

SUPPORTING STATEMENT

FOR PAPERWORK REDUCTION ACT SUBMISSION

OMB Number: 1855-NEW

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 hard copy of the appropriate section of each statute and regulation mandating or authorizing the collection of information, or **you may provide a valid URL link** or paste the applicable section. Please limit pasted text to no longer than 3 pages. Specify the review type of the collection (new, revision, extension, reinstatement with change, reinstatement without change). If revised, briefly specify the changes. If a rulemaking is involved, make note of the sections or changed sections, if applicable.

The Government Performance and Results Act (GPRA) require all federally funded agencies to develop and implement an accountability system based on performance measurement. This regulation applies to grantees receiving funds from the Dept. of ED's Office of Innovation and Improvement Arts in Education - Model Development and Dissemination (AEMDD), Professional Development for Arts Educators (PDAE), and Arts in Education National Program (AENP) programs. Each grantee is required to report on performance and progress towards GPRA measures as a condition of the grant. Data for GPRA performance measures are collected through the Annual Performance Report (APR) completed by grantees. The APR also collects budget information and data on project-specific performance measures.

The forms being submitted for OMB review are APR templates that expand on the ED 524-B form to gather additional data on performance from Arts in Education grantees in a streamlined manner. Performance data are used to help make decisions about continued funding for grantees and to show overall program progress by aggregating GPRA data across grantees. GPRA data may be also be used by Congress to determine future program funding.

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.ca

The information collected through the APR templates includes GPRA performance measure data, budget information, and data on project-specific performance measures. Performance data are used by the Department of Education to help make decisions about continued funding for grantees and to show overall program process by aggregating GPRA data across grantees. GPRA data may also be used by Congress to determine future program funding.

3. Describe whether, and to what extent, the collection of information involves the use of automated, electronic, mechanical, or other technological collection techniques or forms of information technology, e.g. permitting electronic submission of responses, and the

basis for the decision of adopting this means of collection. Also describe any consideration given to using technology to reduce burden.

The APR templates were developed as fillable form Word documents. The forms include fillable tables and open-ended questions to allow grantees to submit data as required by the Department of Education in an efficient and organized manner. APR templates are provided to grantees as electronic documents, and completed versions are submitted back to the Department of Education electronically. This method of submission allows grantee-reported data to be immediately available to the Department of Education for tracking 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 Question 2 above.

These APR templates are specifically tailored for reporting requirements of Arts in Education grantees. Specifically, it requires participants to report on the quality of their partnerships, resources, evaluation, and sustainability and dissemination efforts. It also clarifies how to report data needed for calculating GPRA. The Arts in Education office has attempted to encourage grantees to submit this information through the standard ED524B template; however grantees are not reporting data in a way this useful for making continuing funding decisions, program decisions, or technical assistance decisions. Since the APR templates are expanded versions of the ED 524B form, grantees are asked to complete these APR forms instead of the ED 524B to avoid duplication. The APR templates are more appropriate for this group of responders as the information collection is more closely targeted to program requirements than the ED 524B form.

5. If the collection of information impacts small businesses or other small entities, describe any methods used to minimize burden. A small entity may be (1) a small business which is deemed to be one that is independently owned and operated and that is not dominant in its field of operation; (2) a small organization that is any not-for-profit enterprise that is independently owned and operated and is not dominant in its field; or (3) a small government jurisdiction, which is a government of a city, county, town, township, school district, or special district with a population of less than 50,000.

Several of the grantees responding fit the definition of small entities (i.e., small not-for-profit organizations or small government jurisdictions); AEMDD State, Local and Tribal respondents ED estimates four small entity respondents and the Private Sector for-profits and non-profit as ten small entity respondents.

Any grantee that is in need of support while completing the APR forms is encouraged to contact their ED program officer. When appropriate, the program officer may pass the grantee's request for support on to the technical assistance team, which is standing by to support grantees with this information collection. All grantees have been reminded of these resources prior to and during the APR completion period.

6. Describe the consequences 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.

The collection must be conducted, as the information being collected is a requirement for the grant program. Without this information from grantees, the Department of Education would be unable to report on overall program progress through GPRA and budget data.

7. Explain any special circumstances that would cause an information collection to be conducted in a manner:
 - requiring respondents to report information to the agency more often than quarterly;
 - requiring respondents to prepare a written response to a collection of information in fewer than 30 days after receipt of it;
 - requiring respondents to submit more than an original and two copies of any document;
 - requiring respondents to retain records, other than health, medical, government contract, grant-in-aid, or tax records for more than three years;
 - in connection with a statistical survey, that is not designed to produce valid and reliable results than can be generalized to the universe of study;
 - requiring the use of a statistical data classification that has not been reviewed and approved by OMB;
 - that includes a pledge of confidentiality that is not supported by authority established in statute or regulation, that is not supported by disclosure and data security policies that are consistent with the pledge, or that unnecessarily impedes sharing of data with other agencies for compatible confidential use; or
 - requiring respondents to submit proprietary trade secrets, or other confidential information unless the agency can demonstrate that it has instituted procedures to protect the information's confidentiality to the extent permitted by law.

Not Applicable. None of these special circumstances apply to this information collection.

8. As applicable, state that the Department has published the 60 and 30 Federal Register notices as required by 5 CFR 1320.8(d), soliciting comments on the information collection prior to submission to OMB. Summarize public comments received in response to that notice and describe actions taken by the agency in response to these comments. Specifically address comments received on cost and hour burden.

Describe efforts to consult with persons outside the agency to obtain their views on the availability of data, frequency of collection, the clarity of instruction and record keeping, disclosure, or reporting format (if any), and on the data elements to be recorded, disclosed, or reported.

Consultation with representatives of those from whom information is to be obtained or those who must compile records should occur at least once every 3 years – even if the

collection of information activity is the same as in prior periods. There may be circumstances that may preclude consultation in a specific situation. These circumstances should be explained.

A 60-and 30-day Federal Register Notice was published and no public comments were received during the 60-day comment period.

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

Not Applicable: There are no payments or gifts are being provided to respondents.

10. Describe any assurance of confidentiality provided to respondents and the basis for the assurance in statute, regulation, or agency policy. If personally identifiable information (PII) is being collected, a Privacy Act statement should be included on the instrument. Please provide a citation for the Systems of Record Notice and the date a Privacy Impact Assessment was completed as indicated on the ICRAS' Part 2 IC form. A confidentiality statement with a legal citation that authorizes the pledge of confidentiality should be provided. Requests for this information are in accordance with the following ED and OMB policies: Privacy Act of 1974, OMB Circular A-108 – Privacy Act Implementation – Guidelines and Responsibilities, OMB Circular A-130 Appendix I – Federal Agency Responsibilities for Maintaining Records About Individuals, OMB M-03-22 – OMB Guidance for Implementing the Privacy Provisions of the E-Government Act of 2002, OMB M-06-15 – Safeguarding Personally Identifiable Information, OM:6-104 – Privacy Act of 1974 (Collection, Use and Protection of Personally Identifiable Information). If the collection is subject to the Privacy Act, the Privacy Act statement is deemed sufficient with respect to confidentiality. If there is no expectation of confidentiality, simply state that the Department makes no pledge about the confidentiality of the data.

There are no assurances of confidentiality with no Personally Identifiable Information being collected.

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

There are no sensitive questions are being asked.

12. Provide estimates of the hour burden of the collection of information. The statement should:

- Indicate the number of respondents by affected public type (federal government, individuals or households, private sector – businesses or other for-profit, private sector – not-for-profit institutions, farms, state, local or tribal governments),

frequency of response, annual hour burden, and an explanation of how the burden was estimated, including identification of burden type: recordkeeping, reporting or third party disclosure. All narrative should be included in Question 12. Unless directed to do so, agencies should not conduct special surveys to obtain information on which to base hour burden estimates. Consultation with a sample (fewer than 10) of potential respondents is desirable. If the hour burden on respondents is expected to vary widely because of differences in activity, size, or complexity, show the range of estimated hour burden, and explain the reasons for the variance. Generally, estimates should not include burden hours for customary and usual business practices.

- If this request for approval covers more than one form, provide separate hour burden estimates for each form. (The table should at minimum include Respondent types, Number of Respondents and Responses, Hours/Response, and Total Hours)
- Provide estimates of annualized cost to respondents of the hour burdens for collections of information, identifying and using appropriate wage rate categories. The cost of contracting out or paying outside parties for information collection activities should not be included here. Instead, this cost should be included in Question 14.

This information collection will apply to two types of respondents: private sector (for-profit and not-for-profit institutions) and state or local governments (e.g., city boards of education, independent school districts) across three grant programs. Overall, there are 12 private sector respondents, and 37 state or local government respondents. See the table below for the breakdown of respondents by grant program type. Each entity will submit a response to the information collection twice per year, with an estimated burden of 40 hours per each response. Thus, each respondent will have 80 hours annual burden. This estimate was calculated by considering the burden hours estimated for the ED 524B form. The ED 524B form was estimated to require approximately 22 hours per respondent. This ICR collects additional information beyond that which is required by the ED 524B, specifically for Arts in Education grantees. The estimate of 40 hours per grantee response was reached after consultation with a few grantees from previous cohorts. This burden is expected to consist of recordkeeping practices and reporting activities, in order to provide the information requested in the APR template. Given the total number of grantee responses (49), burden time per response (40 hours), and number of responses per year (2 per grantee), the total estimated annual burden is 3,920 hours.

This request for approval covers three separate APR template forms, one for each grant program: AEMDD, PDAE, and AENP. Some components of the three forms are identical, and other sections are different. Specifically, each grant program has different GPRA requirements, thus the GPRA reporting sections on the three forms are not the same. However, the burden hours are expected to be the same regardless of which form the respondent is completing.

Type of Form	Respondent types/Affected Public	Number of respondents and responses	Hours/Response	Total hours
AEMDD APR form	AEMDD grantees: Private sector	11 grantees, 2 times per year each	40	880
AEMDD APR form	AEMDD grantees: Local government	15 grantees, 2 times per year each	40	1,200

PDAE APR form	PDAE grantees: Local government	22 grantees, 2 times per year each	40	1,760
AENP APR form	AENP: Private sector	1 grantee, 2 times per year	40	80
TOTAL HOURS				3,920

As described in the table above, the total estimated annual burden is 3,920 hours. The APR template will be completed in part by grantee business office staff, and the remainder of the form will be completed by a Project Coordinator/Manager and/or the Project Director, depending on assigned grantee key personnel. Salary rates for these individuals vary across grantees, as some grantees are affiliated with local government, whereas others are within the private sector, all located throughout the US. Thus, an estimate of the hourly rate of key personnel responding to the information collection request is \$30 - \$40. The estimate of annualized cost is $3,920 * (30) = \$117,600$; $3,920 * (40) = \$156,000$ (a range of \$117,600 – \$156,000).¹

13. Provide an estimate of the total annual cost burden to respondents or record keepers resulting from the collection of information. (Do not include the cost of any hour burden shown in Questions 12 and 14.)

- The cost estimate should be split into two components: (a) a total capital and start-up cost component (annualized over its expected useful life); and (b) a total operation and maintenance and purchase of services component. The estimates should take into account costs associated with generating, maintaining, and disclosing or providing the information. Include descriptions of methods used to estimate major cost factors including system and technology acquisition, expected useful life of capital equipment, the discount rate(s), and the time period over which costs will be incurred. Capital and start-up costs include, among other items, preparations for collecting information such as purchasing computers and software; monitoring, sampling, drilling and testing equipment; and acquiring and maintaining record storage facilities.
- If cost estimates are expected to vary widely, agencies should present ranges of cost burdens and explain the reasons for the variance. The cost of contracting out information collection services should be a part of this cost burden estimate. In developing cost burden estimates, agencies may consult with a sample of respondents (fewer than 10), utilize the 60-day pre-OMB submission public comment process and use existing economic or regulatory impact analysis associated with the rulemaking containing the information collection, as appropriate.

¹ Note that a range cannot be provided in the Data Part I and Part II forms. The midpoint of this range was included (\$136,800 in Part I and \$35 as the hourly rate multiplier in the cost burden table in Part II).

- Generally, estimates should not include purchases of equipment or services, or portions thereof, made: (1) prior to October 1, 1995, (2) to achieve regulatory compliance with requirements not associated with the information collection, (3) for reasons other than to provide information or keep records for the government or (4) as part of customary and usual business or private practices. Also, these estimates should not include the hourly costs (i.e., the monetization of the hours) captured above in Question 12.

There are no costs other than those included in #12 above.

14. Provide estimates of annualized cost to the Federal government. Also, provide a description of the method used to estimate cost, which should include 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. Agencies also may aggregate cost estimates from Questions 12, 13, and 14 in a single table.

The estimate of annual costs to the federal government includes quantification of staff hours needed to receive and review data submitted through the information collection. The cost to the Federal Government is the Department of Education Program Officer's role, with a wage rate of \$35 per hour, multiplied by the time it takes to review a completed grantee template (2 hours) or \$70, per grantee. Total cost to government is 49 grantees x \$70 = \$3,430. Other operational expenses, such as equipment, overhead, and support staff expenses, would have occurred without this collection of information requirements and are considered normal operating expenses.

15. Explain the reasons for any program changes or adjustments. Generally, adjustments in burden result from re-estimating burden and/or from economic phenomenon outside of an agency's control (e.g., correcting a burden estimate or an organic increase in the size of the reporting universe). Program changes result from a deliberate action that materially changes a collection of information and generally are result of new statute or an agency action (e.g., changing a form, revising regulations, redefining the respondent universe, etc.). Burden changes should be disaggregated by type of change (i.e., adjustment, program change due to new statute, and/or program change due to agency discretion), type of collection (new, revision, extension, reinstatement with change, reinstatement without change) and include totals for changes in burden hours, responses and costs (if applicable).

This is a new data collection and there is a program change increase of 3920 annual burden hours.

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.

The GPRA data obtained as part of this information collection will ultimately be aggregated and published to illustrate overall grant program progress.

17. 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.

Grantees are required to submit their completed APR templates in response to the information collection request a minimum of 30 days after the template is due. APR templates are due twice per year, in May/June when the grantee reports on budget and performance data from the beginning of that fiscal year, and again in November of the same calendar year to report on the entire previous fiscal year. This cycle is repeated during each year of grant funding.

18. If seeking approval to not display the expiration date for OMB approval of the information collection, explain the reasons that display would be inappropriate. Explain each exception to the certification statement identified in the Certification of Paperwork Reduction Act.

This approval is not being sought.