



Federal Railroad Administration

April 6, 2020

VIA E-MAIL ONLY

Paul P. Skoutelas President and CEO American Public Transportation Association pskoutelas@apta.com

Re: Request for Emergency Relief Affecting All Railroads Providing Passenger Service in the U.S., Emergency Docket FRA-2020-0002

Dear Mr. Skoutelas:

This letter responds to the petition of the American Public Transportation Association (APTA) dated March 28, 2020, requesting temporary emergency relief from certain requirements of Title 49, Code of Federal Regulations (CFR) Parts 213, 214, 219, 225, 228, 229, 238, and 239 due to the public health emergency concerning the coronavirus disease (COVID-19).

On March 13, 2020, the Federal Railroad Administration (FRA) Administrator Ronald L. Batory activated the emergency relief docket (ERD) in response to the COVID-19 public health emergency occurring throughout the United States. The FRA considered APTA's request under the provisions of 49 CFR § 211.45, *Petitions for Emergency Waiver of Safety Rules*. A copy of APTA's petition is available for public review and comment in the ERD (Docket Number FRA-2020-0002, Document Number FRA-2020-0002-0034).

APTA is a nonprofit group of approximately 1,500 public and private sector member organizations that promotes and advocates for the interest of public transportation in the United States, including commuter railroads. APTA seeks temporary emergency relief on behalf of 30 separate U.S. passenger rail operations, some of which are APTA members and some of which are not APTA members. *See* Petition at Appendix.

In support of its request for relief, citing the President's declaration of a national emergency under 42 U.S.C. § 5191(b) and noting the COVID-19 public health emergency across the country

and the immediate risk outbreaks present to public health, safety, and welfare throughout the United States, APTA asserts that railroads are "already facing reduced staffing levels and further anticipate staffing levels to drop as the peak of this pandemic affects the country." APTA asserts that a reduction in availability of employees due to the COVID-19 public health emergency will affect railroads' ability to operate and thus provide transportation for many essential personnel (medical staff, police, fire, etc.) to their work locations and may interfere with their members' ability to provide hosting services to essential freight operations.

FRA considered APTA's petition for emergency relief, and all associated information, including the recommendations of other government agencies (including the Centers for Disease Control and Prevention and the actions of various State governments in response to the COVID-19 public health emergency). FRA has found that subject to certain conditions, granting APTA's request for relief, in part, as outlined below, is in the public interest, necessary to address the COVID-19 public health emergency, and is not inconsistent with railroad safety.

As demonstrated by the President's declaration of a nationwide emergency, the impacts of COVID-19 have become extensive and widespread throughout the United States. Accordingly, FRA finds that limiting the relief granted in this letter to only APTA members would be insufficient to address the current emergency situation. As a result, FRA is granting <u>all</u> railroads providing passenger service in the United States the ability to operate under the terms of this emergency waiver. If a passenger rail operation that is not a member of APTA experiences a workforce shortage or other constraints as a result of the COVID-19 public health emergency and as a result, the railroad utilizes any relief granted in this letter, that railroad must report its use of the relief either through APTA or otherwise in accordance with the General Condition of Relief noted on page 2 of this letter.

Accordingly, as outlined below, FRA grants commuter and intercity passenger railroads relief from the regulatory requirements identified below and subject to the following general conditions and the specific conditions relating to each regulation as identified.

General Condition of Relief

The relief granted in this letter is generally conditioned on the existence of workforce shortages and other constraints, including for example, facility closures and operational limitations as a direct result of the COVID-19 public health emergency, preventing individual railroads from timely completing all Federally-mandated railroad safety tests and inspections, or other requirements. Railroads that find it necessary to utilize the waiver relief provided here must document the basis on which they concluded that availing themselves of the relief was necessary. Any railroad utilizing any aspect of this waiver is required to report weekly the following information:

- a. Railroad:
- b. Territory/Subdivision/Yard;
- c. List of each individual waiver utilized in this location, including the following information:

- i. Date of occurrence.
- ii. Anticipated duration, and
- iii. List of manpower shortages or other conditions necessitating the use of the waiver.

Each week, railroads must report this information through APTA, which will consolidate the information and provide the information in excel format via email to FRA (karl.alexy@dot.gov). APTA must provide the information to FRA no later than each Tuesday for the previous Sunday – Saturday time-period. If a railroad is not affiliated with APTA or otherwise chooses to report separately, the required information must be provided in excel format via email to FRA (karl.alexy@dot.gov) no later than each Tuesday for the previous Sunday-Saturday time period.

Specific Requests for Relief and Associated Conditions

The specific regulatory provisions FRA is waiving and the specific conditions applicable to this relief are as follows:

Part 213 – Track Safety Standards

§ 213.7(a)(1)(i), (ii), (b)(1)(i), (ii), and (c)(1), (2), (4)

Section 213.7 requires track owners to designate qualified persons to inspect track and supervise certain track restorations and renewals, and specifies the records related to these designations a track owner must maintain. Paragraphs (a) and (b) of this section address the qualification of persons responsible for inspecting track and supervising track restorations and renewals generally and paragraph (c) addresses the qualification of persons responsible for inspecting and supervising the installation, adjustment, and maintenance of CWR track. Although FRA understands APTA's concerns regarding the potential unavailability of a sufficient number of qualified personnel designated under § 213.7 to supervise certain track renewals and inspections, FRA does not believe a blanket waiver of the minimum qualification requirements under paragraphs (a) and (b) of § 213.7 is justified. If a railroad has a specific need for potential alternative qualification requirements under § 213.7 (a) and (b), that railroad must identify the desired alternative qualification requirements and request relief in the emergency docket.

To provide flexibility as to how a railroad designates qualified persons, however, FRA is providing relief from the designation aspect of § 213.7(a), (b), and (c) for qualified persons by waiving the requirements of § 213.7(e)(1) and (2), provided the railroad maintains documentation justifying why a person is considered qualified (e.g. resume, training certificate, etc.).

In addition, FRA is providing relief from the requirements of § 213.7(c)(2) (requiring designated persons to have completed a comprehensive training course related to a track owner's continuous welded rail (CWR) procedures), provided the person has previously completed a comprehensive training course on the application of CWR procedures. Pursuant to this relief, the course

material in this instance may be issued by any track owner and does not need to be material developed specifically for the railroad over which the inspections are to be performed.

§ 213.119(c)(3)(ii)¹

Paragraph (c)(3) of § 213.119 specifies the remedial action required in the case of a bolted joint in continuous welded rail (CWR) experiencing a service failure. Paragraph (c)(3)(ii) of this section authorizes a track owner in such an instance to replace the broken bar(s), replace the broken bolts, adjust the anchors, and within 30 days, weld the joint. Noting the potential for having a limited number of available personnel to perform the required welding, APTA requested relief from this 30-day deadline. Accordingly, FRA is granting relief from the 30-day deadline in § 213.119(c)(3)(ii) to allow up to an additional 60 days to perform the required weld.

§ 213.119(h)(6)(i)

Section 213.119(h)(6)(i) sets forth the required minimum frequencies for the inspection of CWR joints, depending on the tonnage and track class involved. FRA is providing relief from these minimum requirements by extending the minimum required inspection intervals for 60 days for track classes 1 through 5 (in other words, any inspection that becomes due during the duration of this waiver may be conducted up to 60 days after its due date). CWR joints on Class 6 track may be inspected up to 60 days after their due dates, but operating speeds over the joints may not exceed class 5 track speeds until the inspection interval required under § 213.119(h)(6)(i) is achieved and maintained again.

§ 213.119(i)

This section requires railroads to "have in effect a comprehensive training program" for its written CWR procedures, which must include "provisions for annual re-training." FRA does not believe that relief from this requirement is justified in the context of short term emergency relief. FRA notes, however, that by letter dated March 30, 2020, in this docket, the agency granted industry-wide relief from certain recurrent training requirements (including the training requirements of Part 213). FRA believes that the relief set forth in the March 30th letter provides sufficient flexibility to address APTA's stated concerns.

§ 213.235(a), (b), (c)

Section 213.235 sets forth the minimum inspection intervals for switches, track crossings, and other devices designed to provide transitions between tracks. Relief is granted for all inspections of components on other-than-main track, sidings, and yard track as follows:

• The inspection interval under paragraph (a) is extended to up to 6 weeks; and

4

¹ FRA believes APTA's reference to § 213.119(b)(3) is in error because it does not exist, and notes that APTA's request for relief appears to refer to § 213.119(c)(3).

² FRA-2020-0002-0030.

• Any inspections due under paragraph (b) can be rescheduled for up to 60 days.

Paragraph (c) applies to track that is used less than once a month and requires such track to be inspected before it is used. Given that track governed by paragraph (c) may not have been inspected for significant periods of time, FRA does not believe that relief from this inspection requirement can be justified. Accordingly, FRA denies that request for relief.

Part 214 – Roadway Workplace Safety

§ 214.343(a)

Section 214.343 sets forth general training and qualification requirements related to roadway workers. APTA asserts that as COVID-19 spreads, railroads may be forced to utilize temporary workers not fully qualified and trained under Part 214. FRA notes that this section does not specify how personnel are to be trained and that it is accepted practice that "day laborers" may be trained through extended job briefings. Thus, FRA does not believe relief is necessary at this time.

§§ 214.343(b), (d), 214.357(c), 214.523(b), 214.347(b), 214.349(b), 214.353(b), 214.355(b), and 214.357(b)

These sections contain general requirements for initial and recurrent training of roadway workers and the creation and maintenance of records reflecting this training. FRA notes that annual periodic training for employees under Part 214 may occur at any time during the calendar year and is not based on an individual employee's previous training date (e.g., simply because it is more than 365 days since their last periodic training does not render the employee non-compliant with this requirement). With respect to records, since the regulation does not specify how records are to be kept, FRA believes there is sufficient flexibility for railroads to maintain critical records, even if temporary means must be established before permanent databases can be updated. FRA is willing to work with railroads if there are specific concerns with how these requirements can be met on an interim basis, but does not believe relief is necessary or beneficial at this time. Additionally, FRA again notes, that by letter dated March 30, 2020, in this docket, the agency granted industry-wide relief from certain recurrent training requirements (including the training requirements of Part 214). Accordingly, FRA believes that the relief set forth in the March 30th letter provides sufficient flexibility to address APTA's stated concerns.

§ 214.523(a) and (b)

Section 214.523 governs the inspection and repair of hi-rail vehicles. APTA requests relief specifically from paragraphs (a) and (b) of this section. Paragraph (a) requires hi-rail vehicles to be inspected at least annually and paragraph (b) requires railroads to maintain records of those inspections. In support of this request for relief, APTA asserts that because qualified vendors or employees capable of performing the required inspections may become unavailable as a result of

5

³ *Id*.

COVID-19, railroads will become unable to meet the annual inspection requirement. FRA is granting relief from the annual inspection requirement of paragraph (a) such that any inspection coming due during the duration of this relief, may be performed up to 60 days late. For the reasons discussed directly above related to roadway worker training records, relief is denied for the requirements of paragraph (b).

§§ 214.527(c)(1)-(5), 214.531, 214.533

These sections require on-track roadway maintenance machines to be inspected prior to use and if necessary repaired within certain time frames depending on the repairs necessary. Relief is granted from the 7- and 30-day deadlines of these sections to procure necessary parts and make the actual repairs provided the railroad exercises due diligence to promptly procure any required parts and repair the machines within the timeframes of the regulations. Relief is granted for a period not to exceed 30 days.

Part 219 - Drug & Alcohol Testing

FRA is coordinating with the U.S. Department of Transportation's Office of Drug & Alcohol Policy & Compliance (ODAPC) to address APTA's stated concerns. FRA will provide additional guidance once ODAPC has made a determination on the issue. Please also see the *FRA Guidance on Drug and Alcohol Testing Requirements During the COVID-19 Public Health Emergency*, discussing how FRA regulations might apply in situations where testing cannot be completed. Specifically, FRA's guidance notes that Part 219, Subpart G provides railroads with a certain amount of flexibility in implementing Part 219 programs in situations such as those presented by the current COVID-19 public health emergency, and provides implementation advice. Additionally, FRA notes that face-to-face evaluation and counseling is governed by 49 CFR Part 40, not FRA's regulations at 49 CFR Part 219.

Part 225 – Railroad Incidents/Accidents Reporting Requirements

§§ 225.12, 225.21, 225.25(f), and (i)

Part 225 requires railroads to report certain accidents and incidents on specific U.S. Office of Management and Budget-approved forms. In support of its request for relief, APTA asserts that the impacts of COVID-19 on railroad operations may dictate railroads' designated reporting officers being reassigned to other duties essential to the continuity of rail service. Accordingly, APTA requested relief from certain requirements of Part 225. FRA believes APTA's request for relief is justified. Accordingly, relief is granted for a period of 60 days for the reporting time limits as they relate to the FRA form numbers referenced below with the associated conditions:

 $^{^{4}\,\}underline{\text{https://railroads.dot.gov/elibrary/fra-guidance-drug-and-alcohol-testing-requirements-during-covid-19-public-health-emergency}$

⁵ These provisions also apply to railroad contractors and subcontractors conducting FRA random alcohol and drug testing.

- 1. FRA F 6180.55, FRA F 6180.55a, FRA F 6180.54, FRA F 6180.57, and FRA F 6180.81 once the 60-day period has expired, any railroad that utilized this relief must submit the required forms and attachments to FRA under a separate cover letter, noting the late submission and referring to this waiver.
- 2. FRA F 6180.78, FRA F 6180.98, FRA F 6180.97, FRA F 6180.107, FRA F 6180.150 once the 60-day period has expired, any railroad that utilized this relief will initiate the process for completing the required reports, records, forms and attachments that were not completed under this waiver's time frame.

§ 225.25(h)

Relief is granted for a period of 60 days for the FRA "Monthly Injury Posting." Once the 60-day period has expired, those railroads that utilized this relief must initiate the process for complying with § 225.25(h) "Monthly Injury Posting" for those cases meeting FRA's requirements that were not completed under this waiver's time frame.

Part 228 - Passenger Train Employees Hours of Service

§ 228.19(d)(1)

APTA requests relief from the hours of service recordkeeping requirements for dispatchers at 49 CFR § 228.19(d)(1), but FRA interprets the request as seeking relief from the statutory limitations of the hours of service laws pertaining to dispatching service employees required by 49 U.S.C. § 21105. Specifically, the petition requests a maximum duty tour of 13 hours at stations where two or more shifts are employed. The statute allows this additional time during emergencies, at 49 U.S.C. § 20105(d), but this relief is limited to not more than 3 days in a period of 7 consecutive days. The petition seeks relief from this limitation, to allow more extensive use of the additional 4 hours as needed. FRA does not have the authority to waive or modify these statutory requirements. The statute may provide railroads additional flexibility to respond to certain emergency situations, such as the COVID-19 public health emergency, although it does not allow FRA to modify statutory requirements in the manner requested. See 49 U.S.C. § 21102(a). However, FRA notes that railroads would be required to employ due diligence to reduce or eliminate excess service. In addition, FRA's hours of service recordkeeping regulations require railroads to identify the reason for each instance of excess service, even where excess service may be appropriate for relief under the statute (e.g., in this instance, where the excess service was unavoidable and a direct result of the impact of the COVID-19 public health emergency on a particular railroad). Accordingly, FRA cannot grant relief from the statutory limitations of the hours of service laws pertaining to dispatching service employees.

§§ 228.5 and 228.405(b)(4)

Section 228.405 sets forth limitations on duty hours of train employees engaged in commuter or intercity rail passenger transportation. Limited relief is granted for 60 days from § 228.405(b)(4) to allow a deadhead from an "other than regular reporting point," to a place of final release, be counted as limbo time subject to the condition that petitioning railroads must employ due diligence to avoid or limit such excess service, as required under 49 CFR Part 228, Appendix A.

§ 228.405(a)(3)(i)

FRA grants relief from § 228.405(a)(3)(i) to allow train employees engaged in commuter or intercity rail passenger transportation who work Type 1 assignments to work more than 16 consecutive calendar days before requiring 2 calendar days free from initiating a duty tour, subject to the following specific conditions:

- 1. Petitioning railroads continue to report any excess service as required under 49 CFR § 228.19;
- 2. Petitioning railroads must still employ due diligence to avoid or limit such excess service as required under 49 CFR Part 228, Appendix A; and
- 3. This relief does not apply to train employees who work one or more Type 2 assignments within the 16-day series.

Part 229 – Railroad Locomotive Safety Standards, and Part 238 – Passenger Equipment Safety Standards

APTA requests relief from the requirements of 49 CFR Parts 229 and 238 that contain periodic and time-based intervals addressing passenger equipment maintenance and inspection requirements. Specifically, APTA requests that FRA permit them to reduce the frequency of inspections and tests, due to limited qualified personnel availability, within the time periods specified in 49 CFR §§ 238.17, 238.307, 238.309, 238.311(e)(1), 238.313, 238.313(j)(2), and 238.321, and 49 CFR §§ 229.21, 229.23, 229.27, 229.29, and 229.33.

Accordingly, relief is granted from the above-referenced sections as noted below, and subject to the following conditions:

- 1. Relief from § 238.17 is granted to allow movement of passenger equipment with other than power brake defects to the nearest location where repairs can be made. The necessary documentation, inspection, and movement conditions set by a Qualified Maintenance Person (QMP) is not waived.
- 2. §§ 238.303, 238.305 Relief is provided from the requirements to conduct calendar day inspections due to insufficient qualified manpower to complete daily inspection and air tests. This relief will allow passenger railroad equipment to remain in service past the scheduled calendar day inspection, provided a calendar inspection is conducted within

- 24-hours past a missed inspection. This extension can only be used when there is insufficient qualified manpower to perform the inspections when required.
- 3. § 238.307 Relief is provided from the requirements to conduct periodic mechanical inspections due to insufficient qualified manpower to complete periodic inspections within their due date. Equipment that missed a 92-day or 184-day periodic inspection must be brought into compliance within 60 days after the emergency is lifted.
- 4. § 238.309 Relief is provided from the requirements to conduct periodic brake equipment maintenance due to insufficient qualified manpower to complete periodic brake equipment maintenance within the due date. Equipment that missed the date for periodic maintenance must be brought into compliance within 60 days after the emergency is lifted.
- 5. § 238.311(e)(1) Relief is provided from the requirements to conduct a single car airbrake test due to insufficient qualified manpower to perform the required testing when a car is put back in service after being out of service for 30 days or more. A car may return to service without performing a single car test, provided the car receives a Class 1 brake test per § 238.313, and calendar day inspection per §§ 238.303 and 238.305 by a QMP, including a pit inspection, prior to putting the cars in service. Equipment that did not have a single car test must have one at the next scheduled 184-day inspection after the emergency is lifted.
- 6. § 238.313 Relief is provided from the requirements to conduct a Class I brake test (Class I) due to insufficient qualified manpower to complete required air brake inspections and air tests. Passenger railroads may permit equipment to remain in service past the scheduled calendar day Class I inspection period, provided a Class I inspection is conducted within 24-hours after a missed inspection. However, no relief is provided for §§ 238.315 and 238.317. These tests must continue to be performed when required and must be completed by a Qualified Person (QP) when a § 238.313 test is not performed. This relief can only be used when there is insufficient qualified manpower to perform the Class I inspection when required.
- 7. § 238.313(j)(2) Relief is provided from the requirements to conduct a Class I brake test where inspection locations are not equipped with pit areas to conduct undercarriage inspections. Daily inspections and testing must continue to be carried out at the railroad's field operation locations. Passenger railroads must continue to conduct and perform five-day undercarriage inspections as scheduled. However, if a five-day undercarriage inspection cannot be performed because no adequately-equipped inspection location is available, a maximum extension of 72 hours (3 additional days) is granted.
- 8. § 238.321 Relief is provided from the requirements of calculating out-of-service credit when a piece of passenger equipment is out of service for a period of 7 consecutive days (in lieu of the required 30 days), and will be allowed to extend maintenance intervals on a

day-for-day basis, thereafter.

- 9. § 229.21 Relief is provided from the requirement to conduct daily inspections due to insufficient qualified manpower for the inspection within their due date. Passenger railroads are granted the ability for equipment to remain in service past the scheduled calendar day inspection, provided a calendar inspection is conducted within 24-hours after a missed inspection. This extension must only be used when there is insufficient qualified manpower to perform the inspections when required.
- 10. § 229.23 Relief is already provided from the requirement to conduct periodic inspection, as previously granted under the March 25, 2020, Association of American Railroads (AAR)-American Short Line and Regional Railroad Association (ASLRRA) APTA waiver.⁶ No additional relief is granted.
- 11. § 229.27 Relief is already provided from the requirement to conduct annual inspections as previously granted ⁷under the March 25, 2020, AAR-ASLRRA-APTA waiver. ⁸ No additional relief is granted.
- 12. § 229.29 Relief is already provided from the requirement to conduct brake system calibration, maintenance, and testing as previously granted under the March 25, 2020, AAR-ASLRRA-APTA waiver. No additional relief is granted.
- 13. § 229.33 Relief is provided from the requirements to calculate out-of-service credit when passenger locomotive equipment is out of service for a period of 7 consecutive days, and will be allowed to extend maintenance intervals on a day-for-day basis, thereafter.
- 14. Relief is provided from the requirement of the 3rd condition specified in the March 25, 2020, waiver to AAR, ASLRRA, and APTA for Part 229 relief that states that "A copy of this waiver letter must be placed adjacent to FRA Form F6180.49A in the cab of each of the affected locomotives." For passenger railroads, a copy of this waiver must be provided to all train crews, and the railroad must notify every train crew operating equipment under any terms of this waiver. This may be accomplished by a paper copy or distribution by Bulletin Order.⁹

Part 239 – Passenger Train Emergency Preparedness

§§ 239.101(a)(2)

⁶ FRA-2020-0002-0025 at 10-11.

⁷ *Id*.

⁸ *Id*.

⁹ *Id*.

Section 239.101 requires railroads to adopt and comply with a written emergency preparedness plan. Paragraph (a)(2) requires employees to be trained and qualified on that plan and their individual responsibilities under that plan. FRA again notes, that by letter dated March 25, 2020, in this docket, the agency granted industry-wide relief from certain recurrent training requirements (including the training requirements of Part 239). Accordingly, FRA believes that relief provides sufficient flexibility to address APTA's stated concerns.

§ 239.103

Section 239.103 requires passenger railroads to periodically conduct full-scale emergency simulations to determine their capability to execute their emergency preparedness plans. FRA does not expect railroads to conduct full-scale emergency simulations during the course of the current COVID-19 public health emergency. Accordingly, FRA grants relief from this requirement.

§ 239.105

Section 239.105 requires railroads to conduct a debriefing and critique session after each passenger train emergency situation or full-scale simulation to determine the effectiveness of its emergency preparedness plan and to improve or amend its plan, or both, in accordance with the information developed during the session. FRA believes that the existing regulatory language provides sufficient flexibility to railroads with respect to how debriefs and critiques are conducted. For example, the regulations do not prohibit teleconference and other virtual means and emergency responders are only required to participate "to the extent practical." Further, as the existing requirement already provides for a 60-day window to conduct the debrief, FRA is unable to provide any additional relief under an emergency waiver.

Unless specifically stated otherwise above, the relief granted in this letter is intended to supplement the relief previously granted to the railroad industry through FRA's March 25, 2020, and March 30, 2020, letters to AAR, ASLRRA, and APTA, and <u>all</u> railroads providing passenger service in the United States may operate under the terms of this emergency waiver, as applicable. FRA's March 25, 2020, and March 30, 2020, letters are available for review in the docket.¹¹

FRA reserves the right to reopen any docket and reconsider any decision made pursuant to these emergency procedures based upon its own initiative or based upon information or comments otherwise received. See 49 CFR § 211.45(j)(1).

This emergency waiver expires 60 days from the date of this letter, or when the FRA Administrator's Emergency Declaration is revoked, whichever is sooner. FRA reserves the right to amend or revoke this waiver upon receipt of information pertaining to the safety of railroad operations, or in the event of non-compliance with any condition of this waiver.

-

¹⁰ FRA-2020-0002-0030.

¹¹ FRA-2020-0002-0025; FRA-2020-0002-0030; FRA-2020-0002-0032.

In any future correspondence regarding this letter, please refer to Document Number FRA-2020-0002-0034. If you have questions, I can be reached at 202-493-6282, or at karl.alexy@dot.gov.

Sincerely,

Alexy

Digitally signed by Karl Alexy
Date: 2020.04.06
10:26:02 -04'00'

Karl Alexy

Associate Administrator for Railroad Safety

Chief Safety Officer