

## **Organizational Assessment Surveys (OMB No. 3206-0252)**

### **SECTION A. JUSTIFICATION:**

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

Human Resources Strategy and Evaluation Solutions (HRSES) within the U.S. Office of Personnel Management performs reimbursable assessment work for Federal Agencies. Much of this work includes measuring agency performance, which HRSES does using Organizational Assessment Surveys. As part of this collection, OPM is requesting approval of the Organizational Assessment Survey, supplemental administrations of the Federal Employee Viewpoint Survey, New Employee Survey, Exit Survey, New Leaders Onboarding Assessment, and Training Needs Assessment Survey. Each of these surveys measures various key organizational attributes that contribute to or assess performance. HRSES' Program Evaluation Surveys can be considered an umbrella assessment because success of a program or agency can be measured in whole or in part with each of the other surveys mentioned above. Agencies use these surveys to assess effectiveness of specific programs, offices, or entire departments.

HRSES is authorized to collect information by Sections 4702 and 4703 of Title 5, U.S.C.; Section 1128 of the National Defense Authorization Act for Fiscal Year 2004, Public Law 108-136; 5 U.S.C. 1101 note, 1103(a)(5), 1104, 1302, 3301, 3302, 4702, 7701 note; E.O. 13197, 66 FR 7853, 3 CFR 748 (2002); E.O. 10577, 12 FR 1259, 3 CFR, 1954-1958 Comp., p. 218.

#### **2. Indicate how, by whom, and for what purpose the information is to be used. Except for a new collection, indicate the actual use the agency has made of the information received from the current collection.**

HRSES has been administering program evaluation and related surveys for several decades. The Organizational Assessment Survey has been administered since 1999; the other surveys were developed more recently. The surveys include standard, benchmarkable items that ensure broad coverage of core dimensions, and also custom items that assess specific areas of need and interest. Agencies use the surveys to obtain feedback on organizational performance that is otherwise unavailable. Agencies use the results to target improvement efforts.

#### **3. 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.**

These surveys are almost always administered electronically. Small numbers of recipients (approximately 5,000 a year) without internet access may receive a paper version of the survey. Whenever possible, demographic information is gathered from official agency records instead of via survey questions; skipping-and-branching is used to further limit

the number of items respondents are asked to answer. HRSES does not publically post the surveys or results online because the surveys belong to HRSES' client agencies.

**4. 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.**

There is no source for this information except these surveys. The closest to duplication is the official Federal Employee Viewpoint Survey administration; however, HRSES' surveys target groups and content areas not covered by the official administration. We will ensure that no survey or data collection effort approved under this generic clearance duplicates another.

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

These data collections will not involve small businesses.

**6. Describe the consequence to 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.**

HRSES generally administers the Organizational Assessment Survey and Federal Employee Viewpoint Survey on an annual or biannual basis; the other assessments are administered when requested by agencies. Conducting the surveys on a less frequent basis will result in agencies being less effective at gauging or tracking their employees' engagement and organizational effectiveness over time.

**7. Special circumstances:**

None: this data collection is consistent with 5 CFR 1320.6.

**8. 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.**

On September 22, 2017, a 60 Day Federal Register Notice was published at 82 FR 44471. There were no comments received.

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

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

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

HRSES does not collect respondent names, Social Security Numbers, IP addresses, or similar identifying information. The surveys are voluntary and there are neither rewards for participating nor sanctions for not participating. HRSES only reports the results to agencies in aggregate, so that no individual can be tied to his or her particular responses. When HRSES uses email addresses to send survey notices, the email addresses are not recorded with the survey responses.

Respondents to the Organizational Assessment Survey, New Employee Survey, Exit Survey, New Leaders Onboarding Assessment, and Training Needs Assessment Survey are told:

Collection of this information is authorized by Section 4702 of Title 5, U.S. Code.

- Your responses to this survey are voluntary and there is no penalty if you choose not to respond. However, maximum participation is encouraged so that the data will be complete and representative.
- The principal purpose in collecting this information is to gather input from employees about their experiences in working for the [Agency]. The survey results will be used to identify organizational strengths and challenges and to identify strategies that will help improve the work environment.
- In any public release of survey results, no data will be disclosed that could be used to match your responses with your identity because there will be no individual identifiers associated with the data. All email addresses will be stripped and discarded automatically when the completed survey is submitted.

Respondents to a supplemental Federal Employee Viewpoint Survey are told:

Collection of this information is authorized by Section 4702 of Title 5, U.S. Code.

- Your responses to this survey are voluntary and there is no penalty if you choose not to respond. However, maximum participation is encouraged so that the data will be complete and representative.
- The principal purpose in collecting this information is to study and report attitudes and perceptions about Human Capital programs and policies. The survey results will be used to assist in the formulation of policies which may be needed to improve the working environment.
- Access to completed surveys will be limited to OPM staff and contractors who are involved in collecting or preparing the information for analysis and agencies such as GAO that have specific authority to obtain agency records.
- In any public release of survey results, no data will be disclosed that could be used to identify specific individuals.

- Your agency will only receive summary reports for the whole population and for certain subgroups. Your agency will not receive data by subgroups that could be used to identify a specific individual or a person's specific response to a survey question.

Respondents to Program Evaluation surveys are told:

Collection of this information is authorized by Section 4702of Title 5, United States Code.

- Your responses to this survey are voluntary and there is no penalty if you choose not to respond. However, maximum participation is encouraged so that the data will be complete and representative.
- The principal purpose in collecting this information is to [insert specific purpose here] and make changes to Governmentwide policies on these [insert specific initiatives here].
- In any public release of survey results, no data will be disclosed that could be used to match your responses with your identity because there will be no individual identifiers associated with the data. All email addresses will be stripped and discarded automatically when the completed survey is submitted.

**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.**

No sensitive information is being collected on any of the surveys.

**12. Provide estimates of the hour burden of the collection of information.**

The exact number of surveys, respondents, and survey items will vary based on the survey product and agency’s needs. The estimates below are based on past experience. The only cost to respondents is the time taken to complete a survey. The wage rate used below is the BLS statistic for non-farm labor as of May 2017.

Form Name	Form Number	No. of Respondents	No. of Responses per Respondent	Avg. Burden per Response (in hours)	Total Annual Burden (in hours)	Average Hourly Wage Rate	Total Annual Respondent Cost
Organizational Assessment Survey	n/a	1,000	100	15	250	\$26.22	\$6,555
Federal Employee	n/a	10,000	80	10:20	1,700	\$26.22	\$44,574

Viewpoint Survey							
New Employee Survey	n/a	500	100	10:20	85	\$26.22	\$2,229
Exit Survey	n/a	500	60	10:20	85	\$26.22	\$2,229
New Leaders Onboarding Assessment	n/a	10	100	15	2.5	\$26.22	\$66
Program Evaluation	n/a	1,000	100	15	250	\$26.22	\$6,555
Training Needs Assessment Survey	n/a	10,000	100	10:20	1,700	\$26.22	\$44,574
Total	n/a	23,010	640	61	4,073	\$183.54	\$106,781

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

There are no costs to respondents other than time. Paper surveys are returned with pre-paid envelopes. Inquiries are made via email or toll-free phone number.

**14. Provide estimates of annualized costs to the Federal government.**

The only expected non-labor costs are for administering approximately 5,000 paper surveys each year, at an annual cost of \$30,000.

**15. Explain the reasons for any program changes or adjustments reported on the burden worksheet.**

The need for these surveys varies; the burden estimates reported here are estimates based on recent and anticipated future assessment trends.

**16. For collections of information whose results will be published, outline plans for tabulation and publication. Address any complex analytical techniques that will be used. Provide the time schedule for the entire project, including beginning and ending dates of the collection of information, completion of report, publication dates, and other actions.**

OPM will not publish the results of these surveys because the data belong to HRSES' clients and are considered proprietary.

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

We will show the number and expiration date.

**18. Explain each exception to the topics of the certification statement identified in "Certification for Paperwork Reduction Act Submissions,"**

There are no exceptions.