

## SUPPORTING STATEMENT

### A. Justification

#### 1. *Circumstances Requiring Collection of Information*

The Office of Personnel Management (OPM) leads Federal agencies in shaping human resources management (HRM) systems to effectively recruit, develop, manage and retain a diverse, high quality workforce. We need to solicit input from our customers to evaluate our performance in providing services that are citizen-centered, results-oriented and market-based. Customer Satisfaction Surveys are valuable tools to gather information about our customers' view of our performance and services so we can design and implement new ways to improve our performance and services to meet their needs. This Agency Generic Survey request includes 4 surveys that we currently use or plan to use during the next three years to measure our ability to meet our customers' needs. The survey instruments include direct mail, telephone contact, focus groups and web exit surveys. Our customers include the general public, Federal benefit recipients, Federal agencies and Federal employees.

#### 2. *Use of Information*

The results of the information collected in these surveys will be used by OPM management to determine the level of customer satisfaction with our services and to identify areas where corrective action might be needed to further improve services.

Some survey questionnaires will be mailed to a sample of randomly selected program customers, many of whom have had recent contact with OPM. Others may be mailed to all customers who have recently had contact with OPM. The participation in the surveys will be totally voluntary. In addition to mail surveys, OPM will utilize telephone surveys, Internet/web surveys and focus group discussions to collect customer information and feedback. All Interactive Voice Response (IVR) and Internet surveys will be voluntary for users of these systems.

Our past surveys have provided OPM management with ongoing findings on customer satisfaction. If the surveys are not conducted, a valuable source of customer feedback will be eliminated. This will limit OPM's ability to make informed decisions and will negatively impact the quality of service to our customers. Management has used the findings of past surveys to make improvement actions such as upgrading our telephone system for customers enabling them to readily speak to retirement offices and obtain services, considering changes in Federal Employee Health Benefits regulations, improving our agency web pages, improving our investigative services and improving Government-wide recruitment efforts.

#### 3. *Reduced Burden*

Information on customer satisfaction can best be derived from direct questioning of program participants and customers. Because most customers conduct business with OPM by phone, mail and the internet, these are the primary ways we will collect the data for our surveys. These voluntary customer surveys are the most effective means to solicit customer feedback.

4. *Duplication*

There is no source for this information except direct contact with program participants and our customers. We will ensure that no survey or data collection effort approved under this generic clearance duplicates another.

5. *Small Business*

These data collections will not involve small businesses.

6. *Consequences of Lower Frequency*

Some voluntary customer surveys will be conducted as customers exit a particular OPM web page, others will be conducted on an as needed basis, and still others will be conducted on an annual basis. The attached survey list details each survey and how often it will be conducted. We will measure progress in service delivery by reviewing performance indicators generated from survey results. Conducting surveys on a less frequent basis will result in OPM losing touch with customer views on service.

7. *Special Circumstances*

This data collection is consistent with 5 CFR 1320.6.

8. *Consultations*

We published our 60-Day Federal Register Notice on December 26, 2013 at 78 FR 78416, notifying the public that we intended to request a new information collection for program services evaluation surveys.

9. *Payment to Respondents*

No payment or gift is provided to respondents of voluntary customer surveys.

10. *Confidentiality*

Potential respondents of all voluntary customer surveys are told that their answers will be kept strictly confidential and will in no way affect their benefits or eligibility. Several surveys will provide each potential respondent with an assigned numerical identifier for the sole purpose of monitoring the return of the questionnaire, sending follow-up requests and preventing the possibility of double counting in the event the same respondent returns both the original and follow-up survey.

11. *Sensitive Information*

No sensitive information is being collected for any of the survey efforts.

12. *Hour Burden of Collection*

Web exit surveys, mailed questionnaires, Interactive Voice Response (IVR) telephone solicitations and focus group participation will be requested from thousands of customers who experienced a recent transaction or contact with OPM. The total number of respondents and the time needed to complete each survey effort will vary as shown in the attached survey list. We estimate the respondents and burden hours per fiscal year as shown below:

|                     | <b>FY 2014</b> | <b>FY 2015</b> | <b>FY 2016</b> |
|---------------------|----------------|----------------|----------------|
| <b>Respondents</b>  | 2,100          | 2100           | 2100           |
| <b>Burden hours</b> | 418            | 418            | 418            |

13. *Annualized Cost to Respondents*

There is no financial cost burden to respondents resulting from this collection of information. OPM provides prepaid postage envelopes for mail surveys and uses toll-free lines for telephone surveys.

14. *Annualized Cost to Government*

Some voluntary customer surveys will be conducted in-house, while others will be contracted out. The cost will be approximately \$200,000 per year. OPM will ensure that the lowest cost collection and analysis methodology is chosen for each survey so long as this is consistent with the purpose and need of the collection.

15. *Reasons for Program Changes/Adjustments*

In September 2009, OMB and OPM decided that the original control number for the Agency Generic Clearance 3206-0236 be split up into 3 separate collections, the original Agency Generic Clearance would be renamed to Customer Satisfaction Surveys and would retain the 3206-0236 control number. 2 new collections would be created for Performance Measurement and Program Services Evaluations. Each collection will contain the individual IC's and the appropriate burden specific to that classification of surveys. The reduction in burden in this renewal is the result of the discontinuation of the CTS Branding Survey.

16. *Tabulation, Statistical Analysis and Publication*

The statistical analysis of these voluntary customer surveys will include simple frequency distributions for each question. Comparisons will be subjected to appropriate tests for validity and reliability. The findings and analysis of all surveys will be reported to OPM management, and possibly for some surveys, to the public, during FY 2014, 2015 and 2016.

17. *Display of Expiration Date for OMB Approval*

Voluntary customer surveys approved as a result of this Agency Generic Survey Clearance will display OMB's approval number in the Public Burden Statement and prominently at the beginning of each survey instrument. We request exemption from displaying expiration dates due to the quantity of surveys involved and the costly administrative burden in changing all dates.

18. *Exceptions to Certification Statement*

OPM is not seeking any exceptions to the certification statement identified in Item 19, *Certification for Paperwork Reduction Act Submissions*, OMB Form 83-I.

NOTE: OPM will submit any revised surveys and proposed surveys in the attached survey list to OMB as the survey instruments become available. OMB will review the survey instruments and notify OPM within two weeks of receipt if there is a question or issue to be resolved. OPM will begin administering the survey after two weeks if there is no notification from OMB, per the terms of OMB Memorandum M-93-14.

## **Survey List**

A Table of Contents for the survey list is below. It is followed by a detailed survey list which is a comprehensive summary of our generic IC's. If OPM substitutes or wants to add a new survey that falls under

the umbrella of this generic clearance, OMB will be notified and will be provided a copy of the survey instrument, the number of expected respondents and burden hours involved if different from that included in this list. For the proposed survey instruments that are in development at the time of this submission (Clerical Central Register Applicant Survey and Website Customer Satisfaction Survey), but are included in the request list, we will submit an OMB Change Worksheet to reflect these changes when the survey instrument(s) are sent for approval. Our survey respondents may include current Federal employees (as defined in the Paperwork Reduction Act Guidelines of 1995), Federal agencies, Federal benefit recipients, and the general public.

| Survey No.                                | Survey Title                           | Survey Information   |
|---|--|--|
| <b>Program Service Evaluation Surveys</b> |  |  |
| PSES1                                     | Organizational Assessment Survey (OAS) | <p><b>Purpose of survey?</b><br/>The Organizational Assessment Survey (OAS) provides agencies with a standardized tool for assessing organizational culture/climate processes and employee satisfaction. The survey is based on a comprehensive literature review and assesses those dimensions that organizational theory, research, and practice indicate are related to organizational effectiveness. The OAS can help agencies maximize outcomes, such as employee retention and customer satisfaction by acting on the results and implementing improvements.</p> <p><b>How is information used and analyzed?</b><br/>Survey results are aggregated into groups of at least 10 respondents and then reports are produced. The reports show the percentage of respondents who selected each response option, the number who responded to an item, and, for Like-type items, means and standard deviations. Summary executive-level briefings of the results are also prepared. The reports and briefings are used to identify areas of strength and challenges and help agencies maximize outcomes, such as employee retention and customer satisfaction by acting on the results and implementing improvements.</p> <p><b>Intended Audience?</b><br/>Agency employees, including contractors.</p> <p><b>One-time survey? If No how often? Annually etc.</b><br/>Most agencies administer the survey annually.</p> <p><b>Is this “ad hoc” and tied to an already existing form?</b><br/>Ad hoc: Agencies partner with us when they want to collect employee feedback.</p> <p><b>At what point is the information collected?</b><br/>Various times throughout the year.</p> <p><b>Voluntary or mandatory?</b><br/>Voluntary</p> <p><b>Approximate time needed to complete: ## minutes/hours</b><br/>15 minutes</p> <p><b>Number of estimated Respondents for 2014, 2015, and 2016</b><br/>2014: 1,000<br/>2015: 1,000<br/>2016: 1,000</p> |
| PSES2                                     | OPM Employee Exit Survey               | <p><b>Purpose of survey?</b><br/>The Exit Survey provides organizations with valid and reliable feedback on the key determinants of turnover, information on who chooses to leave, and suggestions for how organizations can best manage their turnover to retain critical personnel. The Exit Survey categorizes separations by type, captures the main motivation for separation, diagnoses the organization’s strengths and challenges, and solicits suggestions for changes an organization should make. The results can be broken out by relevant demographics, so that change management can be targeted to critical occupations, positions, and personnel.</p> <p><b>How is information used and analyzed?</b></p>  |

| Survey No. | Survey Title   | Survey Information   |
|------------|--|--|
|            |  | <p>Exit Survey results are aggregated into groups of at least five former employees and then reports are produced. The reports show the percentage of respondents who selected each response option, the number who responded to an item, and, for Like-type items, means and standard deviations. Summary executive-level briefings of the results are also prepared. The reports and briefings are used to identify areas of strength and challenge so that change management can be targeted to critical occupations, positions, and personnel.</p> <p><b>Intended Audience?</b><br/>Respondents are government employees who have recently left their job.</p> <p><b>One-time survey? If No how often? Annually etc.</b><br/>The survey is administered on an individual basis, only one time when an employee exits.</p> <p><b>Is this “adhoc” and tied to an already existing form?</b><br/>Ad hoc: agencies partner with us when they want to collect feedback from exiting employees.</p> <p><b>At what point is the information collected?</b><br/>Collection time varies according to agency needs and exit procedures. The time may range from before an employee finally exits to several weeks after they exit.</p> <p><b>Voluntary or mandatory?</b><br/>Voluntary</p> <p><b>Approximate time needed to complete:</b> 10 minutes</p> <p><b>Number of estimated Respondents for 2014, 2015, and 2016</b><br/>2014: 1000<br/>2015: 2000<br/>2016: 5000</p> |
| PSES3      | Personnel Assessment and Selection Resource Center Feedback Survey | <p><b>Purpose of survey?</b><br/>The purpose of the survey is to obtain user feedback on our web pages.</p> <p><b>How is information used and analyzed?</b><br/>We use the information to determine if we are providing useful information, and how we might be able to improve the website.</p> <p><b>Intended Audience?</b><br/>Federal HR Specialists, Research Psychologists, and Managers.</p> <p><b>One-time survey? If No how often? Annually etc.</b><br/>It is a static survey that is available all the time on our website (<a href="http://apps.opm.gov/adt">http://apps.opm.gov/adt</a>).</p> <p><b>Is this “adhoc” and tied to an already existing form?</b><br/>No</p> <p><b>At what point is the information collected?</b><br/>We are able to access the information as needed.</p> <p><b>Voluntary or mandatory?</b><br/>Voluntary</p> <p><b>Approximate time needed to complete:</b> 1 minute</p> <p><b>Number of estimated Respondents for 20014, 2015, and 2016</b></p>   |

| Survey No. | Survey Title                      | Survey Information  |
|------------|-----------------------------------|---|
|            |                                   | 20 – 50 per year  |
|            | New Leaders Onboarding Assessment | <p><b>Purpose of survey?</b><br/> The New Leaders Onboarding Assessment (NLOA) is administered for an executive or manager assimilating into a new organization. The assessment is administered to the organization's employees. The NLOA provides the executive/manager a high-level snapshot of key facets of their new organization.</p> <p><b>How is information used and analyzed?</b><br/> A results report accelerates the learning curve for the new leader while providing analyses in a clear, understandable format as to prevent information overload, a common derailer for new leaders. The results help the new leader understand their organizations strengths and challenges; and develop action plans to improve identified challenge areas.</p> <p><b>Intended Audience?</b><br/> Respondents are government employees and, if applicable, contractors.</p> <p><b>One-time survey? If No how often? Annually etc.</b><br/> Yes.</p> <p><b>Is this "ad hoc" and tied to an already existing form?</b><br/> Ad hoc: agencies partner with us when they want to collect feedback for a new executive or manager.</p> <p><b>At what point is the information collected?</b><br/> Information is collected when the new executive or manager is assimilating into the organization, preferably in their first 60 days.</p> <p><b>Voluntary or mandatory?</b><br/> Voluntary</p> <p><b>Approximate time needed to complete: ## minutes/hours</b><br/> 15 minutes</p> <p><b>Number of estimated Respondents for 2014, 2015, and 2016</b><br/> 2014: 2,000<br/> 2015: 4,000<br/> 2016: 4,000</p> |