

National Archives and Records Administration  
REQUEST FOR DISPOSITION AUTHORITY

Records Schedule Number: DAA-0398-2024-0001

Status: APPROVED  
Date Approved: 08/06/2024

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## General Information

Agency or Establishment	Department of Transportation
Record/Scheduling Group	0398 - General Records of the Department of Transportation
Records Schedule Applies To	Agency Subdivision
Major Subdivision	Bureau of Transportation Statistics
Schedule Subject	Close Call Data System (CCDS)
Additional Schedule Information	<p>The Close Call Data System (CCDS) is a suite of application software that facilitates the full cycle of the close call reporting for a variety of customers. Its primary function is to support safety related incident and failure reporting, conduct employee interviews, provide statistical analysis and corrective actions (if appropriate) to the customer, participants, or industry stakeholders, and protect the confidentiality of these data through the Bureau of Transportation Statistics (BTS) statute (49 U.S.C. 6302) and Confidential Information Protection and Statistical Efficiency Act (CIPSEA). BTS is sponsoring the Close Call Data System (CCDS) to demonstrate the effectiveness of reporting of close calls or near misses in improving safety. The Close Call information is used to identify root causes and corrective actions as well as industry-wide patterns which improve environmental and transportation safety. CCDS' secondary function is to support the collection and analysis of operational data of companies in the logistics industry. The operation data is used to develop measures of U.S. freight and shipping network capacity and statistical indicators of goods moving throughout the supply chain.</p> <p>The purpose of CCDS is to help the Bureau of Transportation Statistics (BTS) fulfill its primary function to compile and analyze relevant and accurate data and disseminate information for statistical purposes, thereby allowing the users to make informed decisions. The Close Call Data System has four different types of modules that can be used to support each client. Each client has one or more of the modules described below which are then tailored to their specific business requirements.</p> <ul style="list-style-type: none"><li>• Web Portal Module: Allows registered users to upload data. May provide read-only access to previously submitted information and a dashboard with trend data.</li></ul>

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- Close Call Process Manager (CCPM) Module: Close Call Program/BTS staff facing function module of CCDS to support internal processing procedures working on submitted data. The Subject Matter Expert (SME) and analysts use the module to review submitted data and additional information about the reported data. For some clients, the SMEs compile information about the close-call incident, perform guided, systematic root cause analysis of the close-call incident, and develop a list of corrective action recommendations. Also known as the Multiple Cause Incident Analysis (MCIA) tool.
  - Preventative Safety Action (PrSA) Module: a workflow engine designed to manage the corrective actions throughout their lifecycle. When a corrective action is drafted during the MCIA process, it will go through a PrSA process that tracks the corrective action through its lifecycle from the recommendation of the corrective action to the completion of the implementation of the corrective action.
  - Company Name Tool Module: helps Close Call staff manage name and ownership changes of companies reporting data. This schedule also covers records created by the Peer Review Team that aren't captured in the Preventative Safety Action (PrSA) Module.
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Is There a Classified Version of This Schedule?

No

Is consultation and coordination with Tribal Governments required?

No - the records covered by this schedule do not implicate Tribal interests

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## Item Count

Total number of disposition items: 5

Number of Temporary disposition items: 4

Number of Permanent disposition items: 1

Number of Items with Disposition Not Approved: 0

Number of Inactive disposition items: 0

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Outline of Records Schedule Items for DAA-0398-2024-0001

<b>Item #</b>	<b>Title</b>	<b>Disposition</b>
0001	Master files - Employee/Company Reported Close Calls or Failures Programs	Temporary
0002	Master files - Industry Data Programs	Temporary
0003	Outputs - Publications - Mission-related or programmatic	Permanent
0004	Outputs - Publications - Routine	Temporary
0005	Peer Review Meeting Records	Temporary

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Records Schedule Items

<b>DAA-0398-2024-0001-0001</b>		<b>STATUS: Active</b>
<b>ITEM GENERAL INFORMATION</b>		
Item Title	Master files - Employee/Company Reported Close Calls or Failures Programs	
Item Description	<p>System data consists of employee or company reported close call and failure reports, Peer Review Team (PRT) or SME assessment of contributing factors/root causes, and preventative or corrective actions. Each customer has its own distinct set of modules.</p> <p>Existing customers include but are not limited to:</p> <ul style="list-style-type: none"> <li>• United States Maritime Administration (MARAD) - Maritime Industry (Safe Maritime Transportation System - SafeMTS)</li> <li>• Bureau of Safety and Environmental Enforcement - Offshore oil drilling companies (Safe Outer Continental Shelf - SafeOCS)</li> <li>• Railroads (Union Pacific, Canadian Pacific, New Jersey Transit, Amtrak) - {Inactive}</li> <li>• Washington Metropolitan Area Transit Authority (WMATA)</li> </ul>	
Is this item media neutral?	No	
Media limitation	Digital only	
Is this item a Big Bucket?	No	
<b>SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS</b>		
Does this item supersede existing disposition authorities?	No	
Is this item a deviation from the GRS?	No	
<b>DISPOSITION INSTRUCTION</b>		
Final Disposition	Temporary	
Cutoff Instructions	Cut off after the Close Call Program is terminated	
Retention Period	Destroy 15 year(s) after cutoff	
<b>ADDITIONAL INFORMATION</b>		
Are any of the records covered by this item national security classified?	No	
GAO Approval Required	No	

<b>DAA-0398-2024-0001-0002</b>		<b>STATUS: Active</b>
<b>ITEM GENERAL INFORMATION</b>		
Item Title	Master files - Industry Data Programs	

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Item Description	<p>System data consists of industry reported logistics data, which may include the following types of information but is not limited to:</p> <ul style="list-style-type: none"> <li>• total incoming demand as measured by the container volume, including purchase orders and bookings, and the available supply as measured by the availability of different of assets to move goods including terminal slots, power units, chassis, and warehouse space.</li> <li>• intermodal equipment including Chassis Street Dwell Times, Chassis Out of Service Statistics, and Marine Container Street Dwell Times.</li> <li>• data from tank car manufacturers and retrofit facilities on their estimates of tanks cars to be built or retrofitted for the current calendar year. Specifically, it captures the anticipated number of tanks cars to be built to the DOT-117 specification, as well as the number expected to be retrofitted to the DOT-117R specification by car type.</li> <li>• Ferry operations</li> </ul> <p>Each program has its own distinct set of modules. Existing programs include but are not limited to:</p> <ul style="list-style-type: none"> <li>• Freight Logistics Optimization Works (FLOW)</li> <li>• Ocean Shipping Reform Act Participants (OSRA)</li> <li>• National Census of Ferry Operators (NCFO)</li> <li>• Tank Car Data Collection Program/Survey</li> </ul>
Is this item media neutral?	No
Media limitation	Digital only
Is this item a Big Bucket?	No
<b>SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS</b>	
Does this item supersede existing disposition authorities?	No
Is this item a deviation from the GRS?	No
<b>DISPOSITION INSTRUCTION</b>	
Final Disposition	Temporary
Cutoff Instructions	Cut off at end of Calendar year.
Retention Period	Destroy 15 year(s) after cutoff
<b>ADDITIONAL INFORMATION</b>	
Are any of the records covered by this item national security classified?	No
GAO Approval Required	No

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<b>DAA-0398-2024-0001-0003</b>		<b>STATUS: Active</b>
<b>ITEM GENERAL INFORMATION</b>		
Item Title	Outputs - Publications - Mission-related or programmatic	
Item Description	Items that document the mission of the agency or its programs. Material that is created to meet specific needs of the general public, other agencies and departments, state and local governments, industry, as well as the needs of the agency. Types of publication may include Analytical, Statistical, Program and Close Call Newsletter Reports.	
Is this item media neutral?	Yes	
Is this item a Big Bucket?	No	
<b>SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS</b>		
Does this item supersede existing disposition authorities?	No	
Is this item a deviation from the GRS?	No	
<b>DISPOSITION INSTRUCTION</b>		
Final Disposition	Permanent	
Cutoff Instructions	Cut off at end of Calendar year.	
Are there multiple instructions for this item?	No	
Transfer Instruction	Transfer to the National Archives 15 year(s) after cutoff	
<b>ADDITIONAL INFORMATION</b>		
Current Records Format	Textual data:15 MB	
Approximate first year of records covered by this authority	2013	
End year of records covered by this authority	Still being created	
Date span of the initial transfer	From: 01/01/2013 To: 12/31/2013	
Frequency of transfer	1	
Are any of the records covered by this item subject to a FOIA exemption?	No	

<b>DAA-0398-2024-0001-0004</b>		<b>STATUS: Active</b>
<b>ITEM GENERAL INFORMATION</b>		
Item Title	Outputs - Publications - Routine	
Item Description	Items that are more routine or administrative in nature.	
Is this item media neutral?	Yes	

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Is this item a Big Bucket?	No
<b>SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS</b>	
Does this item supersede existing disposition authorities?	No
Is this item a deviation from the GRS?	No
<b>DISPOSITION INSTRUCTION</b>	
Final Disposition	Temporary
Retention Period	Destroy 10 year(s) after cutoff
<b>ADDITIONAL INFORMATION</b>	
Are any of the records covered by this item national security classified?	No
GAO Approval Required	No

<b>DAA-0398-2024-0001-0005</b>	<b>STATUS: Active</b>
<b>ITEM GENERAL INFORMATION</b>	
Item Title	Peer Review Meeting Records
Item Description	<p>The Peer Review team, which is comprised of individuals from the client, their stakeholders, and BTS, works to identify why close calls occur, recommend preventative safety actions, and evaluate the effectiveness of preventative safety actions that have been implemented. Administrative records that are created by the PRT may include the following types of information but is not limited to: agendas, meeting minutes, additional documentation provided by the SMEs, preliminary root causes, and roster and contact info.</p> <p>Note: The following PRT work products are stored in the Preventative Safety Action (PrSA) Module: approved root causes, suggested Preventative Safety Actions (PrSAs), and the status of PrSAs implementation.</p>
Is this item media neutral?	Yes
Is this item a Big Bucket?	No
<b>SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS</b>	
Does this item supersede existing disposition authorities?	No
Is this item a deviation from the GRS?	No
<b>DISPOSITION INSTRUCTION</b>	



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Final Disposition	Temporary
Cutoff Instructions	Cut off at end of Calendar year.
Retention Period	Destroy 10 year(s) after cutoff
<b>ADDITIONAL INFORMATION</b>	
Are any of the records covered by this item national security classified?	No
GAO Approval Required	No

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Signatory Information

Action	User	Date
Approve	Colleen Shogan	08/06/2024