

SUPPORTING STATEMENT
U.S. Department of Commerce
Baldrige Performance Excellence Program/National Institute of Standards and Technology
Baldrige Executive Fellows Program
OMB Control No. 0693-XXXX

A. JUSTIFICATION

1. Explain the circumstances that make the collection of information necessary.

The Baldrige Performance Excellence Program will seek applicants for the Baldrige Executive Fellows Program, a one-year, leadership development experience for direct reports to the most senior leader in an organization or business unit leaders. Using the Baldrige Excellence Framework as a foundation, the program will discuss impactful leadership through visits to Baldrige Award recipient sites and senior leaders, virtual discussions, and face-to-face peer training using an adult learning model. Fellows will discuss how to achieve performance excellence for their own organizations, stimulate innovation, and build the knowledge and capabilities necessary for organizational sustainability. Fellows will create a capstone project that tackles an issue of strategic importance in their own organizations; capstone suggestions will include how to innovate supply chains and customer relationship management systems, improve health systems and communication with physicians, and create balanced scorecards. The program will be aligned with the Baldrige Program mission to improve the competitiveness and performance of U.S. organizations for the benefit of all U.S. residents. The collected information is needed to make selection decisions that are based on (1) sector mix, (2) appropriate level within the organization, (3) likelihood to follow through, (4) diversity, and (5) no direct competitors with participating award recipients or other Fellows.

2. Explain how, by whom, how frequently, and for what purpose the information will be used. If the information collected will be disseminated to the public or used to support information that will be disseminated to the public, then explain how the collection complies with all applicable Information Quality Guidelines.

The information will be collected and used once per year to make selection decisions for that year's cohort of Baldrige Executive Fellows. Because of the personally identifiable information (PII) requested, the information is solicited via certified mail or secure file sharing (i.e., NIST's "N-file system"). The information will be seen and shared by the government staff members (one to two people) who receive the information and collate it for the Baldrige Director, Baldrige Executive Fellows Program Manager, and Baldrige Director Emeritus, who volunteers his time to support the current director. The information may also be seen by the executive secretary to the Baldrige Director who secures the director's signature for selection letters. This information will be kept secure and will never be released to the public—with the exception of the Fellows' names for promotional purposes *and* with their permission.

The collection and dissemination of information complies with the NIST Chief Information Officer (CIO) Information Quality Guidelines and Standards.

3. Describe whether, and to what extent, the collection of information involves the use of automated, electronic, mechanical, or other technological techniques or other forms of information technology.

Applications for the Baldrige Executive Fellows will be solicited on the Baldrige/NIST website. The following information will be requested:

1. A resumé, including e-mail, postal address, and telephone contact information; and the name and e-mail address of an assistant or alternate contact person.
2. An organizational chart that includes names and titles showing the applicant's position within the organization.

3. A recommendation letter from the applicant's highest-ranking official showing the organization's support of his/her participation in the program.
4. A list of key competitors (in order that the Baldrige Program may avoid creating a cohort that would be unable to share effectively due to competitive situations).

Applicants will be asked to mail their submissions via certified mail or other delivery system; however, they will be offered an option to request a secure link to electronically send their submissions. A link to the NIST secure file-sharing program ("N Files") would then be sent to them.

4. Describe efforts to identify duplication.

There is no duplication or repetitive information requested of applicants since the information is unique. The information would be specific to the applicant and therefore would unlikely be available from any other source. The requested information should provide the specific detailed information to allow an appropriate selection decision to be made.

The Fellows Program, including selection process, will be evaluated annually so that it can be continuously improved.

5. If the collection of information involves small businesses or other small entities, describe the methods used to minimize burden.

Senior leaders of small businesses will be invited to apply for the Fellows Program—as all types of senior leaders will be invited. Small business senior leaders will be subject to the same selection criteria as other applicants; they need only gather the requested information, which is of a personal/professional nature and does not involve the writing of essays or other time-intensive questionnaires. The application to be a Fellow will be strictly voluntary. Therefore, the burden would fall only on those individuals who choose to submit an application.

6. Describe the consequences to the Federal program or policy activities if the collection is not conducted or is conducted less frequently.

Despite its contribution to the public good and U.S. companies, since 2011, the Baldrige Program has received no Federal funding; instead being supported wholly by the Malcolm Baldrige National Quality Award Foundation and other cost-recovery fees that the Baldrige Program is able to generate through its programs and services. The Baldrige Executive Fellows is one way to bring in revenue to cover the costs of continued operations of the Baldrige Program, while supporting the U.S. economy.

Consequences to the Federal program of not collecting the voluntary information (i.e., soliciting applications) include the lost opportunity for the Baldrige Program to offer this Executive Fellows program, which has been suggested, researched, developed, and tested by the Baldrige Board of Overseers, the Federal advisory body for the Baldrige Program. Research suggests that many executives would be interested in the program, which directly supports the Baldrige mission to improve the competitiveness of U.S. organizations, and leverages Public Law 100-107 that calls for Baldrige Award recipients to share best practices to help improve the U.S. economy. Much market research has also been gathered from executives who want the chance to learn more about the Baldrige Framework for Excellence in an executive development setting and about Baldrige Award recipients and how they have achieved excellence; this type of training program involves content that is unique to the Baldrige Program and could not be offered by any other.

Research has suggested that executives want such a program in order to be engaged with the Baldrige Program and other senior leaders who can depend on one another to solicit feedback, learn from a wealth of executive experience, and address challenges within their own organizations—even after the program has ended. Another benefit of the program that would be lost is the cross-sector learning (i.e., the Baldrige Program brings together executives from business, health care, education, and nonprofit organizations) that many senior leaders value.

Although funding was cut in 2012, the Baldrige Program continues to be part of the Department of Commerce. Funding is provided through an annual gift from the Foundation for the Malcolm Baldrige National Quality Award, and the Secretary has already approved the acceptance of a gift for FY2016. The gift is supplemented by products and services offered by the Baldrige Program, including the Baldrige Executive Fellows Program.

In “Statement on the Commerce Department’s FY2012 Budget Request by Commerce Secretary Gary Locke, House Appropriations Subcommittee on Commerce, Justice, Science, and Related Agencies, March 17, 2011,” Secretary Locke said that the Baldrige Program would “transition to [a] new funding model.”

In “NIST Three Year Programmatic Plan, 2016–2018,” it is written, “In support of the Administration’s emphasis on serving industry through outreach services, NIST provides two important externally-focused services: The Hollings Manufacturing Extension Partnership (MEP) and the Baldrige Performance Excellence Program (BPEP). . . . To enable the further competitiveness and success of U.S. organizations, BPEP’s focus is to promote broad participation in the use of the Baldrige Excellence Framework and award program by organizations in all sectors of the economy. The Baldrige Foundation, the private non-profit organization that has supported BPEP for over 25 years with the contributions of the private sector, has agreed to support operations of the Baldrige Program through 2016, while key program partners explore alternative business and funding models to sustain the mission of BPEP in the future.”

The Baldrige Executive Fellows Program, for which there has been high demand by U.S. senior executives, is part of this new funding model requested by the U.S. Department of Commerce.

7. Explain any special circumstances that require the collection to be conducted in a manner inconsistent with OMB guidelines.

No special circumstances exist.

8. Provide information of the PRA Federal Register Notice that solicited public comments on the information collection prior to this submission. Summarize the public comments received in response to that notice and describe the actions taken by the agency in response to those comments. Describe the efforts to consult with persons outside the agency to obtain their views on the availability of data, frequency of collection, the clarity of instructions and recordkeeping, disclosure, or reporting format (if any), and on the data elements to be recorded, disclosed, or reported.

A Federal Register Notice soliciting public comment was published on August 27, 2015 (Volume 80, No. 166, pages 52032-52033.)

One public comment was received on August 27, 2015 from Jean Public. A copy of the response received has been uploaded into ROCIS. No action was taken by NIST because the comment relates to federal funding and the BNQP is not funded by tax dollars. .

9. Explain any decisions to provide payments or gifts to respondents, other than remuneration of contractors or grantees.

No payments or gifts will be given to respondents.

10. Describe any assurance of confidentiality provided to respondents and the basis for assurance in statute, regulation, or agency policy.

Applicants will be assured of confidentiality as a matter of agency policy—such assurance can be found in the codes of conduct that both Fellows and Baldrige staff sign. All submission packages, including the names of those leaders who are not selected, will be kept confidential. A secure file-sharing protocol, never standard e-mail, will be used if there is a need to send PII, and only staff members who are in a need-to-know position will learn that the leader has even applied to be a Fellow. The assurance that no personal or organizational information of private individuals will be made public is made on the basis of the exemption under the Freedom

of Information Act for proprietary information provided by a business to a government.

As part of the Fellows code of conduct (which was created in collaboration with NIST legal counsel), Fellows will be guided by four principles intended to enhance the sharing and learning of all parties: integrity, professional conduct, confidentiality, and respect for intellectual property. In promoting high standards of ethical conduct, they

- conduct themselves professionally, guided by truth, accuracy, fairness, respect, and responsibility in all their interactions
- avoid discussions or actions that might lead to, or imply an interest in, restraint of trade: market or customer allocation schemes, price fixing, dealing arrangements, bid rigging, bribery, or misappropriation
- avoid sharing information that their organizations consider proprietary and protect the confidential information of others
- in any sharing exchange, be willing to provide the same level of information that they request

All Baldrige staff members receive annual confidentiality training.

11. Provide additional justification for any questions of a sensitive nature, such as sexual behavior and attitudes, religious beliefs, and other matters that are commonly considered private.

This information collection will not include questions of a sensitive nature, such as sexual behavior and attitudes, religious beliefs, and other matters that are commonly considered private.

Applicants will be asked to provide a list of their organization's key competitors so that the Baldrige Program may avoid creating a cohort that would be unable to share effectively due to competitive situations.

12. Provide an estimate in hours of the burden of the collection of information.

Our estimate of the total burden of the collection of information is 12 hours for ~12 applicants. The Fellows program cap will be 15 Fellows per year to ensure a small enough group for dialogue and no fewer than 8 to ensure a large enough group for dialogue. Twelve is an estimate.

- The total estimated number of Fellows applicants is ~12
- The total estimated annual burden hours requested is 12 hours.

13. Provide an estimate of the total annual cost burden to the respondents or record-keepers resulting from the collection (excluding the value of the burden hours in Question 12 above).

\$0

Fellows' applicants will need to gather information to submit.

14. Provide estimates of annualized cost to the Federal government.

There is no cost to the Federal government, as the passage of an appropriations bill in November 2011 cut all federal funding for the Baldrige Program.

15. Explain the reasons for any program changes or adjustments.

This is a new collection.

16. For collections whose results will be published, outline the plans for tabulation and publication.

There will be no plans for publishing the results of the collected information.

17. If seeking approval to not display the expiration date for OMB approval of the information collection, explain the reasons why display would be inappropriate.

The collection instrument will display the OMB Control# and expiration date along with the following notwithstanding statement.

OMB Control #0693-XXXX
Expiration Date: XX-XX-XXXX

This collection of information contains Paperwork Reduction Act (PRA) requirements approved by the Office of Management and Budget (OMB). Notwithstanding any other provisions of law, no person is required to respond to, nor shall any person be subject to a penalty for failure to comply with, a collection of information subject to the requirements of the PRA unless that collection of information displays a currently valid OMB control number. Public reporting burden for this collection is estimated to be 60 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed and completing and reviewing the collection of information. Persons wishing to comment on the burden estimate or any aspect of this collection of information, or offer suggestions for reducing this burden, should send their comments to the National Institute of Standards and Technology, Attn: Robert Fangmeyer, Director Baldrige Program, robert.fangmeyer@nist.gov.

18. Explain each exception to the certification statement.

N/A

B. COLLECTIONS OF INFORMATION EMPLOYING STATISTICAL METHODS

This collection of information does not employ statistical methods.