

## SUPPORTING STATEMENT A

### NAVAL ACADEMY CANDIDATE APPLICATION - 0703-0036

#### A. JUSTIFICATION

##### 1. Need for Information Collection

This information requirement is needed to determine the eligibility, competitive standing, and the scholastic and leadership potential of candidates for an appointment to the United States Naval Academy. Without the data collections, information on scholastic qualification would not be available. Prior academic performance has been found to be an excellent predictor of success, and without this information it would seriously impact the Naval Academy's ability to recruit qualified candidates. An analysis of the information collected is made by the Admissions Board in order to gauge the qualifications of individual candidates. All candidates are automatically considered for other naval preparatory programs. Legal authority for this collection is covered in [10 U.S.C. 5013](#), Secretary of the Navy; [10 U.S.C. 6954](#), Midshipmen ; [10 U.S.C. 6956](#), Midshipmen: Nomination and Selection to fill Vacancies; [10 U.S.C. 6957](#), Selection of Persons from Foreign Countries; [10 U.S.C. 6958](#), Midshipmen: Qualifications for [Admission](#); [10 U.S.C. 6962](#), Midshipmen: Discharge for Unsatisfactory Conduct or Inaptitude; 10 U.S.C. 6963, Midshipmen: Discharge for Deficiency; and [E.O. 9397](#), Social Security Number (SSN).

[10 U.S.C. 5013](#), Secretary of the Navy, prescribes the Secretary of the Navy has responsibility to recruit and train personnel for the Navy to which he has the authority to delegate authority.

[10 U.S.C. 6954](#), Midshipmen, prescribes the number of midshipmen allowed to attend the Academy.

[10 U.S.C. 6956](#), Midshipmen: Nomination and Selection to fill Vacancies, defines the nomination quotas from the Navy and Marine Corps, the President of the United States, and the Secretary of the Navy;

[10 U.S.C. 6957](#), Selection of Persons from Foreign Countries, defines the nomination process for foreign national midshipmen by the Secretary of the Navy and the Secretary of Defense including selection of countries, number, and reimbursement for instruction;

[10 U.S.C. 6958](#), Midshipmen: Qualifications for [Admission](#), prescribes examination requirements for candidates to include age, citizenship, physical, and mental requirements for admission;

[10 U.S.C. 6962](#), Midshipmen: Discharge for Unsatisfactory Conduct or Inaptitude, defines the conduct discharge process; and

[10 U.S.C. 6963](#), Midshipmen: Discharge for Deficiency, defines the deficiency discharge process.

##### 2. Use of the Information

Respondents are applicants for admission to the United States Naval Academy (USNA), school officials for those applicants, Chain of Command officials for active duty applicants, Blue and Gold Officers, and local law enforcement officials.

Respondents who receive and accept an offer of appointment to USNA attend the school for four years, graduating with Bachelor of Science degrees and commissions as ensigns in the Navy or second lieutenants in the Marine Corps. Graduates are obligated to serve at least five years in the Navy or Marine Corps. Other respondents such as school officials, chain of command officials, Blue and Gold Officers, and law enforcement officials respond to the information collection on behalf of a student applicant who is applying and needs recommendations or information validation as a part of the application process.

Mainly, prospective candidates often go to the [USNA website](#) and apply online if interested. The application for admissions to the Naval Academy consists of various sections listed below:

- USNA 1110/11 Candidate Activities Record Application (submitted by Candidate, validated by Guidance Counselor)
- USNA 1110/12 Candidate Personal Data Record (submitted by Candidate)
- USNA 1110/14 English/Math Teacher Recommendation Application (submitted by teacher)
- USNA 1110/15 Request for Academic Information (submitted by Guidance Counselor)
- USNA 1110/91 USNA Candidate Fitness Assessment (submitted by official who administers the Candidate Fitness Assessment for the Candidate)
- USNA 1110/92 Request for Information Application (submitted by the Candidate)
- USNA 1110/23 Candidate Interview (in person and submitted by Blue and Gold Officer)
- USNA 1110/19 USNA Preliminary Application (submitted by the Candidate and not filled out if candidate submitted the Summer Seminar Application)
- USNA 1110/93 USNA Summer Seminar Application (submitted by the Candidate)
- USNA 1110/96 USNA Military Recommendation Application (submitted by military chain of command for enlisted applicants and not accounted for in burden hours)
  - \* this is only listed because it is included in the screenshots and cannot be removed due to the placement in the system. It is not accounted for in burden hours.
- USNA 5500/1 Police Record Check (submitted by local law enforcement)

To begin the application, the applicant visits the USNA website and clicks “Apply Now.” This brings them to the Preliminary Application. The applicant enters the requested information and then submits the information when complete. There are two types of applications; Summer Seminar applicants and Naval Academy applicants. Summer Seminar applicants access the “Summer Programs” menu and click “Apply Now” to start the respective application. The Summer Seminar is for prospective applicants who are interested in learning about the Naval academy. It is a six day seminar during the summer. If they choose to apply to the Naval Academy, they do not have to fill out the Preliminary Application since it is identical to the Preliminary Application.

After submission, the applications are routed by the system to the Admissions Information System Database (AIS). Based on the information in the Preliminary Application and Summer Seminar Application, the applicant may be assigned a candidate number. Three types of letters are sent to applicants. One is an official candidate letter. The other one is a low score letter which notifies the applicant that their score is too low for acceptance into the Naval

Academy. The no score letter notifies the applicant that their test scores have not been received. A draft copy of the three letters are provided with this package for OMB's review.

To continue the application, the respondent visits the USNA website and clicks "Continue Application" and logs in with their candidate number and other login information. The candidate can update their contact information and access each section of the application. The candidate clicks "Submit Online" for each section to access the data entry page.

In the Personal Data Record and Candidate Activities Record sections, the candidate enters text, selects check boxes, and makes selections from dropdown menus. When all parts of the Personal Data Record are complete the candidate clicks "Submit" on the final page.

Candidates who are enlisted in the military will have the Military Recommendation Application submitted on their behalf by their Chain of Command. The Commanding Officer will be the final signature which is normally the rank of O5, Commander or Lieutenant Colonel.

Candidates submit the Police Record Check to their local police department to complete the candidate's background check. The law enforcement agency then sends the completed form to the USNA Office of Admissions which is kept for review by the Department of Nominations and Appointments.

In the Candidate Fitness Assessment, Candidate Activities Record, English/Math Teacher Recommendation, and Candidate Academic Information sections, the candidate enters the name and email address of the teachers, school officials, and coaches, who will provide information on behalf of the candidate. The people that the candidate selects are sent an email by the system with a link to the data entry pages. On the data entry pages, they enter text, select check boxes, and make selections from dropdown menus. The data is stored in the AIS database.

Candidates request high school transcripts and/or college transcripts which can only be sent via mail, those documents are kept on file for the candidate. Local Blue and Gold Officers are assigned to candidates and conduct an interview with them. They reach out via e-mail or phone to set up the interview with the candidate. The Blue and Gold Officer Interview outline is USNA 1110-23 but there is not a standard script for arranging or executing the interview. The "Behavioral Standards" portion of the form has drop-down menus with percentages available to rate the students; i.e. Top 5%, Top 10%, Top 25%, and Not Recommended. The Blue and Gold Officer must guide the dialogue along, set discussion items, and evaluate the behavioral standards of the Candidate. These criteria are established in the Candidate Interview which the Blue and Gold Officer fills out. The questions that Blue and Gold Officers are required to asked are included in this package for OMB's review.

Usually, the interview is conducted at a place most convenient for the candidate. Once the interview is over, the officers input the information into the Blue and Gold Information System (BGIS). This system will feed information into the main AIS system. The candidates never access the BGIS. Data is maintained on a secure server/database.

All the information collected under this OMB is used to determine the best candidates for appointment and retention at the Naval Academy. The agency disclosure notice, privacy act statement, and OMB placeholder and expiration date will be displayed on each section of the application on the AIS System. A mockup of what the website will look like is included in the PRA submission package. IT will update the website by December 2016 and updated screenshots will be sent to the DoD.

3. Use of Information Technology

The USNA Application is primarily available online. 83% of responses are collected electronically. Only official transcripts and the Police Record Checks are collected in hard copy form.

All necessary steps have been taken with the regards to the use of information technology.

4. Non-Duplication

Information requested is not available to the Naval Academy from another source.

5. Burden for Small Businesses

This collection of information does not impact small businesses.

6. Less Frequent Collection

In order to minimize the burden on the respondents, the Naval Academy has designed this information collection in a manner that enables the respondents to complete the application on-line. Use of this online application is the only accurate and specific method to determine an applicant's qualifications and collection. Applicants can only apply once a year, on an annual basis.

7. Paperwork Reduction Act Guidelines

There are no special circumstances for this collection. Collection is consistent with the guidelines in 5CFR 1320.5(d)(2).

8. Consultation and Public Comments

Part A: PUBLIC NOTICE

The 60-Day FRN was published in the Federal Register on October 9, 2015, with citation number 80 FR 61191. No comments were received. The 30-Day FRN was published in the Federal Register on October 31, 2016, with citation number 81 FR 75385.

Part B: CONSULTATION

Periodic discussions are held among Academy staff, and other service academies, and respondents regarding the data collected and no complaints have been received.

9. Gifts or Payment

No payment of gift will be provided to respondents.

10. Confidentiality

This collection requires a Privacy Act Statement (PAS). The PAS and OMB number will be posted on every entry site to the application and the Agency Disclosure Notice (ADN) will be posted at the bottom of each section of the application. Respondents must click a link in order to view the entire PAS in a pop-up window.

This collection is covered under SORN N01531-1, USNA Applicants, Candidates, & Midshipmen Records use the MIDS System. A draft copy of the SORN is included in this package for OMB's review.

This collection requires a Privacy Impact Assessment (PIA) for the information systems that stores the data collected. The PIA for the [Academic and Professionally Accredited Enterprise Education Enclave \(AEEE\) that encompasses the Candidate Information System \(CIS\), Admissions Information System \(AIS\), and Blue and Gold Information System \(BGIS\)](#) was approved on 26 May 2016.

Primary Program Records are Permanent and transferred to the United States Naval Academy Archives when no longer needed for current business operation.

Administrative records retain on board and destroyed when superseded, obsolete, or no longer needed for reference.

Midshipman records are retain on board and destroyed 2 years after verification of microfilm. Microfilm copies of records are permanent and transferred to the Naval Academy Archives after verification of microfilm.

Databases consisting of official transcripts, class grade files, admission files, and other similar files are permanent and copies are transferred to the Naval Academy archives three years after the class graduates.

#### 11. Sensitive Questions

The applicants have the option to enter race and ethnicity data. Race has options of American Indian/Alaska Native, Asian, Black or African American, Native Hawaiian or Other Pacific Islander, White, and Decline to Respond. For ethnicity, the only options that will be available are Hispanic or Latino, Not Hispanic of Latino. IT is updating this part of the website to comply with federal regulations and will be completed by December 2016. There are no questions about sexual behavior or attitudes. Any information is voluntarily submitted.

Social Security Numbers are collected for identification and tracking purposes in accordance with EO 9397. The Social Security Numbers that are provided by candidates on their applications are handled, stored, and disposed of in accordance with existing Department of Defense procedures for safeguarding information held for official use only. The Social Security Numbers are not reported or published. An SSN justification is included in this PRA package.

12. Respondent Burden, and its Labor Costs

a. <u>Estimation of Respondent Burden</u>					
	Number of Respondents	Number of Responses per Respondent	Number of Total Annual Responses	Response Time (Amount of time needed to complete the collection instrument)	Respondent Burden Hours (Total Annual Responses multiplied by Response Time) Please compute these into hours)
Collection Instrument # 1 (these are the same listed in the 60 day notice)  Candidate Activities Record  Candidate Personal Data Record  Request Academic Information  Request for Information Application  Preliminary Application or Summer Seminar Application  Candidate Interview	14,000	1	14,000	1 hr Candidate Activities Record  1 hr Personal Data Record  10 min Request for Academic Information  10 min Request for Information  15 min Preliminary App./Summer Seminar  2 hours for Candidate Interview  Total Response Time: 4hrs 35min	64,166 hrs
Collection Instrument #2  Candidate Activities Record (Validated by Guidance Counselor or School Official)	14,000	1	14,000	30 min Candidate Activities Record  30 min Request for Academic Information	14,000 hrs

a. Estimation of Respondent Burden

Request for Academic Information (Submitted by Guidance Counselor or School Official)				Total Response: 1 hour	
Collection Instrument #3 Candidate Fitness Assessment (Submitted by PE Teacher)	14,000	1	14,000	20 min	4,666 hrs
Collection Instrument #4 English/Math Teacher Recommendation (Submitted by English and Math Teacher)	28,000	1	28,000	20 min	9,333 hrs
Collection Instrument #5 Police Record Check (Request by Candidate, Submitted by Law Enforcement)	14,000	1	14,000	30 min	7,000 hrs
<b>Total</b>	<b>84,000</b>	<b>1</b>	<b>84,000</b>	<b>*1 hr and 21 min</b>	<b>99,165 hrs</b>

\* This figure is an average of the response times rather than a total. This better reflects the burden time imposed on an individual respondent, as the respondents are different for each instrument.

b. Labor Cost of Respondent Burden

	Number of Responses	Response Time per Response	Respondent Hourly Wage	Labor Burden per Response (Response Time multiplied by Respondent Hourly Wage)	Total Labor Burden (Number of Responses multiplied by Response Time multiplied by Respondent Hourly Wage)
Collection Instrument #1 Candidate	14,000	1 hr Candidate	\$9	\$41.24	\$577,360

<p>Activities Record</p> <p>Candidate Personal Data Record</p> <p>Request for Academic Information</p> <p>Request for Information Application</p> <p>Preliminary Application or Summer Seminar Application</p> <p>Candidate Interview</p>		<p>Activities Record</p> <p>1 hr Personal Data Record</p> <p>10 min Request for Academic information</p> <p>10 min Request for Information</p> <p>15 min Preliminary App./Summer Seminar</p> <p>2 hours for Candidate Interview</p> <p>Total Response Time: 4hrs 35min Total</p>			
<p>Collection Instrument #2</p> <p>Candidate Activities Record(Validated by Guidance Counselor or School Official)</p> <p>Request for Academic Information (Submitted by Guidance Counselor or School</p>	14,000	<p>30 min Candidate Activities Record</p> <p>30 min Request for Academic Information</p> <p>Total Response: 1 hour</p>	\$31	\$31	\$434,000

Official)					
Collection Instrument #3  Candidate Fitness Assessment (Submitted by PE Teacher)	14,000	20 min	\$31	\$10.33	\$144,620
Collection Instrument #4  English/Math Teacher Recommendation (Submitted by English and Math Teacher)	28,000	20 min	\$27.50	\$9.16	\$256,480
Collection Instrument #5  Police Record Check (Request by Candidate, Submitted by Law Enforcement)	14,000	30 min	\$29.45	\$14.72	\$206,080
Total	84,000	6 hrs 45 min	\$127.95	\$21.29*	\$1,618,540

\* The total labor burden per response (\$21.29) is an average rather than a total (which is \$106.45). Since each collection instrument is completed by different respondents, an average more accurately represents the typical burden per response for the entire collection.

Wage statistics for Collection Instrument # 1 are taken from the Bureau of Labor Statistics 2015, "Occupation code 35-2011: Cooks, Fast Food," as found at <http://www.bls.gov/oes/current/oes352011.htm>

Wage statistics for Collection Instrument # 2 and Collection Instrument # 3 are taken from the Bureau of Labor Statistics 2015, "Occupation code 11-9032 Education Administrators, Elementary and Secondary School," as found at [http://www.bls.gov/oes/current/oes\\_nat.htm](http://www.bls.gov/oes/current/oes_nat.htm)

Wage statistics for Collection Instrument # 4 are taken from the Bureau of Labor Statistics, “25-2031 Secondary School Teachers,” as found at <http://www.bls.gov/oes/current/oes252031.htm>

Wage statistics for Collection Instrument # 5 are taken from the Bureau of Labor Statistics 2015, “33-3051 Police and Sheriff’s Patrol Officers,” as found at <http://www.bls.gov/oes/current/oes333051.htm>

13. Respondent Costs Other than Burden Hour Costs

Costs other than burden hour costs that respondents are responsible for are transcript and police record check fees. Candidates have to send in high school transcripts, which vary per school but are estimated at \$3, and those that have college education will have to also send in college transcripts, which varies per school but is estimated at \$10. These averages were determined by the Admissions department calling various schools to determine cost value. After evaluating the applicants for the class of 2020, it is estimated that there are \$28,140 in transcript fees. Most police record requests require a notary and pay for postage. The US average of the maximum notary fee (set in each state) is \$4.25 and the cost of one stamp is \$0.47, which totals \$4.77 per candidate. With 14,000 Police records submitted the total cost is \$66,780.

14. Costs to the Federal Government

Labor Cost to the Federal Government			
	GS-9 Reviewing Candidate Application	Interview performed by Blue and Gold Officers	Total
Number of Responses	14,000	14,000	28,000
Processing Time Per Response (in hours)	2 hours	4 hours (interview time and evaluation)	6 hours
Hourly Wage of Worker(s) Processing Responses	*\$20.32 (GS-9 pay,	**\$28.62	\$48.94
Cost to Process Each Response (Processing Time Per Response multiplied by Hourly Wage of Worker(s) Processing Responses)	\$40.64	\$114.48	\$155.12
Total Cost to Process Responses (Cost to Process Each Response multiplied by Number of Responses)	\$568,960	\$1,602,720	\$2,171,680

\* Wage statistic taken from GS-9 Pay, as found at <https://www.federalpay.org/gs/2015/GS-9>

\*\* Wage statistic taken from 0-4 Pay, as found at <https://www.military-ranks.org/navy-officer-pay>

Operational and Maintenance Costs						
Equipment	Printing	Postage	Software Purchases	Licensing Costs	Other	Total
\$17,000	\$1000	\$170	\$900	0	0	\$19,070

The operational and maintenance costs denotes the equipment, materials and software necessary to run and maintain the printer and letter packaging system used for candidate correspondence. There is a printer attached to a mailing machine. Materials associated with this include paper, ink, sealant and envelopes; and the software used to interface with the mailing machine.

Total Cost to the Federal Government		
Operational and Maintenance Costs	Labor Cost to the Federal Government	Total Cost (O&M Costs + Labor Cost)
\$19,070.00	\$2,171,680.00	\$2,190,750.00

15. Reasons for Change in Burden

This is a reinstatement, with change, of a previously approved collection for which approval has expired. Change in burden from the last approval of this collection and the publishing of the 60-Day FRN is due to an increase in respondents, as well as a better evaluation of the respondents and their time.

16. Publication of Results

The results of this information collection will not be published.

17. Non-Display of OMB Expiration Date

Approval is not sought for avoiding display of the expiration date for OMB approval.

18. Exceptions to “Certification for Paperwork Reduction Submissions”

There are no requests for exceptions to the certification statement.