Leadership Assessment Surveys (OMB No. 3206-0253)

SECTION A. JUSTIFICATION:

1. <u>Explain the circumstances that make the collection of information necessary.</u>

Human Resources Strategy and Evaluation Solutions (HRES) within the US Office of Personnel Management performs reimbursable assessment work for Federal Agencies. These surveys are necessary for measuring leadership competencies. As part of this collection, OPM is requesting approval of the OPM Leadership 360™, Leadership Potential Assessment, and the Leadership Profiler. HRSES' OPM Leadership 360™ assesses the 28 leadership competencies that comprise the five Executive Core Qualifications and Fundamental Competencies in the OPM Leadership Model. The Leadership Potential Assessment assesses a subset (10) of these same competencies using similar items, in addition to items on motivation and personal factors critical to leadership success. Both surveys use a multi-rater methodology, so some respondents could be non-government employees. The Leadership Profiler consists of 245 items and measures five major personality traits (also known as the "The Big Five"). It is unlikely that the Leadership Profiler would be administered to a non-Federal employee, but is included here should the necessity arise.

HRSES is generally authorized to collect this information by Sections 4702 and 4703 of Title 5, U.S.C. Various agencies may have policies or regulations requiring periodic leadership assessments. Other agencies request these Leadership Assessment Surveys on an ad hoc basis to address specific agency needs.

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 administered the OPM Leadership 360™ for agencies since 2003. The survey includes standard, benchmarkable items that ensure broad coverage of core leadership competencies. On rare occasions a client agency may add agency-specific competencies to the assessment. Agencies and individual participants use the 360 to obtain feedback on leadership effectiveness that is otherwise unavailable. Based on the results, participants may target individual development efforts, while agencies may target agency-wide improvement efforts, such as training, that will result in more effective management and service to the public.

HRSES has administered the OPM Leadership Potential Assessment (LPA) for agencies since 2012. The LPA survey contains a variety of items that cover a broad range of core leadership competencies and motivational/personal factors. As with the OPM Leadership 360™, these items are standardized and can be also be used for benchmarking purposes. Agencies and individual participants use the LPA to obtain information on leadership potential/effectiveness that is otherwise unavailable. This information can then be used by participants to support individual development, and agencies may use aggregate-level data to inform strategic human resource decision making (e.g., succession planning).

HRSES has administered the OPM Leadership Profiler (LP) for agencies since 2012. The LP survey contains items that cover five major personality traits (also known as the “The Big Five”). As with the OPM Leadership 360™ and OPM Leadership Potential Assessment, these items are standardized and can also be used for benchmarking purposes. Individual participants use the LP to obtain information on their personality traits/preferences and how they relate to leadership behaviors. This information can then be used by participants to support individual development.

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 assessments are administered electronically. HRSES does not publically post the surveys or results online because the surveys belong to individual participants and their 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 direct contact with participants and their raters. 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 Leadership Assessment Surveys on an ad-hoc basis in response to agency needs, timing of training courses, and other factors. Participants are not asked to complete an assessment more than once a year. When re-administration is possible, doing so at longer than annual intervals may mean changes in leadership competencies are not assessed in a timely manner.

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 44472. 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 collects rater names and email addresses for addressing correspondences, but only the participant’s (the individual being rated) name is retained in the data to personalize reports. Other identifying information, such as Social Security Numbers and IP addresses, is not captured. 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 (exception: in individual reports, supervisor ratings on the 360 and LPA necessarily identify the supervisor).

Respondents 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 about the participant’s leadership competencies. The assessment results will be used to identify leadership strengths and challenges and to identify strategies that will help the participant improve his or her leadership.
- In any public release of assessment 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 for any of the survey efforts.

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

The exact number of surveys and respondents will vary based on agency needs. The estimates below are based on past experience where it takes on average 15 minutes to complete the 360 and LPA, but 45 minutes to complete the LP. 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
OPM Leadership 360	n/a	4,000	117	15	1000	$26.22	$26,220
Leadership Potential Assessment	n/a	4,000	104	15	1000	$26.22	$26,220
Leadership Profiler	n/a	10	245	45	7.5	$26.22	$197
Total	n/a	8,010	466	1:15	2007	$78.66	$52,637

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.

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

There are no non-labor costs to the Federal Government.

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

The LPA is a new instrument similar in nature to the 360, but focused more on measuring the competencies and motivational/personal factors that are critical to emerging leaders/high potential employees (i.e., employees interested in eventually taking on a formal leadership role but who do not currently have that responsibility). The Leadership Profiler is also a new assessment, focused on providing leaders and potential leaders with information on how their personality characteristics may affect their leadership behaviors.

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 results of these surveys because the data belongs to HRSES' clients and participants and is considered sensitive.

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.