

Application for Grants under the Upward Bound Program

Supporting Statement for Requests for Approval under the Paperwork Reduction Act and 5 CFR 1320.5 (a)(1)(iv)

Supporting Statement

A. Justification

1. The U.S. Department of Education (Department) is requesting reinstatement, with change, of the previously approved application for new grants under the Upward Bound (UB) Program. The previous package expired on July 31, 2005 (OMB No. 1840-0550). The application is used to award new grants and collect data under the UB Program. The UB Program provides grants to institutions of higher education, public and private agencies and organizations, combinations of institutions of higher education, and in exceptional cases, secondary schools. These grants enable grantees to establish and operate projects designed to identify qualified youths with potential for education at the postsecondary level. The projects encourage those youths to complete secondary school and undertake a program of postsecondary education by designing projects to generate skills and motivation necessary for success in education beyond secondary school. The Upward Bound Program also has Math and Science Center Projects that provide an intensive six-week summer math-science curriculum program.

The UB Program grant competition is authorized by Title IV, Part A, Section 402A and 402C of the Higher Education Act of 1965, as amended; and governed by the program regulations in 34 CFR Part 645; and the Education Department General Administrative Regulations (EDGAR), Parts 74, 75, 77, 79, 80, 81, 82, 84, 85, 86, 97, 98 and 99.

2. The application package requests programmatic and budgetary information needed to evaluate new applications, and make funding decisions, based on the authorizing statute, program regulations, and EDGAR. Failure to collect this information would prevent the awarding of appropriated funds; essential information would not be available for evaluating the applications in accordance with statute and regulations.
3. For the first time in fiscal year 2007, as a part of the Department's goal to increase the electronic submission of applications for grants, applications for grants under the UB Program will be submitted electronically via the Grants.gov portal. We estimate that the Department will receive 95 percent of the applications electronically.

The application package has been prepared in a format for easier and faster posting of information on the Web. Prospective applicants will be able to

view and download the application through the FIND function on Grants.gov at www.grants.gov.

- 4. Since the information submitted in the application is unique to each respondent, no duplication exists as far as can be determined. There is no other collection instrument available to collect the information that is requested.
- 5. The form requests the minimal amount of information needed to ensure that the applicant is eligible to address the purpose of the program. Eligible applicants are institutions of higher education, public and private agencies and organizations, combinations of institutions and agencies, and in exceptional cases, secondary schools.
- 6. The Department uses this information to make new multi-year grant awards only. Since the Department now makes four and five-year grant awards, competitions for new grants are held once every four years. Successful applicants are only required to respond to this information collection once. If this information is not collected or is collected less frequently, the Department would not be able to evaluate applications and make funding decisions based on the provisions in the authorizing statute and the program regulations.
- 7. No information will be collected in the manner covered under any of the special circumstances outlined.
- 8. The Department's Regulatory Information Management Group will solicit public comment on this information collection in the Federal Register, pursuant to 5 CFR 1320.8 (d), after submitting the collection to OMB. A summary of any comments received will be shared with OMB. The Department also will solicit informal views and comments from persons outside the Department during the yearly national and regional educational conferences.
- 9. The Department will not provide payment or gifts to respondents.
- 10. The Department's disclosure policies adhere to the provisions of the Privacy Act.
- 11. The application does not include questions about sexual behavior and attitudes, religious beliefs, or other items that are commonly considered sensitive and private.
- 12. The estimated burden hours for this collection of information are 34 hours. We expect approximately 1750 applications; however, since the application is cleared for a three-year period, but is only used once during the three-year period, we are reporting the annual burden hours as one-third of the total burden hours.

Estimated number of respondents.....583
Estimated preparation time.....34 hours

Total estimated burden hours.....= 19822	
(Professionals)	
(583 personnel x 24 hours x \$24 per hour)	\$335,800
(Clerical)	
(583 clerical x 10 hours x \$9 per hour)	\$52,470
Total estimated staff costs to respondents	
	= \$388,270

13. Estimated Cost to Respondents	Upward Bound
(a) One time cost to applicant	
Use of computer equipment to search for data and generate application in required format. Computer time is \$200 and printing is \$10.	\$210
(b) Operation Cost	
Annual cost to applicant to file and maintain application materials	\$100
(c) Estimated Total	\$310
14. Cost to the Federal Government	
A professional staff to develop clearance package (GS-13 employee: 160 hours @ 48 per hour).	\$7,680
Overhead cost related to facilities, administration, and other indirect cost plus accrual of leave and fringe benefits (4,800 x @ 50 percent salary)	\$2,400
Application printing (200 copies x \$1).	\$200
Application mailing (50 copies x \$.40)	\$20
Other Department staff to review and approve the request.	
GS- 15 employee for final review and approval	\$630
Estimated Total	\$10,930
Cost for Federally-supervised review of applications	
Readers (525 @ \$1,100).	\$577,500
Forms and Web site development costs for E-Reader Process	\$4,200
Processing applications – staff (12 staff x 40 hours x \$30 per hour = \$14,400) (Overhead cost: \$14,400 x 50 percent = \$7,200)	\$21,600
Contractor logistical support for workshops, application processing, field reading and slate preparation	\$520,000
Staff time for conducting supervised review. (4 weeks x 5 control reviews, and 25 panel chairpersons) (30 staff x 160 hours = 4,800hrs x \$30 per hour = \$144,000) (Overhead cost: \$144,000 x 50 percent = \$72,000)	\$216,000
Staff time for generating slate (3 staff x \$30 x 40 hours = \$3,600). (Overhead cost: \$3,600 x 50 percent = \$1,800)	\$5,400
Staff time to review and approve funding recommendation. (4 hours per grant award x 926 awards) (926 awards x 4 hours per award x \$30 per hour = \$111,120) (Overhead cost: \$111,120 x 50 percent = \$55,560)	\$166,680

Staff time to generate, prove, and issue grant awards (6 hours per award x 926 awards = 5556/12 = 463) (12 staff x \$30 x 463 hours = \$166,680) (Overhead cost: \$166,680 x 50 percent = \$83,340)	\$250,020
Total Estimated Cost to Government (competition year)	1,761,400
Annual Monitoring Cost	
(10 hours per award x 926 awards = 9260/12 = 772 hours per person (12 staff x \$30 = 360 x 772 hours = \$277,920 (Overhead cost: (\$277,920 x 50 percent = \$138,960)	\$277,920
	\$138,960
Total Estimated Cost to Government	\$416,880
<i>Total Annual Government Estimated Cost</i>	\$2,178,280

15. A difference of 14,875 burden hours is shown in Item 12 because the previous collection expired. It should be noted that the previous burden hour estimate was based on a separate application package for Regular Upward Bound and Upward Bound Math and Science. The packages are now combined.
16. Results of collected information will not be published for statistical purposes.
17. The Department will display on the form the expiration date for the OMB approval as required.
18. There are no exceptions to the certification statement.

B. Collection of Information Employing Statistical statement.

The collection of information does not employ statistical methods.