

Supporting Statement for Paperwork Reduction Act Submissions

Title: Methodology Technical Implementation (MTI) Functional Survey

OMB Control Number: 1670-NEW

MTI Functional Survey Supporting Statement B

B. Statistical Methods

1. Describe (including numerical estimate) the potential respondent universe and any sampling or other respondent selection method to be used. Data on the number of entities (e.g., establishments, State and local government units, households, or persons) in the universe covered by the collection and in the corresponding sample are to be provided in tabular form for the universe as a whole and for each of the strata in the proposed sample. Indicate expected response rates for the collection as a whole. If the collection has been conducted previously, include the actual response rate achieved during the last collection.

2. Describe the procedures for the collection of information including:

- Statistical methodology for stratification and sample selection,
- Estimation procedure,
- Degree of accuracy needed for the purpose described in the justification,
- Unusual problems requiring specialized sampling procedures, and
- Any use of periodic (less frequent than annual) data collection cycles to reduce burden.

The potential respondent pool includes critical infrastructure and key resources (CIKR) stakeholders and registered MTI tool users. The population for this survey is users that have logged into the system within the past year. A representative sample of current MTI tool users will be drawn based on a plus or minus 3 percent margin of error at the 95 percent confidence level. Sample size is expected to be approximately 3,700. High response rates will ensure greater validity of the results and applicability to the MTI Project Office. The expected response rate is 80 percent.

The number of users across each CIKR sector differs widely, so in creating the sample, the population will first be stratified by sector, and users selected randomly within each sector to approximate their contribution to the population. The number of users is also expected to increase each year, so the sample size for each year has been adjusted to account for the increase. Sampling will result in less than half of the user population being selected for the sample, which reduces the burden on the user community. The data collected will be representative of only those that currently use the tool and analysis will not attempt to generalize the data to a larger population. The MTI Project Office will call for data collection on an annual basis to obtain timely feedback, address concerns promptly, and encourage continuous improvement efforts.

CIKR Sector	Year 1 Estimated Population	Year 1 Sample	Year 2 Estimated Population	Year 2 Sample	Year 3 Estimated Population	Year 3 Sample
Commercial Facilities	300	250	800	500	3,500	850
Chemical	1,000	550	5,000	900	500,000	1,065
Agriculture	50	50	120	120	360	270
Water - A	2,000	750	4,000	900	6,500	950
Water - B	5,000	900	10,000	1000	15,000	1,000
Dams	300	250	2,000	700	80,000	1,050
Emergency Services	2,500	750	10,000	1000	50,000	1,050
Critical Manufacturing	200	200	1,000	550	5,000	900
Total	11,356	3,700	32,920	5,670	660,360	7,135

3. Describe methods to maximize response rates and to deal with issues of non-response. The accuracy and reliability of information collected must be shown to be adequate for intended uses. For collections based on sampling, a special justification must be provided for any collection that will not yield “reliable” data that can be generalized to the universe studied.

The MTI Functional Survey will be automated using a Web-based survey tool. The mailing list for the sample will be loaded into the tool for invitation sending and tracking purposes. The methodology for contacting participants is based on Dr. Dillman’s Tailored Design Method for Web-based surveys. An alert message will be sent in the form of an email to all users just prior to survey deployment. A total of four communication messages will be sent by e-mail to the selected sample of users. The first message will include background information and the link to the survey on the Web. All messages will include the link as well as a unique identification number the respondent will need to enter to access the survey. Reminder messages to non-respondents, three are planned, will be sent approximately seven to ten days apart. MTI tool users are accustomed to receiving e-mails from the MTI Project Office and must have access to the Web in order to use the tool.

4. Describe any tests of procedures or methods to be undertaken. Testing is encouraged as an effective means of refining collections of information to minimize burden and improve utility. Tests must be approved if they call for answers to identical questions from 10 or more respondents. A proposed test or set of tests may be submitted for approval separately or in combination with the main collection of information.

The survey instrument will be reviewed by a working group of CIKR stakeholders, registered MTI tool users and a MTI working group. This group will be responsible for reviewing, editing and reporting suggestions back to IP for the MTI Project Office to improve the quality of the survey instrument.

5. Provide the name and telephone number of individuals consulted on statistical aspects of the design and the name of the agency unit, contractor(s), grantee(s), or other person(s) who will actually collect and/or analyze the information for the agency.

The information collection will be done for the Methodology Technical Implementation Project Office by a contractor:

Technology & Management Services, Inc.
18757 N. Frederick Rd.
Gaithersburg, MD 20879
301-670-1942

The representative of the contractor who consulted on statistical aspects of design and will be responsible for analyzing the collected information is:

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