

Department of the Treasury, Departmental Offices
Collection of Information Employing Statistical Methods
Small Business Lending Fund – Small Business Lending Survey

1. Describe (including a numerical estimate) the potential respondent universe and any sampling or other respondent selection methods to be used. Indicate expected response rates for the collection as a whole.

The respondent universe for this collection will be the 328 institutions currently participating in the Small Business Lending Fund (SBLF). Each institution signed an agreement with Treasury that requires them to discuss the affairs, finances and accounts of the company with Oversight Officials, including Treasury OIG. Since responding to this survey is required, we expect that 100% of the institutions will provide responses.

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 information will be sent to the entire universe of 328 institutions (see response to question 1 above). Data will be collected and accumulated from all survey respondents and presented in the results attained. We also plan to analyze the survey responses by subgroups including asset size, region, institution type, TARP recipients-non-TARP recipient and by lending performance quartiles.

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.

We will send the survey to the entire universe of current SBLF participants (328 financial institutions). The participants are required by their agreements with Treasury to participate in the survey. We plan to deal with any non-response that may occur through multiple follow-up contacts. If necessary, the OIG can subpoena the information from the SBLF participants in order to obtain a response.

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 test may be submitted for approval separately or in combination with the main collection of information.

Treasury OIG plans to test the survey with 4 to 5 SBLF participants to improve the utility of the survey in determining what factors have contributed to how SBLF participants have used SBLF funds and how well the program has performed to date. Treasury OIG will use feedback from this test to refine the survey design prior to its rollout to all of the SBLF participants in January 2013.

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.

Treasury OIG consulted with OIG Audit Manager Ken Dion (617-223-8641) on the design of the survey, anticipated response rates, and methodologies to analyze the survey results by subgroups. The SBLF audit team including Audit Manager Anita Visser, and Team Lead Karin Beam will collect and analyze the survey responses.