

Generic Clearance for the Collection of Qualitative Feedback for Agency Service Delivery
Supporting Statement

- **JUSTIFICATION**
- **Circumstances Making the Collection of Information Necessary**

Executive Order 12862 directs Federal agencies to provide service to the public that matches or exceeds the best service available in the private sector. In order to work continuously to ensure that our programs are effective and meet our customers' needs, the Commodity Futures Trading Commission's Office of Customer Education and Outreach (OCEO) seeks to obtain OMB approval of a generic clearance to collect qualitative and quantitative feedback. By feedback we mean information that provides useful insights on perceptions and opinions, but are not statistically significant surveys that yield results that can be generalized to the population of study.

This collection of information is necessary to enable the OCEO to garner customer and stakeholder feedback in an efficient and timely manner in accordance with our commitment to improving service delivery. The information collected from our customers and stakeholders will help ensure that users have an effective, efficient, and satisfying experience with OCEO programs. This feedback will provide insights into customer or stakeholder perceptions, experiences and expectations, provide an early warning of issues with service, or focus attention on areas where communication, training or changes in operations might improve delivery of products or services. These collections will allow for ongoing, collaborative and actionable communications between the OCO and its customers and stakeholders. It will also allow feedback to contribute directly to the improvement of program management.

- **Purpose and Use of the Information Collection**

The OCEO will undertake a variety of service delivery-focused activities over the next few years which include customer outreach and information-sharing with stakeholders that are responsive to customers' needs and sensitive to changes in the consumer market. The proposed information collection activity will use similar methods for information collection or otherwise share common elements, and provide a means to gather customer and stakeholder feedback in an efficient, timely manner. The solicitation of information on delivery of customer services will address such areas as appropriate messages, effective message delivery methods, effective programming, programming needs, and customer beliefs, psychographics and social norms that will assist the agency in developing outreach and communications plans.

- **Consideration Given to Information Technology**

Where appropriate, automated information technology will be used to collect and process information for these surveys to reduce the burden on the public.

- **Duplication of Information**

No similar data are gathered or maintained by the OCEO or are available from other sources known to the OCEO.

- **Reducing the Burden on Small Entities**

Small businesses or other small entities may be involved in these efforts but the OCEO will minimize the burden on them by sampling, asking for readily available information, and using short, easy-to-complete information collection instruments. Therefore, these surveys will not have a significant impact on small business or other small entities.

- **Consequences of Not Conducting Collection**

Without this feedback, the OCEO will not have timely information to adjust its services to meet customer needs.

- **Special Circumstances**

There are no special circumstances. The information collected will be voluntary and will not be used for statistical purposes.

- **Consultations with Persons Outside the Agency**

On March 4, 2016, a 60-day notice for public comment was published in the Federal Register at 81 FR 11520, soliciting public comments. No relevant comments were received

- **Payment or Gift**

The screening criteria to recruit our customers for focus groups could call for respondents who meet specific criteria. Eighteen professional focus group facilities were contacted and the lowest incentive rate suggested to recruit this audience was \$75 per recruit. In addition to their time, this incentive often covers travel and childcare costs because facilities commonly recruit from a 45-mile radius and groups will not be conducted during school hours.

There are several factors that determine the amount offered to participants. As background, amounts are driven by a facility's ability to guarantee show rates. These show rates, or the rates at which respondents will "show" for research events, are tracked over time. Once show rates fall beneath the accepted industry average, facilities are forced to increase the incentive amount.

- **Confidentiality**

The confidentiality of respondent identification and information will be assured to the maximum extent allowed by law. Participation will be fully voluntary and, to the extent possible, responses will be anonymous.

- **Sensitive Nature**

No questions will be asked that are of a sensitive nature.

- **Burden of Information collection**

The total annual estimated burden imposed by this collection of information is 28,800 hours annually. The burden is as follows:

Estimated number of respondents: 1,440

Estimated average number of responses: 10 per year

Estimated total average annual burden on respondents: 14,400

Frequency of collection: once per request

Average minutes per response: 120
Estimated total annual burden hours requested: 28,800 hours

- **Costs to Respondents**

No costs are anticipated.

- **Costs to the Federal Government**

An outside vendor may be used to conduct the surveys. If so, the costs are unknown at this time.

- **Reason for Change**

Not applicable. This is a renewal request for a previous generic approval with similar requirements.

- **Tabulation of Results, Schedule, Analysis Plans**

Feedback collected under this generic clearance provides useful information, but does not yield data that can be generalized to the overall population.

- **Display of OMB Approval Date**

We are requesting no exemption.

- **Exceptions to Certification for Paperwork Reduction Act Submissions**

- **STATISTICAL METHODS**

Data collection methods and procedures will vary; however, the primary purpose of these collections will be for internal management purposes, there are no plans to publish or otherwise release this information. The entire process is still in the development stage.

- **Information Collection Procedures**

Participation will be fully voluntary, and non-participation will have no impact on eligibility for or receipt of futures services. Information to be collected will be limited to that needed to assess customer satisfaction. Repeated implementation of quantitative surveys will be at an interval appropriate to measure the impact of changes, and to monitor ongoing levels of satisfaction.