



**JUSTIFICATION FOR SUBMISSION UNDER THE
“DOI PROGRAMMATIC CLEARANCE FOR
CUSTOMER SATISFACTION SURVEYS”**

See Page 5 for Instructions on Completing This Form

1. Bureau/Office	2. Date Submitted		
3. Survey Title			
4. Abstract <i>(Not to exceed 150 words)</i>			
5. Bureau/Office Point-of-Contact Information			
First Name	Last Name		
Title	Bureau/Office		
Mailing Address	City	State	Zip Code
Phone	<input type="checkbox"/> Work <input type="checkbox"/> Cell	Fax	Email

6. Principal Investigation (PI) Point-of-Contact Information			
First Name		Last Name	
Title		Bureau/Office	
Mailing Address		City	State
Phone	<input type="checkbox"/> Work <input type="checkbox"/> Cell	Fax	Email
7. Name of Program or Office Conducting Survey			
8. Description of Customers and Services Provided			
9. Survey Dates (mm/dd/yyyy) (mm/dd/yyyy)			
		to	
10. Type of Information Collection Instrument (Check ALL that Apply)			
<input type="checkbox"/> Intercept	<input type="checkbox"/> Telephone	<input type="checkbox"/> Mail	<input type="checkbox"/> Web-based
<input type="checkbox"/> Focus Groups	<input type="checkbox"/> Other: <i>(Explain)</i>		
11. Survey Development (Who assisted in survey content development statistics? Was the survey pretested? How did you integrate improvements? Which of the six topic areas did you address?)			

12. Survey Methodology (*Use as much space as needed; if necessary, include additional explanation on separate page.*)

12A. Respondent Universe

12B. Sampling Plan/Procedure

12C. Instrument Administration

12D. Expected Response Rate and Confidence Levels

12E. Strategies for dealing with potential non-response bias

12F. Description of any pre-testing and peer review of the methods and/or instrument (recommended)

13. Burden Hours Calculations					
13a. Category of Respondent	13b. Number of Annual Respondents	13c. Number of Responses Each	13d. Total Annual Responses	13e. Time per Response	13f. Total Burden Hours
13a1. Initial Contact	13b1.	13c1.	13d1.	13e1.	13f1.
13a2. Completion of Survey Instrument	13b2.	13c2.	13d2.	13e2.	13f2.
13a3. Totals:	13b3.		13d3.		13f3.

14. Federal Enterprise Architecture (FEA) Business Reference Model (Check only one "Line of Business" and one "Subfunction." Refer to OMB guidance "FEA Consolidated Reference Model Document Version 2.3")					
Line of Business	Subfunction	Line of Business	Subfunction		
<input type="checkbox"/> <i>Community and Social Services</i>	(Select One)	<input type="checkbox"/> <i>Correctional Activities</i>	(Select One)		
<input type="checkbox"/> <i>Defense and National Security</i>	(Select One)	<input type="checkbox"/> <i>Disaster Management</i>	(Select One)		
<input type="checkbox"/> <i>Economic Development</i>	(Select One)	<input type="checkbox"/> <i>Education</i>	(Select One)		
<input type="checkbox"/> <i>Energy</i>	(Select One)	<input type="checkbox"/> <i>Environmental Management</i>	(Select One)		
<input type="checkbox"/> <i>General Science and Innovation</i>	(Select One)	<input type="checkbox"/> <i>Health</i>	(Select One)		
<input type="checkbox"/> <i>Homeland Security</i>	(Select One)	<input type="checkbox"/> <i>Income Security</i>	(Select One)		
<input type="checkbox"/> <i>Intelligence Operations</i>	(Select One)	<input type="checkbox"/> <i>International Affairs and Commerce</i>	(Select One)		
<input type="checkbox"/> <i>Law Enforcement</i>	(Select One)	<input type="checkbox"/> <i>Litigation and Judicial Activities</i>	(Select One)		
<input type="checkbox"/> <i>Natural Resources</i>	(Select One)	<input type="checkbox"/> <i>Transportation</i>	(Select One)		
<input type="checkbox"/> <i>Workforce Management</i>	(Select One)				

15. Reporting Plan					

16. Justification, Purpose, and Use					
16A. Survey Justification and Purpose					

16B. Survey Goals

16C. Utility to Managers

16D. How will the results of the survey be analyzed and used?

16E. How will the data be tabulated? How What Statistical Techniques will be used to generalize the results to the entire customer population? How will limitations on use of data be handled? If the survey results in a lower than anticipated response rate, how will you address this when reporting the results? (Use as much space as needed; if necessary, include additional explanation on separate page.)

16F. Is this survey intended to measure a [Government Performance and Results Act \(GPRA\) performance measure](#)? If yes, please include an excerpt from the appropriate document. (Use as much space as needed; if necessary, include additional explanation on separate page.)

17. Federal Cost: (Consult your Bureau/Office Information Collection Clearance Officer for assistance, if necessary)

The estimated annual cost to the Federal government is \$ _____, based on: (provide details below)

Sample Response:

"If we receive 20 submissions and it takes 30 minutes to process and implement each one, then the total burden is \$322.40 assuming a GS-7 step 5 is processing the submissions. This custom form is a tool meant to accept submissions in a standard format rather than through the freeform submissions that would otherwise come in by personal email. The existence of this form actually saves the government money by standardizing submissions and decreasing the workload of processing each one."

18. The survey methodology presented in form DI-4010 includes a specific description of:

- The respondent universe,
- The sampling plan and all sampling procedures, including how respondents will be selected,
- How the instrument will be administered,
- Expected response rate and confidence levels,
- Strategies for dealing with potential non-response bias,
- A description of any pre-testing and peer review of the methods and/or the instrument is highly recommended,
- The burden hours reported in the Justification include the number of burden hours associated with the initial contact of all individuals in the sample (i.e., including refusals), if applicable, and the number of burden hours associated with individuals expected to complete the survey instrument, and
- The package is properly formatted (using MS Word) and submitted to the Office of Policy Analysis (through the Bureau/Office Information Collection Clearance Officer).

19. The approval package includes:

- A completed and signed Form DI-4010, Generic Clearance for Customer Satisfaction Surveys.
- A copy of the survey instrument.
- Other supporting materials, such as:
 - Cover letters to accompany mail-back questionnaires,
 - Introductory scripts for initial contact of respondents,
 - Necessary Paperwork Reduction Act and Estimated Burden compliance language, and/or
 - Follow-up letters/reminders sent to respondents.

20. Checklist for Submitting a Request to Use DOI Programmatic Clearance for Customer Satisfaction Surveys

- All questions in the survey instrument are within the scope of one of the DOI Programmatic Clearance for Customer Satisfaction Surveys topic areas.
- A qualified statistician has reviewed and approved your request (see question 21A).
- Your Bureau/Office [Information Collection Clearance Officer](#) receives your package for review/approval at least 75 days prior to the first day the PI wishes to administer the survey to the public.

21. Required Certifications for Submission Under OMB Control Number 1040-0001

Certification is required to submit a collection of information for approval under the DOI Programmatic Clearance for Customer Satisfaction Surveys. *If the collection does not satisfy the requirements of the Programmatic Clearance, you should follow the regular PRA clearance procedures described in 5 CFR 1320.*

21A. Bureau/Office Statistician	Signature	Date
<input type="checkbox"/> Recommend <input type="checkbox"/> Not Recommended		
21B. Bureau/Office Program or Subgroup	Bureau/Office Point-of-Contact	

Title (Please be specific)	Signature	Date

FOR PROGRAM USE ONLY

Required certifications: The information collection requested by this submission meets the requirements of OMB Control No. 1040-0001

Bureau/Office ICCO	Signature	Date
<input type="checkbox"/> Recommend <input type="checkbox"/> Not Recommended		
DOI Office of Policy Analysis	Signature	Date
<input type="checkbox"/> Recommend <input type="checkbox"/> Not Recommended		
DOI PRA Program Lead	DOI Tracking No.	Signature
<input type="checkbox"/> Approved <input type="checkbox"/> Not Approved		

**Instructions for Completing Form DI-4010,
Justification for Submission Under the
“DOI Programmatic Clearance for Customer Satisfaction Surveys”
OMB Control Number 1040-0001**

1. **Bureau/Office:** Insert the name of the bureau/office conducting the survey.
2. **Date Submitted:** Date you submit the package to the Bureau/Office Information Collection Clearance Officer (ICCO) for review.
3. **Survey Title:** Insert title for the proposed survey.
4. **Abstract:** Summarize the proposed study with an abstract not to exceed 150 words.
5. **Bureau/Office Point of Contact Information:** Complete the bureau/office contact information. PPA will communicate with the point of contact listed here throughout the entire approval process.
6. **Principal Investigator (PI) Conducting the Survey:** Complete information about the PI who will be conducting the survey, if different from Point of Contact listed in #4. Otherwise note: Same as #4.
7. **Name of Program Office Conducting Survey:** Provide the name of the bureau program, office, or organizational unit conducting the survey.
8. **Description of Customers and Services Provided:** Provide a brief description of the customers you will survey, the services provided by the program conducting the survey, and customers receive these services.
9. **Survey Dates:** List the time-period in which you will conduct the survey, including specific starting and ending dates. The starting date should be at least 75 days after the date you submit the package to your bureau/office [Information Collection Clearance Officer](#) (ICCO).
10. **Type of Information Collection Instrument:** Check the type(s) of information collection instrument(s) you will use. If other, please explain.
11. **Survey Development:** Explain how the survey was developed. With whom did you consult during the development of the survey on content? On statistics? Did you pretest the survey? What actions did you take to improve the survey? What suggestions did you receive for improving the survey? Which of the six topic areas will the collection address? (Note: A description of any pre-testing and peer review of the methods and/or instrument is highly recommended.)
12. **Survey Methodology:** Explain how you will conduct the survey. Provide a description of the survey methodology including:
 - Question 12A – The respondent universe;
 - Question 12B – The sampling plan and all sampling procedures;
 - Question 12C – How the instrument will be administered;
 - Question 12D – Expected response rate and confidence levels;
 - Question 12E – Strategies for dealing with potential non-response bias; and,
 - Question 12A – Description of any pre-testing and peer review of the methods and/or instrument (recommended, but not required).
13. **Burden Hours Calculations:** Provide an estimated total of the following for each category – initial contact and completion of survey instrument:
 - Number of annual respondents – Enter the number of unique respondents who will complete the information collection;
 - Number of responses per respondent – Enter the total number of responses per unique respondent;
 - Total annual responses – Enter the number of unique respondents multiplied by the total number of responses each;
 - Time per response – Estimate the time to complete the initial contact and the time to complete the survey instrument (in minutes), and
 - Total burden hours –The total burden hours should account for the amount of time required to instruct the respondents in completing the survey, and the amount of time required for the respondent to complete the survey.
14. **Federal Enterprise Architecture (FEA) Business Reference Model:** Using the drop-down menus provided, select ONE “Line of Business” and ONE corresponding Subfunction that most accurately describes your information collection.
15. **Reporting Plan:** Provide a brief description of the reporting plan for the data you will collect.

- 16. Justification, Purpose and Use:** For questions 16A through 16F, provide a brief justification for the survey, its purpose, goals, and utility to managers. Specifically, describe how you will tabulate the data and what the statistical techniques you will use to generalize the results to the entire customer population. Describe how you will use the data from the survey. Describe how you will acknowledge any limitations related to the data, particularly in cases where we obtain a lower than anticipated response rate. Note whether you intend the survey to measure a Government Performance and Results Act (GPRA) performance measure.
- 17. Federal Cost:** Provide the cost estimate for the Federal government to administer the information collection, along with a description of how you calculated the cost estimate (sample response provided). Contact your bureau/office [ICCO](#) for more information or for assistance.
- 18. Survey Methodology Checklist:** Carefully review each item and check each box to indicate your submission provides the required description of each item.
- 19. Checklist for Submitting a Request to Use DOI Programmatic Clearance for Customer Satisfaction Surveys:** Carefully review each item and check each box to indicate your understanding and concurrence of each requirement.
- 20. Approval Package Content:** Carefully review each item and check each box to indicate your package contains each of the requirement elements listed.

NOTE: Your survey instrument document must show the OMB Control Number 1040-0001 and Expiration Date #####/####, and it MUST include the following Statements somewhere on the instrument document (preferably at the bottom of page 1 or at the end of the document):

Paperwork Reduction Act Statement: We are collecting this information subject to the Paperwork Reduction Act (44 U.S.C. 3501) to [insert brief justification for collection of information]. Your response is voluntary and results we will not share them publicly. We may not conduct or sponsor and you are not required to respond to a collection of information unless it displays a currently valid OMB Control Number. OMB has reviewed and approved this survey and assigned OMB Control Number 1040-0001.

Estimated Burden Statement: We estimate the [insert type of instrument] will take you ## minutes to complete, including time to read instructions, gather information, and complete and submit your response. You may submit comments on any aspect of this information collection to the Information Collection Clearance Officer, [Insert Bureau/Office], [Insert mailing address].

- 21. Required Certifications:** Completion of all information in this section is required before forwarding your approval package to your bureau/office [ICCO](#) for review and processing.

Question 21A – Ensure the bureau/office statistician reviewing your information collection certifies the request satisfies the requirements of the DOI Programmatic Clearance for Customer Satisfaction Surveys under OMB Control No. 1040-0001.

Question 21B – Ensure the requestor provides the requested contact information needed by the bureau/office and/or Departmental ICCO to resolve questions or concerns.