OMB Control. No. 1040-0001
Expiration Date 09/30/2024

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**
Office of Collaborative Action and Dispute Resolution	07/14/2023

3. Survey Title

Customer Satisfaction Survey for Long-Term Facilitated Dialogue Processes

4. Abstract *(Not to exceed 150 words)*

This survey will allow the Office of Collaborative Action and Dispute Resolution to better serve our customers--the bureaus and offices across the Department of the Interior who convene, oversee, and conduct multi-stakeholder facilitated dialogue processes, and the participants in those processes. CADR staff and contract conflict resolution practitioners provide a variety of services in support of long-term facilitated dialogue processes from assessment through a series of facilitated sessions. This customer service survey exists to assess CADR's customer service while delivering each stage of these processes to ensure conflict resolution and collaborative action effectiveness via facilitated dialogue processes.

5. Bureau/Office Point-of-Contact Information

First Name		**Last Name**		
Jacqueline		Wilson		
Title		**Bureau/Office**		
Team Leader for Training and Operations		Office of Collaborative Action and Dispute Resolution		
Mailing Address		**City**	**State**	**Zip Code**
801 N. Quincy Street, Suite 610		Arlington	VA	22203
Phone ☐ Work ☑ Cell	**Fax**	**Email**		
571-453-6501		Jacqueline_wilson@ios.doi.gov		

6. Principal Investigation (PI) Point-of-Contact Information

First Name		**Last Name**		
William		Hall		
Title		**Bureau/Office**		
Director		Office of Collaborative Action and Dispute Resolution		
Mailing Address		**City**	**State**	**Zip Code**
801 N. Quincy Street, Suite 610		Arlington	VA	22203
Phone 703-235-3791 ☒ Work ☐ Cell	**Fax**	**Email** william_e_hall@ios.doi.gov		

7. Name of Program or Office Conducting Survey

Office of Collaborative Action and Dispute Resolution

8. Description of Customers and Services Provided

This survey will allow CADR to better serve our customers, which are the bureaus and offices across the Department of the Interior who convene, oversee, and conduct multi-stakeholder facilitated dialogue processes as well as participants in these processes. Services provided to those customers include convening a facilitated dialogue, a process to identify key stakeholders, design the process, identifying the right facilitator for the process, select the venue and similar preparations; the actual facilitation and implementation of the process toward a stated goal (usually convergence) and set of objectives; and evaluation and a lessons learned feedback loop toward continual improvement of the practice.

9. Survey Dates

(mm/dd/yyyy)		*(mm/dd/yyyy)*
07/14/2023	to	09/30/2024

10. Type of Information Collection Instrument (*Check ALL that Apply*)

☐ Intercept ☒ Telephone ☒ Mail ☒ Web-based ☐ Comment Cards

☐ Focus Groups ☐ Other: *(Explain)*

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?)*

This set of survey questions was first developed almost two decades ago through an interagency process of federal organizations that convene, lead, and participate in inclusive facilitated dialogue processes on environmental, natural and cultural resources, and tribal topics. The survey instrument was developed by evaluation experts/practitioners and was pre-tested and has continuously evolved over six generations through a process of feedback, reflection, and improvement through analysis of data and reducing the number of questions through auto-correlation. The survey addresses the topic of delivery, quality, and value of products, information, and services. This iteration will represent the seventh generation of this survey instrument.

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

12A. Respondent Universe

The respondent universe includes all participants in the facilitated dialogue processes who represent a variety of stakeholder groups including community members, non-governmental organizations, tribal resources, and state- and federal employees.

12B. Sampling Plan/Procedure

This a census of all participants in CADR-supported facilitated dialogue processes, and therefore no sampling plan is needed.

12C. Instrument Administration

The instrument is administered primarily via a web-based questionnaire distributed as an email-notification to participants immediately at various stages of the long-term facilitated dialogue process. Follow-up emails are sent to non-respondents within two weeks of the initial questionnaire distribution.

12D. Expected Response Rate and Confidence Levels

Expected response rate is 60%, with a CADR goal response rate of 70%. Confidence levels are high in circumstances when surveys are sent within two weeks of the process concluding and is reduced when delays in survey distribution occurs.

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

In our communication about the survey, we emphasize the value that respondents provide in terms of evaluating the impact of these processes. Reminder messages are sent to help reduce non-response bias, and alternative contact methods, including telephone, are used when necessary.

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

Because this survey instrument has been in use across multiple federal agencies for almost two decades and is in it's seventh generation, there is no need for additional pre-testing or peer review. This questionnaire is substantially the same as one that was approved under a previous ICR.

13. Burden Hours Calculations

Category of Respondent	*Number of Annual Respondents*	*Number of Responses Each*	*Total Annual Responses*	*Time per Response*	*Total Burden Hours*
Initial Contact					
Completion of Survey Instrument	100	1	100	13 minutes	22
Totals:	100		100		22

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
☐ *Community and Social Services*	(Select One)	☐ *Correctional Activities*	(Select One)
☐ *Defense and National Security*	(Select One)	☐ *Disaster Management*	(Select One)
☐ *Economic Development*	(Select One)	☐ *Education*	(Select One)
☐ *Energy*	(Select One)	☐ *Environmental Management*	(Select One)
☐ *General Science and Innovation*	(Select One)	☐ *Health*	(Select One)
☐ *Homeland Security*	(Select One)	☐ *Income Security*	(Select One)
☐ *Intelligence Operations*	(Select One)	☐ *International Affairs and Commerce*	(Select One)
☐ *Law Enforcement*	(Select One)	☐ *Litigation and Judicial Activities*	(Select One)
■ *Natural Resources*	Conservation, Marine and Land Manag	☐ *Transportation*	(Select One)
☐ *Workforce Management*	(Select One)		

15. Reporting Plan

CADR will produce reports for each long term facilitated dialogue process using integrated software where doing so will not compromise respondent identity, and will produce an aggregated report of all long-term facilitated dialogue processes evaluated during each fiscal year.

16. Justification, Purpose, and Use

16A. Survey Justification and Purpose

The Department of the Interior Office of Collaborative Action and Dispute Resolution (CADR) is requesting approval to continue collecting customer feedback (as per our previous OPM approval for this same survey) to evaluate the effectiveness of long-term facilitated dialogue services provided on behalf of Department bureaus and the Agency in order to improve the efficiency and effectiveness of these processes.

16B. Survey Goals

The goal of this survey is to inform measures to improve CADR's long-term facilitated dialogue processes in efficiency and effectiveness.

16C. Utility to Managers

In order to work continuously to ensure that Interior's programs are effective and meet its customers' needs, feedback through this questionnaire provides useful insights on perceptions and opinions that are necessary to CADR in improving service delivery.

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

Information gathered and analyzed as individual processes and cumulatively with all long-term facilitated dialogue processes evaluated over the course of a year, and will be used internally for customer service and program management improvement.

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.)*

This survey data will be analyzed using standard measures of central tendency (e.g., means and standard deviation). Because this is a census, there is no need to generalize to the larger population. We will report the non-response rate and indicate any potential threats to external validity.

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.)*

No

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

The estimated annual cost to the Federal government is $ 5133.00 , based on: *(provide details below)*

If we receive 100 submissions and it takes one hour to process and implement each one, then the total burden is $5133 assuming a GS-12 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:

- [x] The respondent universe,
- [x] The sampling plan and all sampling procedures, including how respondents will be selected,
- [x] How the instrument will be administered,
- [x] Expected response rate and confidence levels,
- [x] 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,
- [x] 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
- [x] 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:

- [x] A completed and signed Form DI-4010, Generic Clearance for Customer Satisfaction Surveys.
- [x] A copy of the survey instrument.
- [x] 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**
☐ Recommend ☐ Not Recommended		

21B. Bureau/Office Program or Subgroup	**Bureau/Office Point-of-Contact**
AS PMB-CADR	Jacqueline H. Wilson

Title *(Please be specific)*	**Signature**	**Date**
Team Leader for Training and Operations	JACQUELINE WILSON Digitally signed by JACQUELINE WILSON Date: 2023.07.14 14:54:12 -04'00'	

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**
☑ Recommend ☐ Not Recommended	Jeffrey Parrillo	
DOI Office of Policy Analysis	**Signature**	**Date**
☐ Recommend ☐ Not Recommended		

DOI PRA Program Lead	**DOI Tracking No.**	**Signature**	**Date**
☑ Approved ☐ Not Approved		Jeffrey Parrillo	

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).

    Note: Web-based surveys are not an acceptable method of sampling a broad population. Web-based surveys must be limited to services provided by the web site.

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.