

**SUPPORTING STATEMENT**  
**FOR PAPERWORK REDUCTION ACT SUBMISSION**

OMB Number: 1810-0580

**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<sup>1</sup>. 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 Office of Indian Education (OIE) of the Department of Education (ED) requests a revision of this previously approved information collection for the Indian Education Discretionary Grant Application authorized under Title VI, Part A, of the Elementary and Secondary Education Act, as amended. The Professional Development (PD) (CFDA 84.299B) program is a competitive discretionary grant program. The grant applications submitted for this program are evaluated on the basis of how well an applicant addresses the selection criteria, and are used to determine applicant eligibility and amount of award for projects selected for funding.

The selection criteria used for the Professional Development Grant program are included in 34 CFR 263.6 ([https://www.ecfr.gov/cgi-bin/text-idx?SID=8446191975fcba6fd65fddeedecd2584&mc=true&node=pt34.1.263&rgn=div5#se34.1.263\\_16](https://www.ecfr.gov/cgi-bin/text-idx?SID=8446191975fcba6fd65fddeedecd2584&mc=true&node=pt34.1.263&rgn=div5#se34.1.263_16)). Sections 263.7, 263.8, 263.9, and 263.10 also have information collection requirements addressed in this clearance request relating to statutory or regulatory requirements (<https://www.ecfr.gov/cgi-bin/text-idx?SID=8446191975fcba6fd65fddeedecd2584&mc=true&node=pt34.1.263&rgn=div5#sp34.1.263.a>). Finally, the Elementary and Secondary Education Act (ESEA), as amended under the Every Student Succeeds Act (ESSA), also has information collection requirements addressed in this clearance request relating to statutory requirements (see [Every Student Succeeds Act, Title VI, Section 6122](#), pp 316-318 of legislation posted on ed.gov).

Although statutory changes were made under ESEA, as amended, none of these changes affect the burden estimates previously approved under clearance number 1810-0580.

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<sup>1</sup> Please limit pasted text to no longer than 3 paragraphs.

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.

The Department will use the information collected through the application package to enable external reviewers to evaluate applications submitted for the PD grant competition. Eligible applicants submit the information to describe the project for which funding is requested. The information the applicant provides addresses the program selection criteria, in 34 CFR 263.6 and as required by statute under the ESEA amended section 6122. The application is evaluated through a peer review process and an application's score is used to determine its ranking and selection for funding. Projects may be funded for up to five years.

The information collected reflects the specific components of the selection criteria and program services that are to be provided.

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.

Generally, this grant program requires electronic submission of applications through the grants.gov system, which reduced the burden of the application process. Applicants that do not have adequate Internet access may submit the application in hard copy format if an exception is requested in writing at least two weeks prior to the closing date.

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.

No duplication of effort exists. This information collection requests information specifically for the PD program authorized under section 6122 of the ESEA. Applicants will be required to provide information that addresses the statutory purpose and requirements, as well as the selection criteria. Although there are other Indian education programs in the Department, they are authorized under different legislation and their purposes and requirements differ from those under this program.

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.

This information collection requirement does not place a significant burden on small entities.

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.

If this information is not collected, the Department will be unable to make grant awards, as the Department will have insufficient information to determine whether applicants fulfill the requirements of the grant program. Applications provide information describing the project for which funding is requested. The information collected is necessary to evaluate the applications and select projects for funding each time new grant awards are made for this program.

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;

No more than one grant competition is held annually. Respondents submit the information collection for each new grant they desire.

- requiring respondents to prepare a written response to a collection of information in fewer than 30 days after receipt of it;

The time period from the date of availability of the information collection, as published in the Federal Register, to the date by which respondents must respond (i.e., the closing date which is also published in the Federal Register) is not less than 30 days.

- requiring respondents to submit more than an original and two copies of any document;

Respondents are required to submit applications electronically (grants.gov) and annual performance reports (e-reports). Respondents that meet the exception to

submitting an application via the grants.gov system are not be required 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;

Respondents will not be required to retain 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;

The information collection is not connected with a statistical survey.

- requiring the use of a statistical data classification that has not been reviewed and approved by OMB;

The information collection is not connected with a statistical survey or statistical data classification.

- 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

The information collection does not request data that is confidential.

- 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.

The information collection does not request data that is of a proprietary nature or confidential.

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.

This is a discretionary grant application and the Department will publish a 30 day Federal Register Notice inviting comment on the application package.

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

No payments or gifts to respondents will be provided.

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 IC Data Form. A confidentiality statement with a legal citation that authorizes the pledge of confidentiality should be provided.<sup>2</sup> 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.

Confidential information is not requested. However, some applicants may include information within an application that is personally identifiable. Such information, which may include resumes of staff with home addresses, home telephone numbers, or similar personal information, is not released under the exemptions of the Freedom of Information Act.

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,

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<sup>2</sup> 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)

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.

Information of a sensitive nature is not requested.

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 item 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.

The estimated total number of applications anticipated is based on past experience with these programs. It is estimated that a total of 50 applications will be received annually for the grant competition. The estimated burden includes development and typing for all applicants, and recordkeeping and maintenance of evaluation information by actual grantees.

Respondent Type	Number of Responses	Estimated Burden Hours per Respondent	Total Hours
New Applicants	50	30	1,500 hours
		<b>Total:</b>	1,500 hours

- If this request for approval covers more than one form, provide separate hour burden estimates for each form and aggregate the hour burdens in the ROCIS IC Burden Analysis Table. (The table should at minimum include Respondent types, IC activity, Respondent and Responses, Hours/Response, and Total Hours)

The application can be addressed by one information collection. The information to be provided for the program is in the program selection criteria that must be addressed by the applicant based on the type of services to be provided.

- 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 Item 14.

The cost per applicant for compilation of the information and completion of the application is estimated to take 30 hours. Estimates are based on the basic hourly rate of a GS 13/1 for development of the application and the basic hourly salary of a GS 4/1 for clerical support.

Annual Cost to Respondents for the hour burden associated with the collection of information:

Estimated GS Level	Number of Hours	Pay/Hour	Cost/Application	Total Cost for all 50 applications
13/1	27	\$36.24	\$978.48	\$48,924
4/1	3	\$12.40	\$37.20	\$1,860
			\$1,015.68	\$50,784

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 Items 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.

- 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 Item 12

Total Annualized Capital/Startup Cost :

Total Annual Costs (O&M) :

Total Annualized Costs Requested : \_\_\_\_\_

There is no additional annual cost burden to respondents and record keepers from this collection of information.

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 Items 12, 13, and 14 in a single table.

We estimate it will take 4 staff at the GS 13 level 40 hours each to review applications for eligibility. This will result in a total cost to the federal government of 4 Staff at approximately \$40/hour X 40 hours each staff person must work = \$6,400. In addition, the Department has contractor support to conduct the peer review process. Contractor support costs 1% of the discretionary budget. For FY 2016 (the last fiscal year in which a competition was run) panel review costs totaled \$64,196. Therefore, the annualized cost to the Federal Government is estimated at \$70,596.

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).

The revisions in this information clearance reflect changes to the selection criteria that resulted from statutory language changes made under the reauthorization of ESEA in December 2015. These changes resulted in deletions and additions, as well as revisions to the selection criteria for clarity and consistency with the statute. No additional burden is added as a result of these changes.

The estimated slight cost increase to the applicant total cost burden (\$50,784, previously \$49,088) reflects annual cost of living increase associated with each hourly salary rate used to estimate these figures. The cost reduction to the Department's projected total cost burden (\$64,196, previously \$151,174) reflects actual contracted peer review costs in FY 2016, as opposed to projected costs stated in the previous information clearance request.

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. 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.

Results of the individual information collected will not be published.

17. If seeking approval to not display the expiration date for OMB approval of the information collection, explain the reasons that display would be inappropriate.

The Department is not seeking such approval for this information collection.

18. Explain each exception to the certification statement identified in the Certification of Paperwork Reduction Act.

There are no exceptions to the certifications.