Request for Approval under the "Generic Clearance for the Collection of Routine Customer Feedback" (OMB Control Number: 1535-0143)

TITLE OF INFORMATION COLLECTION:
Employer qualitative study on new product receptivity.

PURPOSE: The purpose of this research is to establish initial estimates of employer interest and potential involvement in the new products being developed by the Bureau of the Public Debt, and to identify critical implementation issues.

As the initial research effort with employers, this will be a discovery process. The interview framework described below will reveal and illuminate a range of interests (drivers), of misperceptions, and of frustrations and barriers to offering employees savings and retirement plans. In the process, we expect to gain insights on the types of employers most likely to be interested, identify the challenges they face and the types of questions they might have for the product and the process, and get their perspective on their employees' likely involvement.

This research will also help identify aspects of the savings and retirement programs that would increase their appeal or value to this target audience. And it may reveal other related needs that Treasury might address.

DESCRIPTION OF RESPONDENTS:
Focus groups and interviews with decision makers from a cross section of employers in two smaller cells plus one-on-one interviews with decision makers from larger companies will be conducted as follows:

- Cell 1. Focus Group - 6 focus groups will be conducted with companies that have between 20 and 99 employees.
  - a. Two will be conducted in each of three markets: Minneapolis, Baltimore and Phoenix
- Cell 2. Interview - 15 telephone interviews will be conducted among representatives from larger companies that have between 100 and 499 employees.
- Cell 3. Interview - 10 telephone interviews will be conducted among those who used to offer savings bonds to employees via payroll deduction. These will be larger organizations, likely with 500 or more employees.

TYPE OF COLLECTION: (Check one)

[ ] Customer Comment Card/Complaint Form
[ ] Usability Testing (e.g., Website or Software
[X] Focus Group
[ ] Customer Satisfaction Survey
[ ] Small Discussion Group
[ ] Other:______________________

CERTIFICATION:

I certify the following to be true:
1. The collection is voluntary.
2. The collection is low-burden for respondents and low-cost for the Federal Government.
3. The collection is non-controversial and does <u>not</u> raise issues of concern to other federal agencies.
4. The results are <u>not</u> intended to be disseminated to the public.

5. Information gathered will not be used for the purpose of substantially informing influential policy decisions.
6. The collection is targeted to the solicitation of opinions from respondents who have experience with the program or may have experience with the program in the future.

Name:____
Bruce A. Sharp

To assist review, please provide answers to the following question:

Personally Identifiable Information:
1. Is personally identifiable information (PII) collected? [ ] Yes **[X]** No
2. If Yes, will any information that is collected be included in records that are subject to the Privacy Act of 1974? [ ] Yes [ ] No
3. If Yes, has an up-to-date System of Records Notice (SORN) been published? [ ] Yes [ ] No

Gifts or Payments:
Is an incentive (e.g., money or reimbursement of expenses, token of appreciation) provided to participants? [] Yes **[X]** No

BURDEN HOURS

Category of Respondent	**No. of Respondents**	**Participation Time (hours)**	**Burden (hours)**
Private Sector – Telephone screening for representatives to participate in focus groups or one-on-one interviews	300	0.25	60
Private Sector – Focus group of representatives from companies that have 20-99 employees	36	2.00	72
Private Sector – Telephone interviews with representatives from companies that have 100-500 employees	15	0.50	7.5
Private Sector – Telephone interviews with representatives from companies that previously offered savings bonds to employees via payroll deduction	10	0.50	5
Totals	**361**		**144.5**

FEDERAL COST: The estimated annual cost to the Federal government is not known at this time.

If you are conducting a focus group, survey, or plan to employ statistical methods, please provide answers to the following questions:

The selection of your targeted respondents

1. Do you have a customer list or something similar that defines the universe of potential respondents and do you have a sampling plan for selecting from this universe?
[X] Yes [X] No

If the answer is yes, please provide a description of both below (or attach the sampling plan)? If the answer is no, please provide a description of how you plan to identify your potential group of respondents and how you will select them?

Potential respondents of Cell 1 and 2 will be selected from a database of small business organizations developed and maintained by a contractor with a focus group facility. Companies volunteer to be on this list, and the facility keeps track of their statistical information. Companies meeting the appropriate criteria are called by the facility and screened to see if a representative meets the additional criteria required for the study. If they do meet the specifications we are seeking they are asked to participate.

The pool of respondents for Cell 3 consists of companies that previously participated in the payroll deduction program for purchasing paper savings bonds. The sample for this tier will be drawn from records maintained by the Bureau of the Public Debt and the Federal Reserve Bank of St. Louis. A representative of a local marketing research firm will contact company representatives from these companies and interview 15 who volunteer to respond. Participants from this cell will be sampled to take account of companies of different sizes and from different industries.

Administration of the Instrument

1. How will you collect the information? (Check all that apply)
   - [ ] Web-based or other forms of Social Media
   - [X] Telephone
   - [X] In-person
   - [ ] Mail
   - [ ] Other, Explain
2. Will interviewers or facilitators be used? [X] Yes [ ] No

Please make sure that all instruments, instructions, and scripts are submitted with the request.

Instructions for completing Request for Approval under the "Generic Clearance for the Collection of Routine Customer Feedback"

TITLE OF INFORMATION COLLECTION: Provide the name of the collection that is the subject of the request. (e.g. Comment card for soliciting feedback on xxxx)

PURPOSE: Provide a brief description of the purpose of this collection and how it will be used. If this is part of a larger study or effort, please include this in your explanation.

DESCRIPTION OF RESPONDENTS: Provide a brief description of the targeted group or groups for this collection of information. These groups must have experience with the program.

TYPE OF COLLECTION: Check one box. If you are requesting approval of other instruments under the generic, you must complete a form for each instrument.

CERTIFICATION: Please read the certification carefully. If you incorrectly certify, the collection will be returned as improperly submitted or it will be disapproved.

Personally Identifiable Information: Provide answers to the questions. Note: Agencies should only collect PII to the extent necessary, and they should only retain PII for the period of time that is necessary to achieve a specific objective.

Gifts or Payments: If you answer yes to the question, please describe the incentive and provide a justification for the amount.

BURDEN HOURS:
Category of Respondents: Identify who you expect the respondents to be in terms of the following categories: (1) Individuals or Households;(2) Private Sector; (3) State, local, or tribal governments; or (4) Federal Government. Only one type of respondent can be selected per row.
No. of Respondents: Provide an estimate of the Number of respondents.
Participation Time: Provide an estimate of the amount of time required for a respondent to participate (e.g. fill out a survey or participate in a focus group)
Burden: Provide the Annual burden hours: Multiply the Number of responses and the participation time and divide by 60.

FEDERAL COST: Provide an estimate of the annual cost to the Federal government.

If you are conducting a focus group, survey, or plan to employ statistical methods, please provide answers to the following questions:

The selection of your targeted respondents. Please provide a description of how you plan to identify your potential group of respondents and how you will select them. If the answer is yes, to the first question, you may provide the sampling plan in an attachment.

Administration of the Instrument: Identify how the information will be collected. More than one box may be checked. Indicate whether there will be interviewers (e.g. for surveys) or facilitators (e.g., for focus groups) used.

Submit all instruments, instructions, and scripts are submitted with the request.