

2.0 Stakeholder and Outreach Methodology

The Study relied on the engagement and commitment of stakeholders, at all levels. Railroads, selected shippers, and emergency management representatives were individually interviewed to gain better insight into their various operations and to provide a forum to enable each of the stakeholders to voice concerns about all aspects of Iowa's rail transportation network, risks of crude oil and ethanol incidents, and Iowa's preparedness, planning, response, and recovery capabilities. Information obtained through the interviews was generalized and is not specific to any one stakeholder unless noted.

2.1 Railroads

During the railroad interviews, information guides were provided to facilitate discussions based on these points:

- Frequency, volumes, origin and destination points, and other transportation patterns of crude oil and ethanol within or through Iowa
- Likely future trends that would change current transportation patterns
- Coordination among railroads for transportation practices, planning, and operation
- Each railroad's planning activities and preparedness for emergency management, training and outreach to first responders, and spill and remediation management plans
- Coordination among railroads for emergency management, training of first responders, outreach to first responders, and spill and environmental management
- How each railroad communicates with local first responders and state agencies such as Iowa HSEMD, and Iowa DOT
- Risks to public safety property, and the environmental from transportation of crude and ethanol as perceived by the railroad
- Gaps in emergency preparedness and communication as perceived by the railroad
- Communication protocols between the railroad and state and local agencies, and among railroads
- How railroads communicate needs, risks, threats, and transportation plans with state and local agencies
- How railroads communicate with shippers and receivers of crude oil and ethanol in Iowa about preparedness, safety, training, communication, and risks
- How railroads measure and track current preparedness, risks, improvements, and safety of crude oil and ethanol transportation

The following railroads were interviewed:

- BNSF Railway (BNSF)
- Canadian National Railway (CN)

- Canadian Pacific Railway (CP)
- Cedar Rapids & Iowa City Railroad (CIC)
- D&I Railroad (DAIR)
- Iowa Interstate Railroad (IAIS)
- Iowa Northern Railway (IANR)
- Union Pacific Railroad (UP)

Information obtained in the railroad interviews was summarized in an initial gap analysis of rail practices, communication strategies, preparedness, and planning.

2.2 Producers/Shippers

With the assistance of Iowa DOT, two Iowa ethanol producers/shippers were selected and interviewed. Both are large shippers that regularly load unit trains of ethanol. It was found that Iowa has no shippers or receivers of crude oil, so only ethanol producers/shippers were considered. A “Shipper Interview Guide” helped to facilitate discuss and uncover information related to:

- Regional trends for ethanol within or through Iowa
- Likely future trends that would change current transportation patterns
- Coordination with railroads for transportation patterns
- Each shipper’s planning activities and preparedness for emergency management, training and outreach to first responders, and spill and environmental management
- Coordination among shippers for emergency management, training and outreach to first responders, and spill and environmental management
- How each shipper communicates with local first responders and state agencies such as Iowa HSEMD and Iowa DOT
- Risks to public safety, preparedness, and critical environmental areas as perceived by the shipper
- Communication protocols between the shipper and state and local agencies, and among railroads
- How the shipper communicates needs, risks, threats, and transportation plans with state and local agencies, and with railroads
- How the shipper inspects tank cars used to ship ethanol, how it qualifies its inspectors, and how it assures that cars are inspected in accordance with regulatory practices
- How the shipper measures and tracks its current preparedness, risks, improvements, and safety of ethanol rail transportation

The following shippers were interviewed:

- POET Ethanol Products

- Siouxland Energy Coop

Information obtained in the shipper interviews has been summarized in an initial gap analysis of rail practices, communication strategies, preparedness, and planning.

2.3 Emergency Management

For the last stakeholder component, Iowa state and local emergency management agencies and local first responders were interviewed. These interviews were conducted to collect the following information:

- Knowledge of current rail transportation of crude oil and ethanol within and through Iowa
- Coordination with railroads for training and emergency preparedness
- Coordination with railroads for emergency and environmental response to an incident
- State of training, equipment, and planning
- Hurdles that hinder or limit access to or delivery of training
- How each agency or first responder entity coordinates with each other
- Risks to public safety, public and private infrastructure and development, and critical environmental areas associated with the rail transportation of crude oil and ethanol, as perceived by the agency
- Communication protocols between the shipper and state and local agencies, and among railroads
- Communication protocols for on-going transportation, (i.e. notification of rail movements)
- How each agency measures and tracks its current preparedness, risks, improvements, and safety of crude oil and ethanol transportation.

A strategy was developed to effectively and efficiently interview the largest stakeholder group. Synergy was found by taking advantage of Iowa HSEMD meetings and other sponsored activities. The meetings hit on the breadth and depth of Iowa's emergency response community, and focused on:

- Local emergency managers from Iowa HSEMD Regions 3, 4, 5 and 6 at Iowa HSEMD's annual conference on October 20-21, 2015
- Iowa HSEMD, Iowa DOT, and Iowa Department of Natural Resources (Iowa DNR), and Iowa Department of Public Safety (Iowa DPS)
- Additional local stakeholder groups, consisting of emergency managers, fire officials, police, public health, and emergency medical services, that were identified by Iowa DOT and Iowa HSEMD

Online surveys were also distributed to additional local stakeholders through Iowa HSEMD, Iowa Fire Training Division, and the Iowa Hazmat Taskforce Association networks. Results

from these surveys were used to refine the “Risk Vulnerability Assessment,” as well as identify additional gaps and best practices.

2.4 Stakeholder Steering Committee

A Stakeholder Steering Committee (SSC) was created to guide and inform the Study, and provide opportunities for collaboration and critique related to findings and recommendations related to the initial gap analysis. Stakeholder representation includes:

- Key agencies such as Iowa DNR, Iowa HSEMD, and Iowa DOT
- Key local first responders, including both large urban areas and rural counties
- Railroads with substantial crude oil and ethanol volumes: BNSF, CIC, CN, CP, DAIR, IAIS, IANR, and UP
- Ethanol producers/shippers such as POET Ethanol Products and ADM

The first SSC meeting was held on November 4, 2015, to review study findings and query stakeholder thoughts regarding the study methodology. The second SSC meeting was held on January 28, 2016, to review initial recommendations and actions.

2.4.1 Results of SSC Meetings

SSC Meeting 1

Upon hearing the overall Study’s goals and findings at the first SSC meeting, the Study team facilitated a breakout session that asked these questions of the stakeholders:

- What the Study should not do?
- What the Study should do?
- What questions have we not asked of you that we should ask?
- What have we not done that we should do?
- What have you been successful with?
- What are the roadblocks that you face?

Figure 2: First SSC Meeting



Source: Iowa DOT

During this stage of the meeting, the stakeholders were able to voice their concerns about the Study's methodology and strategy. As a group, the Study's stakeholders collectively answered the facilitation questions, with responses such as:

What should the Study not do?

The Study should not:

- Mandate legislation or draft legislation.
- Recommend strategies that are at odds with existing or pending state or federal legislation.
- Increase standard of care.
- Tax private industry, with intent.
- Create a static document.
- Put stakeholders at odds.
- Imply there is an unaddressed crisis.
- Imply that stakeholders are not already meeting or going beyond requirements.
- Recommend strategies beyond the capabilities of stakeholder organizations.
- Include language or images that could be used against stakeholders.
- Avoid tank car discussion.

What should the Study do?

- Provide funding for first responders to go to training events (in addition to railroad funding).
- Inform emergency management about local training.
- Clarify/reinforce responsibilities and roles of stakeholders in emergency management.
- Create recommendations with a clear understanding of:
 - The actual risk of an incident (as compared to other risks faced by organizations).
 - The reality of the capabilities and resources available to stakeholders.
 - The reality of capabilities and resources needed in case of an incident.
- Build collaboration between public and private sectors to leverage existing resources.
- Increase public buy-in instead of compliance.
- Understand different stakeholders have need of different information (seasonal statistics vs. yearly, for example).
- Educate public and elected officials:
 - About existing regulation.

- Speak to them on their level.
- To take some responsibility for their own safety (update Driver's License Manual about railroad safety, etc.).
 - Identify capabilities and processes of stakeholders.
 - Tell a collective story without identifying individual stakeholders.
 - Thoughtfully consider the audience in the report content and format.

What questions should we have asked, but didn't?

- Who are your partners and what have they done?
- What are you going to do after the report comes out?
- How will you sustain a relationship with other stakeholders and partners?
- Did we contact the right person at your organization?
- What resources do you have available?
- How do we better provide/aggregate resources?

What can we do better?

- Contact industry organizations, like the American Petroleum Institute (API) and Association of American Railroads (AAR)
- Define what a common carrier does and explain it
- Crafting the message and objectives
- Use social media

SSC Meeting 2

The second SSC meeting reviewed the Study Team's findings, proposed recommendations, and intended actions prior to the public release of the Study. The focus of the Study is not to create new legislation, but rather to work in cooperation with the appropriate stakeholders and agencies to identify and improve gaps in current operating practices, with respect to emergency prevention, preparedness, response, and recovery, while also working to enhance stakeholder communication. Therefore, refining improvement actions helped Iowa DOT and Iowa HSEMD establish performance measures and internal timelines to quantify the potential implementation of findings and recommendations developed in the Study.

2.4.2 Incorporating Stakeholder Feedback into the Study

Early on, the Study Team anticipated and addressed several of the stakeholder concerns through the careful planning of the Study's approach and methodology. As the Study progressed, the Study Team has captured and incorporated more of the stakeholder concerns within the Study's recommendations and improvement actions.