Report on Pending STB Regulatory Proceedings

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Surface Transportation Board

1. Waybill Data Reporting for Toxic Inhalation Hazards

Popular Title: Waybill Data Reporting for Toxic Inhalation Hazards

RIN 2140-AA97

Stage: Proposed Rule

Previous Stage: NPRM: Decision Served 01/28/2010; Federal Register Publication Date 02/02/2010; End of Comment Period 03/04/2010; End of Reply Comment Period 04/05/2010.

Abstract: The Board proposed to amend its rules with respect to Waybill Sample information that railroads are required to submit to the Board pursuant to 49 C.F.R. § 1244. Currently, railroads that are required to file Waybill Sample information report a random sample of as little as 1% of carloads on a waybill. The amendment would expand the carload Waybill Sample information submitted to include all traffic movements designated as a Toxic Inhalation Hazard.

Effects:

Paperwork Reduction Act
Information Collection

Prompting action: Board Initiative

Legal Deadline: None

Rulemaking Project Initiated: 01/28/2010

Docket Number: EP 385 (Sub-No. 7)

Dates for Next Action:

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Explanation for any delay: N/A

Federal Register Citation for Next Action: N/A
2. Review of the General Purpose Costing System

**Popular Title**: Review of the General Purpose Costing System

**RIN 2140-AB14**

**Stage**: Proposed Rule

**Previous Stage**: NPRM: Publication Date 02/04/2013; End of Comment Period 06/20/2013; End of Reply Comment Period 09/05/2013.

**Abstract**: The Board proposed certain changes to its general purpose costing system—the Uniform Railroad Costing System (URCS). Specifically, the Board proposed to adjust how URCS calculates certain system-average unit costs in Phase II, thereby obviating the need for URCS to apply a separate make-whole adjustment in Phase III. The Board also proposed other related changes to URCS that would result in more accurate movement costs, as well as changes to two of its reporting requirements, that would help to support the proposed changes.

**Effects**:

- Paperwork Reduction Act

**Prompting action**: Board Initiative

**Legal Deadline**: None

**Rulemaking Project Initiated**: 02/04/2013

**Docket Number**: EP 431 (Sub-No. 4)

**Dates for Next Action**:

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**Explanation for any delay**: N/A

**Federal Register Citation for Next Action**: N/A
Surface Transportation Board

3. Rail Fuel Surcharges (Safe Harbor)

Popular Title: Rail Fuel Surcharges (Safe Harbor)

RIN 2140-AB17

Stage: Pre-Rule

Previous Stage: ANPRM: Publication Date 05/29/2014; End of Comment Period 08/04/2014; End of Reply Comment Period 10/15/2014.

Abstract: The Board instituted this proceeding to give shippers, rail carriers, and other interested parties the opportunity to comment on the Board’s “safe harbor” standard, which allows carriers to rely on a Board-approved fuel index to measure changes in fuel prices for purposes of their fuel surcharge programs.

Effects:

None

Prompting action: Board Initiative

Legal Deadline: None

Rulemaking Project Initiated: 05/29/2014

Docket Number: EP 661 (Sub-No. 2)

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Explanation for any delay: N/A

Federal Register Citation for Next Action: N/A
4. Petition of the Western Coal Traffic League to Institute a Rulemaking Proceeding to Abolish the use of the Multi-Stage Discounted Cash Flow Model in Determining the Railroad’s Cost of Capital

**Popular Title:** Petition of the Western Coal Traffic League

**RIN 2140-AB20**

**Stage:** Pre-Rule

**Previous Stage:** Petition Filed 08/27/2013; Decision Opening Rulemaking Proceeding 12/20/2013; End of Comment Period 09/05/2014; End of Reply Comment Period 11/04/2014; Public Hearing 07/22/2015 and 07/23/2015.

**Abstract:** The Board instituted a proceeding to address how it calculates the railroad industry’s cost of equity capital, in response to a request that the Board abolish the use of the multi-stage discounted cash flow model in making that calculation.

**Effects:**

None

**Prompting action:** Petition from the Western Coal Traffic League

**Legal Deadline:** None

**Rulemaking Project Initiated:** Pet. filed 08/27/2013

**Docket Number:** EP 664 (Sub-No. 2)

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**Explanation for any delay:** N/A

**Federal Register Citation for Next Action:** N/A
5. Rail Transportation of Grain, Rate Regulation Review

**Popular Title:** Rail Transportation of Grain, Rate Regulation Review

**RIN 2140-AB16**

**Stage:** Pre-Rule

**Previous Stage:** ANPRM 12/12/2013; End of ANPRM Comment Period 06/26/2014; End of Reply Comment Period 08/25/2014; Public Hearing 06/10/2015.

**Abstract:** The Board opened this proceeding to obtain input from interested parties on grain shippers’ ability to effectively seek relief for unreasonable rates, as well as proposals for modifying existing procedures, or new alternative rate relief methodologies, should they be necessary.

**Effects:**

None

**Prompting action:** Board Initiative

**Legal Deadline:** None

**Rulemaking Project Initiated:** 12/12/2013

**Docket Number:** EP 665 (Sub-No. 1)

**Dates for Next Action:**

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**Explanation for any delay:** N/A

*Federal Register Citation for Next Action:* N/A
Surface Transportation Board


Popular Title: Transportation of Hazardous Materials

RIN 2140-AA95

Stage: Pre-Rule

Previous Stage: ANPRM 01/05/2009; End of ANPRM Comment Period 02/04/2009.

Abstract: The Board sought comment on whether it should update its accounting and financial reporting for Class I rail carriers and refine the Uniform Railroad Costing System (URCS) to better capture the operating cost of transporting hazardous materials.

Effects:

Paperwork Reduction Act
Information Collection

Prompting action: Board Initiative

Legal Deadline: None

Rulemaking Project Initiated: 01/05/2009

Docket Number: EP 681

Dates for Next Action:

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Explanation for any delay: N/A

Federal Register Citation for Next Action: N/A
Surface Transportation Board

7. Accelerated Reporting Requirements for Class I Railroads

**Popular Title:** Accelerated Reporting Requirements for Class I Railroads  
**RIN** 2140-AB11

**Stage:** Withdrawn (Completed Action)

**Previous Stage:** NPRM 07/08/2015; End of NPRM Comment Period 08/21/2015; End of Reply Comment Period 09/22/2015; Withdrawn 02/18/2016.

**Abstract:** The Board proposed to revise its regulations to accelerate the deadlines for the following reports filed by Class I railroads: Annual Report Form R-1; Quarterly Condensed Balance Sheet Forms; Quarterly Revenue Expenses and Income Reports; Quarterly and Annual Wage Forms A & B; Quarterly Reports of Fuel Cost Consumption and Surcharge Revenue; Quarterly Commodity Statistics Report Forms; Annual Report of Cars Loaded and Terminated; and Monthly Report of Number of Employees.

**Effects:**
- Paperwork Reduction Act
- Information Collection

**Prompting action:** Board Initiative

**Legal Deadline:** None

**Rulemaking Project Initiated:** 07/08/2015

**Docket Number:** EP 701

**Dates for Next Action:**

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**Explanation for any delay:** N/A

8. Review of Commodity, Boxcar, and TOFC/COFC Exemptions

**Popular Title:** Review of Commodity, Boxcar, and TOFC/COFC Exemptions

**RIN # 2140-AB28**

**Stage:** Pre-Rule

**Previous Stage:** Hearing 02/24/2011

**Abstract:** In this proceeding, the Board announced that it would hold a hearing to examine certain categorical exemptions from regulation under 49 U.S.C. § 10502, specifically the commodity exemptions under 49 C.F.R. §§ 1039.10 and 1039.11, the boxcar exemptions under 49 C.F.R. § 1039.14, and trailer-on-flatcar/container-on-flatcar exemptions under 49 C.F.R. pt. 1090.

**Effects:**

Regulatory Flexibility Act

**Prompting action:** Board Initiative

**Legal Deadline:** None

**Rulemaking Project Initiated:** 10/21/2010

**Docket Number:** EP 704

**Dates for Next Action:**

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**Explanation for any delay:** N/A

**Federal Register Citation for Hearing (initial notice):** 75 Fed. Reg. 66,187 (Oct. 27, 2010).
9. Review of Commodity, Boxcar, and TOFC/COFC Exemptions

**Popular Title:** Review of Commodity, Boxcar, and TOFC/COFC Exemptions

**RIN 2140-AB29**

**Stage:** Proposed Rule

**Previous Stage:** NPRM served 03/23/2016

**Abstract:** In this proceeding, the Board seeks public comment on its proposal to revoke the existing class exemptions under 49 C.F.R. Part 1039 for (1) crushed or broken stone or rip rap; (2) hydraulic cement; and (3) coke produced from coal, primary iron or steel products, and iron or steel scrap, wastes or tailings.

**Effects:**

Regulatory Flexibility Act

**Prompting action:** Board Initiative

**Legal Deadline:** None

**Rulemaking Project Initiated:** 03/23/2016

**Docket Number:** EP 704 (Sub-No. 1)

**Dates for Next Action:**

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**Explanation for any delay:** N/A

*Federal Register Citation for NPRM:* 81 Fed. Reg. 17,125 (March 28, 2016).
Surface Transportation Board

### 10. Petition for Rulemaking to Adopt Revised Competitive Switching Rules

**Popular Title:** Competitive Switching Rules  
**RIN 2140-AB10**

**Stage:** Pre-Rule

**Previous Stage:** Comment Period Opened 07/31/2012; End of Comment Period 05/30/2013; Hearing 03/25/2014 and 03/26/2014.

**Abstract:** The National Industrial Transportation League (NITL) proposes that certain captive shippers located in terminal areas be granted access to a competing railroad, if there is a working interchange within a reasonable distance (30 miles under NITL’s proposal).

**Effects:**

None

**Prompting action:** Petition from the National Industrial Transportation League.

**Legal Deadline:** None

**Rulemaking Project Initiated:** 07/07/2011 (petition filed)

**Docket Number:** EP 711

**Dates for Next Action:**

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**Explanation for any delay:** N/A

**Federal Register Citation for Next Action:** N/A
Improving Regulation and Regulatory Review

**Popular Title:** Improving Regulation and Regulatory Review  
**RIN 2140-AB25**

**Stage:** Final Rule (Completed Action)

**Previous Stage:** Request for comments 10/12/2011; End of Comment Period 01/10/2012; Final Rule 02/23/2016.

**Abstract:** The Board undertook a review of its existing regulations to evaluate their continued validity and whether any of its existing regulations may be outmoded, ineffective, insufficient, or excessively burdensome.

**Effects:**

None

**Prompting action:** Executive Order

**Legal Deadline:** None

**Rulemaking Project Initiated:** 10/12/2011

**Docket Number:** EP 712

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**Explanation for any delay:** N/A

**Federal Register Citation for Final Rules:** 81 Fed. Reg. 8,848 (Feb. 23, 2016).
**Surface Transportation Board**

| 12. | Small Entity Size Standards Under the Regulatory Flexibility Act (RFA) |

**Popular Titles:** Small Entity Size Standards, Reg. Flex.

**RIN #** N/A

**Stage:** Proposed Rule

**Previous Stage:** NPRM 07/16/2013; End of Comment Period 08/15/2013.

**Abstract:** The Board proposed to define “small business” for the purpose of Regulatory Flexibility Act analyses as including only those rail carriers with revenues that would bring them within the definition of a Class III rail carrier.

**Effects:**

- Regulatory Flexibility Act

**Prompting action:** Board Initiative

**Legal Deadline:** None

**Rulemaking Project Initiated:** 07/16/2013

**Docket Number:** EP 719

**Dates for Next Action:**

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**Explanation for any delay:** N/A
13. Accounting and Reporting of Business Combinations, Security Investments, Comprehensive Income, Derivative Instruments and Hedging Activities

**Popular Title:** Accounting and Reporting of Business Combinations

**RIN 2140-AB18**

**Stage:** Proposed Rule

**Previous Stage:** NPRM 07/08/2015; End of NPRM Comment Period 08/21/2015; End of Reply Comment Period 09/22/2015.

**Abstract:** The Board proposed to revise its regulations to update the accounting and reporting requirements under its Uniform System of Accounts for Class I Railroads to be more consistent with current generally accepted accounting principles and revise the schedules and instructions for the Annual Report for Class I Railroads (Form R-1) to better meet regulatory requirements and industry needs. The intent of the proposed revisions is to promote sound and uniform accounting and financial reporting.

**Effects:**

- Paperwork Reduction Act
- Information Collection

**Prompting action:** Board Initiative

**Legal Deadline:** None

**Rulemaking Project Initiated:** 07/08/2015

**Docket Number:** EP 720

**Dates for Next Action:**

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**Explanation for any delay:** N/A

**Federal Register Citation for Next Action:** N/A
Surface Transportation Board

14. Railroad Revenue Adequacy

Popular Title: Revenue Adequacy
RIN 2140-AB19

Stage: Pre-Rule

Previous Stage: Notice 04/02/2014; End of Comment Period 09/05/2014; End of Reply Comment Period 11/04/2014; Hearing 07/22/2015 and 07/23/2015.

Abstract: The Board instituted a proceeding to explore its methodology for determining railroad revenue adequacy, as well as the revenue adequacy component used in judging the reasonableness of rail freight rates.

Effects:

None

Prompting action: Board Initiative

Legal Deadline: None

Rulemaking Project Initiated: 04/02/2014

Docket Number: EP 722

Dates for Next Action:

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Explanation for any delay: N/A

Federal Register Citation for Next Action: N/A
15. United States Rail Service Issues

Popular Title: United States Rail Service Issues
RIN # N/A

Stage: Hearings

Previous Stage: Notice 04/01/2014; Hearings 04/10/2014 and 09/04/2014.

Abstract: The Board opened this proceeding to address service problems in the rail industry.

Effects:

None

Prompting action: Board Initiative

Legal Deadline: None

Rulemaking Project Initiated: 04/01/2014

Docket Number: EP 724

Dates for Next Action:

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Explanation for any delay: N/A

United States Rail Service Issues

Popular Title: United States Rail Service Issues
RIN # N/A

Stage: Status Report Order Issued

Previous Stage: Notice of Hearing 04/01/2014; Hearings 04/10/2014 and 09/04/2014.

Abstract: The Board opened this proceeding to direct two Class I railroads to provide information regarding shipments of fertilizer.

Effects: None

Prompting action: Board Initiative

Legal Deadline: None

Rulemaking Project Initiated: 04/01/2014

Docket Number: EP 724 (Sub-No. 1)

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Explanation for any delay: N/A

Popular Title: United States Rail Service Issues—Grain

RIN # N/A

Stage: Status Report Order Issued

Previous Stage: N/A

Abstract: The Board opened this proceeding to require reporting by two Class I railroads on backlogged grain car orders, improving service to grain shippers, and addressing service and car supply issues across the rail network.

Effects:

None

Prompting action: Board Initiative

Legal Deadline: None

Rulemaking Project Initiated: 06/20/2014

Docket Number: EP 724 (Sub-No. 2)

Dates for Next Action:

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Explanation for any delay: N/A

Federal Register Citation for Status Report Order: N/A
### United States Rail Service Issues—Data Collection

**Stage:** Status Report Order Issued

**Previous Stage:** Notice of weekly status reports 10/08/2014.

**Abstract:** Following the 2014 hearings addressing rail service problems, the Board opened this proceeding to collect data on an interim basis and promote industry-wide transparency, accountability, and improvements in rail service.

**Effects:**
- Paperwork Reduction Act
- Information Collection

**Prompting action:** Board Initiative

**Legal Deadline:** None

**Rulemaking Project Initiated:** 10/08/2014

**Docket Number:** EP 724 (Sub-No. 3)

**Dates for Next Action:**

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**Explanation for any delay:** N/A

**Federal Register Citation for Status Report Order:** N/A
19. United States Rail Service Issues—Performance Data Reporting

**Popular Title:** United States Rail Service Issues—Performance Data Reporting

**RIN 2140-AB21**

**Stage:** Proposed Rule

**Previous Stage:** NPRM 12/30/2014; End of Comment Period 03/02/2015; End of Reply Comment Period 04/29/2015; Beginning Ex Parte Comment Period 11/16/2015; End of Ex Parte Comment Period 12/07/2015.

**Abstract:** The Board proposed new regulations requiring all Class I railroads and the Chicago Transportation Coordination Office, through its Class I members, to report certain service performance metrics on a weekly basis.

**Effects:**

- Paperwork Reduction Act
- Information Collection

**Prompting action:** Board Initiative

**Legal Deadline:** None

**Rulemaking Project Initiated:** 12/30/2014

**Docket Number:** EP 724 (Sub-No. 4)

**Dates for Next Action:**

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**Explanation for any delay:** N/A

**Federal Register Citation for Next Action:** N/A.
On-Time Performance Under Section 213 of the Passenger Rail Investment and Improvement Act of 2008

Popular Title: Amtrak OTP (Section 213)
RIN 2140-AB22

Stage: Proposed Rule

Previous Stage: Petition for rulemaking received 01/15/2015; Board institutes a rulemaking proceeding 05/15/2015; NPRM is served 12/28/2015; End of Comment Period 02/08/2016; End of Reply Comment Period 03/30/2016.


Effects:
None

Prompting action: Petition from the Association of American Railroads.

Legal Deadline: None

Rulemaking Project Initiated: 01/15/2015

Docket Number: EP 726

Dates for Next Action:

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Explanation for any delay: N/A

Federal Register Citation for NPRM: N/A
Surface Transportation Board


**Popular Title:** Amtrak OTP (Policy Statement)  
**RIN #** N/A

**Stage:** Notice of proposed statement of Board policy.

**Previous Stage:** A notice of proposed statement of Board policy was served on 12/28/2015; End of Comment Period 02/22/2016.

**Abstract:** The Board opened this proceeding to consider a proposed Policy Statement that would provide guidance regarding complaint proceedings under Section 213 of the Passenger Rail Investment and Improvement Act of 2008, 49 U.S.C. § 24308(f), and related issues under 49 U.S.C. § 24308(c).

**Effects:** None

**Prompting action:** Board Initiative

**Legal Deadline:** None

**Rulemaking Project Initiated:** 12/28/2015

**Docket Number:** EP 728

**Dates for Next Action:**

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**Explanation for any delay:** N/A

*Federal Register Citation for notice of proposed statement of Board policy:* N/A
22. Offers of Financial Assistance

Popular Title: Offers of Financial Assistance
RIN 2140-AB27

Stage: Pre-Rule

Previous Stage: ANPRM issued 12/11/2015; End of Comment Period 02/12/2016; End of Reply Comment Period 03/14/2016.

Abstract: The Board is considering whether and how it should update its rules pertaining to offers of financial assistance under 49 U.S.C. § 10904 in order to improve that process and protect it against abuse.

Effects:

None

Prompting action: Board Initiative

Legal Deadline: None

Rulemaking Project Initiated: 12/11/2015

Docket Number: EP 729

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Explanation for any delay: N/A

Federal Register Citation for Next Action: N/A
23. Revisions to Arbitration Procedures

**Popular Title:** Revisions to Arbitration Procedures  
**RIN 2140-AB24**

**Stage:** Proposed Rule  
**Previous Stage:** None

**Abstract:** The Board proposes modifications to its arbitration procedures so that its regulations conform to the requirements under Section 13 of the Surface Transportation Board Reauthorization Act, P.L. 114-110.

**Effects:** None

**Prompting action:** Surface Transportation Board Reauthorization Act of 2015

**Legal Deadline:** Statutory (Final Rules) 12/18/2016

**Rulemaking Project Initiated:** 12/18/2015

**Docket Number:** EP 730

**Dates for Next Action:**

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**Explanation for any delay:** N/A

**Federal Register Citation for NPRM:** None
Surface Transportation Board

| 24. | Rules Relating to Board-Initiated Investigations |

Popular Title: Independent Investigations by the Board
RIN 2140-AB23

Stage: Proposed Rule

Previous Stage: None

Abstract: The Board is developing regulations to implement its authority to begin certain investigations on its own initiative pursuant to Section 12 of the Surface Transportation Board Reauthorization Act of 2015, P.L. 114-110.

Effects:

None

Prompting action: Surface Transportation Board Reauthorization Act of 2015

Legal Deadline: Statutory (Final Rules) 12/18/2016

Rulemaking Project Initiated: 12/18/2015

Docket Number: EP 731

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Explanation for any delay: N/A

Federal Register Citation for NPRM: N/A
Surface Transportation Board

25. Revised Procedural Schedule in Stand-Alone Cost Cases

Popular Title: Revised Procedural Schedule in Stand-Alone Cost Cases

RIN 2140-AB26

Stage: Final Rule (Completed Action)

Previous Stage: None

Abstract: The Board revised its regulations by adjusting the procedural schedule in stand-alone cost cases to conform with Section 11(b) of the Surface Transportation Board Reauthorization Act of 2015, P.L. 114-110.

Effects: None

Prompting action: Surface Transportation Board Reauthorization Act of 2015

Legal Deadline: None

Rulemaking Project Initiated: 12/18/2015

Docket Number: EP 732

Dates for Next Action:

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Explanation for any delay: N/A

### Surface Transportation Board

#### 26. Expediting Rate Cases

**Popular Title:** Expediting Rate Cases  
**RIN #** TBD  
**Stage:** Pre-Rule  
**Previous Stage:** None

**Abstract:** As mandated by the Surface Transportation Board Reauthorization Act of 2015, P.L. 114-110, the Board will initiate a proceeding to assess procedures that are available to parties in litigation before courts to expedite rate litigation and consider the potential application of any such procedures to rate cases. The Board will also assess whether there are additional changes to the SAC case process that could help the Board meet the expedited timeline for a final decision established under the Reauthorization Act.

**Effects:** None

**Prompting action:** Surface Transportation Board Reauthorization Act of 2015

**Legal Deadline:** 06/15/2016 (Initiate Proceeding)

**Rulemaking Project Initiated:** 12/18/2015

**Docket Number:** EP 733

**Dates for Next Action:**

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**Explanation for any delay:** N/A
**Surface Transportation Board**

27. **FAST Act Regulations**

**Popular Title:** FAST Act Regulations  
**RIN #** TBD

**Stage:** Proposed Rule  
**Previous Stage:** None

**Abstract:** The Board is developing regulations establishing procedures for resolving disputes brought to it under Title XI of the Fixing America’s Surface Transportation Act of 2015, P.L. 114-94.

**Effects:** None

**Prompting action:** Fixing America’s Surface Transportation Act of 2015

**Legal Deadline:** None

**Rulemaking Project Initiated:** December 4, 2015

**Docket Number:** EP 734

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**Explanation for any delay:** N/A