

## SUPPORTING STATEMENT - PART A

### Officer Retention and Promotion Barrier Analysis - 0704-ORPB

#### 1. Need for the Information Collection

The Fiscal Year (FY) 2021 (FY21) National Defense Authorization Act (NDAA) (Section 551) requires DoD to conduct a barrier analysis to review demographic diversity patterns across the military life cycle, starting with enlistment or accession into the armed forces in order to: (i) identify barriers to increasing diversity; (ii) develop and implement plans and processes to resolve or eliminate any barriers to diversity; and (iii) review the progress of the armed forces in implementing previous plans and processes to resolve or eliminate barriers to diversity. DoD's Office for Diversity, Equity, and Inclusion (ODEI) will carry out the NDAA requirement by completing the information collection (i.e., Officer Retention and Promotion Barrier Analysis Study). Additionally, the DoD Board on Diversity and Inclusion, in its December 2020 report, recommended DoD address barriers confronted by minority members in the workplace.

#### 2. Use of the Information

ODEI will conduct in-depth interviews with active component mid-grade officers (O-4 to O-6) and focus groups with active component junior officers (O-2 to O-3) to examine the beliefs and attitudes toward diversity and inclusion (D&I), retention and promotion, and specifically any perceived differences of retention and promotion related to race, ethnicity, and gender. As noted above, ODEI will conduct this information collection to fulfill the FY21 NDAA requirement to conduct a barrier. This information collection will also support ODEI and DoD contextualizing quantitative data obtained via the DoD Total Force Demographics application and collected as part of the FY21 Officer Cohort Analysis and responding to Executive Order (EO) Advancing Racial Equity and Support for Underserved Communities Through the Federal Government EO 13985.

The study will occur in two phases. In Phase I, ODEI researchers will obtain the attitudes and beliefs of active component mid-grade officers via virtual in-depth interviews. Interview topics will include recruiting and accessions, training, leadership, workplace climate and culture, career progression and mentorship, and work-life balance. In Phase II, ODEI researchers will obtain the attitudes and beliefs of active component junior officers via virtual focus groups. Focus group topics will include recruiting and accessions, training, leadership, workplace climate and culture, career progression and mentorship, and work-life balance.

Prior to beginning Phase I, ODEI will request the Army, Navy, Marine Corps, and Air Force representative to the DoD Diversity and Inclusion (D&I) Working Group designate a Service point of contact (POC) who will assist ODEI in recruiting active component mid-grade officer volunteers for virtual in-depth interviews and active component junior officer volunteers for virtual focus groups. ODEI will schedule and hold information sessions with the POCs to explain the study, their role, and associated responsibilities. During the information sessions, ODEI will also provide an information sheet/handout and draft communications the POCs may use (and tailor as desired/needed) when recruiting volunteers.

During Phase I (in-depth interviews) and Phase II (focus groups), respondents will receive communications from a Service POC (e.g., recruiting email, calendar invitation). No respondent will individually complete a collection instrument. Respondents will answer

questions voluntarily during interviews or focus groups and ODEI researchers will analyze responses to questions posed by a moderator from the moderator guide. By completing the information collection, ODEI will identify potential and existing factors that serve as barriers which may affect perceived differences of retention and promotion related to race, ethnicity, and gender.

### 3. Use of Information Technology

The information collection will take place virtually using web-based video conferencing. 100 percent of responses will occur electronically. The information collection will rely on information technology for completion.

### 4. Non-duplication

The information obtained through this collection is unique and is not already available for use or adaptation from another cleared source.

### 5. Burden on Small Businesses

This information collection does not impose a significant economic impact on a substantial number of small businesses or entities.

### 6. Less Frequent Collection

This information is collected from the respondent on occasion. If this information were not collected or collected less frequently, the respondents would be unable to establish reasons or issues with or for officer retention and promotion barriers.

### 7. Paperwork Reduction Act Guidelines

This collection of information does not require collection to be conducted in a manner inconsistent with the guidelines delineated in 5 CFR 1320.5(d)(2).

## 8. Consultation and Public Comments

### Part A: PUBLIC NOTICE

A 60-Day Federal Register Notice (FRN) for the collection published on (Day of the Week, Month Day, Year). The 60-Day FRN citation is (volume number) FRN (Page number).

*(P): If you did not receive any comments on your 60-Day FRN, please state (ST): No comments were received during the 60-Day Comment Period.*

*(P): If you did receive comments on your 60-Day FRN, please state (ST): (# of comments received) comments were received during the 60-Day Comment Period. They are included below in the order they were received, as well as our Agency's response to the comment.*

A 30-Day Federal Register Notice for the collection published on (Day of the Week, Month Day, Year). The 30-Day FRN citation is (volume number) FRN (Page number).

## Part B: CONSULTATION

No additional consultation apart from soliciting public comments through the Federal Register was conducted for this submission.

### 9. Gifts or Payment

No payments or gifts are being offered to respondents as an incentive to participate in the collection.

### 10. Confidentiality

A Privacy Act Statement is not required for this collection because ODEI will not request individuals furnish personal information for a system of records. A System of Record Notice (SORN) is not required for this collection because records are not retrievable by PII. A Privacy Impact Assessment (PIA) is not required for this collection because PII is not being collected electronically.

### 11. Sensitive Questions

As a part of the information collection, ODEI will ask respondents to answer questions which may be considered sensitive. While the collection focuses on perceived barriers which may affect retention and promotion based on differences in race, ethnicity, and gender, none of the questions directly ask about race/ethnicity. The collection will include a question about career progression and mentorship which will ask, "Have you, or someone you know, faced any challenges based on racial/ethnic or gender identity?" The question does note race/ethnicity which respondents may perceive as sensitive. Additionally, the collection includes the question on work-life balance: "For those who have children, how has having children impacted your career progression?" Some respondents may perceive this question and subsequent response as a private matter.

### 12. Respondent Burden and its Labor Costs

#### Part A: ESTIMATION OF RESPONDENT BURDEN

##### 1) Collection Instrument(s)

[Officer Retention and Promotion Barrier Analysis OMB Control Number 0704-ORPB]

- a) Number of Respondents: 340
- b) Number of Responses Per Respondent: 1
- c) Number of Total Annual Responses: 340
- d) Response Time: 20 participants will participate in 60 minutes In-depth interviews and 320 will participate in 90 Minutes Focus Groups
- e) Respondent Burden Hours: The total annual amount of burden hours for interviews is 20 hours. The total amount of annual burden for focus groups is 480 hours. The total annual burden hours are 500.

##### 2) Total Submission Burden (Summation or average based on collection)

- a) Total Number of Respondents: 340
- b) Total Number of Annual Responses: 340
- c) Total Respondent Burden Hours: The total annual amount of burden hours for interviews is 20 hours. The total amount of annual burden for focus groups is 480 hours. The total annual burden hours are 500.

## Part B: LABOR COST OF RESPONDENT BURDEN

- 1) Collection Instrument(s)  
[Human Labor]
  - a) Number of Total Annual Responses: 340
  - b) Response Time: 20 participants will be 60 minutes and 320 participants will be 90 minutes (500 total hours)
  - c) Respondent Hourly Wage: \$36
  - d) Labor Burden per Response: \$720 for all 20 IDI respondents, \$17,280 for all 320 focus groups respondents
  - e) Total Labor Burden: \$18,000
  
- 2) Overall Labor Burden
  - a) Total Number of Annual Responses: 340
  - b) Total Labor Burden: \$18,000

The Respondent hourly wage was determined by using the [Department of Labor Wage Website] (<http://www.dol.gov/dol/topic/wages/index.htm>)

13. Respondent Costs Other Than Burden Hour Costs  
There are no annualized costs to respondents other than the labor burden costs addressed in Section 12 of this document to complete this collection.

## 14. Cost to the Federal Government Part A: LABOR COST TO THE FEDERAL GOVERNMENT

- 1) Collection Instrument(s)  
[Human Labor]
  - a) Number of Total Annual Responses: 340
  - b) Processing Time per Response: 270 hours total to process all responses, (47 minutes per individual response)
  - c) Hourly Wage of Worker(s) Processing Responses : \$123
  - d) Cost to Process Each Response: \$97.67
  - e) Total Cost to Process Responses: \$33,210
  
- 2) Overall Labor Burden to the Federal Government
  - a) Total Number of Annual Responses: 340
  - b) Total Labor Burden: \$33,210

## Part B: OPERATIONAL AND MAINTENANCE COSTS

- 1) Cost Categories
  - a) Equipment: \$0
  - b) Printing: \$0
  - c) Postage: \$0

- d) Software Purchases: \$2,500
- e) Licensing Costs: \$0
- f) Other: \$0

2) Total Operational and Maintenance Cost: \$0

Part C: TOTAL COST TO THE FEDERAL GOVERNMENT

- 1) Total Labor Cost to the Federal Government: \$33,210
- 2) Total Operational and Maintenance Costs: \$2,500
- 3) Total Cost to the Federal Government: \$35,710

15. Reasons for Change in Burden

This is a new collection with a new associated burden.

16. Publication of Results

Since the NDAA requires the information collection, DoD will make results publicly available in the form of a report, following submission to Congress in 2022. ODEI will publish results by the end of calendar year 2022. The report will not be published for statistical use. The NDAA is public law, therefore, requiring external publication of results.

17. Non-Display of OMB Expiration Date

ODEI is not seeking approval to omit the display of the expiration date of the OMB approval on the collection instrument.

18. Exceptions to "Certification for Paperwork Reduction Submissions"

ODEI is not requesting any exemptions to the provisions stated in 5 CFR 1320.9.