

**SUPPORTING STATEMENT**  
**U.S. Department of Commerce**  
**Baldrige Performance Excellence Program**  
**Team Leader Consensus and Site Visit Information Collections**  
**OMB Control No. 0693-0079**

This is a request to extend and revise this Office of Management and Budget (OMB) approval of the is information collection.

**A. JUSTIFICATION**

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

Public Law 100-107 ([The Malcolm Baldrige National Quality Improvement Act of 1987](#)) that established the Baldrige Performance Excellence Program and its Malcolm Baldrige National Quality Award (MBNQA) stipulates that organizational applicants for the award (see OMB Control #0693-0006) receive “an intensive evaluation by a competent board of examiners which shall review the evidence submitted by the organization and, through a site visit, verify the accuracy of the quality improvements claimed.” Per the statute, “the Director of the National Bureau of Standards shall rely upon” these examiners, as they are in essence the workforce of the Baldrige Performance Excellence Program. Baldrige Program staff members *manage and improve* the award and all of its processes, but the examiners actually do the objective *review* of MBNQA applicants.

In order to manage an external workforce and continually improve the processes, Baldrige Program staff members need to assess the Baldrige examiners and team leaders to understand which examiner should be elevated to team leadership responsibility and which skills need to be taught at examiner training in the next year.

**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.**

Annually, Baldrige Program staff will conduct the Examiner Performance Assessment after the second phase (i.e., Consensus Review) of the MBNQA process is complete. The purpose of the information is to help staff collect data on the skills of the examiners, including master examiners, in order to best manage training and selection. Because the examiner selection process is so competitive, examiners need to demonstrate competencies such as understanding the Baldrige Criteria, team skills, and writing skills. The program also needs to collect peer-based information to understand an examiner’s skill level in order to make decisions on whether the examiner should be elevated to “senior examiner” and therefore team leader. This survey can also be used to gather examiners’ input on new processes designed to fill a particular need.

Through a Team Leader Performance Assessment, the Baldrige Program seeks evaluative data on how the team leader performed across a spectrum of needed knowledge, skills, and abilities. These blinded data are shared with the team leader for improvement purposes, and data are used for future assignments.

Information collected will not be disseminated to the public, except through broad statements regarding how processes have been improved based on feedback; personally identifiable information (PII) is never shared.

**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.**

These collections will be administered using Survey Monkey. Survey Monkey sends an email request to the respondent, requesting participation in the information collection. If the response rate is not close to 100%, Baldrige Program staff will need to call the nonresponders. If they cannot be reached, they may not be able to participate as Baldrige examiners as feedback is crucial to running the process.

**4. Describe efforts to identify duplication.**

No other survey in any other agency collects MBNQA-specific information.

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

Individuals serve as volunteer Baldrige examiners and have to apply for the role. A small proportion may come from small businesses, but they serve voluntarily and learn many new evaluation and business skills that they can bring home to improve their own organizations.

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

Without being able to survey its own workforce, the Baldrige Program would not be able to fulfill Public Law 100-107.

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

The collections will be conducted in a manner consistent with OMB guidelines.

**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 60-Day Federal Register Notice to solicit public comments was published on August 7, 2019 on pages 38600-38601, Vol. 84, No. 152. No comments were received.

A 30-Day Federal Register Notice to solicit public comments was published on October 17, 2019, on page 55562, Vol. 84, No. 201.

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

Upon completion of Baldrige examiner training, Baldrige examiners are given use of a Baldrige examiner logo that may be put on résumés or other personal documents, as well as a paper certificate thanking them for their service. During an annual Examiner Recognition Ceremony at the Baldrige Quest for Excellence Conference®, examiners are recognized for their services, and if a sponsor can be found, a reception is offered in their honor (no federal funds are spent on this); for example, in April 2019, AARP sponsored the examiner reception of h'oeuvres d'oeuvres. No other payments or gifts are given to these volunteers, many of whom feel it is patriotic to serve.

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

The Baldrige Program's Code of Conduct for which all examiners sign makes it clear that the integrity of the award process rests on keeping safe and secure all confidential and proprietary information. A copy of that Code of Conduct has been uploaded into ROCIS. Evaluative data will be stored in the secure Baldrige examiner database. The "Examiner Performance Assessment" collection triggers Privacy Act. Appropriate Privacy Act Statement is provided on the collection instrument and details appropriate SORNs.

**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 data will be collected.

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

Examiner Performance Assessment will involve an estimated 40 Respondents @ 20 minutes per response (annually) = 13.5 hours.

Team Leader Performance Assessment will involve an estimated 300 Respondents @ 5 minutes per response (annually) = 25 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).**

There are no costs to the respondents.

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

NIST estimates that approximately 40 hours of time would be involved for the Program Analyst managing the efforts on this information collection. That estimated cost is \$1,860.00.

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

The team leader performance assessment has been simplified with shorter questions and required answers. The time to take the examiner performance assessment has been increased to allow team leaders to research their notes and refresh their memories about their team members. The overall number of respondents has been reduced from 480 to 340.

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

The results from these data collection activities are not intended for general publication.

**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.**

All written and electronic material will display the OMB Control # and expiration date if this OMB approval for the information collection. All written and electronic collection instrument will display the following notification:

For the Examiner Performance Assessment Information Collection:

OMB Control #0693-0079  
Expiration Date: 10/31/2019

This collection of information contains the Paperwork Reduction Act (PRA) requirements approved by the Office of Management and Budget (OMB). Notwithstanding any other provisions of the 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 displays a currently valid OMB control number. Public reporting burden for this collection is estimated to be 20 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. Send comments regarding this burden estimate or any aspect of this collection, including suggestions for reducing the

burden, to the National Institute of Standards and Technology, Attention: Dawn Bailey, [dawn.bailey@nist.gov](mailto:dawn.bailey@nist.gov).

For the Team Leader Performance Assessment Information Collection:

OMB Control #0693-0079  
Expiration Date: 10/31/2019

This collection of information contains the Paperwork Reduction Act (PRA) requirements approved by the Office of Management and Budget (OMB). Notwithstanding any other provisions of the 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 displays a currently valid OMB control number. Public reporting burden for this collection is estimated to be 5 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. Send comments regarding this burden estimate or any aspect of this collection, including suggestions for reducing the burden, to the National Institute of Standards and Technology, Attention: Dawn Bailey, [dawn.bailey@nist.gov](mailto:dawn.bailey@nist.gov).

**18. Explain each exception to the certification statement.**

NIST does not require any exceptions.