

**Department of Transportation
Office of the Secretary**

**SUPPORTING STATEMENT
Generic Clearance for Collection of Qualitative
Feedback on Agency Service Delivery
OMB No. 2105-0573**

INTRODUCTION: This is to request the Office of Management and Budget’s (OMB) approval for Collection of Qualitative Feedback on Agency Service Delivery. This ICR will allow the Office of Secretary of Transportation (OST) to continue collecting qualitative feedback from customers and stakeholders on its service delivery. OMB approved OST’s request for this generic clearance on 07/14/2016 issuing control number 2105-0573.

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, Office of the Secretary of Transportation (OST) (hereafter “the Agency”), seeks to obtain an OMB approval of a Fast Track 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

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."

- 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;
- 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 November 12, 2015, a 60-day notice for public comment was published in the *Federal Register* (80 FR 20115), and a 30 day notice was published on February 9, 2106 (81 FR 6932). 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.

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 (2000 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 OST will conduct at least one collection of qualitative feedback on OST service delivery each year, estimated to take no more than 20 minutes per respondent. Therefore, based on the estimated number of respondents (6000 each), the total hours equate to 2000 hours per occurrence (6000 respondents x 20 minutes per response = 2000 hours).

It is recognized that a Program Office within OST may choose to conduct more than one collection of qualitative feedback on OST service delivery.

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 Secretary	3000	Annual, periodically	20 minutes	1000 hours
2. Surveys, comment cards, interviews, focus groups, and web-based technologies for Customer Service Satisfaction and Delivery for the Office of the Senior Procurement Executive	1000	Annual, periodically	20 minutes	333.3 hours
3. Surveys, comment cards, interviews, focus groups, and web-based technologies for Customer Service Satisfaction and Delivery for Transit benefits Office	1000	Annual, periodically	20 minutes	333.3 hours
4. Surveys, comment cards, interviews,	1000	Annual,	20 minutes	333.3 hours

Estimated Annual Reporting Burden				
focus groups, and web-based technologies for Customer Service Satisfaction and Delivery for the Office of Financial Management		periodically		
ANNUAL TOTAL (estimated)	6000			2000 hours

13. Costs to Respondents

An average of \$150.00 per hour is estimated to cost the respondents. So it is estimated total cost would be 300,000.00 per year.

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 OST. OST anticipates that in most cases OST 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 \$223,750.00 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.