

Supporting Statement for Paper Reduction Act Submission
OMB Control Number 3245-0370, Customer Satisfaction Survey

The purpose of this submission is to request OMB renewal authorization of the ODA Disaster Assistance Customer Service Center, Customer Satisfaction Survey.

No modifications have been made to the survey questions since the last submission.

A. Justification

1. *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.*

The Small Business Administration is authorized to make loans to survivors of declared disasters for the purpose of restoring their damaged property to, as near as possible, pre-disaster conditions. SBA is also authorized to make loans to businesses that have suffered an economic loss as a result of the disaster. This authority is found in 15 U.S.C. 636 as amended (copy attached). SBA's Office of Disaster Assistance provides customer service to individual and business loan applicants on the phone and via email through its Disaster Assistance Customer Service Center (DACSC) and in-person through its Field Operations Centers (FOCs).

The DACSC is the national contact center for SBA's Office of Disaster Assistance (ODA). Operating from offices in Buffalo, New York, and Citrus Heights, California, the DACSC provides customer support to disaster survivors throughout the United States and U.S. Territories. Handling, on average, more than 100,000 calls annually, Customer Service Representatives (CSRs) at the DACSC respond to a variety of SBA inquiries concerning the disaster loan program. ODA also operates two Field Operations Centers – the FOC-East in Atlanta, Georgia and the FOC-West in Citrus Heights, California. The FOCs deploy CSRs to staff temporary disaster recovery centers and SBA disaster loan outreach centers in disaster-affected locales. During a typical year, the FOCs deploy hundreds of CSRs to the field to aid tens of thousands of disaster survivors.

The DACSC and FOCs use certain 'output' metrics to assess effectiveness. Key Performance Indicators (KPIs) for the call center, including wait times, abandonment rates, and average call handling times, are tracked and compared with industry benchmarks. Similarly, the FOCs track productivity data including customer contacts, applications accepted, and summary declines processed. These output measures are ineffective indicators of 'customer satisfaction.' A customer satisfaction survey is more "outcome" focused and a much better indicator of the overall effectiveness of the program.

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

The Quality Assurance staff at the DACSC will conduct a brief telephone survey of a representative sample of customers to measure their satisfaction with the service provided by the DACSC and FOCs (the Centers). The results are used to evaluate internal performance and provide timely feedback on areas of possible concern. Customer satisfaction surveys are a hallmark of successful organizations in both the private and public sectors and SBA's continued use of this tool reflects its commitment to ensuring quality customer service for the nation's taxpayers.

3. *Describe whether, and to what extent, the collection 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 survey is administered telephonically by a trained DACSC employee. The survey administrator captures the survey data using an electronic form saved to a network database for analysis and reporting purposes.

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.*

ODA contracts with the University of Michigan (UOM) to conduct an annual customer satisfaction survey of the disaster loan program, however, this survey, although more comprehensive, is administered only once a year, making it of limited value in assessing the real-time customer satisfaction levels in the various ODA centers. The infrequent nature of the existing survey renders it ineffective for measuring on-going customer satisfaction rates and identifying areas of concern in a timely manner. Also, because the annual UOM-conducted survey is geared toward assessing customer satisfaction on a broad level, it is often difficult to relate its results to specific work units. For example, when surveying a respondent about "customer service" (after months and multiple interactions), it can be unclear whether a respondent is referring to an interaction with the DACSC, Processing and Disbursement Center, or possibly even the FOC. From an operational perspective, a survey designed to elicit timely feedback regarding a specific interaction and work unit (e.g., the DACSC or the FOC), is a better indicator of on-going customer satisfaction and would provide managers with relevant information to address problems as they occur rather than months afterward. We do not believe the annual ODA-wide survey provides the type of specific, targeted, timely and on-going feedback that will be provided by the DACSC process.

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

This survey will not have a significant economic impact on small businesses or other small entities.

6. *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.*

Failure to implement the proposed methodology will affect ODA's ability to accurately assess customer satisfaction levels and therefore, will affect management's ability to take appropriate measures to improve delivery of critical financial assistance to disaster survivors.

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

There are no special circumstances.

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. Summarize public comments received. Describe efforts to consult with persons outside the agency to obtain their views.*

Comments were solicited in a Federal Register notice published on November 21, 2018, at 83 FR 58805, copy attached. The comment period closed on January 22, 2019, and no comments were received.

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

There are no payments or gifts to respondents.

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

No assurance of confidentiality is provided. The data captured through this survey will be maintained in an encrypted database accessible by a small number of authorized users. Management reports are not specifically linked to any person or entity, but rather depict the aggregate results of surveys administered over a specified period. The information provided is subject to disclosure under the Freedom of Information Act (5 U.S.C. §552).

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

No sensitive questions are asked.

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

The survey process involves a random sample (90% Confidence Level with a 10 % margin of error) of callers to the DACSC and customers visiting the FOC's. The survey is comprised of 8 short questions, 1 requiring a "Yes/No" response, 5 requiring a rating on a 1-5 scale, and 2 open-ended questions. Historically, the survey typically takes less than 5 minutes per customer to administer (see attached survey sample). Based on average activity levels for the DACSC during 2017 and 2018, we expect to conduct no more than 100 surveys per month. Based on customer visits to field locations, we estimate surveying a similar number of field customers on behalf of the FOCs to achieve statistically significant results. **The survey is optional and the cost to the customer in terms of time is negligible.**

Customer Service Center Customer Survey

Total Surveys = 100 surveys per month
100 surveys/month x 12 months = 1,200 annual responses
1,200 x .083 (5 minutes) = 99.6 burden hours

Field Operations Customer Survey

Total Surveys = 100 surveys per month
100 surveys/month x 12 = 1,200 annual responses
1,200 x .083 (5 minutes) = 99.6 burden hours

Total number of surveys= 1,200 + 1,200 = **2,400 respondents**

Total burden hours = 199.2

13. *Provide an estimate for the total annual cost burden to respondents or record keepers resulting from the collection of information. Do not include hour cost burden from above.*

There are no additional costs beyond that identified in Item 12 above.

14. *Provide estimate of annualized costs to the Federal Government. Also provide a description of the method used to estimate cost, including a 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.*

Based on actual experience, we estimate that it takes approximately 10 minutes (including unsuccessful call attempts and minimal administrative duties) to conduct the survey. Agency burden hours are calculated below:

2,400 surveys x .167 hours (10 minutes) per survey = **400 Agency burden hours**

The annual cost estimate for the Agency is based on the salary of a GS-11, Step 1, (\$30.30 per hour for the Buffalo locality), which is representative of an employee performing these surveys. The cost is calculated as follows:

400 hours x \$30.30 per hour = \$12,120 **Annual cost to the Government**

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

There is no change in the estimated number of respondents, public burden hours or public cost as compared to the previous submission. The Agency's cost has increased nominally since the last submission due entirely to a change in the hourly pay rate attributed to the Cost of Living Adjustment (COLA) over the last 3-year period.

16. *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.*

No publication is anticipated.

17. *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.*

SBA will display the OMB expiration date.

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

There are no exceptions to the certification statement.

B. Collections of Information Employing Statistical Methods.

1. *Describe (including a numerical estimate) the potential respondent universe and any sampling or other respondent selection method to be used. Indicate expected response rates for the collection as a whole. If the collection had been conducted previously, include the actual response rate achieved during the last collection.*

The target population for this survey is the disaster loan applicants and borrowers who contact the Disaster Assistance CSC directly for service, and for the FOC portion of the survey, those disaster victims that seek out SBA assistance at a local recovery center. While actual call volume fluctuates based on the number and severity of disasters in any given year, the DACSC has averaged over 650,000 calls annually between FY16 and FY18. Historically, the DACSC may provide service to greater than 10,000 callers on a weekly basis to which this survey would apply. In order to achieve a 90% level of confidence with a 10% margin of error, approximately 100 customers would need to be surveyed monthly at this benchmark level of activity. The survey will continue to be administered via the phone with a successful contact rate of approximately 45%. The estimated success rate is typical of what has been achieved over the past three years. Therefore, approximately 225 call attempts will be required to produce 100 successful surveys. This survey is intended to be on-going in nature; therefore, a similar statistically significant sample will be contacted every month to assess the effectiveness of the service by the DACSC. For surveys conducted on behalf of the Field Operations Centers (FOCs), an additional 100 customers will be surveyed monthly. Approximately 225 additional calls would need to be attempted to generate 100 successful surveys for the FOC portion of the survey.

2. *Describe the procedures for the collection of information.*

The Quality Assurance staff will be responsible for conducting the survey using a scripted format to ensure uniformity in explaining the purpose of the survey, as well as the questioning, recording of results, and survey closure. The list of survey subjects will be taken from a random sample of callers to the DACSC within the previous 72 hours. There are no plans to stratify the population of callers to the DACSC for purposes of this survey. The results of this survey are intended to be used internally to measure the effectiveness of service at the DACSC and identify any potential areas for improvement. A 90% confidence level with a 10% margin of error is deemed acceptable for this purpose. While this survey is designed to measure customer satisfaction on an on-going basis, safeguards have been implemented to ensure the same customer is not surveyed more than once during a twelve-month period by filtering all phone numbers called over the previous year from the list provided to the survey administrator.

3. *Describe methods to maximize response rates and to deal with issues of non-response.*

Survey participants will be contacted at their residence (or the contact number provided by the applicant) during reasonable hours being mindful of time zone differences. Care will be taken not to contact individuals at their place of employment for this survey. Business customers will be contacted at the number provided for their business during customary business hours (8:00 am – 5:00 pm). To ensure completion of the requisite 100 surveys per month, a random sample of customer contacts from the preceding 72 hours will be extracted from the DACSC phone database. To ensure completion of the surveys conducted on behalf of the Field Operations Centers (FOCs), a list of customers who visited field locations will be provided to the survey administrators by the FOCs.

4. *Describe any tests of procedures or methods to be undertaken.*

The employees conducting the survey are trained in the proper procedure for administering the questions and are required to rehearse the survey with training personnel prior to conducting actual surveys. This training will ensure a standardized survey process and improve the reliability of the data obtained by the Government employees conducting the survey.

5. *Provide the name and telephone number of individuals consulted on statistical aspects of the design and the name of the agency unit, contractor(s), grantee(s), or other person(s) who will actually collect and/or analyze the information for the agency.*

No individuals were consulted on the statistical design of this survey. Perry Pedini, Customer Service Supervisor, and his staff will be responsible for collecting and summarizing the survey data on behalf of Center Director, Colleen M. Hiam. The telephone number for the Customer Service Center is 716-843-4100.