Board (STB) Office of Economics, Environmental Analysis, and Administration. The subject traffic not covered by the computer files would have to be sampled manually. 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.

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\* 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, e.g., January, February, and March equal one quarter. The STB will apply the same sampling procedure described below. When the sample is completed, the STB will return the railroads' tape of 100% of waybill data elements keeping on file only the sampled data and the control totals. If data is transmitted by phone line or internet, we will excerpt only the sampled data and disregard the rest of the waybill data items.

## 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 tapes.

Stratify each waybill record in the study frame into one of five size groups by the total number of carloads for the waybill movement. Table 1 shows the specifications of stratification. For each reporting period, obtain the total count of waybills in each of the five strata. These are the population counts.

Select four systematic subsamples from each of the 5 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  $K^{\text{th}}$  waybill record for each subsample. Table 1 contains the values of K for each stratum. For each reporting period, obtain counts of selected waybills for each of the four strata. This sampling procedure is illustrated on page 6.

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 five 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 tape 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

Computer shipment data on waybills selected for STB study will be reviewed for validation (improbable FSAC numbers, STCC's etc.) and extreme outliers (pigs in tank-cars~ unusually high weights for the commodity carried). Quantitative comparisons can be made on a quarterly basis against comparable data from the Quarterly Commodity Statistics 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 on an acceptable machine readable tape. The Board, 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 computer format as shown in Attachment I, Waybill Data Elements, to the agent designated by the Board. Respondent railroads shall submit tapes on an audit month basis unless the railroad chooses to report on an audit quarter basis. Quarters shall cover the following four periods: January, February, and March; April, May, and June; July, August, and September; October, November, and December.

Identification on MRI tape should include: addressee, addresser, official to contact with telephone number, identification of tape including the reporting period, technical specifications of the tape and data input.

Please send a separate transmittal form [OPAD-I] for each transmitted MRI tape to the designated contractor with the following information:

1. Identification and specification of MRI tape.
2. The number of waybills selected in the sample for each of the five strata
3. The total population count of waybills for each of the strata from which the sample was selected. The total count for the five strata combined should equal 100 percent 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 MRI tapes to the designated contractor within 60 days of the end of the reporting period.

C. STB Contact for Information

To obtain an explanation of the MRI or sampling procedure or to notify the Board regarding any problems in the procedures of MRI implementation, you may call:

Paul Aguiar

Telephone: (202) 245-0323

or write:

Surface Transportation Board

Office of Economics, Environmental Analysis, and Administration

395 E Street, SW

Washington, D.C. 20423-0001

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 1 (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 1) waybill selected thereafter is assigned its subsample code as follows:

Stratum 1 (Start of reporting period)

Random numbers	28	36	102	139
Kth Interval	+160	+160	+160	+160

Count or waybills in stratum:				
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1, 2, .....	28,...	36, ...	102, ...	139, ...	188, ...	196, ...	262, ...	299, ...	etc...
Subsample Code	3	1	4	2	3	1	4	2	

Enter 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 1 (population count) and number of waybills selected. This is the subsample for the reporting period.
Transmittal Form		
		<u>Accumulate</u> records for the reporting period. Tape of data elements for selected waybills for STB study.
Contractor		
		<u>Submit</u> Machine Readable Input to contractor designated by STB.

Similarly, repeat sampling procedure for each stratum (2, 3, 4, and 5) using the Kth interval and the random starts applicable to that stratum.

Table 1. Selection of Waybills for STB study

Stratum	No. of Carloads Per Waybill	Random Starts	Kth Interval	Sample Rate
1	1 - 2	*	160	1/40
2	3 - 15	*	48	1/12
3	16 - 60	*	16	1/4
4	61 - 100	*	12	1/3
5	101 and over	*	8	1/2

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\*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. Read text of "Procedure for Sampling Waybill Records. ..." for more details .

TABLE 2. RANDOM STARTS FOR MRI SAMPLE -

USE FOR STRATUM 1 (1-2 CARS PER WAYBILL) RATE 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

USE FOR STRATUM 2 (3-15 CARS PER WAYBILL) RATE 1 OF 12

5	31	3	32	36	27	23	25	24	22
48	1	12	21	15	29	8	47	46	14
34	28	17	19	9	11	44	45	16	18
4	38	26	7	41	33	6	39	43	30
10	2	37	42	20	40	13	35	42	43
6	47	26	8	29	35	24	1	15	36
40	38	14	9	31	46	28	7	48	23
25	21	11	27	37	22	34	13	17	12
4	30	10	32	3	20	41	33	2	45
5	39	44	19	16	18	21	23	33	4
42	44	18	41	48	29	9	11	17	1
25	16	14	31	40	6	46	30	28	22
12	45	39	13	35	8	27	19	34	43
24	36	3	37	15	26	2	20	5	10
38	7	47	32						



USE FOR STRATUM 3 (16-60 CARS PER WAYBILL) RATE 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 PER WAYBILL) RATE 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 AND OVER CARS PER WAYBILL) RATE 1 OF 2

7	1	4	6	B	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
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

## ATTACHMENT 1

### WAYBILL DATA ELEMENTS

One fixed sized main record is to be developed for each selected waybill. Left justify alpha-numeric--space fill; right justify numeric--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, and total number of carloads, and, TOFC/COFC 's 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., \$.49 rounds down; \$.50 rounds up). Show weight of lading in units of hundredweight (CWT). The asterisk in front of the number for the data element indicates 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 (MO, DA, YR): (6 digit numeric)

Of the form MODAYR, where MO is month, DA is day, and YR 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 MOYR, where MO and YR 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'.<sup>1</sup>

**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	<b>A</b>
20	Rail	T-R-T, Door to Door	Truck Competitive Rates	<b>B</b>
22	Rail	T-R, Door to Destination Ramp	Truck Competitive Rates	<b>C</b>
25	Rail	R-R, Ramp to Ramp	Special Mode of Code 20 Rates	<b>D</b>
27	Rail	R-T, Origin Ramp to Door	Truck Competitive Rates	<b>E</b>
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.	<b>F</b>
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.	<b>G</b>
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.	<b>H</b>
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.	<b>I</b>

Intermodal Service Code	Unit Owner	Service Provided by Carrier	Determination of Charges	STB Alternate Coding
60	Patron	T-R-T, Door to Door	Patron Supplied Equipment	<b>K</b>
62	Patron	T-R, Door to Destination Ramp	Patron Supplied Equipment	<b>L</b>
65	Patron	R-R, Ramp to Ramp	Patron Supplied Equipment	<b>M</b>
67	Patron	R-T, Origin Ramp to Door	Patron Supplied Equipment	<b>N</b>
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.	<b>O</b>
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.	<b>P</b>
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.	<b>Q</b>
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.	<b>R</b>
Unknown	Unknown	Unknown	Unknown	<b>X</b>

\*9. Number of TOFC/COFC's on Waybill: (4 digit numeric)

Indicate the number of TOFC/COFC units 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)

Standard Transportation Commodity Code (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 re-enters 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: (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 Movement: (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) Over one hundred carloads 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 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 jointline 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 (Freight Station Accounting Code), 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 OF WAYBILL DATA ELEMENTS

<u>Field</u>	<u>Data Description</u>	<u>Number of Positions</u>	<u>Form</u>	<u>Column</u>
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 Inltlals	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/COFC's	4	N	35-38
10	Trailer/Container Initials	4	A/N	39-42
11	Traller/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
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

Tape 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)

9 Track or 3480 Cartridge  
Record Length=237  
Blocking Factor=20  
Blocksize=4740  
Ebcidic Coding  
Fixed Block and Record

or CD, CDR, CD-RW

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
*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

Note: Tape Specification should be noted on 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). See main text and description of data elements in Procedure for Sampling Waybill Records by Computer for definitions. The tape specification may be computer generated. If the reporting railroad's tapes differ for any of the physical characteristics listed here, then the railroad must obtain STB permission to submit its tapes for MRI.

## Testing Procedures

Before installing a machine readable input (MRI) 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 tape for a quarter of a year. The information on this tape 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 contractor, the sample will be deemed complete.

To check the validity of submitted waybills, STB/FRA's contractor will determine the nature, number, and percent of errors found in the MRI sample compared to the current manual waybill sample. If there are no significant errors found in the submitted MRI 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 MRI data on tape. To ensure the validity of the submitted data, the STB will request some hard copies of waybills for review.

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

## **SUPPLEMENTAL INFORMATION REGARDING THE WAYBILL SAMPLE**

The following information is provided in Compliance with OMB requirements and pursuant to the Paperwork Reduction Act of 1995, 44 U.S.C. 3501 et seq.:

The Waybill Sample is the Board's primary means of gathering information about freight rail shipments terminated in the United States. The information in the Waybill Sample is used by the Board, other Federal agencies (the Department of Transportation and the Department of Agriculture, for example), and industry stakeholders to monitor traffic flows and rate trends in the industry, and to develop testimony in Board proceedings. The Waybill Sample is also a major source of information for states when developing state transportation plans.

Under 49 CFR 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 4500 or more carloads, or it terminated at least 5% of the total revenue carloads that terminate in a particular state.

The estimated average annual hourly burden for filing this report is 75 hours.

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 Office of Economics. The regulations governing release of that data are set forth at 49 CFR 1244.9.

The information in this report is ordinarily maintained by the agency indefinitely.

The display of a currently valid OMB control number for this collection is required by law.