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**Justification for an Information Collection under the U.S. Department of Agriculture, Forest Service’s Federal Lands Transportation Generic Clearance (OMB Control No. 0596-0236)**

**Federal Land Management Agencies (FLMA) Transportation Survey** of **Alaska Residents**

Justification for Submission under Federal Lands Transportation Generic Clearance (OMB Control Number 0596-0236)

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| **U.S. Department of Agriculture-Forest Service**  Office of Regulatory and Management Services | Forest Service Tracking Number: (for internal use only)  2016 - 9 - BLM |

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|  | | | Date Submitted to Forest Service/USDA: | 7/22 /2016 |
| 1. | **IC Title:** | FLMA Transportation Survey of Alaska Residents | | |
| 2. | **Bureau/Office:** | Bureau of Land Management  National Park Service  Fish and Wildlife Service  U.S. Forest Service | | |

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| 3. | **Abstract:** (not to exceed 150 words)  The purpose of this survey is to collect information that will help the Federal Land Management Agencies (FLMAs) better understand how rural Alaskans are using Federal public lands and to obtain their evaluation of transportation-related facilities, assets and conditions on Federal lands. The data will provide baseline measures of performance metrics at a statewide level, and these findings will be incorporated into the “Visitor Experience” section of the Alaska Long Range Transportation Plan. The information collection is also designed to help identify issues that are problems for rural Alaskans and that may hinder their access to Federal public lands. Respondents will be asked questions about the routes they use through Federal lands (including sites visited), the purpose of their trips to/through Federal public lands, their use of different transportation modes; transportation-related issues or problems, their use of traveler information, and safety-related issues or concerns. |
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| **4.** | **Bureau/Office Point of Contact Information**  **Please note that this Form was completed by: Margaret Petrella, Social Scientist, U.S. DOT Volpe Center (**[**Margaret.petrella@dot.gov**](mailto:Margaret.petrella@dot.gov) **or 617-494-3582)** | | | | | | | | | | | | | | | | | |
|  | **First Name:** | | | Randy | | | | | | | | | | | | | | |
|  | **Last Name:** | | | Goodwin | | | | | | | | | | | | | | | | |
|  | **Title:** | | | Alaska State Office Program Lead for  Recreation (acting), Travel and Transportation Management, Off-Highway Vehicles, and Visual Resource Management | | | | | | | | | | | | | | |
|  |  | | | | | | | | | | | | | | | | | |
|  | **Bureau/Office:** | | | Bureau of Land Management | | | | | | | | | | | | | | | | |
|  | **Street Address:** | | | 1150 University Avenue | | | | | | | | | | | | | | |
|  | **City:** | | | Fairbanks | | | **State:** | | | | | AK | | **Zip code:** | | | 99709 | |
|  | **Phone:** | | | 907-474-2369 | | | | **Fax:** | | | |  | | | | | | |
|  | **Email:** | | | [rgoodwin@blm.gov](mailto:rgoodwin@blm.gov) | | | | | | | | | | | | | | |
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| **5.** | **Principal Investigator (PI) Information [If different from #4]** | | | | | | | | | | | | | | | | | |
|  | **First Name:** | | | Peter | | | | | | | | | | | | | | |
|  | **Last Name:** | | | Fix | | | | | | | | | | | | | | |
|  | **Title:** | | | Associate Professor of Outdoor Recreation Management, Natural Resources Management Department Chair | | | | | | | | | | | | | | |
|  |  | | |  | | | | | | | | | | | | | | |
|  | **Bureau/Office:** | | | University of Alaska Fairbanks | | | | | | | | | | | | | | |
|  | **Address:** | | | 905 Koyukuk | | | | | | | | | | | | | | |
|  | | **City:** | | Fairbanks | | | | | **State:** | | | AK | | | **Zip code:** | | | 99712 | |
|  | **Phone:** | | | 907-474-6926 | | | **Fax:** | | | | |  | | | | | | |
|  | **Email:** | | | [pjfix@alaska.edu](mailto:pjfix@alaska.edu) | | | | | | | | | | | | | | |
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| **6.** | **Lead agency IC Clearance Officer Reviewing the IC:** | | | | | | | | | | | | | | | | | |
|  | **First Name** | | | | Jean | | | | | | | | | | | | | |
|  | **Last Name** | | | | Sonneman | | | | | | | | | | | | | |
|  | **Title** | | | | Senior Regulatory Analyst | | | | | | | | | | | | | |
|  | **Phone** | | | | 202-912-7405 | | | | | | | | | | | | | |
|  | **Email** | | | | [jesonnem@blm.gov](mailto:jesonnem@blm.gov) | | | | | | | | | | | | | |
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| **7.** | **Description of Population/Potential respondents** | | | | Alaska residents -- primarily rural, subsistence inhabitants | | | | | | | | | | | | | |
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| **8.** | **IC Dates** | | | | *(October 2016)* | | | | | to | | | *(April 2017)* | | | | | |
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| **9.** | **Type of Information Collection Instrument (Check ALL that Apply)** | | | | | | | | | | | | | | | | | |
| **X\_\_Intercept** | | | **\_\_Telephone** | | **\_\_Mail** | **\_Web-based** | | | | | **\_\_Focus Groups** | | | | | **\_\_Comment Cards** | | |
| **\_\_Other** | | | **Explain:** | | | | | | | | | | | | | | | |  | | |

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| 10. Instrument Development:  (Who assisted in content development? Statistics? Was the instrument pretested? How were improvements integrated?)  The survey was developed by a social scientist at the U.S. Department of Transportation (DOT), Margaret Petrella, in consultation with representatives of FLMAs in Alaska and the Alaska DOT. Members of the team include:   * Randy Goodwin (BLM) * Paul Schrooten (NPS) * Marie Messing , Amy Thomas (FS) * Charles Grant, Pete Wykoff (FWS) * Marcheta Moulton, Eric Taylor (Alaska DOT) * Roxanne Bash (FHWA, Western Federal Lands)   The team convened numerous meetings to discuss data requirements, develop the method, and to design the survey instrument. The survey contractor, Dr. Peter Fix, also provided a very detailed review. Several meetings were convened with Dr. Fix, and his staff member, Lisa Wedin, to discuss the survey and to revise, as appropriate. A number of changes were made to the survey based on the review by Dr. Fix and his team.  In addition, a small pre-test with 6 respondents was conducted at the Bureau of Indian Affairs (BIA) Tribal Providers Conference in December 2015. The interviewers felt that respondents were not fully engaged with the questionnaire, although they did express an interest in the topic. The survey team determined that it would be beneficial to have fewer structured questions. Instead, the survey would include maps (online, with the capability to zoom in to particular regions), and respondents would trace the routes they use on Federal public lands and answer specific questions about those trips. Following the mapping exercise, the survey would include a limited set of more structured questions. The interviewers feel that this format is more engaging for respondents and enables the collection of useful data. | | | |
| **11. Which of the five areas from the Compendium of Questions will be addressed in your IC?** (Check all that apply)**.** .  X Topic Area #1: Respondent characteristics  X Topic Area #2: Traveler Information  X Topic Area #3: Trip behaviors  X Topic Area #4: Assessment of Visitor Experiences and Transportation-Related Facilities, Conditions, and Services   * Topic Area #5: Economic Impact and Visitor Spending/Costs   **In addition, for each question in your survey instrument (or discussion guide, comment card, etc), please indicate the Compendium Topic Area and the unique question identifier from the Compendium. If the question is not taken from the Compendium, indicate “NEW”.**   |  |  |  |  | | --- | --- | --- | --- | | **Survey Quest. #** | **Compendium Topic Area** | **Compendium Question Identifier** | **Comment** | | Q.1 | Trip Behaviors | TDEST13 | * Added clarifying language on how we define Federal public lands * Added clarifying language that they should include the use of all roads, trails and waterways | | Q. 1a | Respondent Characteristics | VHIS8 | * VHIS8 asks visitors which season they visit a site. We have applied this question to the routes they use (provided in Q. 1). In Alaska, routes may change depending on the season, and we want to capture this variation. | | Q.1b | Respondent Characteristics | VHIS20 | * The question was revised to apply to the routes respondents use (rather than their frequency of visiting Federal public lands). | | Q.1c | Trip Behaviors | TPURP8 | * Omitted “primary” so we can measure all trip purposes for which the route is used. | | Q.1d | Trip Behaviors | TRANUSE7 | * We are only using the part of the question that asks about transportation use. | | Q.2 | Assessment of Visitor Experience | EVAL5 | * Added an instruction to mark the spot of the transportation problem with an X on the map * Provided a pre-defined list of transportation problems to ease respondent burden for this question | | Q.3 | Assessment of Visitor Experience | SAFE8/SAFE9 | * Added clarifying language : “transportation-related” -- as we do not want the measure to include non-transportation related accidents/incidents * Added “safety concerns” to this question (from SAFE8) * Added instruction to mark location where they experienced accident, incident or safety concern with an X on the map. | | Q.4 | Traveler Information | TINFO4 | * Omitted the initial screener for the question * Added “In the past year” to give the respondent a time frame. | | Q.5 | Traveler Information | TINFO25 | No change | | Q.6 | Traveler Information | TINFO5 | No change | | Q.7 | Trip Behaviors | TACT14/15 | * Combined Federal and state subsistence hunt into one question, since this distinction is not important for our purposes. | | Q 8 | Trip Behaviors | TACT16/17 | * Combined Federal and state subsistence fishery into one question, since this distinction is not important for our purposes. | | Q 9 | Assessment of Visitor Experience | OPIN7 | * Omitted initial sentence in question which asks respondent to think about a specific trip. Since this survey is being administered to residents, we want them to respond more generally. | | Q 10 | Assessment of Visitor Experience | EVAL6 | No change | | Q.11 | Respondent Characteristics | GEN2 | No change | | Q.12 | Respondent Characteristics | AGE1 | No change | | Q.13 | Respondent Characteristics | RES6 | No change | | Q.14 | Respondent Characteristics | RES6 | No change | | Q.15 | Respondent Characteristics | RACE2 | No change | | Q.16 | Respondent Characteristics | EDU1 | No change | | Q.17 | Respondent Characteristics | INC1 | No change | |  |  |  |  | | | | |
| **12. Methodology:**  (Use as much space as needed; if necessary include additional explanation on separate page). | | | |
| **Respondent Universe** | | Alaska residents, particularly rural residents who tend to use Federal public lands for subsistence purposes. | |
| **Sampling Plan/Procedure** | | For the purposes of this effort, we determined that the best method to obtain representation of many villages is to administer the survey at conferences attended by rural Alaskans. We identified three conferences:   * 1. Alaska Federation of Natives (AFN) convention (October 2016)   2. Bureau of Indian Affairs Providers Conference (December 2016)   3. Alaska Tribal Transportation Symposium (March/April 2017)   Rural Alaska residents travel from all over the state to attend these conferences and attendance is quite high. The AFN convention, for example, draws between 4,000–5,000 attendees. Delegates are elected on a population formula of one representative per twenty-five Native residents in the area and delegate participation rates at the annual convention typically exceed 95 percent.[[1]](#footnote-1)  A limitation of this approach is that our sample will not necessarily be representative of all rural Alaskans (e.g., we will not represent the population in proportion to the respective villages), and thus we will not be able to generalize our findings. However, this method does offer a better opportunity to gain input from smaller villages that would have few to no responses if a random statewide sample was employed.  The study team considered other methods, such as a mail survey or in-person interviews in the local villages, but there were limitations to these methods as well. First, low response rates are a significant problem. A mail survey of a random sample of rural Alaska developed for the Alaska Residents Statistics Program achieved only a 27% response rate.[[2]](#footnote-2) While in-person interviews with a sample of local villages in each of the regions within Alaska might yield higher response rates, such an approach is not feasible due to budget constraints. The costs to travel across Alaska to conduct in-person interviews would be exorbitant, given the size of the state. Moreover, approximately 150 villages are accessible by air or ferry only.  Sampling will occur throughout the day for each day of the three conferences. Since each conference is approximately three days (the BIA Providers conference is four days, with closing ceremonies on the last day), this results in a total of nine sample days. This approach is expected to yield a sufficient sample. Surveyors plan to set up a booth at each conference, and they will also locate themselves in central gathering areas (e.g., lobbies) and will intercept attendees and ask them to participate in the survey. | |
| **Instrument Administration** | | Attendees at the conferences will be approached by trained interviewers, and will be asked to participate in the survey. If possible, we will have a booth at the conferences, so that attendees who pass by the booth will be intercepted. The following script will be used:  *Good morning [/afternoon]. My name is (first and last name), and I am conducting a study for the Alaska Federal Land Management Agencies to learn about users’ transportation experiences on Federal public lands. We will use this information to better understand the types of transportation improvements needed on Federal public lands.*  *Your participation is voluntary and all responses are anonymous. Would you be willing to take 15 minutes to help?*  IF YES: *“Thank you! You can take the survey using this tablet computer, or if you prefer, we also have a paper version of the survey.*  IF NO: *Thank you. I understand. Enjoy the conference.*  The survey instrument will be administered in two parts. The first part is the transportation route mapping exercise. This will be administered on a large (22”) touch screen monitor connected to a laptop. The surveyor will assist the respondent in zooming to the location on the map, and coding the points on the map (i.e., survey questions 1 - 3). A window will be switched on the laptop to display questions 4 – 17. Questions 4 – 17 will also be available on a tablet computer and paper, if that works better for the respondent.  As part of the mapping exercise, The respondent will draw their travel routes directly into ARCGis. Respondents will be able to zoom into specific regions of the state. The interviewer will assist respondents with using the map and answering questions 1 – 3 for the travel routes (which season they use the route, trip purpose, mode of transportation and any transportation or safety problems they have experienced on these routes).  This mapping technique is more interactive and is anticipated to produce more useful and more meaningful data. This technique has been successfully used in a number of recent studies in Alaska, including:   1. Gadamus, Lily, and Julie Raymond-Yakoubian, Qualitative Participatory Mapping of Seal and Walrus Harvest and Habitat Areas: Documenting Indigenous Knowledge, Preserving Local Values, and Discouraging Map Misuse, *International Journal of Applied Geospatial Research*, 6 (1), 76-93, January – March 2015. 2. Lingle, E.G, P.J. Fix and A.M. Harrington. (2011). Bering Sea and Western Interior Land Use Study. Final Report for USDI Bureau of Land Management. Fairbanks, Alaska: Department of Humans and the Environment, School of Natural Resources and Agricultural Sciences, University of Alaska Fairbanks. http://www.uaf.edu/snras/ #MP 2011-03. | |
|  | | We anticipate that our response rates will be relatively high, at 75%, due to the in-person intercept and completion on-site. | |
| **Strategies for dealing with potential non-response bias** | | This study is a qualitative data collection effort, and the results will not be generalized to the broader population rural Alaskans. In our analysis and write-up of findings, we will summarize the demographic characteristics of the sample and will note if there are geographic regions (e.g., northern region) for which we collected a small number of responses.  If someone refuses we will ask if they would be willing to answer three questions. If they are willing, we will ask them if they have traveled to or through Federal public lands in the past year, transportation used traveling to or through Federal public lands, any safety incidents or concerns traveling to or through Federal public lands, and their zip code. While we would not weight data based on this non-response bias test, results would provide insight as to whether those who did not respond were systematically different than those who did respond. | |
| **Description of any pre-testing and peer review of the methods and/or instrument (recommended)** | | The survey instrument was initially developed by the U.S. DOT in consultation with Alaska FLMA partners. The PI, Peter Fix, and his team provided a rigorous review, and there were several rounds of revision based on their input.  However, the biggest changes made to the survey instrument were based on the results of a small pre-test, conducted with 6 respondents at the Bureau of Indian Affairs (BIA) Tribal Providers Conference in December 2015. The interviewers felt that respondents were not fully engaged with the questionnaire, although they did express an interest in the topic. As a result, the survey team determined that it might be more beneficial to have fewer structured questions. Instead, the survey would include maps that respondents could zoom in to trace the routes they use on Federal public lands and to answer specific questions about those trips. Following the mapping exercise, the survey would include a limited set of close-ended questions. | |
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| **13.** | **Total Number of Initial Contacts and Expected Number of Respondents** | | At each conference, we will attempt to contact 180 residents, resulting in 135 respondents. Across the three conferences, 540 contacts will be made, and responses will be collected from 405 respondents. The non-respondents (N=135) will be asked three questions to assess non-response bias. |
| **14.** | **Estimated Time to Complete Initial Contact and Time to Complete Instrument** | | We estimate 2 minutes for the initial contact and 15 minutes to complete the survey. |
| **15.** | **Total Burden Hours**  **Contacts**  **Respondents**  **-----------------**  **Total** | | **Contacts:** 2 minutes (.03 hour) \* 540 = 16 hours  **NON-RESPONSE:** 2 minutes\* 135 = 4 hours  **Surveys:** 15 minutes (.25 hour) \* 405 = 101hours  **Total= 121 hours** |
| **16. Reporting Plan:**  A separate report detailing the results of the survey will be developed and submitted to FHWA Western Federal Lands and to the Alaska FLMA partners. In addition, findings will be incorporated into the Alaska Long Range Transportation Plan. Presentations will be made to FLMA transportation planners and/or resource managers in Alaska, and a presentation will likely be made at the Annual Meeting of the Transportation Research Board (TRB) to demonstrate how collaborative surveys of this type can inform long range transportation planning. | | | |

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| **17. Justification, Purpose, and Use:** | |
| **IC Justification and Purpose** | Section 1119 of P.L. 112-141, the Moving Ahead for Progress in the 21st Century Act (MAP-21) requires the U.S. Secretary of Transportation to implement transportation planning procedures for Federal lands and tribal transportation facilities that are consistent with the planning processes required under sections 134 and 135 of title 23. These processes are based on "3-C" principles: comprehensive, continuous, and cooperative. As described in section 135, under the scope of the planning process (d, 2 (A)), “The statewide transportation planning process shall provide for the establishment and use of a performance-based approach to transportation decision-making ...”  This survey fulfills the requirements of MAP-21 as it is a collaborative effort among the Alaska FLMAs to collect statewide data on performance metrics related to users’ transportation experience on Federal public lands. The data collected from these surveys will feed directly into the Alaska Long Range Transportation Plan, providing a baseline measure of users’ experience.  More specifically, this IC enables FLMAs to obtain information from rural Alaskan residents on their transportation related experiences on Federal public lands. A separate survey to be administered on Federal public lands during the summer of 2016 is likely to primarily intercept visitors (e.g., from out of state) who are using Federal public lands for recreational purposes. Rural Alaskans, however, use Federal public lands for subsistence purposes. Moreover, Federal public lands comprise 225,848,164 million acres in Alaska or 61.8% of the state[[3]](#footnote-3), so it is likely that many rural Alaskans travel through Federal public lands as a means of reaching their destinations (e.g. for inter-village travel). Given that: 1) the summer 2016 survey is not likely to capture a sufficient sample of rural Alaskans, and 2) rural Alaskans have different uses for Federal public lands, it is important to administer this separate survey in order to understand this population’s transportation needs and experiences on Federal public lands. |
| **IC Goals** | The goal of this IC is to collect information from rural Alaskan residents regarding their use of Federal public lands, and more specifically their use and evaluation of transportation-related assets and conditions. |
| **Utility to Managers** | The data will provide baseline performance measures to FLMA transportation planners and will help identify problems with FLMA transportation facilities or conditions, including access-related issues. |
| **How will the results of the IC be analyzed and used?** | The mapping data will be analyzed in ArcGIS. Heat maps will be prepared that show the routes that rural Alaskans are using on Federal public lands and that identify locations where there have been transportation related problems, accidents or incidents. Other survey data collected on the tablet computer will be downloaded into an Excel spreadsheet. Analysis will be conducted using IBM SPSS Statistics version 22. All data will be stored in electronic and hard copy and will adhere to data management procedures required by the Federal Government. When the study is completed, the final report, the survey instrument, the data, and the data codebook will be archived on ScienceBase, a database hosted by the U.S. Geological Survey (USGS). All surveys administered under Generic Clearance 0596-0236 (Federal Lands Transportation Generic Clearance) will post their survey instruments, data and other documentation on ScienceBase, in an effort to increase data sharing and to reduce the duplication of surveys. |
| **How will the data be tabulated? What Statistical Techniques will be used to generalize the results to the entire customer population? How will limitations on use of data be handled? If the survey results in a lower than anticipated response rate, how will you address this when reporting the results?** (Use as much space as needed; if necessary include additional explanation on separate page).  Heat maps will be prepared. Frequencies and crosstabs will be tabulated, and open-end responses will be coded. We do not plan to generalize the findings to the larger population, since we do not know if the data collected at the conferences will be representative of all rural Alaskans. Nonetheless, the survey will provide useful insights on this sample’s transportation related experiences on Federal public lands. | |
| **Is this survey intended to measure a Government Performance and Results Act (GPRA) performance measure? If so, please include an excerpt from the appropriate document.** (Use as much space as needed; if necessary include additional explanation on separate page).  No, this survey is not intended to measure a GPRA performance measure. | |

**Checklist for Submitting a Request to Use USDA-Forest Service Federal Lands Transportation Generic Clearance**

*X All* questions in the survey instrument are within the scope of one of the USDA-Forest Service Generic Clearance topic areas (see Compendium of Questions).

X The approval package is being submitted to the Forest Service Office of Regulatory and Management Services at least *45* days prior to the first day the PI wishes to administer the IC to the public.

X [IF SURVEY] A qualified statistician has reviewed and approved your request.

X Your bureau/office Information Collection Clearance Officer has reviewed and approved the approval package.

X When you forward the approval package to USDA Forest Service, copy the FLMA Generic Clearance Coordinator

The approval package includes:

X A completed Justification

X A signed Certification Form

X A copy of the survey instrument

X Other supporting materials, such as:

* + Cover letters to accompany mail-back questionnaires
  + Introductory scripts for initial contact of respondents
  + Necessary Paperwork Reduction Act compliance language
  + Follow-up letters/reminders sent to respondents

The survey methodology presented in the Justification includes a specific description of:

X The respondent universe

X The sampling plan and all sampling procedures, including how respondents will be selected

X How the instrument will be administered

X Expected response rate and confidence levels

X Strategies for dealing with potential non-response bias

X A description of any pre-testing and peer review of the methods and/or the instrument is highly recommended.

X The burden hours reported in the Justification include the number of burden hours associated with the initial contact of all individuals in the sample (i.e., including refusals), if applicable, and the number of burden hours associated with individuals expected to complete the survey instrument.

X The package is properly formatted (Word) and submitted to the Office of Regulatory and Management Services electronically.

**Certification Form for** **Submission Under OMB Control Number 0596-0236**

This form should only be used if you are submitting a collection of information for approval under the USDA-Forest Service Federal Lands Transportation Generic Clearance.

*If the collection does not satisfy the requirements of the Generic Clearance, you should follow the regular PRA clearance procedures described in 5 CFR 1320.*

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| 1. Bureau/Office 2. Bureau of Land Management (Lead Agency) 3. US Forest Service 4. National Park Service 5. US Fish and Wildlife Service | | | | | | | |
| 1. IC Title *(Please be specific)* 2. FLMA Transportation Survey of Alaska Residents | | | | | | | |
| 1. Estimated Number 2. Contacts 3. Respondents | | 540  405  135 | Time per Response  Contacts  Respondents  Refusals (non-response log) | | | | 2 minutes/contact  15 minutes/respondent  2 minutes/respondent |
|  | |  | Total Burden Hours  Contacts  Respondents  Refusals  -----------------  Total | | | | 16 hours  101 hours  4 hours  **121 hours** |
| 1. Bureau/Office Contact (who can best answer questions about content of the submission): 2. US DOT, The Volpe Center, ([Margaret.petrella@dot.gov](mailto:Margaret.petrella@dot.gov)) OR 3. University of Alaska-Fairbanks, ([pjfix@alaska.edu](mailto:pjfix@alaska.edu)) | | | | | | | |
| 1. Name | Margaret Petrella, The Volpe Center  OR  Peter Fix, University of Alaska-Fairbanks | | | Phone | 617-494-3582  907-474-6926 | | |
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| 1. **Certification: The collection of information requested by this submission meets the requirements of OMB control number 0596-0236** | | | | | | | |
| 1. Bureau/Office Qualified Statistician 2. Dr. Peter Fix | | | | | | DATE  July 22, 2016 | |
| 1. Bureau/Office Information Collection Clearance Officer | | | | | | DATE | |
| 1. Forest Service, Office of Regulatory and Management Services | | | | | | DATE | |

1. See Alaska Federation of Natives website, <http://www.nativefederation.org/annual-convention/>. [↑](#footnote-ref-1)
2. Fix, P. J. (2009). *Alaska Residents Statistics Program Final Report*, Fairbanks, Alaska: School of Natural Resources and Agricultural Sciences, Department of Resource Management, University of Alaska Fairbanks. [↑](#footnote-ref-2)
3. Gorte, Ross W., Carol Hardy Vincent, Laura A. Hanson, Marc R. Rosenblum, *Federal Land Ownership: Overview and Data*, Congressional Research Service, February 8, 2012. [↑](#footnote-ref-3)