

**INFORMATION COLLECTION
SUPPORTING JUSTIFICATION A
Generic Clearance for the Collection of Qualitative
Feedback on Agency Service Delivery
OMB No. 2130-0593**

Summary of Submission

- This submission is a request for an extension of a currently approved Information Collection Request
- The total number of burden hours have not changed.

A. JUSTIFICATION

1. Circumstances Making the Collection of Information Necessary

Executive Order 12862 directed 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, Federal Railroad Administration (hereafter "the Agency"), seeks to obtain OMB an extension of a generic clearance to collect qualitative feedback on our service delivery. By qualitative feedback we mean information that provides useful insights on perceptions and opinions, but are not statistical surveys that yield quantitative results that can be generalized to the population of study.

This collection of information is necessary to enable the Agency to garner customer and stakeholder feedback in an efficient, 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 the Agency's 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 Agency and its customers and stakeholders. It also allows feedback to contribute directly to the improvement of program management.

2. Purpose and Use of the Information Collection

Improving agency programs requires ongoing assessment of service delivery, by which we mean systematic review of the operation of a program compared to a set of explicit or implicit standards, as a means of contributing to the continuous improvement of the program. The Agency will collect, analyze, and interpret information gathered through this generic clearance to identify strengths and weaknesses of current services and make improvements in service delivery based on feedback. The solicitation of feedback will target areas such as: timeliness, appropriateness, accuracy of information, courtesy, efficiency of service delivery, and resolution of issues with service delivery. Responses will be assessed to plan and inform efforts to

improve or maintain the quality of service offered to the public. If this information is not collected, vital feedback from customers and stakeholders on the Agency's services will be unavailable.

The Agency will only submit a collection for approval under this generic clearance if it meets the following conditions:

- Information gathered will be used only internally for general service improvement and program management purposes and is not intended for release outside of the agency (if released, procedures outlined in Question 16 will be followed);
- Information gathered will not be used for the purpose of substantially informing influential policy decisions ¹;
- Information gathered will yield qualitative information; the collections will not be designed or expected to yield statistically reliable results or used as though the results are generalizable to the population of study ;
- The collections are voluntary;
- The collections are low-burden for respondents (based on considerations of total burden hours, total number of respondents, or burden-hours per respondent) and are low-cost for both the respondents and the Federal Government;
- The collections are non-controversial and do not raise issues of concern to other Federal agencies;
- Any 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 near future; and
- With the exception of information needed to provide remuneration for participants of focus groups and cognitive laboratory studies, personally identifiable information (PII) is collected only to the extent necessary and is not retained.

If these conditions are not met, the Agency will submit an information collection request to OMB for approval through the normal PRA process.

To obtain approval for a collection that meets the conditions of this generic clearance, a standardized form will be submitted to OMB along with supporting documentation (e.g., a copy of the comment card). The submission will have automatic approval, unless OMB identifies issues within 5 business days.

The types of collections that this generic clearance covers include, but are not limited to:

- Customer comment cards/complaint forms
- Small discussion groups
- Focus Groups of customers, potential customers, delivery partners, or other stakeholders
- Cognitive laboratory studies, such as those used to refine questions or assess usability of a website;

¹ As defined in OMB and agency Information Quality Guidelines, "influential" means that "an agency can reasonably determine that dissemination of the information will have or does have a clear and substantial impact on important public policies or important private sector decisions."

- Qualitative customer satisfaction surveys (e.g., post-transaction surveys; opt-out web surveys)
- In-person observation testing (e.g., website or software usability tests)

The Agency has established a manager/managing entity to serve for this generic clearance and will conduct an independent review of each information collection to ensure compliance with the terms of this clearance prior to submitting each collection to OMB.

3. Consideration Given to Information Technology

If appropriate, agencies will collect information electronically and/or use online collaboration tools to reduce burden.

4. Duplication of Information

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

5. Reducing the Burden on Small Entities

Small business or other small entities may be involved in these efforts but the Agency will minimize the burden on them of information collections approved under this clearance by sampling, asking for readily available information, and using short, easy-to-complete information collection instruments.

6. Consequences of Not Conducting Collection

Without these types of feedback, the Agency will not have timely information to adjust its services to meet customer needs.

7. Special Circumstances

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

8. Consultations with Persons Outside the Agency

In accordance with 5 CFR 1320.8(d), on 12/06/2016, a 60-day notice for public comment was published in the *Federal Register* (Vol. 81, No. 234), and a 30 day notice was published on 03/14/2017 (Vol. 82, No. 48). No comments were received.

9. Payment or Gift

The Agency will not provide payment or other forms of remuneration to respondents of its various forms of collecting feedback. Focus groups and cognitive laboratory studies are the exceptions.

In the case of in-person cognitive laboratory and usability studies, the Agency may provide stipends of up to \$40. In the case of in-person focus groups, the Agency may provide stipends of up to \$75. If respondents participate in these kinds of studies remotely, via phone, or Internet, any proposed stipend needs to be justified to OMB and must be considerably less than that provided to respondents in in-person studies, who have to travel to the agency or other facility to participate. If such information collections include hard-to-reach groups and the agency plans to offer non-standard stipends, the Agency will provide OMB with additional justifications in the request for clearance of these specific activities.

10. Confidentiality

If a confidentiality pledge is deemed useful and feasible, the Agency will only include a pledge of confidentiality that is supported by authority established in statute or regulation, that is supported by disclosure and data security policies that are consistent with the pledge, and that does not unnecessarily impede sharing of data with other agencies for compatible confidential use. If the agency includes a pledge of confidentiality, it will include a citation for the statute or regulation supporting the pledge.

11. Sensitive Nature

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

12. Burden of Information Collection

A variety of instruments and platforms will be used to collect information from respondents. The annual burden hours requested (354 hours) are based on the number of collections we expect to conduct over the requested period for this clearance. It is anticipated that each Program Office within FRA will conduct at least one collection of qualitative feedback on FRA service delivery each year, estimated to take no more than 10 minutes per respondent. Therefore, based on the estimated number of respondents (350 each), the total hours equate to 59 hours per occurrence (350 respondents x 10 minutes per response = 59 hours).

It is recognized that a Program Office within FRA may choose to conduct more than one collection of qualitative feedback on FRA service delivery. In that instance, it is expected that particular collection would require less burden hours to complete (see example below).

Program Office collection example:

Collection #1 70 respondents x 2 minutes per response = 140 minutes

Collection #2 70 respondents x 2 minutes per response = 140 minutes

Collection #3 70 respondents x 2 minutes per response = 140 minutes
 Collection #4 70 respondents x 2 minutes per response = 140 minutes
 Collection #5 70 respondents x 2 minutes per response = 140 minutes
 Total Program Office collection would equate to 350 respondents x 10 minutes = 59 hours total.

Estimated Annual Reporting Burden				
Type of Collection	No. of Respondents	Annual Frequency per Response	Hours per Response	Total Hours
1. Surveys, comment cards, interviews, focus groups, and web-based technologies for Customer Service Satisfaction and Delivery for the Office of the Administrator	350	Annual, periodically	10 minutes	59 hours
2. Surveys, comment cards, interviews, focus groups, and web-based technologies for Customer Service Satisfaction and Delivery for the Office of Railroad Safety, Safety Assurance and Compliance	350	Annual, periodically	10 minutes	59 hours
3. Surveys, comment cards, interviews, focus groups, and web-based technologies for Customer Service Satisfaction and Delivery for the Office of Railroad Safety, Passenger Rail	350	Annual, periodically	10 minutes	59 hours
4. Surveys, comment cards, interviews, focus groups, and web-based technologies for Customer Service Satisfaction and Delivery for the Office of Railroad Safety, Safety Analysis	350	Annual, periodically	10 minutes	59 hours
5. Surveys, comment cards, interviews, focus groups, and web-based technologies for Customer Service Satisfaction and Delivery for the Office of Railroad Policy and Development, Research and Development and Passenger and Freight Programs	350	Annual, periodically	10 minutes	59 hours
6. Surveys, comment cards, interviews, focus groups, and web-based technologies for Customer Service Satisfaction and Delivery for the Office of Financial Management and Administration	350	Annual, periodically	10 minutes	59 hours
ANNUAL TOTAL (estimated)	2100			354 hours

13. Costs to Respondents

No costs are anticipated.

14. Costs to Federal Government

Costs are dependent upon the type of collection administered, the size of the sample, the number of questions asked, the type and complexity of the questions asked, the frequency of the collection, and whether the collection is conducted by a private firm or FRA. FRA anticipates that in most cases FRA would conduct the surveys and there would be no additional staffing costs.

The anticipated annual cost to the Federal Government is estimated to be approximately \$17,548.00 annually.

Total cost to the public was estimated using the following formula: Percent of staff time, multiplied by annual burden hours, multiplied by hourly rate
30% Office & Administrative Support @ \$16.54,
45% Financial Managers @ \$59.26,
15% Lawyer @ \$62.93, and
10% Chief Executives @ \$85.02).

Hourly rate for each occupational group are the median hourly wages from the Bureau of Labor and Statistics (BLS), Occupational Employment and Wages 2012, <http://www.bls.gov/news.release/ocwage.toc.htm>, Occupations are defined using the BLS Occupational Classification System, www.bls.gov/soc/.

Cost for using a private firm to administer a customer satisfaction survey is estimated at \$30,000.00 - \$45,000.00.

15. Reason for Change

Not applicable.

16. Tabulation of Results, Schedule, Analysis Plans

Feedback collected under this generic clearance provides useful information, but it does not yield data that can be generalized to the overall population. Findings will be used for general service improvement, but are not for publication or other public release.

Although the Agency does not intend to publish its findings, the Agency may receive requests to release the information (e.g., congressional inquiry, Freedom of Information Act requests). The Agency will disseminate the findings when appropriate, strictly following the Agency's "Guidelines for Ensuring the Quality of Information Disseminated to the Public.", and will include specific discussion of the limitation of the qualitative results discussed above.

17. Display of OMB Approval Date

We are requesting no exemption.

18. Exceptions to Certification for Paperwork Reduction Act Submissions

These activities comply with the requirements in 5 CFR 1320.9.