



DEPARTMENT OF TRANSPORTATION

Federal Railroad Administration

Proposed Agency Information Collection Activities; Comment Request

[Docket No. FRA-2016-0002-N-24]

AGENCY: Federal Railroad Administration (FRA), U.S. Department of Transportation.

ACTION: Notice and request for comments.

SUMMARY: Under the Paperwork Reduction Act of 1995 (PRA) and its implementing regulations, FRA seeks approval of proposed information collection activities listed below. Before submitting these information collection requests (ICRs) to the Office of Management and Budget (OMB) for approval, FRA is soliciting public comment on specific aspects of the activities, which are identified in this notice.

DATES: Comments must be received no later than [INSERT DATE 60 DAYS AFTER THE DATE OF PUBLICATION IN THE FEDERAL REGISTER].

ADDRESSES: Submit written comments on any or all of the following proposed activities by mail to either: Mr. Robert Brogan, Information Collection Clearance Officer, Office of Railroad Safety, Regulatory Analysis Division, Federal Railroad Administration, RRS-21, 1200 New Jersey Avenue, SE, Mail Stop 25, Washington, DC 20590; or Ms. Kim Toone, Information Collection Clearance Officer, Office of Information Technology, RAD-20, Federal Railroad Administration, 1200 New Jersey Avenue, SE, Mail Stop 35, Washington, DC 20590. Commenters requesting FRA to acknowledge receipt of their respective comments must include a self-addressed stamped

postcard stating, “Comments on OMB Control Number 2130-New.” Alternatively, comments may be faxed to (202) 493-6216 or (202) 493-6497, or emailed to Mr. Brogan at Robert.Brogan@dot.gov, or Ms. Toone at Kim.Toone@dot.gov. Please refer to the assigned OMB control number in any correspondence submitted. FRA will summarize comments received in response to this notice in a subsequent notice and include them in its information collection submission to OMB for approval.

FOR FURTHER INFORMATION CONTACT: Mr. Robert Brogan, Information Collection Clearance Officer, Office of Railroad Safety, Regulatory Safety Analysis Division, RRS-21, Federal Railroad Administration, 1200 New Jersey Avenue, SE, Mail Stop 25, Washington, DC 20590 (telephone: (202) 493-6292) or Ms. Kim Toone, Information Collection Clearance Officer, Office of Information Technology, RAD-20, Federal Railroad Administration, 1200 New Jersey Avenue, SE, Mail Stop 35, Washington, DC 20590 (telephone: (202) 493-6132). (These telephone numbers are not toll free.)

SUPPLEMENTARY INFORMATION: The PRA, 44 U.S.C. 3501–3520, and its implementing regulations, 5 CFR part 1320, require Federal agencies to provide 60-days’ notice to the public to allow comment on information collection activities before seeking OMB approval to implement them. 44 U.S.C. 3506(c)(2)(A); 5 CFR 1320.8(d)(1), 1320.10(e)(1), 1320.12(a). Specifically, FRA invites interested respondents to comment on the following summary of proposed information collection activities regarding: (1) whether the information collection activities are necessary for FRA to properly execute its functions, including whether the activities will have practical utility; (2) the accuracy of FRA’s estimates of the burden of the information collection activities,

including the validity of the methodology and assumptions used to determine the estimates; (3) ways for FRA to enhance the quality, utility, and clarity of the information being collected; and (4) ways for FRA to minimize the burden of information collection activities on the public by automated, electronic, mechanical, or other technological collection techniques and other forms of information technology (e.g., permitting electronic submission of responses). See 44 U.S.C. 3506(c)(2)(A)(i)–(iv); 5 CFR 1320.8(d)(1)(i) –(iv).

FRA believes that soliciting public comment will promote its efforts to reduce the administrative and paperwork burdens associated with the collection of information that Federal regulations mandate. In summary, FRA reasons that comments received will advance three objectives: (1) reduce reporting burdens; (2) ensure that it organizes information collection requirements in a “user-friendly” format to improve the use of such information; and (3) accurately assess the resources expended to retrieve and produce information requested. See 44 U.S.C. 3501.

Below is a brief summary of currently approved information collection activities that FRA will submit for clearance by OMB as required under the PRA:

Title: Accident/Incident Reporting and Recordkeeping

OMB Control Number: 2130-0500

Abstract: The collection of information is due to the railroad accident reporting regulations in 49 CFR part 225 that require railroads to submit monthly reports summarizing collisions, derailments, and certain other accidents/incidents involving damages above a periodically revised dollar threshold, as well as certain injuries to passengers, employees, and other persons on railroad property. Because the reporting

requirements and the information needed regarding each category of accident/incident are unique, a different form is used for each category.

Form Number(s): FRA F 6180.39i; 54; 55; 55A; 56; 57; 78; 81; 97; 98; 99;107;

150.

Affected Public: Businesses

Respondent Universe: 790 railroads

Frequency of Submission: On occasion

Reporting Burden:

CFR Section	Respondent Universe	Total Annual Responses	Average Time per Response	Total Annual Burden Hours
225.6 –Consolidated Reporting – Request to FRA by parent corporation to treat its commonly controlled carriers as a single railroad carrier for purposes of this part - Written agreement by parent corporation with FRA on specific subsidiaries included in its railroad system - Notification by parent corporation regarding any change in the subsidiaries making up its railroad system and amended written agreement with FRA	790 railroads	1 request	40 hours	40 hours
	790 railroads	1 agreement	2 hours	2 hours
	790 railroads	1 notification + 1 amended agreement	60 minutes	2 hours
225.9 –Telephonic Reports of Certain Accidents/Incidents and Other Events	790 railroads	2,400 phone reports	15 minutes	600 hours
225.11–Reporting of Rail Equipment Accidents/Incidents - Form FRA F 6180.54	790 railroads	2,500 forms	2 hours/1 hour/ 123 minutes	4,530 hours
225.12–Rail Equipment Accident/Incident Reports Alleging Human Factor as Cause - Form FRA F 6180.81 - Part I Form FRA F 6180.78 (Notices) - Joint operations - Late identification - Employee statement supplementing Railroad Accident Report (Part II Form FRA F 6180.78) - Employee confidential letter	790 railroads	1,200 forms	15 minutes	300 hours
	790 railroads	800 notices + 4,000 copies	10 minutes + 3 minutes	334 hours
	790 railroads	100 requests	20 minutes	33 hours
	790 railroads	20 attachment + 20 notices	15 minutes	10 hours
	Railroad employees	60 statements	1.5 hours	90 hours
Railroad employees	10 letters	2 hours	20 hours	

225.13–Late Reports – Railroad discovery of improperly omitted Report of Accident/ Incident - Railroad late/amended Report of Accident/ Incident based on employee statement supplementing Railroad Accident Report	790 railroads	25 late reports	1 hour	25 hours
	790 railroads	25 amended reports + 40 copies	1 hour + 3 minutes	27 hours
225.18– Railroad narrative report of possible alcohol/drug involvement in accident/incident - Reports required by section 219.209(b) appended to rail equipment accident/incident report	790 railroads	12 reports	30 minutes	6 hours
	790 railroads	5 reports	30 minutes	3 hours
225.19– Rail-Highway Grade Crossing Accident/Incident Report - Form FRA F 6180.57 - Death, Injury, or Occupational Illness (Form FRA F 6180.55a)	790 railroads	2,100 forms	2 hours/1 hour	4,000 hours
	790 railroads	3,243 forms	60 min. /60 min 195 min.	3,700 hours
225.21–Railroad Injury and Illness Summary: Form FRA F 6180.55	790 railroads	9,480 forms	10 minutes	1,580 hours
225.21–Annual Railroad Report of Employee Hours and Casualties, By State - Form FRA F 6180.56	790 railroads	790 forms	15 minutes	198 hours
225.21/25–Railroad Employee Injury and/or Illness Record - Form FRA F 6180.98 -Copies of forms to employees	790 railroads	13,700 forms	60 minutes	13,700 hours
	790 railroads	411 form copies	2 minutes	14 hours
225.21–Initial Rail Equipment Accident/Incident Record - Form FRA F 6180.97 - Completion of Form FRA F 6180.97 because of rail equipment involvement	790 railroads	11,800 forms	30 minutes	5,900 hours
	790 railroads	1 form	30 minutes	1 hour
225.21–Alternative Record for Illnesses Claimed to Be Work Related - Form FRA F 6180.107	790 railroads	300 forms	75 minutes	375 hours
225.21–Highway User Statement – Railroad cover letter and Form FRA F 6180.150 sent out to potentially injured travelers involved in a highway-rail grade crossing accident/incident - Form FRA F 6180.150 completed by highway user and sent back to railroad	790 railroads	950 letters/ forms	50 minutes	792 hours
	950 Injured Individuals	660 forms	45 minutes	495 hours
225.25 (h) –Posting of Monthly Summary	790 railroads	9,480 lists	5 minutes	790 hours
225.27–Retention of Records - Record of Form FRA F 6180.107 - Record of Monthly Lists - Record of Form FRA F 6180.97 - Record of Employee Human Factor Attachments	790 railroads	13,700 records	2 minutes	457 hours
	7903 railroads	300 records	2 minutes	10 hours
	790 railroads	9,480 records	2 minutes	316 hours
	790 railroads	11,800 records	2 minutes	393 hours
	790 railroads	1,740 records	2 minutes	58 hours
225.33–Internal Control Plans - Amendments	790 railroads	10 amendment	6 hours	60 hours
225.35–Access to Records and Reports	15 railroads	200 lists	20 minutes	67 hours
225.37–Optical Media Transfer of Reports, Updates, and Amendments - Electronic Submission of Reports, Updates, and Amendments	8 railroads	200 transfers	3 minutes	10 hours
	790 railroads	2,400 submissions	3 minutes	120 hours

Total Responses: 103,976

Estimated Total Annual Burden: 39,058 hours

Status: Extension of a Currently Approved Collection

Title: Railroad Communications

OMB Control Number: 2130-0524

Abstract: FRA amended its radio standards and procedures to promote compliance by making the regulations more flexible; to require wireless communications devices, including radios, for specified classifications of railroad operations and roadway workers; and to retitle this part to reflect its coverage of other means of wireless communications such as cellular telephones, data radio terminals, and other forms of wireless communications to convey emergency and need-to-know information. The new rule establishes safe, uniform procedures covering the use of radio and other wireless communications within the railroad industry.

Form Number(s): N/A

Affected Public: Businesses

Respondent Universe: 725 railroads

Frequency of Submission: On occasion; annually.

Reporting Burden:

CFR Section	Respondent Universe	Total Annual Responses	Average Time per Response	Total Annual Burden Hours
220.8–Waivers Petitions	725 railroads	6 petition letters	60 minutes	6 hours
220.25–Instruction of Employees	725 railroads	91,000 instructed employees	30 minutes	45,500 hours
- Subsequent Years	725 railroads	12,5400 instructed employees	10 minutes	2,090 hours
- Operational Testing of Employees	725 railroads	100,000 tests/record	5 minutes	8,333 hours

220.37--Testing Radio and Wireless Communication Equipment	725 railroads	780,000 tests	30 seconds	6,500 hours
220.61--Transmission of Mandatory Directives - Marking Mandatory Directives	725 railroads	7,200,000 directives	1.5 minutes	180,000 hours
	725 railroads	624,000 marks	15 seconds	2,600 hours
220.307--Railroad Written Document Stating Authorized Business Purpose for Taking Video/Photo with Railroad-Supplied Electronic Device - Safety Briefing for Use of Railroad-Supplied Electronic Device in Cab of Controlling Locomotive	725 railroads	10 written documents	60 minutes	10 hours
	725 railroads	5,460,000 briefings	1 minute	91,000 hours
220.313--Railroad Written Program of Instruction and Examination on Part 220 Requirements - Training of Railroad Employees on Part 220 Requirements - Employee Training Records	5 new railroads	5 amended written Instruction Programs	60 minutes	5 hours
	730 railroads`	5,000 Trained Employees	15 minutes	1,250 hours
	730 railroads`	5,000 records	5 minutes	417 hours

Total Responses: 14,277,567

Estimated Total Annual Burden: 337,717 hours

Status: Extension of a Currently Approved Collection

Title: Safety Integration Plans

OMB Control Number: 2130-0557

Abstract: FRA and the Surface Transportation Board, working in conjunction with each other, have issued joint final rules establishing procedures for the development and implementation of safety integration plans (SIPs) by a Class I railroad proposing to engage in certain specified merger, consolidation, or acquisition of control transactions with another Class I railroad, or a Class II railroad with which it proposes to amalgamate

operations. The scope of the transactions covered under the two rules is the same. FRA uses the information collected (the required SIPs), to maintain and promote a safe rail environment by ensuring that affected railroads (Class Is and some Class IIs) address critical safety issues unique to the amalgamation of large, complex railroad operations.

Form Number(s): N/A

Affected Public: Railroads

Respondent Universe: Class I railroads

Frequency of Submission: On occasion

CFR Section	Respondent Universe	Total Annual Responses	Average Time per Response	Total Annual Burden Hours
244.13–Safety Integration Plans: Amalgamation of Operations - SIP Development & Quarterly Meetings	8 railroads	1 plan	340 hours	340 hours
244.17–Procedures – Reports to FRA - Responses to FRA Inquiries Re: SIP data - Coordination in Implementing Approved SIP - Request for Confidential Treatment	8 railroads 8 railroads 8 railroads 8 railroads	25 reports 6 responses 25 phone calls 1 request	40 hours + 2 hours 8 hours 10 minutes 16 hours	88 hours 48 hours 4 hours 16 hours
244.19–Disposition - Comments on Proposed SIP Amendments	8 railroads	2 reports	16 hours	32 hours

Total Responses: 60

Estimated Total Annual Burden: 528 hours

Status: Extension of a Currently Approved Collection

Title: Passenger Train Emergency Systems

OMB Control Number: 2130-0576

Abstract: The collection of information is due to passenger train emergency regulations in 49 CFR part 238 to further the safety of passenger train occupants through both enhancements and additions to FRA's existing regulations. In its final rule issued on November 29, 2013 (see 78 FR 71785), FRA added requirements for emergency passage through vestibule and other interior passageway doors and enhanced emergency egress and rescue signage requirements. FRA also established requirements for low-location emergency exit path markings to assist occupants in reaching and operating emergency exits, particularly under conditions of limited visibility. Moreover, FRA added standards to ensure emergency lighting systems are provided in all passenger cars and enhanced requirements for the survivability of emergency lighting systems in new passenger cars. The purpose of this part is to prevent collisions, derailments, and other occurrences involving railroad passenger equipment that cause injury or death to railroad employees, railroad passengers, or the general public and to mitigate the consequences of such occurrences to the extent they cannot be prevented.

Form Number(s): N/A

Affected Public: Railroads/businesses

Respondent Universe: 30 railroads

Frequency of Submission: On occasion

CFR Section	Respondent Universe	Total Annual Responses	Average Time per Response	Total Annual Burden Hours
238.112 –Door Emergency Egress and Rescue Access Systems– markings, signage, instructions - Passenger car exterior doors intended for emergency access by responders marked with retro-reflective material and instructions provided for their use - Markings and instructions – interior door panels/ windows -Testing of car door removable panels, removable windows, manual override devices, & door retention mechanisms as part of periodic mechanical inspection - Record	30 railroads	45,804 markings/ signs/instructions	15 minutes	11,451 hours
	30 railroads	30,536 exterior door markings	15 minutes	7,634 hours
	30 railroads	1,340 marked panels /windows	15 minutes	335 hours
	30 railroads	17 tested cars/ records	90 minutes	26 hours
238.113–Emergency Window Exits – markings/and instructions - Periodic testing of representative sample of car emergency exit windows as part of periodic mechanical inspection - Record	30 railroads	662 window markings	60 min./90 min./ 120 minutes	964 hours
	30 railroads	17 tested cars/ records	30 minutes	9 hours
238.114–Rescue Access Windows – Markings with retro-reflective material on each exterior car	30 railroads	1,092 access window markings	45 minutes	819 hours
238.121–Emergency Communication – Marking of each intercom intended for passenger use on new Tier I & Tier II passenger cars	30 railroads	116 marked intercom locations (58 new cars with two locations per car)	5 minutes	10 hours

238.303–Exterior calendar day mechanical inspection of passenger equipment: Replacement of missing, illegible, or inconspicuous markings, signage, & instructions - Record of noncomplying marking, signage, or instruction	30 railroads	150 replacement required markings	20 minutes	50 hours
	30 railroads	150 noncompliance records	2 minutes	5 hours
238.305–Interior calendar day mechanical inspection of passenger cars: Written notification to train crew of noncomplying condition and posting notice on door of defective condition - Written notification to train crew of car with non-functioning PA or intercom system - Record of non-complying condition - Railroad written procedures for mitigating hazards of noncomplying condition - Written notification to train crew of noncomplying condition	30 railroads	260 notifications + 260 notices	1 minute	9 hours
	30 railroads	300 written notifications	1 minute	5 hours
	30 railroads	300 records	2 minutes	10 hours
	30 railroads	30 written procedures	40 hours	1,200 hours
	30 railroads	458 written notifications	2 minutes	15 hours
238.307–Records of inspection, testing, and maintenance of passenger car emergency window exits - Replacement of missing, illegible, or inconspicuous emergency roof access markings/ instructions on cars	30 railroads	7,634 inspection and testing records	5 minutes	636 hours
	30 railroads	32 required markings	20 minutes	11 hours
238.311–Single Car Test: Railroad copy of APTA Standard (SS-M-005-98) for railroad head trainer - Other railroad copies of APTA Standard	30 railroads	30 APTA copies	15 minutes	8 hours
	30 railroads	360 copies (12 copies per railroad)	2 minutes	12 hours

Total Responses: 89,780

Estimated Annual Burden: 23,325 hours

Status: Extension of a Currently Approved Collection

Under 44 U.S.C. 3507(a) and 5 CFR 1320.5(b), 1320.8(b)(3)(vi), FRA informs all interested parties it may not conduct or sponsor, and a respondent is not required to respond to, a collection of information unless it displays a currently valid OMB control number.

Authority: 44 U.S.C. 3501–3520.

Issued in Washington, DC, on October 21, 2016.

Patrick Warren,
Acting Executive Director.

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