
BEFORE THE
SURFACE TRANSPORTATION BOARD
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Public Record

COMPLAINT AND PETITION OF THE NATIONAL RAILROAD PASSENGER CORP.
UNDER 49 U.S.C. § 29308(f)–FOR SUBSTANDARD PERFORMANCE OF
AMTRAK’S SUNSET LIMITED TRAINS 1 AND 2

**AMTRAK’S RESPONSE TO THE BOARD’S INTERROGATORIES AND DOCUMENT
REQUIREMENTS; APPENDIX A – PART III**

Pursuant to the Surface Transportation Board’s (“Board”) July 11, 2023 Order (“Order”), and August 18, 2023 Order extending the time to respond, the National Railroad Passenger Corp. (“Amtrak”) hereby responds to Appendix A – Part III of the Order. Amtrak’s response is based on a reasonable and diligent investigation of its records and the information reasonably available to Amtrak at this time. In the response, Amtrak has reproduced each Investigative Question directed to Amtrak and provided a corresponding narrative response. Amtrak has also produced documents that are responsive to particular Investigative Questions. Amtrak respectfully directs the Board to the Table of Contents located at the end of this document, which identifies the documents Amtrak is producing in response to each Investigative Question. Amtrak reserves the right to modify or supplement its responses if additional information becomes available.

Investigative Question No. 1 (Detailed Delay Causes). Provide further explanation of each delay code found in Appendix B of your December 8, 2022 Complaint. Provide examples that would make clear the typical circumstances of each delay cause.

Amtrak’s Response to Investigative Question No. 1: Each of the delay codes found in Appendix B of Amtrak’s December 8, 2022 Complaint was drawn directly from an Amtrak document titled Reporting and Recording Delays on Host Railroads (“Delay Manual”), which Amtrak provides to personnel involved in recording, reporting, or otherwise assisting in the preparation, maintenance, and evaluation of delay data. In addition to defining each of the delays outlined in Appendix B, the Delay Manual sets forth the Amtrak policies and guidelines that govern use and application of the delay coding.

Amtrak is producing the Delay Manual in response to this Investigative Question, including the version of the document effective on May 10, 2021 (“2021 Delay Manual”), and a revision of the document that became effective on October 10, 2022 (“2022 Delay Manual”). *See* 2021 Delay Manual (AMTRAK_STB_0000061); 2022 Delay Manual (AMTRAK_STB_0000017).¹ In addition to producing the Delay Manual, Amtrak is producing in response to this Investigative Question an Electronic Delay Reporting (“eDR”) Overview, which provides further guidance to Amtrak conductors on use of the eDR system, including images reflecting the delay codes and corresponding explanation options as Amtrak conductors see them within the system. *See* eDR Overview (AMTRAK_STB_0000001).

The Delay Manuals produced in response to this Investigative Question define the delay codes found in Appendix B of the Complaint. *See* 2021 Delay Manual (AMTRAK_STB_0000061) at 11-12 (AMTRAK_STB_0000075-76); 2022 Delay Manual (AMTRAK_STB_0000017) at 11-

¹ None of the minor revisions that Amtrak implemented in the Delay Manual effective October 10, 2022 affected how delays were recorded on the *Sunset Limited* route during the Relevant Period.

12 (AMTRAK_STB_0000030-31). These codes are pre-populated for use by Amtrak conductors, and the document also provides examples of the circumstances in which each code applies. *See* 2021 Delay Manual (AMTRAK_STB_0000061) at 13-16 (AMTRAK_STB_0000077-80); 2022 Delay Manual (AMTRAK_STB_0000017) at 13-16 (AMTRAK_STB_0000032-35). For ease of reference, Amtrak also reproduces the delay codes, explanations, and examples found in the Delay Manuals below.²

Host-Responsible Delay Codes		
Code	Code Description	Further Explanation and Examples
CTI	Commuter Train Interference	Delays resulting from Commuter Train Interference. For example: • Meet • Follow • Cross over or go around • Cross traffic • Blocked from station track
DCS	Signal Delays	Delays resulting from signal failure or all other signal delays. For example: • Restrictive signal(s) from known wayside signal failure • Restrictive signal(s) from unknown cause • Wayside detector failure including false actuation • Issue with automatic road crossing protection • Power switch failure • Centralized Traffic Control (“CTC”) system failure • Positive Train Control (“PTC”) system failure (wayside) • Drawbridge stuck open • Efficiency test (host railroad officers only) • Cab signal or ATS failure (wayside) • Signal suspension • Slide fence restriction due to false actuation or out of service

² Some of the explanations and examples for delays recur across delay codes because those explanations or examples apply in several contexts. For instance, Amtrak uses separate delay codes to track delays attributable to passenger cars, cab cars, and locomotives, because doing so enables Amtrak’s Mechanical department to identify which equipment caused a particular delay. However, those cars can experience identical mechanical failures, so there is overlap in the explanations and examples identified for each of those delay codes.

Host-Responsible Delay Codes		
Code	Code Description	Further Explanation and Examples
DMW	Maintenance of Way (“MW”)	Delays resulting from MW work or defect repair. For example: • Wait for MW clearance • Unable to contact Dispatcher / MW Foreman • Held for or routed around MW work or equipment • Hold for defect repair
DSR	Slow Order Delays	Delays resulting from temporary speed restrictions (slow orders), except for heat/cold orders. For example: • Per bulletin • Per MW Foreman • Per Dispatcher (radio / phone)
DTR	Detour	Delays resulting from detours; all delay or time lost while operating on a detour, regardless of the reason for the detour. For example: • Derailment • MW project • Flood / washout • Fire • Landslide / rockslide • Trees down
FTI	Freight Train Interference	Delays from Freight Train Interference. For example: • Follow • Meet • Cross over or go around • Cross traffic • Pick up / drop off freight crew • Blocked from station track • Hold due to freight derailment
PTI	Passenger Train Interference	Delays resulting from Passenger Train Interference from all other non-Amtrak passenger trains, not including commuter trains. For example: • Meet • Follow • Cross over or go around • Wait for station track

Host-Responsible Delay Codes		
Code	Code Description	Further Explanation and Examples
RTE	Routing	Delays resulting from routing-dispatching delays including delays resulting directly from being routed to abnormal track at stations. For example: • Crossover(s) due to No Apparent Reason (“NAR”) • Line manual or spring switch • Run via siding or slower track due to NAR • Late / wrong track bulletins from host railroad • Inability to contact Dispatcher • Dispatcher hold • Routed to abnormal station track due to NAR

Amtrak-Responsible Delay Codes		
Code	Code Description	Further Explanation and Examples
ADA	Passenger Related	Delays resulting from issues related specifically to disabled passengers. For example: • Mobility impaired • Wheelchair • Service animals • Vision / hearing-impaired
CAR	Car Failure	Delays resulting from mechanical failure on all types of passenger cars. For example: • Air / brake / wheel • Door • Toilet • Heat / air conditioning (“A.C.”) • On board hot box detector (“HBD”) alarm • Set out defective care (due to mechanical failure) • Electrical failure • Head-End Power (“HEP”) • Food and Drug Administration • Legitimate wayside HBD or dragging equipment detector (“DED”) actuation
CCR	Cab Car Failure	Delays resulting from mechanical failure on Cab Cars. A non-working cab car, i.e., one being used simply as another passenger car in the trailing consist of a train, will not be considered a Cab Car for purposes of delay coding. “Cab Car” includes Non-Powered Control Units (“NPCUs”) (de-powered F-40’s) and all

Amtrak-Responsible Delay Codes		
Code	Code Description	Further Explanation and Examples
		variations of passenger-carrying Cab Cars. For example: • Air / brake / wheel • Door • Toilet • Heat / A.C. • Legitimate wayside HBD or DED actuation • Onboard HBD alarm • Set out defective care (due to mechanical failure) • Electrical failure • HEP • Food and Drug Administration • Pick up rescue locomotive due to mechanical failure • On board cab signal or PTC failure • Operating with freight engine (due to mechanical failure) • Undesired emergency application • Radio failure • Unrecoverable penalty ("PCS")
CON	Hold for Connection	Delays resulting from holding for connections from All Other trains or buses. • Hold for connecting train • Hold for Thruway bus • Hold for bus passengers from train
ENG	Locomotive Failure	Delays resulting from mechanical failure on engines. For example: • HEP • Air / brake • Legitimate wayside HBD or DED actuation • Onboard HBD alarm • Set out defective locomotive (due to mechanical failure) • Pick up rescue locomotive due to mechanical failure • On board cab signal or PTC failure • Operating with freight engine (due to mechanical failure) • Undesired emergency application • Radio failure • Failure of diesel engine • Traction motor • Loading problem • PCS

Amtrak-Responsible Delay Codes		
Code	Code Description	Further Explanation and Examples
		Other electrical failure
HLD	Passenger Related	Delays resulting from issues related to passengers, except for disabled passengers (<i>see</i> delay code “ADA”), sick or injured passengers (<i>see</i> delay code “INJ”), or removal of passengers by police (<i>see</i> delay code “POL”). - High passenger count - Passenger and/or baggage - Enforcement of carry-on baggage policy - Multiple spots - Group - Passenger smoke break
INJ	Injury Delay	Delays resulting from injured passengers or employees. - Injured or sick passenger - Injured or sick employee
ITI	Initial Terminal Delay	Delays resulting at initial terminal due to late arriving inbound trains causing late release of equipment or late crew rest, where mechanical-failure is not involved. “ITI” is to be used only for a delay at the train’s initial terminal station. For example: - Service, turn, or wye train - Crew rest
OTH	Miscellaneous Delays	Delays resulting from other miscellaneous Amtrak-responsible delays. For example: - Lost time – NAR - Heavy train - Person pulling emergency cord - Engine(s) isolated for fuel conservation
SVS	Servicing	Delays resulting from switching and servicing. For example: - Fuel - Water, commissary, toilet / trash dumping - Routine inspections - Normal switch / set-out / pick-up of locomotives, cars, or section of train - Switch private or office cars - Pick up equipment - Initializing PTC (no failure)

Amtrak-Responsible Delay Codes		
Code	Code Description	Further Explanation and Examples
SYS	Crew & System	Delays resulting from system and crew issues. For example: • Re-crew / job briefing • Copy authority / restriction (applies only to single-Engineer operation) • Delay in Block • Crew rest • Other late crew • Engineer restroom break • Late bulletins due to Amtrak cause • Efficiency test involving Amtrak officers • Alleged crew rules violation • Hold due to passenger train derailment • Blocked by or assisting another, disabled Amtrak train • PTC problem or failure (cause unknown) • PTC-caused slow-down or penalty stop • Unscheduled passenger stop

Third-Party Responsible Delay Codes		
Code	Code Description	Explanation
CUI	Customs	Delays resulting from U.S. and Canadian customs and immigration. For example: • Canada • United States • U.S. Border Patrol
DBS	Debris	Delays resulting from debris. Debris strikes may include emergency braking, damage, set-outs from same. Also includes debris blocking track ahead, or removal of debris from train. Also includes objects thrown at train. For example: • Debris blocking track (no debris strike) • Debris strike
MBO	Drawbridge Openings	Delays resulting from movable drawbridge openings for marine traffic where no bridge failure is involved. For example: • For maritime traffic

Third-Party Responsible Delay Codes		
Code	Code Description	Explanation
NOD	Unused Recovery Time	Delays resulting from unused Recovery Time. For example: • Wait for scheduled departure time • Effort to prevent early arrival
POL	Police-Related	Delays resulting from police or fire department related issues. For example: • Suspicious bag or bomb threat • On-train police or Drug Enforcement Agency (“DEA”) activity • Right of way police hold • Fire Department hold • Railroad blocked by trespasser or vehicle strike by another train • Removal of passenger by police
TRS	Trespassers	Delays resulting from trespasser incidents including road crossing accidents. For example: • Trespasser strike • Vehicle strike • Animal strike • Vehicle on track ahead • Near-miss • Bridge strike by vehicle or boat
WTR	Weather-Related	Delays resulting from all weather-related issues. For example: • Heat order • Cold order • High winds • Storm • Flash flood warning • Flood / washout • Fog • Landslide / rockslide • Trees down • Earthquake • Wet / slippery rail • Ice / snow on or under equipment • Leaf fire under equipment • Snow removal equipment working ahead

Investigative Question No. 2 (Mitigation of unforeseen delays). Explain the procedures in place to minimize the operational consequences of unplanned and/or unanticipated delays. For example, stationing reserve equipment and/or crews at crucial locations. Provide any documents that describe these procedures, such as training manuals or guides.

Amtrak's Response to Investigative Question No. 2: As an initial matter, Amtrak's existing schedules already account for the possibility of unplanned and unanticipated delays that may occur in the ordinary course of business. Amtrak builds a considerable amount of Recovery Time into its existing schedules so that it can mitigate the operational impact of those delays.³ As an example, Amtrak has added more than five hours of Recovery Time to the schedules for *Sunset Limited* Trains 1 and 2 to minimize the operational consequences of unplanned or unanticipated delays on that route. See Compl. ¶¶ 71, 98, 102-03.

To further minimize the operational consequences of delays, Amtrak sometimes adds even more time to passenger schedules, in the form of extra Dwell Time at particular stations.⁴ As an example, *Sunset Limited* Train 1 dwells at San Antonio for 160 minutes, which is designed to get the train back on schedule after unexpected delays and to enable Union Pacific Railroad Company ("UP") to run the train to schedule at subsequent stops. Freight train interference is the most common unplanned or unanticipated delay that *Sunset Limited* Trains encounter in the ordinary course of business.

In light of the additional time that Amtrak builds into all of its passenger schedules, there should be ample opportunity to recover trains and obviate the impact of most unplanned or unanticipated delays. However, passenger trains do encounter more severe disruptions to service, typically resulting from factors beyond Amtrak's control, including freight train interference.

³ "Recovery Time" is defined in Amtrak's Response to Investigative Question No. 24.

⁴ "Dwell Time" is defined in Amtrak's Response to Investigative Question No. 24.

These disruptions should be rare. Amtrak has implemented robust procedures to help minimize the operational impact of the most severe and acute disruptions. The procedures are coordinated by Amtrak's Consolidated National Operations Center ("CNOC"), which provides every-day, all-day, operational support for the scheduling, tracking, and movement of trains and crews across the 21,400 miles of rail line over which Amtrak operates. The procedures involve prompt reporting of delays, a centralized response, and detailed procedures for activating Amtrak personnel required to minimize operational impact, including to the customer.

In response to this Investigative Request, Amtrak is providing its CNOC Operations Manual ("CNOC Manual") (AMTRAK_STB_0000106). The CNOC Manual includes a detailed overview of CNOC's organization and capabilities, the procedures in place for mitigating unforeseen delays of different levels of severity, and the relevant checklists that assist CNOC personnel with completing tasks and responsibilities. Key aspects of Amtrak's policies and procedures, as detailed in the CNOC Manual, include:

- Amtrak has a reporting structure and procedure in place to ensure that unanticipated delays are promptly communicated both internally and externally. When an incident occurs, the train conductor first notifies the relevant dispatcher (either Amtrak or host railroad), and then the dispatcher will notify the CNOC, the National Communications Center ("NCC"),⁵ and, where necessary, local first responders.
- Amtrak has a robust and centralized response team. Within CNOC, Amtrak has two System Operations Duty Officers ("SODOs") on call at all times to promptly address unanticipated delays (one designated for east operations and one for west operations). The SODOs provide real-time coordination, management, and operation-critical decision making associated with day-to-day train operations system wide.
- Upon being alerted of an incident, CNOC notifies appropriate stakeholders; coordinates with Amtrak divisions to create a service modification or incident operating plan; and supports ongoing situational awareness to inform pertinent stakeholders. Specific response plans and procedures for different levels of incidents, along with position-specific

⁵ Amtrak's NCC is the coordination center for the Amtrak Police Department, which responds to calls and communications from Amtrak personnel and the public, and dispatches officers as needed to respond to incidents and events throughout the country.

checklists, are detailed in the CNOC Manual (AMTRAK_STB_0000106) at Appendix A (AMTRAK_STB_0000155) and Appendix B (AMTRAK_STB_0000161).

Amtrak further responds as follows: For reasons set forth in its Response to Investigative Question No. 5, including that only 2.65% of all delay minutes on the *Sunset Limited* were caused by issues with Amtrak equipment, Amtrak does not ordinarily station a reserve train set at either New Orleans or Los Angeles. However, at times, Amtrak has additional equipment available at Los Angeles, mitigating the risk of delay associated with mechanical failures to Amtrak equipment. Amtrak also has additional staff on call and available to provide coverage should emergency circumstances arise. The percentage of additional staff that Amtrak maintains varies by location.

Amtrak further responds that it has conducted a reasonable and diligent search and is providing the following non-privileged documents in response to this request: CNOC Manual (AMTRAK_STB_0000106); and Train Status User Guide (AMTRAK_STB_0000226) (user guide for Amtrak's internal system for looking up the delay code, length, and location for a delay on a specific train).

Investigative Question No. 3 (Mitigation of expected delays). Explain the procedures in place to proactively minimize the consequences of planned and/or anticipated delays. For example, notice to passengers, or schedule adjustments. Provide any documents that describe these procedures, such as training manuals or guides.

Amtrak's Response to Investigative Question No. 3: When Amtrak has advance notice of a planned or anticipated delay that cannot be addressed through Recovery Time already provided for in the schedule for a passenger train, Amtrak proactively attempts to mitigate the operational effects of the delay in several ways. For example, if Amtrak receives advance notice of planned track work that will create unavoidable delays, and that cannot be accounted for by (often considerable) Recovery Time already in the schedule, Amtrak may make a schedule adjustment and issue a Track Work Advisory indicating the location of the planned track work, the affected trains, the duration of the track work, and the necessary adjustment to service schedules. Amtrak posts all Track Work Advisories and other Service Advisories on its website.⁶ Amtrak also provides customers with notice of scheduling adjustments when they purchase tickets, including by adjusting schedules within Amtrak's reservation system. Management teams in Amtrak's System Operations and Customer Service division are responsible for determining whether scheduling adjustments are needed based on planned disruptions, and what those schedule adjustments should be. Amtrak also prepares for anticipated delays due to severe weather events and makes schedule adjustments as needed.

Communication with passengers for planned delays and schedule adjustments is largely automated through Amtrak's customer alert system. Passengers that have not yet purchased a ticket are made aware of scheduling changes because those changes are reflected in the booking

⁶ See <https://www.amtrak.com/service-alerts-and-notice> (last visited Aug. 24, 2023). There were no Track Work Advisories for the *Sunset Limited* during the Relevant Period.

process.⁷ Where planned or anticipated delays affect ticketed passengers, those passengers receive an email notifying them about the schedule change. (Additionally, customers who are affected by unanticipated delays will receive automatic and tailored communications from Amtrak via email, text, push notification, and Twitter, with updates on the train's status, and if applicable, a link to cancel or modify their reservation.)

Amtrak has conducted a reasonable and diligent search and is providing the following non-privileged documents in response to this request: CCT Twitter SOP (7.13.2023) (AMTRAK_STB_0000348) (protocol for communicating with customers by Twitter); CCT AdHoc SOP (7.13.2023) (AMTRAK_STB_0000232) (protocol for communicating with customers by text message and email); AEM Instructions Simplified (AMTRAK_STB_0000253) (simplified instructions for creating service alerts); AEM Service Alert Instructions (AMTRAK_STB_0000258) (detailed instructions for creating service alerts); AEM User Guide (AMTRAK_STB_0000287) (user guide for creating service alerts); Arrow User Guide (AMTRAK_STB_0000311) (user guide for assessing information about a train); Gov Delivery User Guide (AMTRAK_STB_0000331) (protocol for communicating with passengers by platform used for email and text message communications in the Capitol Corridor); S360 AdHoc Dashboard (AMTRAK_STB_0000338) (user guide for sending messages to preboard and onboard customers); and Train Status User Guide (AMTRAK_STB_0000226) (user guide for assessing the delay code, length, and location for a delay on a specific train).

⁷ Amtrak's booking system will also reflect real-time delays as "adjusted times" for customers booking a train departing within two hours of the booking time. This is available on Amtrak.com, the Amtrak app, and at Amtrak kiosks. Long-term schedule adjustments would reflect the same.

Investigative Question No. 4 (Train equipment): Describe the typical train equipment and consists used on the *Sunset Limited* during the Relevant Period. This description should include the typical consists used east and west of San Antonio, Texas. If there were changes made during the Relevant Period include such.

Amtrak's Response to Investigative Question No. 4: The typical train equipment and consist used on the *Sunset Limited* did not change during the Relevant Period. While traveling west between New Orleans and San Antonio, Train 1 typically operated with two P42 Locomotives, one Superliner Coach, one Superliner Baggage Coach, one Superliner Dining Car, one Superliner Sightseer Lounge, and one Superliner Sleeper. At San Antonio, a second Superliner Coach and a second Superliner Sleeper were ordinarily added and ran to the train's destination in Los Angeles. While traveling east between Los Angeles and San Antonio, Train 2 typically operated with two P42 Locomotives, two Superliner Coaches, one Superliner Baggage Coach, one Superliner Dining Car, one Superliner Sightseer Lounge, and two Superliner Sleepers. At San Antonio the second Superliner Coach and second Superliner Sleeper were removed. Train 2 then typically continued east to New Orleans with the same consist that Train 1 operated on that section of the route.

Investigative Question No. 5 (Reserve train equipment). Did you maintain a fully operable reserve train set at either terminal at any time during the Relevant Period, if so specify the dates and describe the typical consist of the reserve train set?

Amtrak's Response to Investigative Question No. 5: At times during the Relevant Period, Amtrak maintained train cars in reserve at the Los Angeles terminal, which were available to be deployed on the *Sunset Limited* route in the event of equipment failures. Amtrak does not typically maintain entire trainsets in reserve and does not do so for the *Sunset Limited*, in part because (i) Amtrak equipment issues are not significant drivers of delay on the route and (ii) scheduled equipment turns for the *Sunset Limited* trains provide ample time at each endpoint.⁸ In fact, during the Relevant Period, only 2.65% of all delay minutes on the *Sunset Limited* were caused by issues with Amtrak equipment. During the same period, less than 1% of all delay minutes on the *Sunset Limited* were caused by the time required to turn around late-arriving Sunset Trains at New Orleans or Los Angeles.

⁸ The *Sunset Limited* schedule provides more than eleven hours to turn around the *Sunset Limited* in New Orleans and even *more* time to turn the train in Los Angeles.

Investigative Question No. 6 Sharing arrangements. On portions of the Line that are jointly owned, operated, dispatched, and/or used by more than one railroad company, how does Amtrak distinguish among the participating railroads in assigning responsibility for delays?

Amtrak's Response to Investigative Question No. 6: Amtrak is not typically notified when railroads enter into joint dispatching or joint facility arrangements. Where Amtrak is aware that a portion of the *Sunset Limited* route is jointly owned, operated, and/or dispatched by more than one railroad company, Amtrak attributes delays to the appropriate host railroad, which Amtrak determines based on its contractual arrangements with rail carriers, and historical hosting relationships. Where contractual arrangements permit Amtrak to designate more than one railroad as the host for the portion of the route at issue, Amtrak has relied on the hosting arrangement that predated joint ownership, operation, or dispatching to make a determination about the appropriate host railroad. Consistent with 49 C.F.R. § 273.5(d), Amtrak relies on host railroads to satisfy their obligation to dispute delays and to request that Amtrak change any delay entry which the host believes is not its responsibility. During the Relevant Period, more than 99.8% of host-responsible delay minutes on the *Sunset Limited* route were ultimately undisputed by the host railroads.

At certain locations, such as a boundary between segments hosted by different host railroads, the train conductor may have the option to select between two host railroads to assign responsibility for delays. The conductor's selection of which host railroad is assigned responsibility for the delay is based on the information available to the conductor on board the train,⁹ and is subject to change through the delay change request process, which is further explained in Amtrak's Responses to Investigative Questions 14-16. *See* 49 C.F.R. § 273.5(d).

⁹ Information is most commonly obtained by radio communication, but also may be obtained by other means, including (for example) bulletin orders.

Additionally, Amtrak communicates through regular bi-weekly calls with host railroads about the responsibility for delays on their hosted segments, not only to discuss the cause of particular delays, but also to engage proactively on efforts to mitigate systemic issues and improve service efficiency. Based on recent discussions with Southern California Regional Rail Authority (“SCRRA”), Amtrak recently reevaluated the appropriate host railroad for a portion of the route that runs from El Monte to Yuma Junction, in California. During the Relevant Period, delays on that portion of the route were attributed to SCRRA. However, based on its review, Amtrak determined that its trains were contractually designated to operate over UP lines for this portion of the route. Moreover, the *Sunset Limited* has in fact operated over UP lines for this portion of the route. Accordingly, Amtrak will be redesignating UP as the host for this portion of the *Sunset Limited* route.

Investigative Question No. 7 (Detailed delay listing). Provide a detailed list of delays that occurred during the Relevant Period. The list should be in a machine-readable table; it should include the following as separate data fields:

- a. The train number of the Amtrak train affected, as recorded by Amtrak.
- b. If applicable, any surrogate train number used by another party for the Amtrak train affected.
- c. The train index date (departure date from originating terminal) of the train affected.
- d. The train ID date assigned by the host railroad.
- e. Any delay ID number employed by Amtrak for the train involved.
- f. Date and time that the delay began. In this format YYYY-MM-DD HH:MM:SS-05:00 (i.e., year-month-day hours:minutes:seconds-difference from UTC time).
- g. Date and time that the delay ended. In this format YYYY-MM-DD HH:MM:SS-05:00 (i.e., year-month-day hours:minutes:seconds-difference from UTC time).
- h. Duration of the delay in minutes.
- i. Railroad to which Amtrak assigned responsibility for the delay.
- j. Delay cause (code), as found in Appendix B to Amtrak's Dec. 8, 2022 Complaint.
- k. Other causation information. That is, any additional causation information supplied by the conductor or other personnel.
- l. Location of the delay:
 1. Host Railroad Subdivision name (string).
 2. Uniform Milepost Number, consistent with Part II of this Appendix (numeric).
 3. Delay location type (string) (e.g., at station, schedule skeleton segment, detour).
 4. Amtrak Crew District name (string).
- m. Latitude and longitude data if available.
- n. Indicate if the delay was disputed at any time.
- o. For any delays that were disputed, whether the delay was resolved or unresolved
- p. An explanation of the dispute that includes a description of any revisions made. If the dispute was unresolved, explain why.
- q. Date of revision, if applicable.
- r. Host railroad's concurrence or nonconcurrence in revision.
- s. Status as of the date of submission of this response.

Amtrak's Response to Investigative Question No. 7: Amtrak respectfully responds that it does not in the ordinary course of business maintain a single table that contains each of the fields identified in this Investigative Question, or that contains the requested information in the format requested by the Board. However, Amtrak has prepared a machine-readable table listing delays that occurred during the Relevant Period, which it is producing as "Sunset Detailed Delay Listing

Table.” (AMTRAK_STB_NATIVE_0002). In preparing the table, Amtrak endeavored to provide the information requested in this Investigative Question, subject to the following limitations:

Requests 7(b) and 7(d): Amtrak does not have access to surrogate train numbers or train IDs assigned by other railroads, and therefore cannot provide that information.

Requests 7(f)-(g): Amtrak’s eDR system uses passing times and segment entry and exit points to calculate actual segment run time. The actual segment run time is then compared to the Pure Running Time (“PRT”)¹⁰ for the segment. Any time in excess of PRT is a delay. Once the delay minutes for a segment are determined, they are provided to the conductor through the eDR device. The conductor then accounts for those minutes with corresponding delay code entry(ies). Although this system does not permit Amtrak to provide the precise time that a delay began or concluded, Amtrak provides the recorded passing times captured at segment starting and exit points.

Requests 7(l)(ii)-(iii): As set out above, Amtrak’s eDR system uses passing times and segment entry and exit points to generate delays. For all delays, Amtrak conductors also have discretion to enter a milepost or location when that information is available. When milepost or location information is entered, it is entered in a free text field called the Delay Reason field.¹¹ However, because Amtrak’s eDR system relies on segment entry and exit points, Amtrak does not have an automated mechanism for tracking the milepost number and location of each delay and therefore does not possess that information except where entered by the Conductor in the Delay Reason field, which is text searchable.

Requests 7(l)(iv) and 7(m): Amtrak does not maintain crew district names, or longitude and latitude, in the ordinary course of business. As a result, Amtrak is not able to provide that information and has excluded those fields from the machine-readable table provided.

Pursuant to Appendix A, Part I, Instruction 6, Amtrak further responds that the name of the source database for Sunset Detailed Delay Listing Table is the Amtrak OTP Monitor Report System (“OTPMRS”). The OTPMRS is a database that is the official system of record for Amtrak delay data. Amtrak draws on that database to prepare a Categorized Delay Details report, which lists each delay entry and provides the following information about each of those delays:

- Origin Date;

¹⁰ “Pure Running Time” is defined in Amtrak’s Response to Investigative Question No. 24.

¹¹ For example, Row 23 in the produced table described the reason for delay on October 1, 2021 on the *Sunset Limited* 1 occurring between Schriever, LA and New Iberia, LA as arising due to an “issue with automatic road crossing protection False Partial Activation at Pellerin Street found to be working as intended signals , bells, and gates 15 mph, Milepost, 114.4, 114.4.” Other entries, however, may provide less information, including the absence of mileposts.

- Host Railroad;
- From;
- To;
- Service(s);
- Train(s);
- Delay type(s);
- Note;
- Division;
- Minutes; and
- Delay Reason.

To prepare the Sunset Detailed Delay Listing Table, Amtrak also relied on the following intermediate files and computer programs:

Train Station Study: This intermediate file draws on the OTPMRS and was used to identify actual arrival time and actual departure time.

Train Route Detail: This intermediate file also draws on the OTPMRS, and was used to identify the host division.

Additionally, to prepare the Sunset Detailed Delay Listing Table, Amtrak relied on its disputed delays report. That report is predicated on the Categorized Delay Details report, and prepared in the ordinary course of business to track any delays that are disputed by host railroads on the route. The records relied upon to create the Sunset Detailed Delay Listing Table were selected by querying the pertinent database and intermediate files for records associated with *Sunset Limited* Trains that either originated or terminated within the Relevant Period. Finally, and further to Appendix A, Part I, Instruction 6, Amtrak responds that a data dictionary detailing the information set out in Instruction 6(b)(i)-(vii) is being produced as AMTRAK_STB_NATIVE_0001.

Investigative Question No. 8 (Conductor Delay Reports). Produce conductor-entered delay reports, as well as any supplementary communications received, for all delays during the Relevant Period. The list should be in a machine-readable table.

Amtrak's Response to Investigative Question No. 8: Amtrak uses the eDR system for conductors to document delays. Amtrak has prepared a machine-readable table listing delays that occurred during the Relevant Period, which is being produced as "Conductor Delay Reports Table." (AMTRAK_STB_NATIVE_0003).

Pursuant to Appendix A, Part I, Instruction 6, Amtrak further responds that the name of the source database for the Conductor Delay Reports Table is the OTPMRS. Amtrak draws on that database to prepare a Categorized Delay Details report, which lists each delay entry and provides the following information about each of those delays:

- Origin Date;
- Host Railroad;
- From;
- To;
- Service(s);
- Train(s);
- Delay type(s);
- Note;
- Division;
- Minutes; and
- Delay Reason.

Amtrak did not rely on any intermediate files and computer programs to prepare the Conductor Delay Reports Table. The records relied upon to create the produced machine-readable

file were selected by querying the pertinent database for records associated with *Sunset Limited* Trains that either originated or terminated within the Relevant Period. Further to Appendix A, Part I, Instruction 6, Amtrak responds that a data dictionary detailing the information set out in Instruction 6(b)(i)-(vii) is being produced as AMTRAK_STB_NATIVE_0004. Finally, Amtrak is conducting a reasonable and diligent search for any supplemental communications from *Sunset Limited* conductors and concerning the delay reports entered through eDR during the Relevant Period.

Investigative Question No. 9 (Detailed run time data). Provide a list of actual run time data for each schedule skeleton segment on a run-by-run, day-by-day basis, including alternate or detour routes if applicable. The list should be in a machine-readable table; it should include the following as separate data fields:

- a. Train number.
- b. Train index date.
- c. Schedule skeleton segment station pairs (starting “skeleton-station” and ending “skeleton-station” according to the Amtrak schedule skeleton).
- d. Entity recorded as Host(s).
- e. Scheduled run time for each schedule skeleton segment.
- f. Actual run time for each schedule skeleton segment.

Amtrak’s Response to Investigative Question No. 9: Amtrak respectfully responds that it does not in the ordinary course of business maintain a single table that contains each of the fields identified in this Investigative Question, or that contains the requested information in the format requested by the Board. However, Amtrak has prepared a machine-readable table listing actual run time data for each schedule skeleton segment on a run-by-run, day-by-day basis (including alternate or detour routes if applicable) during the Relevant Period, which is being produced as the “Detailed Run Time Data Table.” (AMTRAK_STB_NATIVE_0005). In preparing the table, Amtrak endeavored to provide the information requested in this Investigative Question, subject to the following:

Daylight Savings Time: Segment run time calculations have been adjusted to account for daylight savings time; the rows that have been adjusted have been identified via highlighting in yellow, as well as a comment in the comment field.

Suspended Trains: Amtrak has included all *Sunset Limited* runs during the Relevant Period in “213 Sunset Runtime by Segment.” However, not all *Sunset Limited* Trains traversed the entire route from Los Angeles to New Orleans.¹² Where a *Sunset Limited* Train did not traverse the entire route, Amtrak has included a column identifying the origin station for the truncated run.

¹² As examples, one *Sunset Limited* Train during the Relevant Period was suspended because of law enforcement activity and another because of a freight train derailment.

Alternative Routes: Amtrak has interpreted the term alternative routes to include all train delays coded Routing. *See* Response to Investigative Question No. 1 (defining Routing delays and providing examples).

Pursuant to Appendix A, Part I, Instruction 6, Amtrak further responds that the name of the source database for the Detailed Run Time Data Table is the Amtrak OTPMRS. Amtrak draws on that database to identify several factors, including:

- Date range;
- Host(s);
- Station(s);
- Service(s); and
- Train(s).

To prepare the Detailed Run Time Data Table Amtrak also relied on the following intermediate files and computer programs:

Train Station Study: This intermediate file draws on the OTPMRS and was used to identify arrival times, departure times, arrival-versus-schedule, and departure-versus-schedule times for selected trains at selected locations over a selected time frame.

Train Route Detail: This intermediate file draws on the OTPMRS and was used to identify the list of segment start- and endpoints.

Detour Delays: This intermediate file draws on the OTPMRS and was used to identify instances of Detour delays during the Relevant Period, including the location of said delays.¹³

Route Delays: This intermediate file draws on the OTPMRS and was used to identify instances of Routing delays during the Relevant Period, including the location of said delays.¹⁴

2 Routed on Beaumont: This intermediate file draws on the OTMPRS and was used to identify instances in which *Sunset Limited* Train 2 was routed over the Beaumont Subdivision.

¹³ *See* Response to Investigative Question No. 1 (defining Detour delays and providing examples).

¹⁴ *See* Response to Investigative Question No. 1 (defining Routing delays and providing examples).

Schedule Skeletons 1 and 2: A “[s]chedule skeleton” is “a schedule grid used by Amtrak and host railroads to communicate the public schedule of an Amtrak train and the schedule of operations of an Amtrak train on host railroads.” 49 C.F.R. § 273.3. This intermediate file utilizes the *Sunset Limited* schedule skeletons to calculate the scheduled runtime between any combination of origin and destination points that a single train had taken over the Relevant Period.

The records relied upon to create the Detailed Run Time Data Table were selected by querying the pertinent database and intermediate files for records associated with *Sunset Limited* Trains that either originated or terminated within the Relevant Period. Also pursuant to Appendix A, Part I, Instruction 6, Amtrak further responds that a data dictionary detailing the information set out in Instruction 6(b)(i)-(vii) is being produced as AMTRAK_STB_NATIVE_0006.

Investigative Question No. 10 (Total run time). Provide a list of all individual *Sunset Limited* trains' total actual run time from origin to destination during the Relevant Period. Include the entire train run even if the run began or ended outside of the Relevant Period, so long as the train run was in progress during the Relevant Period. Include the total scheduled run time. Indicate if a train run took an alternate route. The list should be in a machine-readable table.

Amtrak's Response to Investigative Question No. 10: Amtrak respectfully responds that it does not in the ordinary course of business maintain a single table that contains the information requested in this Investigative Question, or that contains the requested information in the format requested by the Board. However, Amtrak has prepared a machine-readable table listing the requested information during the Relevant Period, which is being produced as the "Total Run Time Table." (AMTRAK_STB_NATIVE_0008). In preparing the table, Amtrak endeavored to provide the information requested in this Investigative Question, and again interpreted the term alternative routes to include all train delays coded as Routing delays.¹⁵

Pursuant to Appendix A, Part I, Instruction 6, Amtrak further responds that the name of the source database for the Total Run Time Table is the OTPMRS. Amtrak draws on that database to identify several factors, including:

- Date range;
- Host(s);
- Station(s);
- Service(s); and
- Train(s).

To prepare the Total Run Time Table Amtrak also relied on the following intermediate files and computer programs:

¹⁵ See Response to Investigative Question No. 1 (defining Routing delays and providing examples).

Train Station Study: This intermediate file draws on the OTPMRS and was used to identify arrival times, departure times, arrival-versus-schedule and departure-versus-schedule times for selected trains at selected locations over a selected time frame.

Supplemental Times: This intermediate file is also drawn from the Train Station Study report in OTPMRS and reflects arrival or departure times at non-typical destination or origin points due to service disruption (“SD”).

Run Time: This intermediate file utilizes the *Sunset Limited* schedule skeleton to calculate the scheduled Run Time between any combination of origin and destination points that a single train had taken over the Relevant Period.

Categorized Delay Details: This intermediate file draws upon the OPTMRS database in order to list each occurrence of Routing and Detour delays during the Relevant Period and provides the descriptive information about said delay.¹⁶

RTE-DTR Pivot: This intermediate file draws upon above-mentioned Categorized Delay Details report to isolate and sum instances of Routing and Detour delays for a given *Sunset Limited* Train.

The records relied upon to create the Total Run Time Table were selected by querying the pertinent database and intermediate files for records associated with *Sunset Limited* Trains that either originated or terminated within the Relevant Period. Also, pursuant to Appendix A, Part I, Instruction 6, Amtrak further responds that a data dictionary detailing the information set out in Instruction 6(b)(i)-(vii) is being produced as AMTRAK_STB_NATIVE_0007.

¹⁶ See Response to Investigative Question No. 1 (defining Detour delays and providing examples).

Investigative Question No. 11 (Detailed dwell time data). Provide a list of separate day-by-day, train-by-train dwell times. The list should be in a machine-readable table; it should include the following as separate data fields:

- a. Skeleton-Station.
- b. Train index date.
- c. Train number dwelling.
- d. Scheduled dwell time (according to the schedule skeleton).
- e. Actual dwell time.

Amtrak’s Response to Investigative Question No. 11: Amtrak respectfully responds that it does not in the ordinary course of business maintain a single table that contains each of the fields identified in this Investigative Question, or that contains the requested information in the format requested by the Board. However, Amtrak has prepared a machine-readable table with further information on Dwell Time that occurred during the Relevant Period, which is being produced as the “Detailed Dwell Time Data Table.” (AMTRAK_STB_NATIVE_0009). In preparing the table, Amtrak endeavored to provide the information requested in this Investigative Question, subject to the following modifications or limitations:

Inclusion of Kirby: During the Relevant Period, *Sunset Limited* Trains were scheduled to dwell at one location that was not a passenger station: Kirby, Texas. Consequently, Amtrak has included Kirby in the produced table.

Exclusion of Initiating and Terminating Locations: New Orleans, Louisiana (“NOL”) and Los Angeles, California (“LAX”) serve as the initiating and terminating locations of the *Sunset Limited*. Because the *Sunset Limited* does not dwell at these locations, departing performance numbers for Train 1 at NOL and Train 2 at LAX have been excluded from the produced table.

Pursuant to Appendix A, Part I, Instruction 6, Amtrak further responds that the name of the source database for the Detailed Dwell Time Data Table is the Amtrak OTPMRS. To prepare the Detailed Dwell Time Data Table, Amtrak also relied on the following intermediate files and computer programs:

Single Train Performance Reports: These intermediate files contain data related to arrival and departure lateness, as well as station dwell performance, for a single train at all stations, for all dates of operation over a specified time period.

Scheduled Dwell: This intermediate file draws upon the schedule skeletons for *Sunset Limited* Trains 1 and 2 to identify the scheduled Dwell Time at various locations on the *Sunset Limited* route.

The records relied upon to create the machine-readable file were selected by querying the pertinent database and intermediate files for records associated with *Sunset Limited* Trains that either originated or terminated within the Relevant Period. Also, pursuant to Appendix A, Part I, Instruction 6, Amtrak further responds that a data dictionary detailing the information set out in Instruction 6(b)(i)-(vii) is being produced as AMTRAK_STB_NATIVE_0010.

Investigative Question No. 12 (Customer OTP data). Provide all standard operating procedures, employee training manuals, guidelines, instructions, and other relevant materials that describe the processes for gathering, calculating, recording, and storing on-time performance and station-by-station alighting traffic data, and all other data submitted to FRA on a quarterly basis. Documentation should also include how often the data is updated, who is responsible for updating the data, and/or the systems used.

Amtrak’s Response to Investigative Question No. 12: Amtrak interprets this Investigative Question to concern all data relied upon to prepare the Customer OTP Quarterly Metrics Report provided to Federal Railroad Administration (“FRA”) each quarter. Amtrak has robust processes and procedures in place to ensure that customer on-time performance (“COTP”) data ultimately reported to the FRA is accurate.

The process for updating on-time performance data is automated, with actual arrival, departure, and passing data flowing directly from eDR to the OTPMRS database on a daily basis.¹⁷ Likewise, once conductors have scanned tickets from onboard passengers, the process for updating ticketing information used to prepare station-by-station alighting data is automated, with data flowing directly to Amtrak’s Revenue Accounting System and ultimately to Amtrak’s Enterprise Data Warehouse (“EDW”), again on a daily basis. The script that is then used to compute the COTP figures reported to FRA is being produced in response to Investigative Question No. 22, *infra*.

Amtrak further responds that it has conducted a reasonable and diligent search and is providing the following non-privileged documents in response to this request:

- **Recording of Train Delays and On-Time Performance Reporting Policy** (AMTRAK_STB_0000380). The Recording of Train Delays and On-Time Performance Reporting Policy governs the recording and storage of actual arrival, departure, and passing

¹⁷ Amtrak’s eDR system has a number of internal validation mechanisms. If a conductor attempts to manually enter a sighting time identical to one already received by an automated source (within one minute), eDR will reject that entry. eDR Quick Start Guide (AMTRAK_STB_0000548) at 12 (AMTRAK_STB_0000560); *see also* 2022 Delay Manual (AMTRAK_STB_0000017) at 8 (AMTRAK_STB_0000027). In addition, if the calculated elapsed time is 50% or less of the scheduled PRT, the system will also reject the entry. eDR Quick Start Guide at 12 (AMTRAK_STB_0000560).

times in OTPMRS, which is the system of record for on-time performance data, and is housed in Amtrak's Enterprise Data Warehouse ("EDW"). Data from eDR flows into OTPMRS daily.¹⁸ OTPMRS data is finalized on a monthly basis, typically on the 7th day of the following month.¹⁹ Finalized OTPMRS data is used to report the OTP both internally and externally.

- **2022 & 2021 Delay Manual** (AMTRAK_STB_0000017 & AMTRAK_STB_0000061). The Delay Manual describes Amtrak's processes for the initial gathering of arrival time or departure times, which underlie on-time performance data. The sighting data required to compute arrival and departure times is typically entered into the eDR display automatically via the National Train Activity Monitoring System, the Passenger Information Display System, or host railroad systems such as Electronic Data Interchange. Sighting data can also be entered manually by conductors, when circumstances require.²⁰ As noted above, actual arrival, departure, and passing times automatically flow from eDR to OTPMRS.
- **Finance – Revenue Process Narrative** (AMTRAK_STB_0000383). The process for collecting station-by-station alighting data begins when a customer boards a train and the conductor scans their ticket. Once the conductor has done so, the ticketing information is automatically transferred to Amtrak's Revenue Accounting System ("SDR"). This system creates a preliminary daily lifted revenue file, which is recorded at the train level and fed into OTPMRS. The daily lifted revenue file within OTPMRS is then used to generate preliminary station-by-station alighting traffic data. After the end of the month, two members of Amtrak's Finance Team finalize and close the revenue file, for example by layering in data to account for passengers who purchased (and did not cancel or modify) valid tickets, but did not have their ticket collected.²¹ The finalized data becomes the basis for the data reported to the FRA.

¹⁸ In addition, there is a daily automatic server check that runs on Amtrak's EDW to ensure all data was loaded correctly.

¹⁹ Amtrak's policies, procedures, and practices for revising this data in response to internal or external requests is outlined fully in Amtrak's Responses to Investigative Question Nos. 14, 15, and 16.

²⁰ As an example, conductors may manually enter sighting times when technical issues disrupt automatic systems.

²¹ These members of the Amtrak Financial team are the only personnel with permissions to access the Ticket Lift File, outside of the Amtrak Information Technology Group.

Investigative Question No. 13 (Train delay data). Provide all standard operating procedures, employee training protocols and manuals, guidelines, instructions, and other relevant materials that describe, step-by-step, the processes for gathering, identifying, categorizing by cause, describing, recording, transmitting, and storing passenger train delay data.

Amtrak's Response to Investigative Question No. 13: Amtrak has robust processes and procedures in place to ensure that passenger train delay data is accurate. As explained in Amtrak's Response to Investigative Question No. 1, the Delay Manual sets forth the Amtrak policies, processes, and procedures for gathering, identifying, categorizing, describing, recording, and transmitting passenger train delay data, which is stored in the OTPMRS database. Amtrak is producing in response to this Investigative Question its 2022 & 2021 Delay Manual. (AMTRAK_STB_0000061 & AMTRAK_STB_0000017).²²

Amtrak has conducted a reasonable and diligent search and is also providing the following non-privileged documents in response to this request: Conductor Delay Reporting Presentation (AMTRAK_STB_0000449) (explaining delay reporting and procedures); Delay Reporting Codes and Explanations (AMTRAK_STB_0000567) (providing delay code acronyms and explanations); OTP Business Rules (AMTRAK_STB_0000568) (addressing metrics considered in on-time performance); Recording of Train Delays and On-Time Performance Reporting Policy (AMTRAK_STB_0000380) (elaborating Amtrak policy on recording and reporting minutes of delay, delays explanations; and on-time performance); eDR Quick Start Guide (AMTRAK_STB_0000548) (providing instruction for using the eDR application); eDR Overview (AMTRAK_STB_0000001); (providing overview of eDR application).

²² As Amtrak has previously explained, none of the minor revisions that Amtrak implemented in the 2022 Delay Manual, effective October 10, 2022, affected how delays were recorded on the *Sunset Limited* route during the Relevant Period.

Investigative Question No. 14 (Train delay data review and revisions). Provide documents that describe the review and/or revision processes and how passenger train delay data is reviewed and/or changed after it is initially recorded. Documents should include how reviews, revisions, and amendments are made, either internally or in reaction to feedback from a host railroad or other external entity.

Amtrak’s Response to Investigative Question No. 14: During the Relevant Period, 99.8% of the host-responsible delay minutes incurred were ultimately undisputed. Moreover, more than 99.9% of host-responsible delay events were ultimately undisputed. Amtrak has conducted a reasonable and diligent search and has not identified a particular document that describes the current process for reviewing and revising passenger delay data on a step-by-step basis. Amtrak initiated a process to revise the policies applicable to review and revision of passenger delay data before the Relevant Period, and expects to complete that process by the Fall of 2023. Amtrak further responds that its current practices for reviewing and revising train delay data, which reflect the same practices in effect during the Relevant Period, are as follows.

Amtrak’s Host Railroads Group (“HRG”), specifically the Performance Team within HRG, is responsible for receiving, reviewing, and approving or denying requests to change delay entries from both internal stakeholders and host railroads.²³ The HRG Performance Team is supported by an operations team based in Oakland (“Oakland Operations”). The Oakland Operations team is specifically responsible for executing any revisions to Conductor Delay Reports that are approved by the HRG Performance Team.

Host Delay Change Requests. The FRA’s Final Rule acknowledged that Amtrak and host railroads may disagree on the designation of responsibility for any particular delay. The Final Rule therefore required that the train delays metric reported to the FRA each quarter include the

²³ Amtrak has conducted a reasonable and diligent search and has not identified change requests submitted by any third parties other than host railroads. Were Amtrak to receive a change request from an external entity other than a host railroad, Amtrak would resolve that request using the processes described below.

number of disputed delays. *See* Final Rule at 72982; *see* 49 C.F.R. § 273.5(d). During the Relevant Period, only UP and SCRRRA disputed any host-responsible delays, and more than 99.8% of all host-responsible delay minutes were ultimately undisputed.

Amtrak provides each host railroad with access to delays attributed to that host railroad within Amtrak's delay database. It is the host's obligation to raise any dispute and to request that Amtrak change any delay entry which the host believes is miscategorized. *See* 49 C.F.R. § 273.5(d). If a host disagrees with a delay entry and wishes to dispute the delay, the host contacts Amtrak regarding the disputed delay. Amtrak has provided host railroads with a Delay Change Request form to simplify the process for hosts to submit delay change requests to Amtrak. An example of a Delay Change Request Form is being produced in response to this Investigative Question. *See* Delay Change Request Form (AMTRAK_STB_NATIVE_0013). Delay Change Request Forms are host specific, rather than route specific; therefore, a host may submit change requests for all Amtrak routes it hosts. In some instances, a host may send Amtrak a change request contained entirely in the body of an email, rather than through a Delay Change Request form.

When host railroads submit a delay change request, a member of the HRG Performance Team reviews the request. As part of that review, Amtrak personnel evaluate whether a change is appropriate. Where necessary to evaluate the particular circumstances surrounding a delay, the reviewing Performance Team member may contact other Amtrak personnel, including personnel in the Transportation, Mechanical, and Positive Train Control Departments. In cases where additional information is required from the host, HRG requests the additional information and awaits receipt of the information prior to issuing a determination. Based on all pertinent information from the host and Amtrak, and reference to appropriate resources like the Delay Manual, HRG determines whether the disputed delay should be changed in whole, changed in part,

or not changed. HRG informs the requesting host of the determination by completing Amtrak's section of the Delay Change Request Form submitted by the host and returning it to the host.²⁴

If changes are determined to be appropriate, the responsible HRG member will direct Oakland Operations staff to update the status of the delay entry and execute the change to the delay data in Amtrak's delay database using Amtrak's Web Delay Inputter system. Oakland Operations will notify the HRG Performance Team that the requested changes have been entered into Amtrak's delay database. Oakland Operations is not authorized to change any delay entries without direction from a member of the HRG Performance Team.

While Amtrak encourages host railroads to submit delay change requests on a rolling basis, Amtrak accepts requests on a monthly basis, so long as all requests are provided before the sixth business day of the subsequent month, after which data is frozen for reporting purposes.²⁵ In practice, most hosts, including UP and BNSF Railway, Inc. ("BNSF"), utilize a single Delay Change Request Form for an entire calendar month and for all Amtrak services they host. Where hosts provide change requests on a weekly or bi-weekly basis, the form is updated by the host and Amtrak throughout the month with new requests and Amtrak's determinations. Amtrak maintains a master log for each host. As reflected in the master log being produced in response to this Investigative Question, of the 15,576 instances of host-responsible delay during the Relevant Period, only 77 were initially disputed, with UP disputing 61 (representing 292 minutes), SCRAA disputing 16 (representing 15 minutes), and BNSF and Canadian National Railway Company

²⁴ As indicated above, host railroads ordinarily communicate change requests using the Delay Change Request Form. When hosts communicate a request by email, members of HRG Performance Team typically memorialize the request in a Delay Change Request Form, and then complete Amtrak's portion of the form and return the form to the host railroad.

²⁵ Changes will be made after the close of a month only in exceptional circumstances, and require the unanimous written approval of the Manager Business Analytics, Director System Operations of CNOC, and the Director Host Railroads of the Host Railroad Group, or their designees.

(“CN”) disputing zero. Amtrak resolved 68 (88%) of the initial disputes in favor of the host railroad. As a result, just 0.06% of all instances of host delays, and just 0.21% of all host-responsible delay minutes, were ultimately disputed. *See* Disputed Delay Log by Host Table (AMTRAK_STB_NATIVE_0011). Pursuant to Appendix A, Part I, Instruction 6, Amtrak further responds that a data dictionary detailing the information set out in Instruction 6(b)(i)-(vii) is being produced as AMTRAK_STB_NATIVE_0012.

Amtrak Internal Delay Change Requests. Amtrak’s practices for delay change requests by internal stakeholders follow the same general process outlined above. The HRG Performance Team is responsible for receiving, reviewing, and approving or denying internal requests to change delay entries. If changes are determined to be appropriate, the responsible HRG member will direct Oakland Operations staff to update the status of the delay entry and execute the change to the delay data in Amtrak’s delay database. Oakland Operations may receive internal delay change requests in the first instance, but all delay change requests are directed to the HRG Performance Team for review and either approval or denial.

Investigative Question No. 15 (Host delay disputes). Provide documents that describe the host delay dispute process. Documentation must describe the process, step-by-step, that occurs when a host railroad disputes a delay and/or delay cause.

Amtrak's Response to Investigative Question No. 15: Amtrak respectfully incorporates by reference its Response to Investigative Question No. 14, which describes the step-by-step process that occurs when a host railroad disputes a delay, including how disputes are resolved. During the Relevant Period, BNSF and CN did not dispute any delays for *Sunset Limited* Trains.²⁶ During that same period, 99.8% of host-responsible delay minutes ultimately went undisputed.

²⁶ CN recently signaled that, going forward, it intends to dispute all *Sunset Limited* delays attributed to CN because CN disputes whether it is the host railroad for the 2.2 mile segment of track referenced in Paragraph 27 of Amtrak's Complaint and Petition.

Investigative Question No. 16 (Resolving disputed delays). Provide documents that describe how delay disputes are resolved. Documentation must explain the training and guidance provided to employees regarding the process for resolving disputed delays and steps related to resolving disputes. Provide relevant documents such as training manuals and guides.

Amtrak's Response to Investigative Question No. 16: As explained above, more than 99.8% of the host-responsible delay minutes incurred during the Relevant Period were ultimately undisputed. Moreover, more than 99.9% of host-responsible delay events were ultimately undisputed. Amtrak respectfully incorporates by reference its Response to Investigative Question No. 14, which describes the step-by-step process that occurs when a host railroad disputes a delay, including how disputes are resolved.

To prepare members of the HRG Performance Team for their role in resolving delays, Amtrak requires that personnel review the Delay Manual. *See* 2022 & 2021 Delay Manual (AMTRAK_STB_0000017 & AMTRAK_STB_0000061). This document serves as a continuing reference for members of the HRG Performance Team, who can consult the Delay Manual in evaluating whether particular delays have been appropriately coded or require modification. Before HRG Performance Team members begin reviewing and making determinations on disputed delays, they attend a delay coding training session, which ordinarily occurs as part of a two-week training program for incoming Road Foremen and Trainmasters. Materials used to facilitate the delay coding training session are being produced in response to this Investigative Question. *See* Conductor Delay Reporting Presentation (AMTRAK_STB_0000449).

When a new employee joins HRG and is tasked with responsibility over delay change requests, the new HRG Performance Team member submits all determinations to a supervisor to review before a formal determination is made and issued to the host requesting the delay change. Supervisor review is discontinued once the supervising Performance Team Member determines that the new HRG member has achieved proficiency, though members of the Performance Team

remain in dialogue about any unique or otherwise anomalous change requests that hosts submit. The host-specific delay log catalogues delay change requests made by hosts and the determinations made to resolve the change request, whether that resolution involves modifying the dispute or not.

The Delay Change Request logs for each *Sunset Limited* host railroad are being produced in response to this and related Investigative Questions. *See* Disputed Delay Log by Host Table (AMTRAK_STB_NATIVE_0011). *See also* Data Dictionary for Disputed Delay Log by Host Table (AMTRAK_STB_NATIVE_0012). The comprehensive delay log provides a detailed resource for HRG to research historic change requests. Amtrak employees involved in resolving disputed delays are encouraged to discuss atypical or novel requests with the full HRG team.

Amtrak recognizes that Amtrak and host railroads may disagree on the designation of responsibility for any particular delay, as recognized by the Final Rule's requirement that the train delays metric reported to the FRA each quarter include the number of disputed delays. *See* Final Rule at 72982; *see* 49 C.F.R. § 273.5(d). However, only 77 total host-responsible delays out of a total of 15,576 host-responsible delays were disputed and Amtrak resolved 88% of those disputes in favor of the host railroad. The remaining disputes amounted to just 0.06% of all instances of host delays, and just 0.21% of all host-responsible delay minutes during the Relevant Period.

Investigative Question No. 17 (Deviations from delay dispute protocols). During the Relevant Period, on the *Sunset Limited*, identify whether there were any deviations from the typical practice of resolving disputed delays. If so, explain the deviation and rationale for the deviation.

Amtrak's Response to Investigative Question No. 17: Amtrak is not aware of any deviations from the typical practice of resolving disputed delays on the *Sunset Limited* during the Relevant Period. Further to this request, Amtrak is producing a document titled: *Sunset Limited* Disputed Delay Log by Host. This document catalogues each disputed delay for *Sunset Limited* Trains during the Relevant Period, on a host-by-host basis, and also includes the resolution of each disputed delay. See Disputed Delay Log by Host Table (AMTRAK_STB_NATIVE_0011).²⁷ See also Data Dictionary for Disputed Delay Log by Host Table (AMTRAK_STB_NATIVE_0012). Because BNSF and CN did not dispute any delays for *Sunset Limited* Trains during the Relevant Period,²⁸ the document does not contain any information for either host.

²⁷ As explained above, Amtrak recently reevaluated the appropriate host railroad for a portion of the *Sunset Limited* route that runs from El Monte to Yuma Junction, in California. During the Relevant Period, delays on that segment of the *Sunset Limited* route were attributed to SCRRA. Once Amtrak completes the process for redesignating UP as the host railroad for this segment of the *Sunset Limited* route, delays on the segment will be attributed to UP. During the Relevant Period, the *Sunset Limited* ordinarily transited over UP trackage on this segment of its route.

²⁸ As noted above in Amtrak's Response to Investigative Question No. 15, CN recently signaled that, going forward, it intends to dispute all *Sunset Limited* delays attributed to CN because CN disputes whether it is the host railroad for the 2.2 mile segment of track referenced in Paragraph 27 of Amtrak's Complaint and Petition.

Investigative Question No. 18 (Revised run time metric submissions). Since FRA commenced publication of the PRIIA § 207 data under 49 C.F.R. Part 273, the Run Time Metric workbooks have been revised and replaced for FY 22 Q1, FY 22 Q2, and FY 22 Q3.²⁹ The revised workbooks include at least two changes. First, as originally published, the FY 22 Q3 run time summary data for Train 1 showed scheduled run time of 4,005 minutes, versus 2,795 in the Schedule Skeleton provided in Appendix A of Amtrak’s Complaint. Second, in the same FY 22 Q3 Run Time Metric workbook, the scheduled time for Amtrak’s short segment of *Sunset Limited* Train No. 1 was shown as 195 minutes, versus 15 minutes in the Schedule Skeleton in Appendix A of Amtrak’s Complaint. Explain if the need for changes resulted from errors on Amtrak’s part, and if so, explain the steps subsequently taken to prevent their recurrence. In addition, review your Run Time data for the Relevant Period (all worksheets and parameters) and identify any remaining needed changes, in Amtrak’s view. Produce revised data workbooks with changed run times.

Amtrak’s Response to Investigative Question No. 18: Amtrak appreciates the opportunity to explain this issue. The first change to the Run Time Metric workbook was driven by legacy operations. Beginning in 1993, the *Sunset Limited* operated between various points in Florida and Los Angeles, California. As the Board is aware, the portion of that service running from Orlando, Florida to New Orleans, Louisiana was suspended in 2005, following damage caused by Hurricane Katrina. After that occurred, Amtrak’s reporting of run time data failed to remove the run time associated with the Orlando-to-New Orleans portion of the service from the total run time for Train 1,³⁰ resulting in calculations that showed inflated run time for Train 1. Amtrak has corrected that error.

With regard to the second issue the Board identified, Amtrak found a mapping location issue that resulted in the report showing Amtrak having 195 minutes of scheduled run time instead of 15 minutes. Amtrak is evaluating process improvements to prevent the occurrence of similar issues, and emphasizes that neither issue affected the host run time calculations contained within its Complaint and Petition for this proceeding about the *Sunset Limited*, which stated the correct

²⁹ Intercity Passenger Rail Service Quality and Performance Reports, railroads.dot.gov/rail-network-development/passenger-rail/amtrak/intercity-passenger-rail-service-quality-and (select “Archived Reports”) (last visited July 11, 2023).

³⁰ This issue is idiosyncratic, in that none of Amtrak’s other long-distance routes are subject to any service suspensions.

run time for Train 1 (2,795 minutes) and the current run time for the Amtrak segment of that Train (15 minutes).

Amtrak has also undertaken a thorough review of its run time data for the Relevant Period to identify any additional issues. During that review, Amtrak discovered an anomaly in the logic used to report long-distance routes, which occurred when the same host railroad was responsible for two discontinuous track segments along the route. This discrepancy affects a small number of long-distance routes and Amtrak is in the process of implementing a technical fix so that it can restate its reporting for the FRA. Importantly, this issue with the run time logic does not affect the computations stated in Amtrak's Complaint and Petition in this proceeding about the *Sunset Limited* because Amtrak relied on a custom run time script in preparing the Complaint and Petition.³¹ Amtrak anticipates completing the restatement of its reporting for the FRA in the fall and will provide the Board with any revised data workbooks Amtrak provides to the FRA.

³¹ Amtrak prepared the custom script so that it could break out initial terminal delay for the Board.

Investigative Question No. 19 (Internal controls for data quality assurance). Provide documentation on the quality assurance procedures used to verify and confirm accuracy of reports. List all the procedures Amtrak uses to ensure the accuracy of the reported data by processing it through a quality assurance procedure. Documentation must describe in detail the internal control procedures applied by Amtrak to ensure data accuracy regarding all the quarterly passenger OTP data, train delay data, and all other related data reported to FRA under 49 C.F.R. part 273. Your answer should discuss data gathering, recording, calculating, verifying, reviewing, correcting, maintaining, and delivery of all data reported to FRA.

Amtrak’s Response to Investigative Question No. 19: Every quarter, Amtrak produces reports of quarterly passenger OTP data, train delay data, and other related data to the FRA as required under 49 C.F.R. § 273.5. Amtrak has a number of internal quality assurance and control procedures built into its data gathering and reporting processes, and Amtrak respectfully incorporates by reference its responses to the Board’s Investigative Question Nos. 1, 12, 13, 14, 16, and 21, which describe some of the robust processes and procedures in place to help ensure that data ultimately reported to FRA is accurate, and/or provide documentation thereof. *See* Response to Investigative Question No. 1 (addressing detailed delay coding); Response to Investigative Question No. 12 (addressing robust processes and procedures in place for COTP data); Question No. 13 (addressing robust processes and procedures in place for gathering delay data); Response to Investigative Question No. 14 (addressing robust processes and procedures in place for reviewing and revising train delay data); Response to Investigative Question No. 16 (addressing robust processes and procedures in place for addressing disputed delays); *see also* Response to Investigative Question No. 21 (addressing Amtrak’s Office of Inspector General (“OIG”) conclusion that Amtrak underreports delays). Amtrak also reiterates that, with respect to the delays and delay minutes submitted to FRA for the Relevant Period, more than 99.8% of host-disputed delay minutes and more than 99.9% of host-responsible delay incidents were ultimately undisputed.

The process of creating and generating reports submitted to the FRA is subject to additional quality assurance measures. Each quarter, when final data becomes available, the Amtrak Analytics Group is responsible for generating FRA Reports.³² Amtrak, typically in partnership with a third-party vendor, developed automated methods to generate these reports in order to minimize human error.³³ These automated methods were subjected to testing before implementation, including by Amtrak's Analytics Group and Digital Technology team. Moreover, once the Analytics Group applies the automated process to generate reports for submission to FRA, a member of the Analytics Group typically conducts a manual quality assurance review of the results, checking portions of the reports against internal data sources to ensure their accuracy. Amtrak is committed to continued quality assurance review to ensure the accuracy of the data it reports to the FRA, and endeavors to identify and correct potential errors, as illustrated by Amtrak's Response to Investigative Question No. 18.

Amtrak further responds that it has conducted a reasonable and diligent search and is providing the following non-privileged documents in response to this request: 2022 & 2021 Delay Manual (AMTRAK_STB_0000017 & AMTRAK_STB_0000061) (setting forth the Amtrak policies and guidelines that govern use and application of the delay coding); eDR Overview (AMTRAK_STB_0000001) (providing further guidance to Amtrak conductors on use of the eDR system); 2015 OIG Audit (AMTRAK_STB_0000584)³⁴ (reviewing accuracy of Amtrak's reporting of on-time performance and delays for trains operating on host railroad tracks); and Recording of Train Delays and On-Time Performance Reporting Policy

³² The Analytics Group is a component of the Amtrak Operations Group and consists of three Amtrak representatives with experience in data analytics.

³³ Reporting on the Disputed Delay Minutes Metric presents an exception, and is prepared by the Host Railroad Group.

³⁴ See Response to Investigative Question No. 21 (detailing the findings of the 2015 OIG Audit).

(AMTRAK_STB_0000380) (Amtrak policy on recording and reporting minutes of delay, delay explanations, and on-time performance).

Investigative Question No 20 (Deviation from internal controls). Identify, if any, all actual deviation(s) during the Relevant Period from your internal control procedures for data quality assurance regarding the quarterly passenger OTP data and train delay data reported to FRA under 49 C.F.R. part 273. Include the rationale for the deviation(s).

Amtrak's Response to Investigative Question No. 20: Other than the issues reported in Amtrak's Response to Investigative Question No. 18, which concern run time rather than OTP or train delay data, Amtrak is not aware of any deviations from its internal control procedures for assuring the quality of passenger OTP and train delay data reported to FRA during the Relevant Period.

Investigative Question No 21 (Third-party reviews of quarterly data submitted to FRA). Describe the processes and findings of any independent parties engaged or assigned by Amtrak to verify the sufficiency and effectiveness of the standard protocols and internal control procedures described in the previous questions. Identify any actions taken by Amtrak to resolve and/or implement these findings.

Amtrak’s Response to Investigative Question No. 21: Amtrak’s OIG provides independent, objective oversight of all of Amtrak’s programs and operations. The OIG was established by the Inspector General Act of 1978 (Public Law 95-452, 5 U.S.C. Appendix 3) (“IG Act”) as an independent and objective office within Amtrak. The IG Act, as amended, grants OIG employees unfettered access to company property and timely access to all of Amtrak’s records, reports, audits, reviews, documents, papers, recommendations, and other available material. Amtrak’s Office of Inspector General Policy, which Amtrak provides in response to this request, codifies the OIG/Amtrak relationship and reiterates these requirements. *See* Office of Inspector General Policy (AMTRAK_STB_0000616).

In 2015, Amtrak’s OIG conducted an audit related to on-time performance data, which is provided in response to this request.³⁵ (AMTRAK_STB_0000584). In the audit, OIG conducted a review of (1) the accuracy of Amtrak’s reporting of on-time performance and delays for trains operating on host railroad tracks, and (2) whether data quality and management control issues affect the accuracy and reliability of performance data. *See* Train Operations: On-Time Performance Reporting Generally Accurate; Additional Actions Could Enhance Delay Reporting, OIG-A-2017-007 (March 2, 2017) (“2015 OIG Audit”) (AMTRAK_STB_0000584). The 2015 OIG Audit found that, in that calendar year, Amtrak’s “reporting of on-time performance for trains

³⁵ In 2019, OIG conducted another audit regarding the *financial* impact of OTP and measurements of that financial impact. *See* Train Operations: Better Estimates Needed of the Financial Impacts of Poor On-Time Performance, OIG-A-2020-001 (October 14, 2019) (“2019 OIG Audit”) (AMTRAK_STB_0000627). OIG recommended a number of ways Amtrak could achieve cost savings and increase revenue, but did not evaluate Amtrak’s processes and internal controls for calculating and reporting passenger OTP data and train delay data.

operating on host railroad tracks was generally accurate for all of its 39 long-distance and state-supported routes.”³⁶ 2015 OIG Audit (AMTRAK_STB_0000584) at 3 (AMTRAK_STB_0000588) (noting that OIG calculations of on-time performance matched 70 percent of Amtrak calculations and that the average difference between OIG and Amtrak calculations for the remaining 30 percent averaged less than 1 percentage point). Although the OIG found that Amtrak’s “reporting of delays was less accurate,” it concluded that Amtrak inaccuracies *understated* rather than overstated delay minutes. *Id.* at 3, 7 (AMTRAK_STB_0000592).

OIG recommended that Amtrak’s reporting could be enhanced by (1) identifying and documenting appropriate time-capture points to measure and report delays, (2) specifying in existing policies which time-capture points could be used as the basis for measuring delays, (3) establishing more effective controls for collecting the data used to calculate delays, and (4) strengthening management controls over collected data. Amtrak’s management agreed with these recommendations and implemented them by:

1. For time-capture points that do not appear in the schedules, either discontinuing use of these time-capture points for delay reporting or adding the time-capture points to the schedules, in cooperation with host railroads.
2. Modifying Amtrak’s existing policy to require that time-capture points be included in schedules agreed to with host railroads.
3. Installing automatic edit checks to ensure train movement times are reasonable relative to the train schedule, implementing a new audit process to identify open delay-reported segments (i.e., segments for which a conductor has not accounted for lost time in the eDR), and implementing a dashboard that identifies incomplete reporting segments for its quality control desk that has improved the reporting of delay data.
4. Limiting user access to data systems, adhering to established procedures for maintaining a log of host railroad data disputes, and establishing a management succession plan to

³⁶ The 2015 OIG Audit assessed the accuracy of reporting for on-time performance of trains arriving at final destinations. The OIG Audit did not test reporting for all stations on-time performance, observing only that Amtrak uses the same underlying performance data for such calculations. *Id.* at 3 n.7.

minimize the possibility of disruptions in the process used to manage and resolve host railroad challenges to delay data. 2015 Audit at 17-18 (AMTRAK_STB_0000602-603).

Amtrak has not engaged any other third party to audit or review its standard protocols and internal control procedures for customer OTP during the Relevant Period.

Investigative Question No. 22 (Source code for quarterly data). Produce the source code used to extract, transform, and load; sort; filter; scrub; aggregate; cleanse; calculate; arrange; or otherwise modify raw passenger OTP data as it is prepared for submission to FRA. Provide a narrative that explains each program's purpose.

Amtrak's Response to Investigative Question No. 22: Amtrak utilizes one script to prepare its Customer OTP Report to FRA. The script queries appropriate data in the OTPMRS database, runs the specified calculations, then renders the data in a format suitable for production to FRA. Amtrak is providing that script in response to this Investigative Question. *See* Customer OTP Script (AMTRAK_STB_0000664).

Investigative Question No. 23 (Schedule). Resubmit Appendix A from the December 8, 2022 complaint (“Complaint Appendix A”) in a machine-readable format. For each location referred to in Complaint Appendix A, provide the uniform milepost prefixes and numbers as specified in Part II of the present Appendix A, above. Also, it appears as though certain mileage cells were left blank under the column marked “Mileage” in Complaint Appendix A. In your response supply the missing mileage information using the uniform milepost prefixes and numbers.

Amtrak’s Response to Investigative Question No. 23: Further to this Investigative Question, Amtrak has prepared a machine-readable version of Appendix A from its December 8, 2022 Complaint. The machine-readable file identifies each location referred to in the schedule skeletons using the uniform milepost prefixes and numbers specified in Part II of the Board’s Appendix A. *See Updated Schedule Skeletons (AMTRAK_STB_NATIVE_0014).* The machine-readable file also contains additional mileage information as requested by the Board.

Amtrak further responds that the schedule skeletons submitted as Appendix A of its Complaint reflected inaccurate “Arrive” and “Depart” times in certain instances due to time zone changes as the *Sunset Limited* travels across different time zones. Those inaccuracies did not impact the overall Total Pure Run, Total Recovery Minutes, Total Misc. Adjust, Total Dwell, and Total Schedule Time figures contained in the schedule skeleton, but have been corrected in the schedule skeletons submitted with this response.

Investigative Question No. 24 (Schedule planning considerations). When planning the pure running time, recovery time, and dwell time allowances for the schedule skeletons on the *Sunset Limited*, what underlying assumptions are made about the routing, track condition, weather, capacity, equipment consist, and performance, and any other relevant variables?

Amtrak's Response to Investigative Question No. 24: Amtrak schedule skeletons are based on four components: Pure Running Time, Dwell Time, Recovery Time, and Miscellaneous Time. These components are defined as follows:

- Pure Running Time: The amount of time that a passenger train is expected to take to operate between stations and/or designated passing points over the train's optimal route, operating at maximum authorized speeds with the most favorable possible signal aspects on that route, with a defined consist, normal weather conditions, and no impedance.
- Dwell Time: The amount of time in minutes that a passenger train must wait at a station while necessary station operations occur, or the amount of time that a passenger train must wait at a servicing stop while necessary servicing work occurs. In rare circumstances, Amtrak may schedule Extended Dwell Time in order to assist host railroads in recovering trains to schedule. Extended Dwell Time is the amount of time above and beyond that required to entrain passengers, detrain passengers, and accomplish necessary station operations, including addressing any technical or logistical issues.
- Recovery Time: The amount of time above and beyond Pure Running Time and Dwell Time, which is built into a train schedule to ensure that the train can continue to run on-time even if it encounters delays along the route.
- Miscellaneous Time: Time that is accounted for separately on the skeleton schedule, to allow Amtrak and host railroads to separately track those minutes. Miscellaneous Time ordinarily has the same effect on train operations and OTP as Recovery Time, but simply appears in a different column on the skeleton schedule document.³⁷

With respect to the *Sunset Limited* schedule, Amtrak responds further as follows.

Track Conditions. The *Sunset Limited* schedules account for track conditions because the Pure Running Time for *Sunset Limited* Trains is based on a train operating at maximum authorized speeds, and no faster. For example, if a section of track is maintained to FRA Class III standards and has a maximum speed of 60 mph for passenger trains, then the Pure Running Time through that section is based on the train operating at 60 mph. If a curve within that section requires trains

³⁷ See Amtrak's Response to Investigative Question No. 27 for further discussion of Miscellaneous Time.

to slow to 30 mph through the curve, then the Pure Running Time includes the time required for the train to slow from 60 mph to 30 mph, operate through the curve at 30 mph, and then accelerate back to 60 mph. If a section of track is on a steep uphill grade that slows trains down or extends the time required to accelerate out of a curve, then the effects of the grade are also included in the Pure Running Time.

To the extent track conditions cause temporary speed restrictions, also known as slow orders, those speed restrictions are by definition not included in Pure Running Time and are considered delays. In the case of the *Sunset Limited*, temporary speed restrictions are accounted for and addressed by Recovery Time and Extended Dwell Time, as discussed further below.

Routing. The Pure Running Time for the *Sunset Limited* is based on operating over the fastest practical route to access all stations and facilities that the train must access. For example, if a station has a single platform on the north side of a double track railroad, and the next station served by the train is on the south side of the double track railroad, then the train must cross over from one track to the other in order to serve both stations. The time required for the train to slow down, transit the crossover, and accelerate back to track speed is included in the Pure Running Time.

Lawful routing moves that are made at the dispatcher's discretion, but depart from the fastest practical route—such as to cross the passenger train between tracks to go around maintenance-of-way gangs, as opposed to having the maintenance-of-way gang clear for the passenger train—are considered delays, and are accounted for and addressed by Recovery Time and Extended Dwell Time, again as discussed below.

Consists. The Pure Running Time for the *Sunset Limited* assumes that the train operates with its normal consist. See Response to Investigative Request No. 4 (describing normal consist).

In the rare circumstance where *Sunset Limited* Trains operate with a different consist, for example, because they are down a locomotive, any slow-down is considered an Amtrak-responsible delay and addressed through Recovery Time and Excess Dwell Time.³⁸

Weather. The Pure Running Time for the *Sunset Limited* assumes that any delays related to weather will be treated as delays. During the Relevant Period, weather delays accounted for less than 1% of all delay minutes incurred by *Sunset Limited* Train 1, and only 1.1% of delays incurred by *Sunset Limited* Train 2. These delays are addressed through the considerable amount of Recovery Time and Excess Dwell Time built into the *Sunset Limited* Schedule.

Capacity. The Pure Running Time for the *Sunset Limited* incorporates existing physical capacity assuming preference is afforded to Amtrak trains. To the extent capacity is consumed due to railroad operating decisions, or volume increases, such reductions in capacity will be treated as delays. Moreover, such host railroad track capacity reductions are not explicitly accounted for in the *Sunset Limited* schedule, because these artificial capacity constraints are outside of Amtrak's control. They are driven by host railroad decisions regarding the amount and configuration of traffic dispatched onto the railroad relative to the physical capacity the host has chosen to make available. Nevertheless, as explained below, the considerable Recovery Time built into the *Sunset Limited*'s schedule mitigates several types of delays, including those resulting from host railroad capacity constraints. Because hosts are legally required to provide preference to Amtrak trains, Amtrak does not base its schedule on the assumption that host railroads will violate Amtrak's statutory right to preference.

³⁸ The Pure Running Time calculations also assume typical performance for Amtrak equipment. Substandard en-route performance is likewise addressed through Recovery and Excess Dwell Time.

Recovery Time. Recovery Time (including positive miscellaneous adjustments) is meant to address several types of delays that *Sunset Limited* Trains may encounter, because each *Sunset Limited* Train may encounter delays of different type, duration, and location. Recovery Time is meant to offset the cumulative effect of all ordinary and lawful delays, regardless of cause, and whether the responsible party is the host railroad, Amtrak, or a third party.

The *Sunset Limited* schedule already contains a substantial amount of Recovery Time, whether evaluated individually or relative to other long-distance routes. Together, the *Sunset Limited* Trains have 718 minutes of Recovery and Miscellaneous Time. As a percentage of Pure Running Time, that considerable amount of Recovery and Miscellaneous Time exceeds almost every other long-distance route's, sometimes by several percentage points. In addition, as indicated above, the *Sunset Limited* also benefits from the unusual provision of (considerable) Extended Dwell Time. For example, at San Antonio, Train 1 generally requires 90 minutes or less of Dwell Time to perform normal work, but the schedule skeleton provides for 160 minutes of Dwell Time. This Extended Dwell Time therefore serves the same purpose as Recovery Time.

Put simply, the *Sunset Limited* schedule skeleton already contains a substantial amount of Recovery, Miscellaneous, and Dwell minutes, relative to the Pure Running Time and other variables discussed above. *Sunset Limited* Trains 1 and 2 each have more than five hours of Recovery and Miscellaneous Time built into their routes.

Investigative Question No. 25 (Schedule development). Describe how Amtrak developed its schedule skeletons, including existing and contemplated schedules for the trains on the *Sunset Limited*; for example, what methodology was used? Produce the underlying work papers and/or any studies performed to develop the schedule skeleton. Include a description of any computer programs, SQL models, or other tools used in the process, including detailed descriptions of any equations or algorithms employed for distributing recovery time with the aim of optimizing schedules for customer OTP, whether used in the development of existing and contemplated schedules for the trains on the *Sunset Limited* or other Amtrak trains.

Amtrak's Response to Investigative Question No. 25: Consistent with its approach to developing schedules for routes across the country, Amtrak developed the *Sunset Limited* schedules based on the principles in Amtrak's Response to Investigative Question No. 24. Amtrak further responds as follows.

Congress established Amtrak with the mission “to provide efficient and effective intercity passenger rail mobility consisting of high quality service that is trip-time competitive with other intercity travel options.” 49 U.S.C. § 24101(b). Amtrak must offer competitive schedules to satisfy its statutory mandate and effectuate the public interest in efficient and effective intercity passenger rail. Historically, Amtrak has encountered considerable resistance in that pursuit from its host railroads. Even when Amtrak accedes to host railroads' demands for longer schedules that are less trip-time competitive than alternative modes of transportation, Amtrak receives substandard on-time performance from host railroads who continue to demand more time to accommodate their own operations.

The *Sunset Limited* is no different. Throughout its history, host railroads have consistently advocated for lengthening its schedule. As a result, the schedule for westbound Train 1 today is more than four hours longer than it was in 1950, when the route was also 75 miles longer than it is now. Likewise, the schedule for eastbound Train 2 is nearly four hours longer than it was in 1950, when operated by the Southern Pacific Railroad (“SP”). Put simply, the *Sunset Limited* schedules are significantly longer today than they were 73 years ago.

Although Amtrak does not have in its possession, custody, and control information about the methodology used to calculate each iteration of the schedule over the history of the *Sunset Limited*, Amtrak herein responds based on a reasonable and diligent search for information within its possession, custody, and control about the *Sunset Limited* schedule.

Since a 1998 renegotiation of the Amtrak-UP operating agreement, during which Amtrak agreed to *Sunset Limited* schedules with considerably more Recovery Time than nearly all other long-distance routes, Amtrak and UP have twice negotiated material revisions to the schedule. The first revisions were negotiated in 2005, at a time when the *Sunset Limited* was arriving (on average) eight hours late at each of its endpoints. As a result of negotiations between Amtrak and UP, and based on certain assurances by UP, Amtrak agreed to add approximately 3.5 hours to the Train 1 and Train 2 schedules.³⁹ Although revisions negotiated after Congress passed the Passenger Rail Investment and Improvement Act of 2008 (“PRIIA”) pared back some of that time,⁴⁰ the *Sunset Limited* schedules today remain significantly lengthier than the schedules applicable in 2004, and considerably lengthier than the schedules apparently applicable in 1950.⁴¹

Following issuance of the Final Rule, Amtrak evaluated the *Sunset Limited* schedules for alignment with the COTP Metric and Standard. After concluding that the *Sunset Limited* schedules were so aligned, Amtrak proposed that host railroads jointly certify the schedules. All host railroads agreed to do so, except for UP. *See* Response to Investigative Question No. 33.

³⁹ In 2005, the *Sunset Limited*’s route included travel between New Orleans, Louisiana and Orlando, Florida. The approximately 3.5 hours Amtrak added to both the Train 1 and Train 2 schedules in 2005 was added to the Los Angeles, California to New Orleans, Louisiana segment which currently comprises the *Sunset Limited*’s route.

⁴⁰ After the passage of PRIIA, FTI on UP portions of the route declined significantly. As a result, some *Sunset Limited* Trains began arriving to a particular station early. That early arrival required that *Sunset Limited* Trains dwell at the station until the scheduled departure time, complicating UP operations. As a result, UP initiated a conversation about removing excessive recovery time at the station, and the parties subsequently agreed to remove excess recovery time in several locations.

⁴¹ Amtrak has conducted a reasonable and diligent search and could not locate any underlying work papers or studies related to these revisions of the *Sunset Limited* schedules.

After UP declined to certify the Sunset Limited schedule, and proposed substantial revisions to it,⁴² Amtrak used its LASER On Time Performance Model (“LASER Model”) to help analyze the *Sunset Limited* schedule.⁴³ See Response to Investigative Question No. 33. Amtrak’s working files underlying its August 2021 LASER model analysis, as well as Amtrak’s subsequent scheduling proposals to UP, are being produced in response to this Investigative Question. See 2021 *Sunset Limited* LASER Model and Related Work Papers (AMTRAK_STB_NATIVE_0015; AMTRAK_STB_NATIVE_0016); September 2021 Proposed Schedule (AMTRAK_STB_NATIVE_0021); November 2021 Proposed Schedule (AMTRAK_STB_NATIVE_0020).

Additionally, and although Amtrak did not identify a factual basis to re-verify the Pure Running Times on the *Sunset Limited*, Amtrak later utilized a tool named “BooM” that uses actual transit time data to evaluate Pure Running Time. Amtrak performed a BooM analysis of the *Sunset Limited* in August 2022, the results of which are also being produced in response to this Investigative Question. See 2022 *Sunset Limited* BooM Analysis and Related Work Papers (AMTRAK_STB_NATIVE_0017; AMTRAK_STB_NATIVE_0018; AMTRAK_STB_NATIVE_0019; AMTRAK_STB_0000666). Amtrak did not make any changes to Pure Running Time based on the BooM analysis. See Response to Investigative Question No. 30 (explaining that Amtrak is not aware of decisions to downgrade track, reduce maximum speed, reduce signal progression, or to otherwise make fundamental changes that affect *Sunset Limited* service schedules since the last time they were verified).

⁴² See Response to Investigative Question No. 32.

⁴³ The LASER Model is a deterministic modeling tool, which evaluates how COTP would change under different schedules. The default LASER Model holds other variables constant, including (for example) how engineers operate the train, signal aspects, and delays. Amtrak can engage specific features to model adjustments to certain variables.

Finally, for completeness, Amtrak further responds that in the spring of 2022, Amtrak and UP began discussing the potential relocation of a fueling location on the *Sunset Limited* route from Tucson to alternative locations. At that time, scheduled Dwell Time at Tucson accounted for the fueling that would take place, along with daily inspections that took place at Tucson. On or around September 26, 2022, Amtrak and UP agreed to relocate the fueling and inspection location from Tucson to Santa Teresa. Accordingly, UP and Amtrak have agreed to modify the *Sunset Limited* schedule to reallocate Dwell Time from Tucson to Santa Teresa. This modification to the *Sunset Limited* schedule went into effect with Train 1 departing New Orleans on January 23, 2023 and Train 2 departing Los Angeles on January 25, 2023. Amtrak and UP are also discussing a schedule modification that would shift inspection work from Santa Teresa to El Paso. Although Amtrak and UP remain unable to agree on a certified schedule for the entire *Sunset Limited* route, Amtrak and UP did agree on these schedule changes related to relocating the fueling and inspection work.

Investigative Question No. 26 (Schedule skeletons—effective dates). Confirm that the schedule skeletons in Appendix A of your complaint were in effect throughout the Relevant Period. If that is not the case, then provide all schedule skeletons in effect since October 1, 2021, with a detailed list of the *Sunset Limited* train numbers and train index dates to which each schedule skeleton applied.

Amtrak's Response to Investigative Question No. 26: The schedule skeletons provided in Appendix A of Amtrak's Complaint and Petition were in effect throughout the Relevant Period. Amtrak additionally responds that the schedule skeletons provided in Appendix A of Amtrak's Complaint and Petition require a small number of corrections as explained in Amtrak's Response to Investigative Question No. 23. Updated schedule skeletons are being produced along with these responses. *See* Updated Schedule Skeletons (AMTRAK_STB_NATIVE_0014). Amtrak further responds that corrections to the schedule skeletons have no impact on computations in the Complaint and Petition and no impact on these responses to the Board's Investigative Questions.

Investigative Question No. 27 (Schedule skeletons—negative minutes). Explain all instances where negative values are given for “Misc. Adjust.” Time and “Recovery Minutes” in Appendix A of your complaint.

Amtrak’s Response to Investigative Question No. 27: Instances of negative values for Recovery Time and Miscellaneous Time in the *Sunset Limited* schedule skeletons serve two purposes. The negative values represent either an effort to reflect times used for calculating host railroad performance incentives, as agreed to in the relevant host’s operating agreement with Amtrak, or an effort to prevent trains from excessive wait times for their scheduled departure time at stations.

Accounting for Performance Incentives. Negative values for Miscellaneous Time in the *Sunset Limited* schedule skeletons can reflect an effort by schedule analysts to keep track of times used for calculating host railroad performance incentives. More specifically, negative values for Miscellaneous Time may be used to account for significant Recovery Time that is placed at a handoff between host railroads, for the benefit of the terminating host and for the purpose of calculating performance payments.⁴⁴

This is precisely what occurs at Iowa Junction, the location at which contractual responsibility for hosting the *Sunset Limited* transitions from BNSF to UP (Train 1) or from UP to BNSF (Train 2).⁴⁵ For example, the Train 2 schedule skeleton contains 69 minutes of positive Recovery Time at Iowa Junction. In a second row for the same location, the Train 2 schedule skeleton contains -54 minutes of Miscellaneous Time. The significant positive Recovery Time at Iowa Junction is attributed to UP, the terminating host, for purposes of evaluating the end-to-end run time that dictates UP’s contractual performance payments. It has the practical effect of

⁴⁴ Building significant Recovery Time into the schedule at the end of a host railroad segment benefits the host railroad by increasing contractual incentive payments or moderating contractual penalties, based on end-to-end Run Time over the hosted segment.

⁴⁵ Iowa Junction is not a passenger station; therefore the miscellaneous adjustments at Iowa Junction do not affect the Customer OTP metric.

moderating contractual penalties that UP owes to Amtrak because of consistently poor on-time performance. The negative Miscellaneous Time is then applied to realign the schedule skeleton with the appropriate and agreed run time. The net effect for Train 2 is that it gains 15 minutes of Recovery Time at Iowa Junction (69 minutes – 54 minutes).⁴⁶ And for Train 1, the negative Miscellaneous Time serves the same purpose, by aligning the schedule skeleton with appropriate run times after calculation of the BNSF performance payment. These offsets do not affect actual operation or on-time performance of the *Sunset Limited*; for example, the adjustments to Train 1 at Iowa Junction have the same practical effect as if the skeleton showed 15 minutes of Recovery Time and zero Miscellaneous Adjustment.

Preventing Excessive Wait Time. Other instances of negative values for Recovery Time and Miscellaneous Time typically represent an effort to prevent trains from waiting for their scheduled departure time at passenger stations. For example, this issue drives the negative Recovery Time for Train 1 at Lake Charles. Because that Train has 9 minutes of Recovery Time and Miscellaneous Time at Iowa Junction (the previous location), a Train 1 that leaves Lafayette on time and is not delayed would arrive at Lake Charles 9 minutes early and would then have to wait for its scheduled departure time at this relatively small stop. The -8 minutes of Recovery Time reduces this to a net Recovery and Miscellaneous Time of 1 minute. Therefore, if Train 1 leaves Lafayette on time and is not delayed, it will only arrive at Lake Charles 1 minute early. Additionally, Train 1 then has a total of 20 minutes of Recovery and Miscellaneous Adjustment for the 79-minute (Pure Running Time) trip from Lake Charles to the next stop, Beaumont.

⁴⁶ In addition to these 15 minutes, there are another 4 minutes of Recovery Time at Lafayette, the station immediately following Iowa Junction. Therefore, if Train 2 departs Lake Charles on time and is not delayed, Train 2 will arrive in Lafayette 19 minutes early. Or conversely, it can be delayed 19 minutes between Lake Charles and Lafayette and still arrive in Lafayette at the scheduled time.

Amtrak's November 2021 schedule proposal to UP would have eliminated most instances of negative Recovery and Miscellaneous Time on the UP segments of the *Sunset Limited* route. UP rejected this proposal. Amtrak's November 2021 schedule proposal to UP is being produced in response to this Investigative Question. *See* November 2021 Proposed Schedule (AMTRAK_STB_NATIVE_0020).

Investigative Question No. 28 (Schedule skeletons—dwell times). Explain the purpose of “Dwell Minutes” scheduled for stations that are not passenger stops in Appendix A of your complaint.

Amtrak’s Response to Investigative Question No. 28: The *Sunset Limited* schedule skeletons contained in Appendix A show Dwell Minutes for one location that is not a passenger stop. That location is Kirby Yard, which is a fueling location on the *Sunset Limited* route. Dwell Time is assigned to Kirby Yard to account for the time the train spends refueling at that location. As set forth in Amtrak’s Response to Investigative Question No. 25, Amtrak and UP have agreed on a schedule modification such that Amtrak now performs some refueling in Santa Teresa as well. For that reason, Amtrak now allots Dwell Minutes to that location, even though it is not a passenger station.

Investigative Question No. 29 (Variations in tri-weekly operation). Describe and explain the reasons for any changes in the per-week frequency of *Sunset Limited* operations that occurred during the Relevant Period.

Amtrak's Response to Investigative Question No. 29: Amtrak did not change the per-week frequency of *Sunset Limited* operations during the Relevant Period.

Investigative Question No. 30 (Schedule updates). Describe Amtrak’s processes, if any, for performing checks of its schedule skeletons to verify that the pure running times and dwell times prescribed therein remain attainable. Provide, where practicable, any work products or work papers, in a machine-readable format, that achieve this schedule skeleton checking functionality.

Amtrak’s Response to Investigative Question No. 30: Amtrak respectfully incorporates by reference its Response to Investigative Question No. 25, which describes the analyses Amtrak performed with respect to the *Sunset Limited* schedule and the tools Amtrak used to analyze the *Sunset Limited*’s schedule skeleton. Amtrak is also producing the two analyses referenced in its Response to Investigative Question No. 25, including its August 2021 LASER model analysis and its August 2022 BooM analysis. *See* 2021 *Sunset Limited* LASER Model and Related Work Papers (AMTRAK_STB_NATIVE_0015; AMTRAK_STB_NATIVE_0016); 2022 *Sunset Limited* BooM Analysis and Related Work Papers (AMTRAK_STB_NATIVE_0017; AMTRAK_STB_NATIVE_0018; AMTRAK_STB_NATIVE_0019; AMTRAK_STB_0000666).

Amtrak further responds that, as a general matter, it has not identified a factual basis to re-verify the Pure Running Times on the *Sunset Limited*. Host railroads are responsible for informing Amtrak of any fundamental change that would affect a service schedule, such as the decision to downgrade track, reduce maximum speed, or reduce signal progression.⁴⁷ Amtrak also re-verifies the Pure Running Time that underlies a schedule skeleton if it makes fundamental changes to service operations, including, for example, by utilizing a less powerful locomotive for the service or renegotiating the route that a particular service takes between destinations. Amtrak is not aware of any such situations that have arisen on the *Sunset Limited* route that would have materially affected its Pure Running Times since the last time they were verified.

⁴⁷ Amtrak does not by offering these hypothetical examples intend to concede that host railroads are contractually permitted to undertake actions that adversely affect service schedules for these reasons.

Investigative Question No. 31 (Factors used to revise schedules). Describe the assumptions, methods, and factors that have been used to revise the Line's schedule skeleton in the past.

Amtrak's Response to Investigative Question No. 31: Amtrak respectfully incorporates by reference its Response to Investigative Question No. 25, which details the most recent significant revisions to the *Sunset Limited's* schedule skeleton, including any assumptions, methods, and factors that Amtrak considered in negotiating those revisions.

Investigative Question No. 32 (Certified schedules). Explain why no “certified schedule” (as defined by 49 C.F.R. § 273.3) has been created for Train 1 or Train 2.

Amtrak’s Response to Investigative Question No. 32: As defined by 49 C.F.R. § 273.3, a certified schedule is a published train schedule that Amtrak and the relevant host railroads have jointly certified as aligned with the COTP metric and standard set forth by 49 C.F.R. § 275.5(a)(1) and (2). Since issuance of the Final Rule, Amtrak and its host railroad partners have certified more than 95% of all published train schedules. The published train schedules for the *Sunset Limited* Trains have been certified by each host railroad along the route, except for UP. Amtrak reported that CN had certified the published train schedule for its portion of the *Sunset Limited* route in a notice dated April 16, 2021.⁴⁸ Amtrak also reported that BNSF and SCRR had certified the published train schedules for their portions of the *Sunset Limited* routes in notices dated May 17, 2021 and November 16, 2021, respectively.

Amtrak and UP have not jointly certified the published schedules for Train 1 and Train 2. By letter dated December 18, 2020, Amtrak proposed to UP that the schedules for Train 1 and Train 2 be certified as aligned with the COTP metric and standard. By email dated April 9, 2021, UP sought a specific change to the schedules proposing to: 1) add 7 minutes of Pure Running Time and 74 minutes Recovery Time to Train 1; and 2) add 5 minutes Pure Running Time and 74 minutes Recovery Time to Train 2.⁴⁹ Amtrak considered and ultimately declined that proposal. The parties exchanged additional proposals on the *Sunset Limited* schedule in September (Amtrak

⁴⁸ Amtrak understands that CN now asserts that it is not a host of the *Sunset Limited*, despite certifying the *Sunset Limited*’s schedule in April 2021. See Response of Illinois Central Railroad Company to Amtrak’s Complaint and Proposed Procedures, filed Jan. 27, 2023, at 8; *id.*, Attachment B at 2.

⁴⁹ By letter dated April 16, 2021, UP formally initiated a non-binding dispute resolution process to address the specific schedule changes sought by UP. As set out below, the parties subsequently traded additional proposals regarding the *Sunset Limited* schedule, but did not reach agreement. Moreover, the parties have thus far been unable to mutually agree to move forward with the non-binding dispute resolution process.

proposal),⁵⁰ October (UP proposal), and November (Amtrak proposal) of 2021,⁵¹ but did not reach agreement.

In short, Amtrak concluded that the initial UP proposal to *increase* the amount of Pure Running Time on the route was unsupported by any evidence of fundamental changes to the route made by Amtrak, UP, or other hosts. UP did not and has not informed Amtrak of any fundamental changes it has made to the track of the route, such as downgrading track, reducing maximum speeds, or reducing signal progression, which would impact Pure Running Time. Similarly, Amtrak has not implemented any fundamental changes to the operations of the *Sunset Limited* route which would support increasing the Pure Running Time of the route.

Amtrak likewise concluded that UP proposals to significantly increase the amount of Recovery Time layered into the *Sunset Limited* schedule was unsupported because the *Sunset Limited* schedule already contains sufficient Recovery Time and Excess Dwell Time, which should allow UP to run the train on schedule. *See* Response to Investigative Question No. 24. Experience also demonstrates that, in fact, UP *can* run the *Sunset Limited* on schedule, as demonstrated by the fact that the *Sunset Limited* achieved the 80% COTP standard on 24 runs during the Relevant Period.⁵² For these and other reasons, Amtrak concluded that the *Sunset Limited* schedule was already aligned with the COTP metric and standard.

⁵⁰ *See* September 2021 Proposed Schedule (AMTRAK_STB_NATIVE_0021)

⁵¹ *See* November 2021 Proposed Schedule (AMTRAK_STB_NATIVE_0020)

⁵² Likewise, the *Sunset Limited* showed significant improvement in COTP in the period immediately after Amtrak filed its Complaint and Petition in this matter.

Investigative Question No. 33 (Proposed revised schedules using current scheduled run time). Provide all schedules proposed by Amtrak to a host railroad after December 16, 2020, that use either the current overall scheduled running time of the trains or a lesser amount of run time.

Amtrak's Response to Investigative Question No. 33: On December 18, 2020, Amtrak proposed to UP, BNSF, CN, and SCRRA that the *Sunset Limited* schedule then in effect be jointly certified. The respective proposals to each host are being produced in response to this Investigate Question. See Amtrak Proposal to BNSF (AMTRAK_STB_0000667); Amtrak Proposal to CN (AMTRAK_STB_0000671); Amtrak Proposal to SCRRA (AMTRAK_STB_0000674); Amtrak Proposal to UP (AMTRAK_STB_0000678). CN, BNSF, and SCRRA each certified that schedule, see CN Certification (AMTRAK_STB_0000685), BNSF Certification (AMTRAK_STB_0000683), and SCRAA Certification (AMTRAK_STB_0000710), respectively, and Amtrak has not proposed any other schedules to CN, BNSF, or SCRRA.

As stated in Amtrak's Response to Investigative Question No. 32, UP did not certify the current schedule of the *Sunset Limited* and requested specific changes to the current schedule. In an effort to work with UP, Amtrak proposed to UP certain modifications to the *Sunset Limited* schedule, each of which utilized the same overall scheduled running time of the current schedule but reallocated Recovery Time to different segments of the *Sunset Limited* route. Over the course of discussions between Amtrak and UP regarding the *Sunset Limited* schedule, Amtrak proposed modified schedules to UP in September 2021 and November 2021. Amtrak is producing each proposal along with this response. See September 2021 Proposed Schedule (AMTRAK_STB_NATIVE_0021); November 2021 Proposed Schedule (AMTRAK_STB_NATIVE_0020).

Unrelated to the schedule certification process, Amtrak sent proposals to UP in 2022 to relocate a refueling location on the *Sunset Limited* route from Tucson to Santa Clara in order to improve operational efficiency. That proposal utilized the same overall scheduled running time as

the current schedule but reallocated Dwell Time to the new refueling location. As explained in Amtrak's Response to Investigative Question No. 28, refueling locations are assigned Dwell Time at X-points in the schedule skeleton if the refueling does not take place at a passenger station. The proposal was agreed to by the parties on or around September 26, 2022, and went into effect in January 2023.

Investigative Question No. 34 (Proposed revised schedules that are greater than the current scheduled run time). Provide all schedules proposed by Amtrak to a host railroad after December 16, 2020, that extend the overall scheduled running time of the trains beyond the current overall schedule run time.

Amtrak's Response to Investigative Question No. 34: Amtrak has not proposed schedules to a host railroad after December 16, 2020 that propose extending the overall scheduled running time of the *Sunset Limited* Trains beyond the current overall scheduled run time.

Investigative Question No. 35 (Tests for feasibility). Produce the results of any tests, studies, or projects used to evaluate the feasibility or effectiveness of schedule skeletons on the *Sunset Limited*. Provide any work product, work papers, and all assumptions and documents relied upon in making these calculations in a machine-readable format.

Amtrak's Response to Investigative Question No. 35: Amtrak respectfully incorporates by reference its Response to Investigative Question No. 25, which describes the analyses Amtrak has completed with respect to the feasibility and effectiveness of the *Sunset Limited* schedule, as well as the tools Amtrak utilized to conduct those analyses. Amtrak is also producing the two analyses referenced in its Response to Investigative Question No. 25, including its August 2021 LASER model analysis and its August 2022 BooM analysis. *See* 2021 *Sunset Limited* LASER Model and Related Work Papers (AMTRAK_STB_NATIVE_0015; AMTRAK_STB_NATIVE_0016); 2022 *Sunset Limited* BooM Analysis and Related Work Papers (AMTRAK_STB_NATIVE_0017; AMTRAK_STB_NATIVE_0018; AMTRAK_STB_NATIVE_0019; AMTRAK_STB_0000666).

Investigative Question No. 36 (Detailed OTP, lateness, and train arrival data). Provide a list of every *Sunset Limited* run in the Relevant Period. The list should be in a machine-readable table; it should include the following as separate data fields:

- a. Train number.
- b. Train index date.
- c. Customer OTP for each run (based on all alighting passengers).
- d. Average passenger-minutes late for the run (measured from scheduled arrival at every alighting station, including late durations less than 15 minutes).
- e. Customer OTP at each alighting station for each run.
- f. Minutes late (measured from scheduled arrival) at each station for each run, including late durations less than 15 minutes.
- g. Number of alighting passengers at each station for each run.

Amtrak's Response to Investigative Question No. 36: Amtrak respectfully responds that it does not in the ordinary course of business maintain a single table that contains each of the fields identified in this Investigative Question, or that contains the requested information in the format requested by the Board. However, Amtrak has prepared a machine-readable table containing the information requested, which is being produced as "Detailed COTP, Lateness and Arrival Data." (AMTRAK_STB_NATIVE_0022).

Pursuant to Appendix A, Part I, Instruction 6, Amtrak further responds that the name of the source database for the file selected is Business Objects. The Business Objects database is a system that integrates different universes of data into custom reports, including (among other things) ridership and revenue data, delay and performance data, food and beverage data, and customer service data. As relevant here, the universe of delay and performance data within the Business Objects database was utilized to formulate this response.

To prepare the "Detailed COTP, Lateness and Arrival Data," Amtrak also relied on the following intermediate files and computer programs:

LASER Report: This intermediate file is a report developed by the Amtrak Scheduling Department, through the Business Objects database, for use in Amtrak's LASER tool. This intermediate file details selected train performance against its schedule for every station, over a designated time period, as well as the number of passengers at each location for each train and date.

The records relied upon to create the machine-readable file were selected by querying the pertinent database and intermediate files for records associated with *Sunset Limited* Trains that ran during the Relevant Period. Also, pursuant to Appendix A, Part I, Instruction 6, Amtrak further responds that a data dictionary detailing the information set out in Instruction 6(b)(i)-(vii) is being produced as AMTRAK_STB_NATIVE_0023.

Investigative Question No. 37 (Origin/Destination Data). For each origin/destination station pair served by the *Sunset Limited*, provide the total passenger-trips, passenger-miles, and ticket revenue for all *Sunset Limited* trains operated during the Relevant Period. Include data for all passenger-trips that arrived at destination stations during the Relevant Period, even if the train run originated or terminated before or after the Relevant Period. These data should be provided in a machine-readable format.

Amtrak’s Response to Investigative Question No. 37: Amtrak respectfully responds that it does not in the ordinary course of business maintain a single table that contains each of the fields identified in this Investigative Question, or that contains the requested information in the format requested by the Board. However, Amtrak has prepared a machine-readable table containing the information requested, which is being produced as “*Sunset Limited* Origin Destination Data.” (AMTRAK_STB_NATIVE_0025).

Pursuant to Appendix A, Part I, Instruction 6, Amtrak further responds that the name of the source database for the file selected is the Enterprise Data Warehouse (“EDW”) database. The EDW database is a system that stores Amtrak transactional and operational data in a relational database format. The database can be used to link train routes, train numbers, and station locations with individual customer trip data to get ridership, mileage, and revenue totals across different dimensions of data, including time and route-based aggregates.

No other data source or intermediate file was used except for data housed in the EDW database to prepare the “*Sunset Limited* Origin Destination Data” Table. SQL programming was used to develop data tables and statistics provided, and queries were written through the application interface dBeaver. The records relied upon to create the machine-readable file were selected by querying the pertinent database for records associated with *Sunset Limited* Trains that either originated or terminated within the Relevant Period.

Also pursuant to Appendix A, Part I, Instruction 6, Amtrak further responds that a data dictionary detailing the information set out in Instruction 6(b)(i)-(vii) is being produced as AMTRAK_STB_NATIVE_0024.

Investigative Question 38 (Train-Mile and Passenger-Mile Data). For each run of the *Sunset Limited*, and by train number, during the Relevant Period, provide train-miles, passenger-miles, and passenger-trips by schedule skeleton segment. These data should be provided in a machine-readable format.

Amtrak's Response to Investigative Question No. 38: Amtrak respectfully responds that it does not in the ordinary course of business maintain a single table that contains each of the fields identified in this Investigative Question, or that contains the requested information in the format requested by the Board. However, Amtrak has prepared a machine-readable table containing the information requested, which is being produced as "Train-Mile & Pass-Mile Data." (AMTRAK_STB_NATIVE_0027).

Pursuant to Appendix A, Part I, Instruction 6, Amtrak further responds that the name of the source database for the file selected is the EDW database. No other data source or intermediate file was used except for data housed in the EDW database to create the "Train-Mile & Pass-Mile Data" Table. SQL programming was used to develop data tables and statistics provided. Queries were written through the application interface dBeaver. The records relied upon to create the machine-readable file were selected by querying the pertinent database for records associated with *Sunset Limited* Trains that either originated or terminated within the Relevant Period.

Also pursuant to Appendix A, Part I, Instruction 6, Amtrak further responds that a data dictionary detailing the information set out in Instruction 6(b)(i)-(vii) is being produced as AMTRAK_STB_NATIVE_0026.

Investigative Question No. 39 (Expiring freight crews). During the Relevant Period, what is the number of times Amtrak trains on the *Sunset Limited* route were stopped behind a freight train that was undergoing a host railroad crew change? Explain how you know a delay is caused by a host railroad crew change. How many delay minutes did these stops account for during the Relevant Period? Explain the methodology you used to calculate any delay minutes in the answer you provide.

Amtrak's Response to Investigative Question No. 39: During the Relevant Period, *Sunset Limited* Trains experienced at least 77 instances of delay because freight trains required a crew change. Amtrak determined that *Sunset Limited* Trains experienced at least 77 instances of such delay based on its eDR system. As set forth in Response to Investigative Question No. 1, Amtrak's eDR system allows conductors to indicate where delays are related to a crew change, using one of several pre-populated delay explanations (pick up/drop off freight crew) for delays caused by freight train interference. Conductors can also note a host railroad crew change by selecting "Other" within the eDR system and entering an explanation of the delay.⁵³ Each instance of delay related to a freight crew change can be identified in data produced in response to Investigative Question No. 7.

As stated in its Response to Investigative Question No. 15, the train delays metric reported to the FRA each quarter includes the reporting of disputed delays where Amtrak and the host railroad are unable to agree on a delay category. It is the host's obligation to dispute and request that Amtrak change any delay entry which the host believes is miscategorized. Of the 77 instances of delay that were recorded as resulting from freight trains requiring a crew change, only one instance was disputed by the host.

The 77 instances of delays related to freight crew changes accounted for 2,436 minutes of delay experienced by *Sunset Limited* Trains. Using Amtrak's Categorized Delay Details report,

⁵³ Conductors may learn that a crew change is causing delay by, among other things, consulting a dispatcher about the cause of delay, consulting a dispatcher about the need to drop off or pick up freight crews at their train, or over the radio.

the total delay minutes were calculated as a sum of the minutes in each delay instance. Amtrak's Categorized Delay Details Report (AMTRAK_STB_NATIVE_0028) is being produced in response to this Investigative Question. Also, pursuant to Appendix A, Part I, Instruction 6, Amtrak further responds that a data dictionary detailing the information set out in Instruction 6(b)(i)-(vii) is being produced as AMTRAK_STB_NATIVE_0029.

Investigative Question No. 40 (Houston Subdivision/Beaumont Subdivision—operating agreement). Produce the agreement between UP and Amtrak that specifies that the *Sunset Limited* is to operate over the Houston Subdivision. Provide a cite to the page or article that illustrates this.

Amtrak's Response to Investigative Question No. 40: Amtrak is providing its Operating Agreement with UP in response to this Investigative Question. (AMTRAK_STB_0000716). The Operating Agreement establishes the terms of Amtrak's use of any of UP's rail lines, including the Houston Subdivision. See {{ [REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED] }}.

Investigative Question No. 41 (Houston Subdivision/Beaumont Subdivision—run time comparison). Provide the average actual run time for all Amtrak trains during the Relevant Period for the following segments: (a) from the Houston Amtrak Station to Gulf Coast Junction, (b) from Gulf Coast Junction to Beaumont, (c) from Beaumont to the Houston Amtrak Station via the Houston Subdivision.

Amtrak’s Response to Investigative Question No. 41: Amtrak respectfully responds that it does not in the ordinary course of business measure passing times at Gulf Coast Junction, but instead only measures passing times between Houston, Texas, and Beaumont, Texas on the Houston Subdivision at Crosby, Texas (“XCB”). Amtrak is therefore unable to respond to subsections (a) and (b) of the Investigative Question. Amtrak further responds that the average trip times for *Sunset Limited* Trains traveling between Beaumont and Houston, inclusive of trips on the Houston and Beaumont subdivisions, are reflected in the tables immediately below. Should the Board find it helpful, Amtrak can supplement this response to provide average actual runtime for (a) trips on the Houston Subdivision by *Sunset Limited* Train 1; (b) trips on the Beaumont Subdivision by *Sunset Limited* Train 1; (c) trips on the Houston Subdivision by *Sunset Limited* Train 2; and (d) trips on the Beaumont Subdivision by *Sunset Limited* Train 2.

Train 1 Average Run Time BMT-HOS	
Total Average Minutes	156.4

Train 2 Average Run Time HOS-BMT	
Total Average Minutes	185.9

Investigative Question No. 42 (Houston Subdivision/Beaumont Subdivision—routing). How many times was Amtrak Train 2 routed over the Beaumont Subdivision during the Relevant Period?

Amtrak's Response to Investigative Question No. 42: Based on its reasonable and diligent investigation, Amtrak has concluded that Train 2 was routed over the Beaumont Subdivision 154 times during the Relevant Period.

Investigative Question No. 43 (Plans for Improving Passenger Service). Explain any measures or plans you have, or would propose to undertake in cooperation with other entities, for improving passenger service and on-time performance of your passenger trains, with particular emphasis on the *Sunset Limited*.

Amtrak's Response to Investigative Question No. 43: Amtrak works continually to improve passenger service and on-time performance, including by collaborating with host railroads to identify operational and other issues that result in delay to Amtrak trains, and recommending specific measures to mitigate such delays. However, as this proceeding shows, Amtrak faces significant challenges in implementing measures or plans to improve on-time performance outside of the Northeast Corridor ("NEC"). Because Amtrak owns a *de minimis* amount of trackage outside of the NEC, intercity passenger rail services like the *Sunset Limited* depend heavily on decisions concerning dispatching, operations, and infrastructure that are made by host railroads and outside of Amtrak's control. Amtrak generally lacks visibility into the policies and procedures that govern those decisions. Without the Board's intervention, Amtrak lacks any practical way to test whether host railroads' policies and procedures align with good operating practice and statutory requirements. Amtrak likewise lacks any practical way to test whether host railroads' actual operating practices conform to the host railroads' stated policies and procedures.

With respect to the *Sunset Limited*, Amtrak seeks through this proceeding to gain information it requires to help determine what specific measures or plans should be implemented to remedy the substandard on-time performance of *Sunset Limited* Trains. Such measures may include, and are not limited to:

- Measures monitoring host railroad compliance with Amtrak's statutory right to preference;
- Measures modifying policies, procedures, or protocols applicable to dispatching decisions along the route;
- Measures modifying the implementation of policies, procedures, or protocols applicable to dispatching decisions along the route;

- Measures modifying any deficiencies in algorithms used to dispatch trains along the route;
- Measures regarding the routing of *Sunset Limited* Trains between Beaumont and Houston;
- Measures modifying how host railroads manage the expiration of freight crews;
- Measures restricting the operation of freight trains that cannot take sidings on the route; and
- Measures modifying freight schedules that interfere with *Sunset Limited* services.

Amtrak reserves its right to supplement this response based on its review of the investigative record and material obtained through party-directed discovery, and to address proposed remedies for the deficient performance of *Sunset Limited* Trains in subsequent briefing contemplated under the Board's July 11 Decision. Amtrak further responds below with respect to its current efforts to engage with its host railroads to improve customer on-time performance, to address Amtrak-Responsible Delays and Third-Party Delays, and to identify funding opportunities for potential improvements focused on customer on-time performance.

Collaboration with Host Railroads. Amtrak works collaboratively with host railroads to identify measures that would improve COTP across the Amtrak network, including the *Sunset Limited*. As a matter of course, members of Amtrak's Host Railroad Group meet with representatives of host railroads, including the National Railroad Passenger Corporation ("NRPC") officer, to discuss the performance of Amtrak's intercity passenger rail service, and to identify opportunities to better serve the operations of all parties. Meetings with each Class I freight railroad are generally conducted bi-weekly and supplemented through regular data exchange and informal communication.

In addition, Amtrak's Host Railroad Group meets monthly with representatives of host railroads on an individual basis, including UP, to discuss longer-term (25-month) performance

trends across a given host railroad's entire network. This presentation spotlights persistent, identifiable issues of delay, and, as related to the *Sunset Limited* during the Relevant Period, has included a breakdown of UP-responsible delay on the *Sunset Limited* route across time and at the junction-level.

These meetings have provided some insight into efforts host railroads may undertake to improve COTP on the *Sunset Limited*. For example, based on these discussions, Amtrak and UP recently negotiated an agreement to move a refueling location for the *Sunset Limited* Trains from Tucson, Arizona to Santa Teresa, New Mexico, in order to help improve both passenger and freight operations. See Response to Investigative Question No. 25. Meetings with host railroads have also identified situational challenges that bear on the *Sunset Limited* performance. For example, perennial crew shortages in high-volume areas, closures of sidings capable of routing non-fitting trains, and unnecessary slow-orders leading to congestion, have been highlighted as reasons for poor COTP.

Reducing Amtrak and Third-Party Delays. Although only a small portion of total *Sunset Limited* delays, Amtrak generally takes measures to minimize Amtrak-Responsible Delays and Third-Party Delays. As examples, with respect to Amtrak-Responsible Delays, Amtrak deploys road foreman on trains to promote operation at maximum speeds, works with conductors to reduce station dwell, manages fuel supply contracts to avoid delays at fuel pads, conducts state of good-repair maintenance to equipment needed to avoid passenger and baggage handling delays, extends support to locomotive engineers who experience issues related to positive train control, and coordinates train servicing and inspection to mitigate initial terminal delays. Again as an example, with respect to Third-Party Delays, Amtrak has undertaken efforts to better understand trespasser

delays, distinguishing between human and animal trespassers to help make Amtrak routes safer for passengers and trespassers alike.

Federal Programs. In general, infrastructure projects completed along Amtrak’s long-distance routes have not delivered on-time performance consistent with the Minimum Standard. Nevertheless, Amtrak regularly explores the opportunity to improve passenger service and on-time performance through the use of federal funding. As an example, Amtrak recently coordinated with stakeholders including UP and the Texas Department of Transportation to submit to FRA a grant request under the Consolidated Rail Infrastructure and Safety Improvements (“CRISI”) Program for the San Antonio Amtrak Improvements Project (“Project”). The Project proposed replacing the manual switch at Amtrak’s San Antonio Station (MP 209.73) with a remote-controlled power switch, the addition of a 4,000 track-foot wye connection between UP’s Del Rio and Austin Subdivisions, the installation of a 10,000 track-foot siding on UP’s Austin Subdivision, and upgraded centralized traffic control (“CTC”) signaling, which together were expected to improve the on-time performance of the *Sunset Limited*.⁵⁴

⁵⁴ The work was also expected to reduce risk for freight crews operating on the rail network in Texas, and improve the on-time performance of freight trains operating on that network.

Investigative Question No. 44 (Passenger well-being and travel continuity). Describe the procedures, if any, in place to ensure passengers’ proper well-being and assure their continuity of travel when delays occur—specifically, passenger access to food, water, restrooms, and HVAC, as well as assistance with alternative travel arrangements and accommodations. Provide any documents that describe these procedures.

Amtrak’s Response to Investigative Question No. 44: Amtrak is dedicated to the safety, well-being, and comfort of its passengers during all passenger rail trips, including during delays and emergencies. Amtrak is providing its Service Standards for Train Service and Onboard Service Employees (“Service Standards Manual”) (AMTRAK_STB_0000906), which is a single reference document of policies, procedures, and standards applied by Amtrak’s frontline and supervisory employees, to help ensure the delivery of consistent, high-quality service to Amtrak’s passengers.

Amtrak uses the umbrella term “Service Recovery” to describe the policies and procedures it uses to mitigate the impact of delays or other service interruptions for passengers. Service Recovery intended to mitigate the impact of delays includes:

- **Providing Information About Delays.** In the event of a delay, Amtrak conductors advise customers of the delay, its cause, and its expected length, and keep them informed thereafter. *See* Service Standards Manual (AMTRAK_STB_0000906) at 10-8 to 10-9 (AMTRAK_STB_0001166-1167). Conductors are also required to notify Amtrak’s Customer Support and/or CNOC of delays expected to delay the train’s arrival at the next station by 15 minutes or more. *Id.* at 7-21 to 7-22 (AMTRAK_STB_0001113-1114).
- **Alternate Travel Arrangements and Accommodations.** Amtrak may also provide alternate travel arrangements (such as bus transportation), re-accommodation on a later train, and/or lodging (hotels) in the event of a major delay or a delay that causes a customer to miss a guaranteed connection. The decision to provide alternate travel or hotels is made by management teams from the Service Delivery and Operations Departments. *See* CNOC Manual (AMTRAK_STB_0000106) at Appendix B-15 to B-16 (AMTRAK_STB_0000175-176).
- **Food and Beverage Service.** Options for food and beverage service include providing snack packs and individual bottles of water, emergency meal kits, and family emergency kits (which contain diapers and menstrual products). The length of delay, internal and external conditions (such as the temperature or weather), the availability of other food and beverages on board, the number of customers on board, and whether the train is moving or standing are all factors the Conductor or Lead Services Attendant considers when providing food and beverage service during a delay.

- **Resolving Other Customer Complaints.** Amtrak's policy is that employees must make every effort to resolve a customer's complaint or concern if possible before contacting a customer service support number.

In the event of an emergency, in addition to relevant notifications to CNOC, the train dispatcher, and law enforcement (if needed), Amtrak's policy dictates that employees (1) walk the train (inside) to help customers by keeping them informed, answering questions, and providing assistance, and (2) make frequent announcements of current conditions and estimated delays. Notably, it is Amtrak's policy that all employees, whether on-duty or off-duty, must identify themselves to the appropriate person in charge while traveling on Amtrak trains and offer to assist customers and employees in the event of an emergency. Service Standards Manual at 1-5 (AMTRAK_STB_0000930).

Respectfully submitted,

Dated: September 25, 2023

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CERTIFICATE OF SERVICE

I, Jessica Ring Amunson, certify that copies of this document are simultaneously being provided by email to all parties identified on the service list for this proceeding, Docket Number NOR 42175.

September 25, 2023

/s/ Jessica Ring Amunson
Jessica Ring Amunson

PUBLIC VERSION

TABLE OF CONTENTS

Request Responsive To	Document	Bates	Confidentiality Designation
1; 13; 19	Electronic Delay Reporting (“eDR”) Overview	AMTRAK_STB_0000001	Public
1; 12; 13; 16; 19	Reporting and Recording Delays on Host Railroads (effective October 10, 2022) ("2022 Delay Manual")	AMTRAK_STB_0000017	Highly Confidential
1; 12; 13; 16; 19	Reporting and Recording Delays on Host Railroads (effective May 10, 2021) ("2021 Delay Manual")	AMTRAK_STB_0000061	Highly Confidential
2; 44	CNOC Operations Manual (“CNOC Manual”)	AMTRAK_STB_0000106	Confidential
2; 3	Train Status User Guide	AMTRAK_STB_0000226	Confidential
3	CCT AdHoc SOP (7.13.2023)	AMTRAK_STB_0000232	Confidential
3	AEM Instructions Simplified	AMTRAK_STB_0000253	Confidential
3	AEM Service Alert Instructions	AMTRAK_STB_0000258	Confidential
3	AEM User Guide	AMTRAK_STB_0000287	Confidential
3	Arrow User Guide	AMTRAK_STB_0000311	Confidential
3	Gov Delivery User Guide	AMTRAK_STB_0000331	Confidential
3	S360 AdHoc Dashboard	AMTRAK_STB_0000338	Confidential

PUBLIC VERSION

Request Responsive To	Document	Bates	Confidentiality Designation
3	CCT Twitter SOP (7.13.2023)	AMTRAK_STB_0000348	Confidential
7	Sunset Detailed Delay Listing Table	AMTRAK_STB_NATIVE_0002	Public
7	Data Dictionary for Sunset Detailed Delay Listing Table	AMTRAK_STB_NATIVE_0001	Public
8	Conductor Delay Reports	AMTRAK_STB_NATIVE_0003	Public
8	Data Dictionary for Conductor Delay Reports	AMTRAK_STB_NATIVE_0004	Public
9	Detailed Run Time Data Table	AMTRAK_STB_NATIVE_0005	Public
9	Data Dictionary for Detailed Run Time Data Table	AMTRAK_STB_NATIVE_0006	Public
10	Total Run Time Table	AMTRAK_STB_NATIVE_0008	Public
10	Data Dictionary for Total Run Time Table	AMTRAK_STB_NATIVE_0007	Public
11	Detailed Dwell Time Data Table	AMTRAK_STB_NATIVE_0009	Public
11	Data Dictionary for Detailed Dwell Time Data Table	AMTRAK_STB_NATIVE_0010	Public
12	Finance – Revenue Process Narrative	AMTRAK_STB_0000383	Confidential
12; 13; 19	Recording of Train Delays and On-Time Performance Reporting Policy	AMTRAK_STB_0000380	Public
12; 13	eDR Quick Start Guide	AMTRAK_STB_0000548	Public
13	Delay Reporting Codes and Explanations	AMTRAK_STB_0000567	Public
13	OTP Business Rules	AMTRAK_STB_0000568	Public
13; 16	Conductor Delay Reporting Presentation	AMTRAK_STB_0000449	Public
14	Delay Change Request Form	AMTRAK_STB_NATIVE_0013	Public
14; 16; 17	Disputed Delay Log by Host Table	AMTRAK_STB_NATIVE_0011	Public

PUBLIC VERSION

Request Responsive To	Document	Bates	Confidentiality Designation
14; 16; 17	Data Dictionary for Disputed Delay Log by Host Table	AMTRAK_STB_NATIVE_0012	Public
19; 21	Train Operations: On-Time Performance Reporting Generally Accurate; Additional Actions Could Enhance Delay Reporting, OIG-A-2017-007 (March 2, 2017) (“2015 OIG Audit”)	AMTRAK_STB_0000584	Public
21	Office of Inspector General Policy (“OIG Policy”)	AMTRAK_STB_0000616	Public
21	Train Operations: Better Estimates Needed of the Financial Impacts of Poor On-Time Performance, OIG-A-2020-001 (October 14, 2019) (“2019 OIG Audit”)	AMTRAK_STB_0000627	Public
22	Customer OTP Script	AMTRAK_STB_0000664	Highly Confidential
23; 26	Updated Schedule Skeletons	AMTRAK_STB_NATIVE_0014	Public
25; 27; 32; 33	November 2021 Proposed Schedule	AMTRAK_STB_NATIVE_0020	Public
25; 32; 33	September 2021 Proposed Schedule	AMTRAK_STB_NATIVE_0021	Public
25; 30; 35	2021 Sunset Limited LASER Model and Related Work Papers	AMTRAK_STB_NATIVE_0015	Highly Confidential
25; 30; 35	2021 Sunset Limited LASER Model and Related Work Papers	AMTRAK_STB_NATIVE_0016	Highly Confidential
25; 30; 35	2022 Sunset Limited BooM Analysis and Related Work Papers	AMTRAK_STB_NATIVE_0017	Highly Confidential
25; 30; 35	2022 Sunset Limited BooM Analysis and Related Work Papers	AMTRAK_STB_NATIVE_0018	Highly Confidential

PUBLIC VERSION

Request Responsive To	Document	Bates	Confidentiality Designation
25; 30; 35	2022 Sunset Limited Boom Analysis and Related Work Papers	AMTRAK_STB_NATIVE_0019	Highly Confidential
25; 30; 35	2022 Sunset Limited Boom Analysis and Related Work Papers	AMTRAK_STB_0000666	Highly Confidential
33	Amtrak Proposal to BNSF	AMTRAK_STB_0000667	Public
33	Amtrak Proposal to CN	AMTRAK_STB_0000671	Public
33	Amtrak Proposal to SCRRRA	AMTRAK_STB_0000674	Public
33	Amtrak Proposal to UP	AMTRAK_STB_0000678	Public
33	BNSF Certification	AMTRAK_STB_0000683	Public
33	CN Certification	AMTRAK_STB_0000685	Public
33	SCRAA Certification	AMTRAK_STB_0000710	Public
36	Detailed COTP, Lateness and Arrival Data	AMTRAK_STB_NATIVE_0022	Public
36	Data Dictionary for Detailed COTP, Lateness and Arrival Data	AMTRAK_STB_NATIVE_0023	Public
37	Sunset Limited Origin Destination Data	AMTRAK_STB_NATIVE_0025	Public
37	Data Dictionary for Sunset Limited Origin Destination Data	AMTRAK_STB_NATIVE_0024	Public
38	Train-Mile & Pass-Mile Data	AMTRAK_STB_NATIVE_0027	Public
38	Data Dictionary for Train-Mile & Pass-Mile Data	AMTRAK_STB_NATIVE_0026	Public
39	Categorized Delay Details Report	AMTRAK_STB_NATIVE_0028	Public

PUBLIC VERSION

Request Responsive To	Document	Bates	Confidentiality Designation
39	Data Dictionary for Categorized Delay Details Report	AMTRAK_STB_NATIVE_0029	Public
40	Amtrak-UP Operating Agreement	AMTRAK_STB_0000716	Highly Confidential
44	Service Standards for Train Service and Onboard Service Employees (“Service Standards Manual”)	AMTRAK_STB_0000906	Confidential