

SUPPORTING STATEMENT  
U.S. Small Business Administration  
SMALL BUSINESS ADMINISTRATION AWARD NOMINATION

INFORMATION COLLECTION 3245-0360  
SBA FORMS 3300-3316  
AWARD NOMINATION FORM

**A: JUSTIFICATION**

**1. Circumstances necessitating the collection of information**

***Explain the circumstances that make the collection of information necessary. Identify any legal or administrative requirements that necessitate the collection. Attach a copy of the appropriate section of each statute and regulation mandating or authorizing the collection of information.***

Section 8(b)(1)(A)(iv) of the Small Business Act, 15 U.S.C. 637(b)(1)(A)(iv), and § 132(a) of Pub. L. 108-447, as continued by the Consolidated Appropriations Act, 2017, Pub. L. 115-31, authorize the Administrator of the U.S. Small Business Administration (SBA) to recognize achievements of small businesses through appropriate events and activities. (Copies of these provisions are attached). In recognition of the small business community's contributions to the nation's economy and society, the President of the United States designates one week each year as Small Business Week. Leading up to that week, the U.S. Small Business Administration seeks nominations for various recognition awards honoring the nation's small business owners and entrepreneurs, small business advocates, and small businesses. Recognition awards are presented by SBA to winners at the district, regional and national levels. Potential award recipients are nominated by banks, SCORE, Women's Business Centers, Small Business Development Centers, employees, spouses or self-nomination. This information collection, *Small Business Administration Award Nomination Form*, and other information set out in the Awards Nominations Guidelines, (copy attached) is used to facilitate the award selection process.

**Amendments**

Forms 3300-3314 and awards guidelines are substantively the same as in previous years. However, on all nomination forms, SBA revised the notice regarding penalties for false statements to reflect the correct citation and penalty amount and also to add a note regarding additional instructions on the nomination process. In addition to miscellaneous minor grammatical/language edits, questions on certain forms were modified as follows:

- 3301-Small Business Person of the Week Award
  - o Question 10-Expanded examples of SBA assistance
- 3302-Small Business Exporter of the Year Award

- o Question 12-Expanded examples of SBA assistance
- o New Question 13- Regarding state government trade promotion or financial program
- o New Question 14-Regarding what exporting meant to the business
- o Existing Question 17-Removed (regarding working with other businesses)
- 3303-Phoenix Award for Small Business Disaster Recovery
  - o Question 17-Expanded examples of SBA assistance
- 3306-Small Business Prime Contract of the Year
  - o Question 5-Expanded examples of SBA assistance
- 3307-Small Business Subcontractor of the Year
  - o Question 5-Expanded examples of SBA assistance
- 3308-Dwight D. Eisenhower Award for Excellence
  - o Question 4-Expanded examples of SBA assistance
- 3309-8(a) Graduate of the Year
  - o Question 9-Expanded examples of SBA assistance
- 3311-Veterans Business Outreach Center Excellence in Service
  - o Question 5-Removed. Chart regarding goals and achievements
- 3312-Women’s Business Outreach Center of the Year
  - o Question 10-Removed references to “Smart, Bold, Accessible” goals.

Finally, Forms 3301 through 3314, inclusive, were revised to correct an error in the Paperwork Reduction Act Notice. The notice erroneously stated that “The estimated burden for completing this form is 1 hour and 45 minutes, including the time for reviewing the instructions, and gathering and compiling data. Combined with the time for completing the Form 3300, the total estimated time to prepare and submit the nomination package for each nominee is 90 minutes.” All notices were corrected to replace “1 hour and 45 minutes” with “1 hour and 15 minutes”.

The package includes one new form:

- 3315-District Office Award
  - This form is available for SBA's district offices to honor local entrepreneurs/small business owners in addition to the national award categories.

## **2. How, by whom, and for what purpose information will be used**

The general public has the option to submit nominations via traditional mail or hand delivered to SBA field offices. The SBA will use the nomination packages to select National Small Business Week winners on the state, district, regional or national levels.

The information collected on Form 3300 is used to identify an actual or apparent conflict of interest, to verify the accuracy of the information submitted with the nomination packets, and to apply defined evaluation criteria to each nominee's background to determine whether a nominee is eligible for a recognition award.

All nominees must be cleared by the U.S. Small Business Administration's Office of Diversity, Inclusion & Civil Rights (formerly the Office of Equal Employment Opportunity) and Office of Inspector General. These clearances are required to help verify the accuracy of the nomination packet and to preclude any potential conflict of interest or embarrassment to the nominee, the U.S. Government or the President of the United States. Once a nominee is cleared, the information collected is reviewed by a panel of SBA and non-SBA judges that evaluates nominees to determine whether they meet the evaluation criteria outlined in the Awards Nomination Guidelines.

In addition, if a visit to the White House has been approved for the winner of a particular award, certain information collected is forwarded to the White House to be used for clearance purposes.

The information collected on Forms 3301-3315, inclusive, will be used to evaluate the nominations and select the winners based on the criteria outlined in the nomination guidelines.

## **3. Technological collection technique**

***Describe whether, and to what extent, the collection of information involves the use of automated, electronic, mechanical, or other technological collection techniques or other forms of information technology, e.g. permitting electronic submission of responses, and the basis for the decision for adopting this means of collection. Also describe any consideration of using information technology to reduce the burden.***

The guidelines for eligibility and submission of information, as well as Forms 3300-3315 are available online at the agency website. The agency accepts hard copy submissions via traditional mail or hand delivered to the appropriate SBA district office.

#### **4. Avoidance of Duplication**

***Describe efforts to identify duplication. Show specifically why any similar information already available cannot be used or modified for use for the purposes described in item 2 above.***

Those award nominees who have applied for, or received SBA assistance may have previously provided some of the information requested. However, because applications for SBA assistance are not centrally located, it is not always possible to readily match up any prior particular collection of information. In addition, it is important to obtain information that is as current as possible. SBA minimizes the burden by requesting only the minimal information necessary to make informed selections.

#### **5. Impact on small businesses or other small entities**

***If the collection of information impacts small businesses or other small entities (Item 5 of OMB Form 83-1), describe any methods used to minimize burden.***

The only small businesses impacted by the collection of this information are those owned or operated by the award nominees. This information collection will not have a significant economic impact on the approximately 600 who respond to this collection of information. In any event, the information requested should be readily available from the nominees' personal and business records.

#### **6. Consequences if collection of information is not conducted**

***Describe the consequence to the Federal program or policy activities if the collection is not conducted or is conducted less frequently, as well as any technical or legal obstacles to reducing burden.***

The information collected is required to determine whether an award nominee has an actual or apparent conflict of interest. The information is also used to evaluate the nominations and select the winners based on the criteria outlined in the nomination guidelines. If the information is not provided, the Agency would be unable to vet or evaluate the nominees. In addition, a credible recognition awards program would not be possible and the SBA would be hampered in its efforts to recognize outstanding small businesses.

#### **7. Existence of special circumstances**

***Explain any special circumstances that would cause an information collection to be conducted in a manner, etc.***

A respondent may be required to respond to the request for the collection of information on Form 3300 in less than thirty days only if the person who nominates the respondent nominates the respondent within the thirty days prior to the due date for the completed nomination packet for the particular recognition award.

Confidential financial or personal information is requested but the Agency can demonstrate that it will protect the confidentiality of the information to the extent permitted by the law. The

information collected is kept in a locked area, with access restricted to a limited number of employees who are directly responsible for the award nomination process.

#### **8. Solicitation of Public Comment**

***If applicable, provide a copy and identify the date and page number of publication in the Federal Register of the agency's notice, required by 5 CFR 1320.8(d), soliciting comments on the information collection prior to submission to OMB. Summarize public comments received. Describe 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, and the data elements to be recorded, disclosed, or reported.***

A request for public comment was published in the Federal Register at 82 FR 18202 on April 17, 2017. The comment period ended on June 16, 2017; no comments were received.

#### **9. Payment of gifts**

***Explain any decision to provide any payment or gift to respondents, other than remuneration of contractors or grantees.***

No payment or gift will be provided to respondents for completing this information collection. However, award winners will receive some tangible item of nominal value, such as a trophy, plaque, or award certificate to commemorate their achievements.

#### **10. Assurance of Confidentiality**

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

SBA informs nominees that their information will be protected to the extent permitted by law, including the Freedom of Information Act, 5 U.S.C. 552, and the Privacy Act, 5 U.S.C. 552a.

#### **11. Questions of a sensitive nature**

***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 justification should include the reasons why the agency considers the questions necessary, the specific uses to be made of the information, the explanation to be given to persons from whom the information is requested, and any steps to be taken to obtain their consent.***

Some of the information collected, such as criminal history, citizenship, and residential address may be considered sensitive or private. SBA protects the information to the extent permitted by law. The agency has a Privacy Act System of Records, SBA 28 -- Small Business Person and Advocate Awards, that covers this information (see attached copy). Information regarding the Privacy Act rights as outlined in this notice is provided to respondents as part of the information collection request. The notice was last published in the Federal Register at 74 FR 14890 (April 1, 2009).

**12. Estimate the hourly burden of the collection of information**

***Provide estimates of the hour burden of the collection of information. Indicate the number of respondents, frequency of response, annual hour burden, and an explanation of how the burden was estimated.***

Each year, approximately 600 award nominees respond to this information collection as part of the annual recognition award program process. Each nominee submits Form 3300 regardless of the award, as well as the specific form that relates to the nominated award (i.e. from the 3301-3315 series of forms).

Respondents will spend an estimated average of 90 minutes responding to the information collection, including reading the questions, locating specific information in their business or personal files and answering the questions. The burden for Form 3300 is 15 minutes and for each of the forms 3301-3315 the burden is 75 minutes.

Generally, an administrative assistant, loan officer, Small Business Development Center personnel or the nominee will collect and submit the information. SBA estimates that the wage level of such personnel is equivalent to the average wage for a GS-9 employee.

As such the estimated hour cost burden: is as follows:

Average hourly wage for person completing collection: \$26.34

Total cost per response:  $\$26.34 \times 1.5 \text{ hours} = \$39.51$

Total estimated cost burden:  $600 \times \$39.51 = \$23,706$

**13. Estimate the total annual cost burden for submission**

***Provide an estimate for the total annual cost burden to respondents or recordkeepers resulting from the collection of information.***

The estimated annual cost burden per respondent for submission is \$4.82 (mail) or \$15.00 (courier) depending on respondent's choice of delivery. Generally approximately 300 nominees submit the information by first class mail and 300 by courier. The estimated aggregate annual cost burden is therefore \$5,946.00. ( $\$4.82 \times 300 = \$1,446.00$ ) + ( $\$15.00 \times 300 = \$4,500.00$ ).

**14. Annualized Cost to the Federal Government**

***Provide estimates of annualized costs to the Federal Government. Also provide a description of the method used to estimate cost, which should include quantification of hours, operational expenses (such as equipment, overhead, printing, and support staff), and any other expense that would not have been incurred without this collection of information.***

The cost to the Federal Government for handling this information collection is negligible. SBA employees will review the form and manage the entire nomination and selection process as part of their regularly assigned duties.

**15. Explanation of program changes in Items 13 or 14 on OMB Form 83-I**

***Explain reasons for any program changes or adjustments reported in Items 13 or 14 of the OMB Form 83-1***

Not Applicable.

**16. Collection of information whose results will be published.**

***For collection of information whose results will be published, outline plans for tabulation and publication. Address complex analytical techniques ... Provide time schedules for the entire project.***

Winners receive extensive local media coverage. Biographical and relevant business information pertaining to the winners will be provided to the media upon request.

The estimated project schedule for the 2018 Small Business Week award program is as follows:

- Nominations will be submitted to the nearest U.S. Small Business Administration district office in the nominee's state or district by a deadline of January 9, 2018.
- April 15: State winners will be announced.
- State and District winners will be honored some time during calendar year 2018 on dates to be determined by the state or district offices.
- May 2018: National winners will be announced and honored at the Small Business Week celebration.

The timeline for subsequent years will be similar, with national awards being presented in May.

**17. Expiration date for collection of information**

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

Not applicable.

**18. Exceptions to certification in block 19 on OMB Form 83-I**

***Explain each exception to the certification statement identified in Item 19, "Certification for Paperwork Reduction Act Submission" of OMB Form 83-1.***

Not Applicable.

**B. COLLECTION OF INFORMATION EMPLOYING STATISTICAL METHODS**

***Describe (including a numerical estimate) the potential respondent universe and any sampling or other respondent selection method to be used.***

Not applicable. Statistical methods will not be employed to analyze the information collected or to determine award winners.