

SUPPORTING STATEMENT - PART A

Status of the Forces Survey of Reserve Component Members – 0704-0616

Summary of Changes from Previously Approved Collection

- There has been a decrease in burden due to a decrease in response time

1. Need for the Information Collection

Note that the 2021 Status of the Forces Survey of Reserve Component Members (SOFR) did not field in 2021 because of unforeseen approval delays leading to a short window for OPA surveys to field in 2021. Rather than field two surveys to the same population at the same time, it was decided to move the SOFR to field in 2022. The SOFR is now planning to field in June of 2022. Since the approval of the 2021 SOFR, we have decided to include a paper survey option in addition to the web survey for the 2022 SOFR. This decision was made based on the increase in response rates for the 2021 Survey of Active Duty Spouses. We hope that also providing the option of a paper survey will help to increase the response rates of the SOFR.

The purpose of the 2022 SOFR is to assess the attitudes and opinions of Reserve component members and to provide key metrics to the OUSD(P&R). Results of this survey are used to provide direct feedback on key strategic indicators such as satisfaction and retention. These indicators provide primary data on personnel career plans, retention decisions, morale, commitment, and quality of life and historically provide the ability to evaluate the impact of policies and programs with regard to readiness and retention. The surveys are benchmarks by which senior DoD officials can track trends over time.

Data from the surveys will be presented to the OSD(P&R), Military Departments, Congress, and DoD policy and program offices. Analysis will include the Office of People Analytics (OPA) standard products: a tabulation volume (a set of relative frequency distributions of each question, and cross-tabulations of survey questions by key stratifying variables), briefing slides and reports highlighting key findings, and a statistical methodology report. Ad hoc analyses requested by the policy office sponsors and other approved organizations may be conducted as needed and based on available staff. These projects take approximately one year to complete, including assessment design and development, fielding and administration, and data analysis and reporting.

In addition, as mandated by the FY2016 NDAA, Title VI, Subtitle F, Subpart 661, the Defense Manpower Data Center (DMDC), now OPA, fields a financial literacy and preparedness survey within the SOFS annually. Results will be used by the Service Secretaries to evaluate and update financial literacy training and will be submitted in a report to the Committees on Armed Services of the Senate and the House of Representatives.

2. Use of the Information

The population of interest consists of approximately 800,000 Selected Reserve component members who are in the USAR, ARNG, USNR, USMCR, USAFR, ANG, or USCGR. This survey provides members with a chance to be heard on issues that directly affect them, including policies and programs for deployments, retention, and financial well-being. This may result in improved policies, programs, services, and benefits for Reserve component members and their families.

OPA will administer the 2022 SOFR as a web-based survey with a paper survey option to maximize response rates. Respondents may access the survey via the web on any device they select. The web survey will be hosted on the operations contractor's secure website. Respondents enter the survey through a .mil site (<https://www.dodsurveys.mil>). This site will state the source of the survey's certification and invite sample members to enter a personal ticket number (one secure ticket number is assigned to each sample member and remain linked to that member for the duration of the project. That ticket number will be printed [along with the survey URL] in each letter, and email sent to that individual) and click "Continue." The sample members will be redirected to the operations contractor's secure website (<https://www.surveysdrc.com>). Sample members next will see a welcome page, which provides a brief survey description and give them access to the Frequently Asked Questions (FAQ). The next two pages will request the respondent create a Personal Identification Number (PIN) and provided the Privacy Advisory. If the sample members agreed to do the survey, they will click "Continue" to begin the survey. Respondents complete the survey via the secure website and there are no paper survey instruments used for this data collection. Respondents complete the survey by hitting "submit" on the survey web site. Respondents are sent communications to participate in the survey, which includes a postal announcement and email/postal reminders for members who have not submitted a survey. Typically, we send up to 8-10 communications. The letters include a QR code for respondents to quickly access the survey (letters/emails are attached to this package). Once surveys are submitted, our survey contractor, DRC, handles and processes the surveys. Specifically, once a respondent completes an online survey, data are stored in an indexed file on the web (data) server. Prior to providing each dataset to OPA, the operations contractor copied the indexed file to their internal network using File Transfer Protocol (FTP), converted the data to a sequential format, and processed the validate program to read and load the data to the dataset. The data were then converted to SAS and processed according to OPA-approved administration plans and coding schemes.

Data from this survey will be presented to the OSD(P&R), Military Departments, Congress, and DoD policy and program offices. Analysis will include OPA's standard products: a tabulation volume (a set of relative frequency distributions of each question, and cross-tabulations of survey questions by key stratifying variables), briefing slides and reports highlighting key findings, and a statistical methodology report. Ad hoc analyses requested by the policy office sponsors and other approved organizations may be conducted as needed and based on available staff.

3. Use of Information Technology

OPA administers the Status of the Forces Surveys via the web, in addition to offering a paper survey option. We use proprietary software developed by OPA's operations contractor, Data Recognition Corporation (DRC) to administer the survey on the web. Digitally signed e-mails, electronic files, and web-based technology will be used for respondent communications and data collection. To reduce respondent burden, web-based surveys use "smart skip" technology to ensure respondents only answer questions that are applicable to them. All postal letters will also include a respondent specific QC code for respondents to quickly access the survey via mobile platforms.

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

In order to meet Congressional requirements to gather information on the financial well-being of Reserve component members, we need to administer the Status of the Forces Surveys of Reserve Component Members annually.

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 Thursday, November 4, 2021. The 60-Day FRN citation is 86 FR 60804 FRN 60804-60805.

No comments were received during the 60-Day Comment Period.

A 30-Day Federal Register Notice for the collection published on Friday, January 14, 2022. The 30-Day FRN citation is 87 FR 2423 FRN 2423.

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

The survey website includes a Privacy Advisory/Additional Information webpage that all sample members view before taking the survey. This page will include the instruction “Click Continue if you agree to take the survey.” Informed consent is indicated by clicking the ‘Continue’ button and answering the survey questions. OPA does not expect the data collection procedures to involve any risk to participants although the survey includes some sensitive questions related to suicide prevention. Survey respondents will not experience any individual or personal direct benefit from participating in the survey. However, by participating in the survey, they will assist OSD(P&R) in evaluating programs, which may assist active duty members in the future. Participants can withdraw from the study at any time, and can also request that their data be withdrawn from the study after they’ve submitted it. Procedures for withdrawing data are provided on the survey communications.

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.

Datasets containing survey responses will never contain names, addresses, or e-mail addresses; rather, they will include only randomly generated Identification (ID) numbers. The initial file constructed by OPA during the data collection process will be the “sample file” that contains a record for each individual selected at random to be in the survey. This file will contain administrative record data that will be used to create the sampling strata and will be required for planned analyses of responses. OPA will append a randomly generated ID number to the records before sending the file to OPA’s operations contractor – this number will be the permanent link that can be used to link record data to survey response data that could be required for future analyses. The sample file will contain the OPA randomly generated ID number, names, addresses, and DoDIDs that allow OPA’s operations contractor to control the mailings and obtain additional address information as required. This file will be tightly controlled at OPA and OPA’s operations contractor behind firewalls with password-protected access on a need-to-know basis.

To protect the privacy of research subjects, OPA will conduct a disclosure and confidentiality analysis with multiple combinations of demographic characteristics to ensure there are at least ten (10) respondents in any cell for any report. If there are less

than ten (10) respondents in any cell, variables will be grouped until the threshold of ten (10) per cell is met.

11. Sensitive Questions

Yes, this survey includes questions regarding suicidal ideation, plans, and attempts. This data is collected for the Office of Force Resiliency (OFR) and the Defense Suicide Prevention Office (DSPO) for program evaluation and OSD metrics. The Informed Consent and Thank You web screens provide suicide resources that respondents may contact, if needed.

12. Respondent Burden and its Labor Costs

Part A: ESTIMATION OF RESPONDENT BURDEN

1) Collection Instrument(s)

Status of Forces Survey of Reserve Component Members

- a) Number of Respondents: Approximately 16,515
- b) Number of Responses Per Respondent: 1
- c) Number of Total Annual Responses: 16,515
- d) Response Time: 0.33 hours
- e) Respondent Burden Hours: 5,450 hours

2) Total Submission Burden

- a) Total Number of Respondents: 16,515
- b) Total Number of Annual Responses: 16,515
- c) Total Respondent Burden Hours: 5,450 hours

Part B: LABOR COST OF RESPONDENT BURDEN

1) Collection Instrument(s)

Status of Forces Survey of Reserve Component Members

- a) Number of Total Annual Responses: 16,515
- b) Response Time: 0.33 hours
- c) Respondent Hourly Wage: \$40
- d) Labor Burden per Response: \$13.20
- e) Total Labor Burden: \$217,998

2) Overall Labor Burden

- a) Total Number of Annual Responses: 16,515
- b) Total Labor Burden: \$217,998

Source for average military wage:

<https://militarypay.defense.gov/Portals/3/Documents/2021%20Pay%20Table%203%20percent%20-%20FINAL.pdf>

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

Contractor Costs

- 1) Collection Instrument(s) 2022 Status of Forces Reserve Survey
 - a) Number of Total Annual Responses: 16,515
 - b) Processing Time per Response: .273 hours
 - c) Hourly Wage of Worker(s) Processing Responses: \$75.50
 - d) Cost to Process Each Response: \$20.67
 - e) Total Cost to Process Responses: \$341,407

- 2) Overall Labor Burden to the Federal Government
 - a) Total Number of Annual Responses: 16,515
 - b) Total Labor Burden: \$341,407

Government Costs

- 3) Collection Instrument(s) 2022 Status of Forces Reserve Survey
 - a) Number of Total Annual Responses: 16,515
 - b) Processing Time per Response: .11 hours
 - c) Hourly Wage of Worker(s) Processing Responses: \$69.16
 - d) Cost to Process Each Response: \$7.60
 - e) Total Cost to Process Responses: \$125,565

- 4) Overall Labor Burden to the Federal Government
 - a) Total Number of Annual Responses: 16,500
 - b) Total Labor Burden: \$466,972

Part B: OPERATIONAL AND MAINTENANCE COSTS

- 1) Cost Categories
 - a) Equipment: \$0
 - b) Printing: \$ (See f)
 - c) Postage: \$185,596
 - d) Software Purchases: \$0
 - e) Licensing Costs: \$ (see f)
 - f) Other (printing, paper, etc.): \$101,626

- 2) Total Operational and Maintenance Cost: \$287,222

Part C: TOTAL COST TO THE FEDERAL GOVERNMENT

- 1) Total Labor Cost to the Federal Government: \$466,972

- 2) Total Operational and Maintenance Costs: \$287,222

3) Total Cost to the Federal Government: \$754,194

15. Reasons for Change in Burden

The burden has decreased since the previous approval due to a decrease in response time.

16. Publication of Results

The 2022 Status of Forces Survey of Reserve Component Members will field for approximately 12 weeks. Data analysis and reporting will occur from the time the survey is closed through a year later. After the survey quality assurance review is completed, tabulation volumes, briefings, and reports are created. The financial well-being items, which are Congressionally-mandated are reported to the Financial Readiness Office and to be included in their report to Congress. Data may still be analyzed after the mandatory report date for further analyses to support research.

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.