

DEPARTMENT OF TRANSPORTATION  
FEDERAL TRANSIT ADMINISTRATION

SUPPORTING STATEMENT - PART A

**Survey of FTA Stakeholders**  
**(OMB Control No. 2132-0564)**

**ABSTRACT**

This is a request to the Office of Management and Budget (OMB) to renew the current approval of the OMB Control Number 2132-0564, “Survey of FTA Stakeholders” information collection (IC), which is currently due to expire on August 31, 2021, and extend it for three years. This request for a revision of a currently approved information collection, because of changes in methodology. Changes to methodology include an effort to increase stakeholder feedback by expanding the number of potential survey respondents from 1,188 in the previous IC request to 6,454 in the current IC request. This change reflects expansion of the target population beyond transit CEOs to include all transit workers who have direct interaction with FTA. This change was due only to an internal decision by FTA leadership to expand outreach to a broader cross-section of FTA stakeholders. Burden was reduced from evidence in individual reports, resulting in a decrease of estimated annual burden hours from 1,188 in the previous IC to 808 in the current IC. There were also non-substantive changes to the survey instrument, that are not significant and only serve to simplify, clarify or improve existing survey questions.

A. Justification

1. Circumstances that make the collection necessary.

Executive Order 12862 requires federal agencies that deliver services to the public to:

- Identify customers;
- Survey customers to determine the kind and quality of services they want and their level of satisfaction with existing services; and,
- Post service standards and measure results against them.

The Federal Transit Administration (FTA) is requesting the approval to renew the customer service survey of its stakeholders. FTA will utilize the survey to assess how its services are perceived by its customers, learn about opportunities for improvement and establish goals to measure results. The data captured from the survey will provide this information and enable FTA to make improvements where necessary.

The survey will be limited to data collections that solicit voluntary opinions and will not involve information that is required by regulations. FTA does not plan to alter the current survey instrument.

2. How, by whom, and for what purpose the information is to be used, and consequences if the information is not collected.

FTA will use the information collected to respond to Presidential Executive Order (EO) 12862<sup>1</sup> (Setting Customer Service Standards), issued on September 11, 1993. EO 12862 requires agencies that provide significant services directly to the public to identify and survey their customers, establish service standards and track performance against those standards, and benchmark customer service performance against the best in business. The information will assist FTA in assessing customer needs, determining how well the agency is responding to those needs, and improving service performance where needed. The respondents to this information collection include high-level executives (CEO's, Executive Directors, etc.), as well as unit-level supervisors and professional staff (grant managers, engineers, planners, etc.) from 1,875 FTA grantee organizations (large and small) from across the country.

Data captured from the survey will allow each Regional and Headquarters Office to better understand how its services are perceived by its customers, learn about opportunities for improvement and establish goals to measure results. A majority of FTA's grantees (such as public and private transit operators, state agencies and Metropolitan Planning Organizations) have frequent interactions with FTA Regional Offices. Many Headquarters Offices interact with transit agencies on policy development, requests for information, and specialized research and planning grants.

This information collection supports the DOT Strategic Goal of Accountability. As such, this survey will assist FTA in assessing and reducing regulatory burden, achieving greater efficiency and effectiveness in business processes, and enhancing its responsiveness and adaptability to the demands of a rapidly evolving industry. It will provide FTA with a means to gather data directly from its stakeholders in an efficient, timely manner, in accordance with the Administration's commitment to improving service delivery. The information obtained from the survey 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. Previous surveys surfaced a customer service issue in a specific FTA Regional Office and allowed FTA to promptly address the issue. Generally, feedback has been overall positive, but FTA strives to identify and address problems quickly. These collections will enable ongoing, collaborative and actionable communications between FTA and its customers.

3. Describe whether collection of information involves information technology and any consideration of using information technology to reduce the burden.

Information technology will be employed for the collection of this information. The survey is designed to minimize respondent burden by using survey software that is accessible via the Internet. The survey process is completely electronic (100%). Respondents access the survey online and complete and submit it electronically.

4. Describe efforts to identify duplication. Show specifically why any similar information already available cannot be used or modified for use for the purposes described in Item 2.

The information requested in the customer service surveys is the only systematic source of

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<sup>1</sup> <https://www.archives.gov/files/federal-register/executive-orders/pdf/12862.pdf>

information on the opinions of FTA customers regarding FTA's level and quality of service delivery.

5. If the collection of information impacts small businesses or other small entities, describe any methods used to minimize burden.

Since the requirements are minimal, no special methods are used for small businesses or other smaller entities. The survey is voluntary and can be completed online.

6. Describe consequences to federal program or policy activities if information were not collected or collected less frequently, as well as any technical or legal obstacles to reducing burden.

FTA would be unable to meet the requirements of Executive Order 12862. The survey contains specific questions concerning the actual and perceived levels and quality of service delivery to FTA's customers. The information obtained from FTA's customers will provide decision makers with the information necessary to determine current levels of service, establish realistic ongoing service delivery standards and opportunities for improvement, and establish mechanisms for ongoing monitoring of customer satisfaction.

7. Explain any special circumstances that would cause an information collection to be conducted in a manner inconsistent with 5 CFR 1320.6.

The information collection requirements are consistent with 5 CFR 1320.6.

8. Describe efforts to consult with persons outside the agency to obtain their views.

As required, FTA has solicited public feedback on the survey burden by publishing a 60-day Federal Register notice on March 29, 2021 Vol. 86 No. 58 page (16442-16443), soliciting comments prior to submission to the Office of Management and Budget (OMB). No comments were received in response to that notice. The 30-day Federal Register notice was published on August 24, 2021 Vol. 86 No.161 pages (47366-47367). In addition to this survey, FTA program managers routinely conduct outreach with stakeholders and provide them with the opportunity to give feedback. For example, the Transit Asset Management program holds annual peer exchanges (the latest was held on June 22, 2021), and sends out a quarterly newsletter (latest newsletter March 2021).

9. Explain any decision to provide any payment or gift to respondents, other than remuneration of contractors or grantees.

No payment or gift is made to respondents.

10. Describe any assurance of confidentiality provided respondents.

Responses will be anonymous. FTA will not collect individual name, email, IP address or organization name from survey responses. The survey will be conducted via a commercially

acquired service, Survey Monkey. The account is password protected and FTA directs Survey Monkey to block from FTA’s view individual IP addresses, having specified that only one response may come from each address. Any information obtained from the survey will be maintained by FTA. Except for responses to open-ended questions, data will be reported in aggregate. The respondents are FTA stakeholders, who do business with FTA.

11. Additional justification for any questions of a sensitive nature.

No sensitive information is requested or required.

12. Estimates of the hour burden of the collection of information and annualized cost to respondents.

Estimated Total Number of Respondents: **6,454**

Estimated Total Number of Responses: **6,454** (1 response per respondent)

Estimated Annual Burden Hours: **808**

Estimated Annual Cost: **\$56,529**

Frequency: **Biennial**

Table 1. Number of Respondents		
RESPONDENT GROUP	NUMBER OF RESPONDENTS	NUMBER OF RESPONSES
Group A (CEOs)	1,875	1,875
Group B (All Others)	4,579	4,579
TOTAL	6,454	6,454

Table 1 shows the number of respondents for two respondent groups. Group A includes Chief Executive Officers (CEOs) and other executive leaders of transit agencies, state DOTs, and other FTA stakeholders. Group B includes unit supervisors and professional staff such as engineers, urban planners and budget analysts from the same organizations. The previous IC only targeted respondents in Group A. The current IC targets respondents in both Group A and Group B.

Table 2. Estimated Burden Hours				
RESPONDENT GROUP	TOTAL RESPONSES	BURDEN HOURS PER RESPONSE	TOTAL BURDEN HOURS <sup>1</sup>	ESTIMATED ANNUAL BURDEN HOURS <sup>1, 2</sup>
Group A (CEOs)	1,875	15 minutes	469	235
Group B (All Others)	4,579	15 minutes	1,145	573
TOTALS	6,454		1,614	808

<sup>1</sup>Computations in these columns involved rounding to the nearest whole number.

<sup>2</sup>Estimated Annual Burden Hours is computed by dividing Total Burden Hours by 2.

The time per response is estimated to be 15 minutes (0.25 hours). Since the survey is administered approximately every two years, Table 2 shows both the total burden hours per biennial survey cycle, and the estimated annual burden hours, i.e., the total burden hours annualized over two years.

The “Total Burden Hours” column shows the total burden hours for respondents for each biennial survey cycle. The estimated total burden hours for Group A is 469 (1,875 x 15 minutes = 469). The estimated total burden hours for Group B is 1,145 (4,579 x 15 minutes = 1,145). The estimated total burden hours for all respondents is 1,614 (6,454 x 15 minutes = 1,614). Note these estimates involve rounding to the nearest whole number.

The “Annual Burden Hours” column shows the annual burden hours for respondents, i.e., the total burden hours annualized over two years. The estimated Annual Burden Hours is computed by dividing the Total Burden Hours by 2. The estimated *annual* burden hours for Group A is 235 (469 ÷ 2 = 235). The estimated *annual* burden hours for Group B is 573 (1,145 ÷ 2 = 573)\*. The estimated *annual* burden hours for all respondents is 808 (1,614 ÷ 2 = 808). Note that the estimates in the Annual Burden Hours column have been rounded to the nearest whole number.

<b>Table 3. Estimated Cost to Respondents</b>					
RESPONDENT GROUP	AVERAGE HOURLY WAGE (INCL. BENEFITS)	TOTAL		ANNUAL	
		BURDEN HOURS	COST <sup>1</sup>	BURDEN HOURS <sup>1,2</sup>	COST <sup>1,3</sup>
Group A (CEOs)	\$121.75	469	\$57,101	235	\$28,551
Group B (All Others)	\$48.87	1,145	\$55,956	573	\$27,978
<b>TOTALS</b>		<b>1,614</b>	<b>\$113,057</b>	<b>808</b>	<b>\$56,529</b>

<sup>1</sup>Computations in these columns involve rounding to the nearest whole number.

<sup>2</sup>Estimated Annual Burden Hours is computed by dividing Total Burden Hours by 2.

<sup>3</sup>Estimated Annual Cost is computed by dividing Total Cost by 2.

Since the survey is administered approximately every two years, Table 3 shows both the total burden hours and cost per biennial survey cycle, and the estimated annual burden hours and cost, i.e., the total burden hours and cost annualized over two years.

FTA estimates that the respondents in Group A have an average hourly wage of \$95.12<sup>2</sup>. FTA estimates that respondents in Group B have an average hourly wage of \$38.18<sup>3</sup>. Fringe benefits were estimated to be 28% for both groups, per FTA policy. The calculated average hourly wage, including fringe benefits, for Group A was \$121.75 (95.12 + [95.12 x .28] = 121.75). The calculated average hourly wage, including fringe benefits, for Group B was \$48.87 (38.18 + [38.18 x .28] = 48.87).

<sup>2</sup> Bureau of Labor Statistics <https://www.bls.gov/oes/current/oes111011.htm>

<sup>3</sup> Bureau of Labor Statistics <https://www.bls.gov/oes/current/oes193051.htm>

\*numbers rounded up to nearest hundred for submission in ROCIS

The two “*TOTAL*” columns show the total burden hours and costs to respondents for each biennial survey cycle. The estimated total cost to Group A respondents was \$57,101 ( $\$121.75 \times 469 = \$57,101$ ). The estimated total cost to Group B respondents was \$55,956 ( $\$48.87 \times 1,145 = \$55,956$ ). The estimated total cost to all respondents was \$113,057 ( $\$57,101 + \$55,956 = \$113,057$ ). Note these estimates involve rounding to the nearest whole number.

The two “*ANNUAL*” columns show the annual burden hours and cost to respondents, i.e., the total burden hours and cost annualized over two years. The estimated *annual* cost to Group A respondents was \$28,551 ( $\$57,101 \div 2 = \$28,551$ ). The estimated *annual* cost to Group B respondents was \$27,978 ( $\$55,956 \div 2 = \$27,978$ ). The estimated *annual* cost to all respondents was \$56,529 ( $\$113,057 \div 2 = \$56,529$ ). Note that the estimates in the Annual Cost column have been rounded to the nearest whole number.

13. Estimate of total annual cost burden to respondents or record keepers resulting from the collection of information (not including the cost of any hour burden shown in items 12 and 14).

There is no additional cost beyond that shown in items 12 and 14.

14. Estimate of annualized cost to the federal government.

Estimated Cost to the Federal Government					
STAFF	WAGE	TOTAL		ANNUAL	
		HOURS	COST	HOURS <sup>1,2</sup>	COST <sup>1,3</sup>
GS-12 step 5	\$47.35	275	\$13,021	138	\$6,511

<sup>1</sup>Computations in these columns involve rounding to the nearest whole number.

<sup>2</sup>Estimated Annual Hours is computed by dividing Total Hours by 2.

<sup>3</sup>Estimated Annual Cost is computed by dividing Total Cost by 2.

Since the survey is administered approximately every two years, this table shows both the total staff hours and cost per biennial survey cycle, and the estimated annual staff hours and cost, i.e., the total staff hours and cost annualized over two years.

The survey will be conducted through an Internet survey software program (SurveyMonkey) with survey preparation, data analysis, and reporting of results by government staff. Although several different staffers devote part of their time to the project, it is estimated that the average grade level of project staff is GS-12/step 5. The hourly wage for government staff at GS-12/step 5, including appropriate locality pay, is \$47.35<sup>4</sup>.

The two “*TOTAL*” columns show the total staff hours and cost to the government for each biennial survey cycle. The estimated total staff hours is 275. The estimated total cost to the federal government is \$13,021 ( $\$47.35 \text{ wage} \times 275 \text{ hours} = \$13,021$ ). Note these estimates involve rounding to the nearest whole number.

<sup>4</sup> Office of Personnel Management [https://www.opm.gov/policy-data-oversight/pay-leave/salaries-wages/salary-tables/pdf/2021/DCB\\_h.pdf](https://www.opm.gov/policy-data-oversight/pay-leave/salaries-wages/salary-tables/pdf/2021/DCB_h.pdf)

The two “*ANNUAL*” columns show the annual staff hours and cost to the government, i.e., the total staff hours and cost annualized over two years. The estimated *annual* staff hours is 138 ( $275 \div 2 = 138$ ). The estimated *annual* cost to the federal government is \$6,511 ( $\$13,021 \div 2 = \$6,511$ ). Note that these estimates have been rounded to the nearest whole number.

15. Explain the reasons for change in burden, including the need for any increases.

The estimated number of respondents is 6,454, an increase of 5,266 respondents from the previous request of 1,188 respondents. There is an increase in the number of respondents due to FTA’s efforts to expand outreach to a broader cross-section of FTA stakeholders. Respondents are now split into two groups. Group A includes Chief Executive Officers (CEOs) and other executive leaders of transit agencies, state DOTs, and other FTA stakeholders. Group B includes unit supervisors and professional staff such as engineers, urban planners and budget analysts from the same organizations. The previous IC only targeted respondents in Group A. The current IC targets respondents in both Group A and Group B. To further expand stakeholder outreach, FTA accessed an additional database, and allowed multiple respondents to submit responses from a single organization. Previously, since only CEOs or other top executive leader of an organization responded, there could be only one response per organization because there is only one top executive leader per organization. However, the expansion of the target population to other labor categories allows multiple people from the same organization to respond to the survey (CEO, engineer, urban planner, etc.).

There is a decrease in the estimated annual total burden hours, despite the increase in number of respondents, in large part because FTA found that respondents spent less time interacting with the previous survey than estimated. In addition to stakeholder outreach outlined in question #8 of this supporting statement, in 2019, FTA utilized survey analytics to appropriately determine the amount of time spent filling out the survey. Survey data analytics showed that respondents spent about 8-10 minutes interacting with the survey, instead of the previously estimated 1 hour. Including time spent accessing technology and systems, and retrieving, validating and verifying information, the estimated burden hours per respondent was revised from 1 hour to 15 minutes (0.25 hours).

Total cost to the government increased, primarily due to additional estimated staff project time, and also to reflect current labor rates. Total cost for respondents increased due to the increase in number of respondents.

16. Plans for tabulation and publication for collections of information whose results will be published.

FTA will not publish the results of the information collected for statistical use. FTA will use the results to improve customer service.

17. If seeking approval not to display the expiration date for OMB approval, explain the reasons.

There is no reason not to display the expiration date of OMB approval.

18. Explain any exceptions to the certification statement identified in Item 19 of OMB Form 83-I.

No exceptions are stated.