

## CONFIDENTIAL CLOSE CALL REPORTING SYSTEM

### SUPPORTING JUSTIFICATION - PART B

OMB No. 2130-0574

- 1. DESCRIBE (INCLUDING A NUMERICAL ESTIMATE) THE POTENTIAL RESPONDENT UNIVERSE AND ANY SAMPLING OR OTHER RESPONDENT SELECTION METHOD TO BE USED. DATA ON THE NUMBER OF ENTITIES (E.G., ESTABLISHMENTS, STATE AND LOCAL GOVERNMENT UNITS, HOUSEHOLDS, OR PERSONS) IN THE UNIVERSE COVERED BY THE COLLECTION AND CORRESPONDING SAMPLE ARE TO BE PROVIDED IN TABULAR FORM FOR THE UNIVERSE AS A WHOLE AND FOR EACH OF THE STRATA IN THE PROPOSED SAMPLE. INDICATE EXPECTED RESPONSE RATES FOR THE COLLECTION AS A WHOLE. IF THE COLLECTION HAD BEEN CONDUCTED PREVIOUSLY, INCLUDE THE ACTUAL RESPONSE RATE ACHIEVED DURING THE LAST COLLECTION.**

The interview element of the C<sup>3</sup>RS evaluation is designed to augment a larger-scale evaluation effort by providing in-depth insight from close observers (and people involved with) of C<sup>3</sup>RS. (Other data sets include corporate data and assessments of safety culture.) Two groups will be interviewed: 1) railroad workers, and 2) key stakeholders.

Railroad workers: Two factors preclude obtaining a formally representative sample. First, because of the labor intensive nature of interview data collection, only a small number of respondents can be reached. Second, reaching respondents requires close coordination with people's working schedules, thus requiring seizing opportunities to talk to people, rather than imposing a systematic data collection plan. Thus, the focus of the recruiting effort will be for participants who are typical, rather than representative in a statistical sense. These interviews occur at three time frames for each site. (Round 1 is done for UP, CP, and NJT. Round 2 is done for UP and CP.)

Key stakeholders. Key stakeholders are people involved in C<sup>3</sup>RS (e.g., local labor leaders, local management), or close observers of C<sup>3</sup>RS (e.g., corporate management, national labor, FRA personnel, members of the C<sup>3</sup>RS steering committee, Volpe personnel involved in implementing C<sup>3</sup>RS). These interviews will take place quarterly during C<sup>3</sup>RS implementation phases or when the program seems to be changing and less often during quieter periods. The focus will be on critical incidents that can help explain why C<sup>3</sup>RS is developing as it is, and what impact it is having. The population of key stakeholders is small. They include approximately four to six people at DOT, and four to six people at each participating railroad (with the exception of Amtrak that may be higher at 8-10), four to six people at NASA. (Depending on developments within C<sup>3</sup>RS, a few

Steering Committee Members may occasionally be included.) Thus, these interviews will include most of the key stakeholder universe.

In tabular form, the interviewing process is as follows:

<b>Location</b>	<b>Participation status</b>	<b>Eligible employees</b>	<b># Interviewees</b>
<b>Railroad workers</b>			
<i>UP North Platte</i>	<i>Committed</i>	<i>Conductors, Engineers (BLET and UTU), and managers</i>	<i>10 – 15 per interview round<sup>2</sup></i>
<i>UP – second site</i>	<i>In negotiation</i>	<i>Conductors, Engineers (BLET and UTU), and managers, including corporate</i>	<i>10-15 per round</i>
<i>CP Portage WI</i>	<i>Committed</i>	<i>Conductors, Engineers (BLET and UTU), and managers</i>	<i>10 – 15 per interview round<sup>2</sup></i>
<i>NJT</i>	<i>Committed</i>	<i>Conductors, Engineers (BLET and UTU), and managers</i>	<i>10 – 15 per interview round<sup>2</sup></i>
<i>Amtrak-East</i>	<i>Committed</i>	<i>Conductors, Engineers (BLET and UTU), and managers</i>	<i>10-15 per interview round<sup>2</sup></i>
<i>Amtrak- West</i>	<i>In negotiation</i>	<i>Conductors, Engineers (BLET and UTU), and managers</i>	<i>20-30 per interview round<sup>2</sup></i>
<b>Key stakeholders</b>			
UP management and labor	Committed <sup>1</sup>	PRT members, corporate sponsors, other managers, labor representatives	4 - 6 <sup>3</sup>
UP management and labor at additional site	In negotiation	PRT members, corporate sponsors, other managers, labor representatives, including corporate	4-6
CP management and labor	Committed	PRT members, corporate sponsors, other managers, labor representatives	4-6
NJT management and labor	Committed	PRT members, corporate sponsors, other managers, labor representatives	4-6
Amtrak management and labor- West	Committed	PRT members, corporate sponsors, other	4-6

Location	Participation status	Eligible employees	# Interviewees
Amtrak management and labor- West	In negotiation	managers, labor representatives PRT members, corporate sponsors, other managers, labor representatives	4-6
BTS and NASA personnel	Committed		4 – 6
FRA / Volpe personnel	Committed		4 – 6

- 1- Participation in the evaluation is a condition of participation in the program.
- 2- The precise number will depend on what management deems practical at the time of the site visit. Amtrak may have multiple sites, thus causing a need for more interviews
- 3- The total number may vary depending on evolving opinions at the UP concerning the identity of crucial people.
- 4- It is reasonable to assume the numbers will be about what they are for the UP, since the number of critical stakeholders does not scale with the size of the workforce. But the real situation cannot be estimated at present.
- 5- This estimate is of the critical people at Volpe and FRA who are close observers of the C<sup>3</sup>RS program. Depending on the stage of implementation, we expect this number to vary over time.

**2. DESCRIBE THE PROCEDURES FOR THE COLLECTION OF INFORMATION INCLUDING:**

- **STATISTICAL METHODOLOGY FOR STRATIFICATION AND SAMPLE SELECTION**
- **ESTIMATION PROCEDURE**
- **DEGREE OF ACCURACY NEEDED FOR THE PURPOSE DESCRIBED IN THE JUSTIFICATION**
- **UNUSUAL PROBLEMS REQUIRING SPECIALIZED SAMPLING PROCEDURES, AND**
- **ANY USE OF PERIODIC (LESS FREQUENT THAN ANNUAL) DATA COLLECTION CYCLES TO REDUCE BURDEN.**

Interviews with employees concerning safety at the railroad will be aimed at identifying “typical” employees rather than a “representative sample” of employees because the number of interviews will always be too small to craft a statistically representative

sample, as discussed in item 1 above. This is the inescapable cost of in-depth interviewing. Railroad workers will be identified by talking to managers and union officials at local sites who are in charge of implementing C<sup>3</sup>RS at their location. These people will be asked to use their judgment and local knowledge to nominate typical employees in particular categories (e.g., an engineer who has been with the railroad fewer than five years).

With respect to the worker interviews, accuracy in a statistical sense is not the goal. Rather, we are looking for insight that will help interpret the quantitative data we are collecting, and for a sense of how railroad workers perceive C<sup>3</sup>RS. Data from railroad workers will be collected three times for each railroad. (Round 1 is done for UP, CP, and NJT. Round 2 is done for UP and CP.) The questions will be the same, but the respondents will differ, thus minimizing the amount of time any given person will be interviewed. *[Note: The quantitative data refers to the company safety statistics, which are protected by NDAs and do not contain personal information. The interviews provide first hand comments and some context to help us interpret that other data. For example, if people say corrective actions are being implemented in a certain area, then we go and check related safety statistics to check for the impact in that area. There is no analysis of company data as it applies to an individual.]*

With respect to the key stakeholders, over time we will be interviewing the entire universe. For all interviews, we expect to be accurate in the sense of careful data collection and recording, but as explained above, “statistical accuracy” is not an issue. Key stakeholders will be interviewed approximately quarterly or less often. The precise schedule will depend on the smoothness or turbulence of implementation at particular locations, although every effort will be made to lengthen the time between interviews as much as possible, as soon as possible.

**3. DESCRIBE METHODS TO MAXIMIZE RESPONSE RATES AND TO DEAL WITH ISSUES OF NON-RESPONSE. THE ACCURACY AND RELIABILITY OF INFORMATION COLLECTED MUST BE SHOWN TO BE ADEQUATE FOR INTENDED USES. FOR COLLECTIONS BASES ON SAMPLING, A SPECIAL JUSTIFICATION MUST BE PROVIDED FOR ANY COLLECTION THAT WILL NOT YIELD “RELIABLE” DATA THAT CAN BE GENERALIZED TO THE UNIVERSE STUDIED.**

Local C<sup>3</sup>RS implementers are influential people with respect to the workforce, as they are either labor union leaders, or facility managers. We know from experience that their participation will succeed in identifying appropriate respondents. We also know from previous experience that by engaging these people, in recruiting respondents, that people will agree to be interviewed. The key stakeholder respondents are determined uniquely

by their role. There is no pretense of their being representative or typical of any group. We need their insight because of who they are, and because of the unique perspective they have with respect to C<sup>3</sup>RS. These are people who are highly invested in C<sup>3</sup>RS, and will be very willing to cooperate with the trained evaluation team.

4. **DESCRIBE ANY TESTS FOR PROCEDURES OR METHODS TO BE UNDERTAKEN. TESTING IS ENCOURAGED AS AN EFFECTIVE MEANS OF REFINING COLLECTIONS OF INFORMATION TO MINIMIZE BURDEN AND IMPROVE UTILITY. TESTS MUST BE APPROVED IF THEY CALL FOR ANSWERS TO IDENTICAL QUESTIONS FROM 10 OR MORE RESPONDENTS. A PROPOSED TEST OR SET OF TESTS MAY BE SUBMITTED FOR APPROVAL SEPARATELY OR IN COMBINATION WITH THE MAIN COLLECTION OF INFORMATION.**

Data analysis will be comprised of content analysis of open-ended responses to questions. There will be no statistical analysis.

5. **PROVIDE THE NAME AND TELEPHONE NUMBER OF INDIVIDUALS CONSULTED ON STATISTICAL ASPECTS OF THE DESIGN AND THE NAME OF THE AGENCY UNIT, CONTRACTOR(S), GRANTEE(S), OR OTHER PERSONS(S) WHO WILL ACTUALLY COLLECT AND/OR ANALYZE THE INFORMATION FOR THE AGENCY.**

The evaluation is being carried out by personnel at the NewVectors division of TechTeam Government Solutions. The Study Director is Dr. Jonathan A. Morell, Ph.D. [jonny.morell@newvectors.net](mailto:jonny.morell@newvectors.net) (Tel. (734) 646-8622). In addition, personnel at the Volpe National Transportation Systems Center have been heavily involved in the development and execution of this evaluation. The Volpe contact is Joyce Ranney, Ph.D. [Joyce.Ranney@volpe.dot.gov](mailto:Joyce.Ranney@volpe.dot.gov) (Tel. (617) 494-2095).