Request for Approval under the "Generic Clearance for the Collection of Routine Customer Feedback" (OMB Control Number: 3038-0107)

TITLE OF INFORMATION COLLECTION:

PURPOSE:

The CFTC Whistleblower Office (WBO) is in need of a new website *(separate from the existing CFTC website, www.CFTC.gov)* to bring transparency to their program information. The Office of Data and Technology (ODT) is leading the project and technical tasks. As part of the audience and information design analyses for website architecture and navigation, we would like to talk with potential users of the website information. The feedback received would allow the WBO and ODT to conduct detailed analyses to provide solid recommendations for website navigation, information organization, and user interface – all of which contribute to how the website information would be viewed and consumed by public users and drive ODT's development efforts and design.

Feedback would be gathered via face-to-face interview (DC local commuting area), or telephone (local or regional).

DESCRIPTION OF RESPONDENTS:

We would like to meet with 1-2 persons (maximum total of 8 external persons) from the following organizations that CFTC may or has collaborated with for other Commission business.

- Futures Industry Association (FIA)
- National Futures Association (NFA)
- Bloomberg
- Local law firms (attorney; to be identified, WBO contacts)

TYPE OF COLLECTION: (Check one)

[ ] Customer Comment Card/Complaint Form
[**X**] Usability Testing (e.g., Website or Software
[ ] Focus Group
[ ] Customer Satisfaction Survey
[ ] Small Discussion Group
[**X**] Other: Interview; question & answer format

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 not raise issues of concern to other federal agencies.
4. The results are not 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: **LaSharn E. Dozier, CFTC – Office of Data and Technology; Washington, DC**

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**	**Burden**
Futures industry professional (FIA)	2 (max.)	1 hour/each	2
Future industry professional (NFA)	2 (max.)	1 hour/each	2
Media (Bloomberg)	2 (max.)	1 hour/each	2
Attorney (Local law firms in DC)	2 (max.)	1 hour/each	2
Totals	**8**	**1**	**8**

FEDERAL COST: The estimated annual cost to the Federal government is **$0.00; one-time analysis**

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? [ ] 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?
The selection of respondents is based on the existing website audience categories for which information is written and published to the Commission's existing website, www.CFTC.gov. The primary external audience categories that may have the most interaction with the CFTC Whistleblower Program information include:
- Futures industry professionals – *view market data, regulatory guidance, or identifying market manipulation and fluctuations*
- Media – *view latest news briefs and actions about futures industry*
- Attorneys – *view CFTC rules and regulations to counsel clients with futures industry involvement*

There are not any specific points of contact identified, so WBO and ODT will contact the communications or public relations groups for the identified respondent categories.

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.

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

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.
Interview questions in separate attachment *(CFTC_WBO_analysesQuestions.docx)*.