

SUPPORTING STATEMENT - PART A

Inclusion Policy Practice Decoupling Phase II – 0702-IPPD

1. Need for the Information Collection

This information collection is part of data collection activities for an applied research project and is authorized by 10 U.S. Code § 2358, Research and Development Projects, and 10 U.S. Code § 3013, Secretary of the Army. The research data that will be collected during this information collection will be used to validate a measure of inclusion policy practice decoupling (IPPD), as well as to test a scientific model of IPPD (see attachments 1a and 1b). Policies for inclusion can assist organizations in reaping the benefits of diversity amongst their ranks. Fully successful implementation of these inclusive policies requires aligned behaviors (practices). However, sometimes what leaders say (policy) and what leaders do (practice) may not align (decoupling): leaders may say more than they do or they may do more than they say. This research will be the first scientific attempt at understanding how alignment of inclusive policies and practices, or misalignment (decoupling), may influence the organizational outcomes expected from diversity (see attachments 1c-1f). Findings from this research within the military context are anticipated to allow the Army to develop better methods for increasing inclusive policies and practices and improving organizational performance.

The Army will benefit from the research findings through enhanced knowledge of diversity and inclusion, improved constructs, validation of the measurement, and a better understanding of the theoretical links to organizational outcomes such as service member engagement and job satisfaction. Knowledge gained from these measures can provide recommendations for utilizing the diversity of the Army in an advantageous way – to improve inclusion, morale, effective leadership and consequently mission readiness. The establishment and testing of the decoupling construct, which could potentially demonstrate its effects on the diversity–outcomes relationship, can raise leadership awareness of the role these relationships play in diversity policy implementation, leading to better inclusion of all service members in a more cohesive Army workplace environment.

2. Use of the Information

Respondents to this survey will be members of intact U.S. Army Platoons. The research will be comprised of a diverse sample representative of the U.S. Army (e.g., diversity in race, gender, military occupational specialty, education) to ensure the generalizability of the results. U.S. Army Forces Command sets aside a week at different Army installations for the purpose of Army data collections; these data collection events are called “umbrella weeks.” Each installation determines the prospective pool of respondents who will be available to participate during an umbrella week. Respondents for the current research project will be recruited through the use of umbrella weeks and will receive an email that explains the research process (attachment 2a). Each volunteer respondent will receive an email with a unique anonymous link to participate if they choose. If a respondent self-indicates he or she is a Platoon Leader or a Platoon Sergeant, the respondent will receive the “Leader”

version of the survey. If a respondent is not a Platoon Leader or a Platoon Sergeant, the respondent will receive the "Soldier" version of the survey. These surveys may be conducted either a) electronically via an emailed, anonymous link that respondents can access with a common access card-enabled computer, or b) via pen and paper with an approved researcher in the room to facilitate the survey process. Leaders and Soldiers will take the surveys separately and will not be in the same room. Respondents will first be presented with the project summary and Privacy Act statement. If respondents do not consent, the electronic survey will end immediately. For respondents participating in person, respondents who do not consent to research participation will have the option to turn in their survey immediately or to sit quietly until they feel comfortable leaving the room. Electronically, the anonymous responses to the survey will be automatically transmitted to the researcher via email through an approved Army server. In-person, the researcher present will collect the surveys and transcribe the data into the computer-based, password-protected data file as soon as possible and dispose of the paper surveys in accordance with guiding disposition instructions. Once all data collection is complete, the data from these surveys will be analyzed to test hypotheses regarding the relationships between diversity, inclusion, and organizational outcomes.

3. Use of Information Technology

This data collection involves two potential methods for data collection: electronic and in-person. Electronically will be completed via computer using a common access card required link; in person will be via paper and pencil with an approved researcher in the room to facilitate the process. The method chosen will be dependent on the sample's needs and any restrictions in place as a result of the SARS-CoV-2 pandemic. For example, if there are travel restrictions related to the pandemic, 100% of the surveys will be conducted electronically. If, however, there are no travel restrictions and the sample requests in-person surveys, we will attempt to accommodate as necessary. We anticipate at this time that the majority of surveys will be conducted electronically.

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 data will be collected one time. This information collection is part of an applied research project and will be used to validate a measure of IPPD and test scientific hypotheses. If we were unable to collect data, the Army would be unable to complete the project and would also be unable to fulfill the terms of a cooperative agreement.

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 2-Day Emergency Federal Register Notice (FRN) for the collection published on Monday, August 23, 2021. The 2-Day FRN citation is 86 FR 47088.

Part B: CONSULTATION

Subject matter experts on diversity and inclusion were consulted for feedback on the measure (e.g., theoretical soundness, clarity, response options). That feedback was then analyzed and used to refine the measure to the version presented here.

9. Gifts or Payment

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

10. Confidentiality

Yes, the collection instrument requires a Privacy Act Statement (PAS). The PAS is provided to respondents at the beginning of their survey along with the project summary (attachments 10a-10c).

Yes, the information collection requires a system of record notice (SORN), A0602 AHRC-ARI at: <https://dpcl.d.defense.gov/Privacy/SORNsIndex/DOD-wide-SORN-Article-View/Article/570080/a0602-ahrc-ari/>

Yes, the information collection requires a privacy impact assessment (PIA). The PIA (MARS DA310931) is published with the Army DCS G6 (attachment 10d). Requests for the PIA can be sent to: cio-g6.pia.inbox@mail.mil. A hyperlink directly to the PIA could not be obtained at the time of this submission.

At the conclusion of the research, all data files will be transferred to the Army Research Institute and stored for at least five years before being destroyed.

11. Sensitive Questions

Yes, we are asking questions that could be perceived as “sensitive in nature.” This survey asks questions about diversity and inclusion and some respondents could indicate they do not have an inclusive leader. Or, for example, that a leader makes disparaging comments about a minority group or a leader does not intervene when someone is being bullied. It is necessary to ask these questions to create and validate a measure of inclusive practices and to test theoretical relationships between inclusivity and performance outcomes. All sensitive questions are asked in accordance with OMB guidelines.

12. Respondent Burden and its Labor Costs

Part A: ESTIMATION OF RESPONDENT BURDEN

- 1) Collection Instrument(s)
[Inclusion Policy Practice Decoupling Phase II (IPPD)]
 - a) Number of Respondents: 2000
 - b) Number of Responses Per Respondent: 1
 - c) Number of Total Annual Responses: 2000
 - d) Response Time: 45 minutes
 - e) Respondent Burden Hours: 1500 hours
- 2) Total Submission Burden
 - a) Total Number of Respondents: 2000
 - b) Total Number of Annual Responses: 2000
 - c) Total Respondent Burden Hours: 1500 hours

Part B: LABOR COST OF RESPONDENT BURDEN

- 1) Collection Instrument(s)
[Inclusion Policy Practice Decoupling Phase II (IPPD)]
 - a) Number of Total Annual Responses: 2000
 - b) Response Time: 45 minutes
 - c) Respondent Hourly Wage: \$51.81
 - d) Labor Burden per Response: \$38.86
 - e) Total Labor Burden: \$77,715
- 2) Overall Labor Burden
 - a) Total Number of Annual Responses: 2000
 - b) Total Labor Burden: \$77,715

The Respondent hourly wage was determined by using the Department of Defense Cost Guidance portal ([<https://costguidance.osd.mil/CGPortal/?source=collection&cn=2-E331A0F>.] attachments 12a-12b).

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)

[Inclusion Policy Practice Decoupling Phase II (IPPD)]

- a) Number of Total Annual Responses: 2000
 - b) Processing Time per Response: 2.5 minutes
 - c) Hourly Wage of Worker(s) Processing Responses: \$68.51
 - d) Cost to Process Each Response: \$2.85
 - e) Total Cost to Process Responses: \$5,709.17
- 2) Overall Labor Burden to the Federal Government
- a) Total Number of Annual Responses: 2000
 - b) Total Labor Burden: \$5,709.17

Part B: OPERATIONAL AND MAINTENANCE COSTS

- 1) Cost Categories
- a) Equipment: \$0
 - b) Printing: \$0
 - c) Postage: \$0
 - d) Software Purchases: \$0
 - e) Licensing Costs: \$0
 - f) Other: \$0
- 2) Total Operational and Maintenance Cost: \$0 (This research is RDTE funded)

Part C: TOTAL COST TO THE FEDERAL GOVERNMENT

- 1) Total Labor Cost to the Federal Government: \$5,709.17
- 2) Total Operational and Maintenance Costs: \$0
- 3) Total Cost to the Federal Government: \$5,709.17

15. Reasons for Change in Burden
This is a new collection with a new associated burden.

16. Publication of Results
Yes. This current research is Phase II of a two-phased project (28 September 2018-31 March 2022) that will produce several products, including a validated measure of inclusion policy-practice decoupling, a model of the relationships between diversity, climate for inclusion, policy-practice decoupling, leadership, and performance outcomes, two DoD technical reports (one for each phase), presentation materials, and publication(s) in scientific, peer reviewed journal(s) outside of DoD. In addition, the findings from this research may be incorporated into already existing DoD and/or non-DoD leader development courses, seminars, professional development training, and doctrine and policy. These products and publications will be created to 1) fulfill the requirements of the cooperative agreement, and 2) to add to the body of scientific knowledge on diversity,

inclusion, and performance outcomes. All products and publications are expected to be published by 30 September 2022.

17. Non-Display of OMB Expiration Date

We are 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”

We are not requesting any exemptions to the provisions stated in 5 CFR 1320.9.