

## Supporting Statement for Paperwork Reduction Act Submission

### Customer Service Surveys of FTA Grantees and Stakeholders

#### A. Justification

##### 1. Circumstances that make the collection necessary.

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

- identify the 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 surveys covered under this clearance will be limited to data collections that solicit voluntary opinions and will not involve information that is required by regulations. The Federal Transit Administration (FTA) is requesting this approval to conduct a number of customer service surveys during the next three years.

##### 2. How, by whom, and for what purpose the information is to be used.

FTA will use the information collected to respond to the Presidential Executive Order. The information will assist FTA in assessing customer needs, determining how well the agency is responding to those needs, and in improving service, if needed.

##### 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 surveys are designed to minimize respondent burden by using survey software that is accessible via the internet.

##### 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 information on the opinions of FTA customers.

##### 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 and are not burdensome, no special methods are used for small businesses or other smaller entities.

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 surveys contain specific questions concerning the actual and perceived levels 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.

A 60-day Federal Register notice was published on June 8, 2007 (pages 31895 and 31896), 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 September 5, 2007 (page 51003). No comments were received.

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.

Any information obtained from the surveys will be maintained by FTA. All information is certified to comply with the Freedom of Information Act, the Privacy Act of 1974 and the Office of Management and Budget (OMB) Circular A108.

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

No sensitive information will be collected.

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

	<u>Number of Respondents</u>	<u>Frequency of Response</u>	<u>Hour Burden per Response</u>	<u>Total Annual Hour Burden</u>
Survey #1	1,300	1	1 hour	1,300
Survey #2	500	1	1 hour	<u>500</u>
Total Burden Hours				1,800
Estimated Hourly Cost of Preparing Response				\$45.00
Total Estimated Cost to Respondents				\$81,000.00

The cost for each survey is calculated as follows:

$$\text{Survey \#1- } \$45.00 \text{ per hour} \times 1,300 \text{ hours} = \$58,500.00$$

$$\text{Survey \#2- } \$45.00 \text{ per hour} \times 500 \text{ hours} = \underline{22,500.00}$$

$$\text{Total Cost as shown above} \quad \$81,000.00$$

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.

Survey #1 - The survey will be conducted through an internet survey software program with questions entered into the database by a government staff member and analyzed by FTA staff. The total cost to the federal government is \$5,000.

Survey #2 - The survey will be conducted through an internet survey software program with questions entered into the database by a government staff member and analyzed by FTA staff. The total cost to the federal government is \$5,000.

The total cost to the federal government for the surveys is \$10,000.

$$(\$5,000 + \$5,000 = \$10,000)$$

15. Explain the reasons for any program changes or adjustments reported in Items 13 or 14 of OMB Form 83-1.

This is a new information collection. There are no changes.

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

FTA does not plan to 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 83-1.

No exceptions are stated.

Abstracts of Customer Service Surveys under this Request:

Survey 1 – Customer Service Survey for FTA Regional Offices

Abstract: Data will be captured from the survey that will allow each Regional 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 (public and private transit operators, state agencies and Metropolitan Planning Organizations) have frequent interactions with FTA Regional offices.

Survey 2 – Customer Service Survey for FTA Headquarters Offices

Abstract: Data captured from the survey will allow Headquarters offices to better understand how their products and services are perceived by their customers and stakeholders, learn about opportunities for improvement and establish goals to measure results. Many Headquarters offices interact with transit agencies and stakeholders such as the American Public Transit Association on policy development, requests for information, and specialized research and planning grants.

B. Collection of Information Employing Statistical Methods

1. Universe and respondent selection

- Target population: FTA’s grantees, which include local governments, transit agencies, Metropolitan Planning Organizations, State agencies, tribal governments

and eligible non-profit organizations.

- There are approximately 1,800 grantees in the target population. FTA believes it is important to provide the opportunity for each grantee to complete the survey to provide us feedback on customer service; therefore, FTA does not intend to use a smaller sample size.
- FTA does intend to stratify grantees based on size, type of organization and geographical location based on the ten standard federal regions that FTA Regional offices have as their service territories and any Headquarters offices that administer grants and provide services. We want to keep the stratification to a minimum so that grantees can preserve their anonymity and provide candid responses on their perception of FTA's customer service.
- The goal is at least a 60% participation rate.

## 2. Procedures for collecting information

- The survey will be conducted using an internet survey and software that will tabulate the responses by question and by Regional or Headquarters offices. Summary data will be provided in chart and/or graphical presentation to show the rating for each question. The plan is to conduct the survey annually to analyze trends in customer service for each office and FTA as a whole. The survey will be sent by an electronic mail message seeking participation in order to improve FTA's customer service with a hyperlink to the internet site that hosts the survey.

## 3. Methods to maximize response

- FTA has set a goal to attain at least a 60% survey response rate. The internet software will establish a deadline for response and will be programmed to send one or two reminders to encourage participation. There likely will be a general FTA announcement to grantees to preview the upcoming survey cycle, identify the purpose of the survey and request cooperation of the respondents. FTA does not intend to offer any special incentives although there will be considerable outreach by Regional offices and announcements from the Headquarters office regarding the importance of good participation by our grantees. The stakeholder organizations and industry associations will also be asked to publicize the survey. FTA expects good reliability of the data since the survey will be sent to agency general managers and the questions are straightforward and do not require any computations or specialized data entry.

## 4. Tests of procedures

- A small group of eight transit agencies has been asked to review the survey to insure that the questions are appropriate and relevant to FTA services provided and not burdensome to the agency to respond. FTA did not intend for this small sample size of grantees to actually take the survey, but they did provide us feedback on the robustness of the customer service questions posed.

5. Contacts for statistical aspects and data collection

- Fred Williams, PhD, FTA Office of Budget and Policy, telephone 202-366-1696, fred.williams/@dot.gov