

## **Request for Approval under the “Generic Clearance for the Collection of Routine Customer Feedback” (OMB Control Number: 3133-0188)**

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**TITLE OF INFORMATION COLLECTION:** Post Examination Survey Pilot

**PURPOSE:** This information collection will provide the NCUA with information needed to evaluate the effectiveness of its examination processes, overall supervision, and communication with supervised federal credit unions. The NCUA’s Ombudsman, within the Executive Director’s Office, will administer the collection of survey responses to assure credit unions of the NCUA’s commitment to maintain separation of the survey responses from NCUA staff conducting examination work.

This pilot survey implementation will also allow NCUA to evaluate and determine steps for a permanent post-exam survey in the future. During the initial pilot phase, NCUA will determine if questions should be added, changed or expanded to further inform the agency on steps for a permanent post-exam survey. If it is determined to make any changes to the questions, NCUA will submit a new clearance application with updated questions.

**PROCESS:** During the pilot period, a post examination survey will be sent to Federal Credit Unions (FCUs) at the conclusion of their regular examination cycle. NCUA will administer one of three different sets of survey questions, consisting of six “yes” or “no” questions on each survey and include one common narrative question across all three surveys. The three surveys will be rotated as evenly as possible amongst the completed examinations on a flow basis. Within 5 business days of completion of an exam, the Regional Office will notify the Ombudsman and the Ombudsman will send an email to the FCU containing a link to the survey (survey monkey).

**DESCRIPTION OF RESPONDENTS:** Federal Credit Unions that have completed an examination during the pilot period.

**TYPE OF COLLECTION:** (Check one)

- |   |  |
|---|--|
| <input type="checkbox"/> Customer Comment Card/Complaint Form         | <input checked="" type="checkbox"/> Customer Satisfaction Survey |
| <input type="checkbox"/> Usability Testing (e.g., Website or Software | <input type="checkbox"/> Small Discussion Group                  |
| <input type="checkbox"/> Focus Group                                  | <input type="checkbox"/> Other: _____                            |

**CERTIFICATION:**

I certify the following to be true:

1. The collection is voluntary.
2. The collection is low-burden for respondents and low-cost for the Federal Government.
3. The collection is non-controversial and does not raise issues of concern to other federal agencies.
4. The results are not intended to be disseminated to the public.

5. Information gathered will not be used for the purpose of substantially informing influential policy decisions.
6. The collection is targeted to the solicitation of opinions from respondents who have experience with the program or may have experience with the program in the future.

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 NCUA PRA Clearance Officer

Date: July 26, 2021

Program Contact: Robert Parrish, Office of Business Innovation

To assist review, please provide answers to the following question:

**Personally Identifiable Information:**

1. Is personally identifiable information (PII) collected? [ ] Yes [x] No
2. If Yes, will any information that is collected be included in records that are subject to the Privacy Act of 1974? [ ] Yes [ ] No
3. If Yes, has an up-to-date System of Records Notice (SORN) been published? [ ] Yes [ ] No

**Gifts or Payments:**

Is an incentive (e.g., money or reimbursement of expenses, token of appreciation) provided to participants? [ ] Yes [x] No

**BURDEN HOURS:** Examinations are conducted on a flexible cycle and is estimated to encompass 1,150 FCUs during the pilot period.

Category of Respondent	No. of Respondents	Participation Time	Burden
Federal Credit Unions	1,150	10 minutes (0.1667)	191.67 hours
<b>Totals</b>			<b>191.67 hours</b>

**FEDERAL COST:** The estimated annual cost to the Federal government is \$5,000

**If you are conducting a focus group, survey, or plan to employ statistical methods, please provide answers to the following questions:**

**The selection of your targeted respondents:** Do you have a customer list or something similar that defines the universe of potential respondents and do you have a sampling plan for selecting from this universe?

[x] Yes [ ] No

If the answer is yes, please provide a description of both below (or attach the sampling plan)? If the answer is no, please provide a description of how you plan to identify your potential group of respondents and how you will select them?

The pilot survey will be sent to all FCUs examined during the pilot period at the conclusion of their regular examination. Examinations are conducted on a flexible cycle and is estimated to encompass 1,150 FCUs during the pilot period.

**Administration of the Instrument**

1. How will you collect the information? (Check all that apply)

Web-based or other forms of Social Media

Telephone

In-person

Mail

Other, Explain

2. Will interviewers or facilitators be used?  Yes  No