

**OMB 83-I SUPPORTING STATEMENT: DOE Technical Manpower Online
Survey (OMB Control Number “1910-XXXX”) NEW COLLECTION**

1. Explain the circumstances that make the collection of information necessary.

Circumstances that make these collections of information necessary: The Office of Science reports annually in the President’s Budget Request the numbers of researchers, post docs, graduate students and technicians supported through Research Grants and Field Work Proposals (FWPs). However, these data are based on forecasts by the principal investigator (*i.e.*, PIs) at the time the grants and FWPs were initially funded. These estimates are unreliable because they are based on the best guess of the PIs at the time of funding. While the PI’s initial estimate could be accurate at the time of the request, the reliability of the initial estimate decreases as the project matures. Further, the forecasts by the PIs are subjective. Therefore, it is not possible to quantify the inaccuracies with any confidence. To better plan for future investments, the Office of Science must better understand the actual impact of its budget on the technical manpower supported. A short (approximately 17 minutes) web-based survey has been developed to collect actual workforce data from a small sample of researchers currently supported by the Office of Science. The result will be compared to proposal data to estimate the average and range of variation and to derive a statistically valid methodology for approximating budgetary impacts on the technical manpower supported.

The basic authority for these collections is the statute establishing DOE (“Department of Energy Organization Act,” Public Law 95-91, of August 4, 1977) which vests the Secretary of Energy with the executive direction and management functions, authority and responsibilities for the Department, including contract management. The provisions of 42 USC 7254 state that “the Secretary is authorized to prescribe such procedural and administrative rules as he may deem necessary or appropriate to administer and manage the functions now or hereafter vested in him; and 42 USC 7256 (a) “the Secretary is authorized to enter into and perform such contracts, leases, cooperative agreements, or other similar transactions with public agencies and private organizations and persons, and to make such payments (in lump sum or installments, and by way of advance or reimbursement) as he may deem to be necessary or appropriate to carry out functions now or hereafter vested in the Secretary.”

Department of Energy Organization Act (Pub. L. 95–91, as amended) Sec. 209 defines the duty and the responsibilities of the Director of Office of Science to include: Advising the Secretary with respect to education and training activities required for effective short and long-term basic and applied research activities of the Department; and Advising the

Secretary with respect to grants and other forms of financial assistance required for effective short and long-term basic and applied research activities of the Department.

It should be noted that the costs incurred by DOE contractors and grant recipients in providing the information collections in this package are recovered in their contract/grant fees and payments. In this sense, they differ from information collections imposed on the general public for which no cost reimbursement is provided. In addition, M&O contractors provide input concerning information collection requirements during contract negotiation. In this regard, they have agreed that the resulting information collections are required for the administration of these contracts and are accepted as normal business practice. Finally, DOE is most interested in keeping the reporting burden at a minimum to reduce expenditures. Therefore, a web-based survey has been developed and the smallest possible sample drawn to minimize the burden.

2. Indicate how, by whom, and for what purpose the information is to be used.

How, by whom, and for what purpose are the information collections to be used; consequences if they were not collected: A web-based survey has been developed by Summit Consulting for the purposes of assessing the error rate, by program, in the workforce data contained in the Office of Science database. This data is included in the annual budget request and is considered important by both OMB and Congress in making budget decisions. This survey is critical to improving the reliability and utility of this data.

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

Use of improved information technology usage to reduce burden: A web-based survey will be used.

4. Describe efforts to identify duplication.

Efforts to identify duplication: The Nuclear Physics community collects detailed information on PhDs and Students that has been used to provide highly accurate information for that Office of Science program. Therefore, Nuclear Physics has been excluded from this collection activity. No other such data or process exists for the other five Office of Science programs.

5. If the collection of information impacts small businesses or other small entities, describe any methods used to minimize burden.

Efforts to minimize burden on small businesses: No small business will be surveyed.

6. Describe the consequence 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.

Reduction of the frequency of collection: The Office of Science plans for this one time survey to inform improvements to existing processes and reports.

7. Explain any special circumstances that require the collection to be conducted in a manner inconsistent with OMB guidelines.

Collections inconsistent with 5 CFR 1320 guidelines: Information collections in this package have been reviewed and justified by Departmental management requirements, statutes, external regulations or interagency reporting requirements, Departmental orders or other internal DOE requirements and are collected in a manner consistent with 5 CFR 1320 guidelines.

8. If applicable, provide a copy and identify the date and page number of publication in the Federal Register of the agency's notice, required by 5CFR 320.8(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 in response to the comments. Specifically address comments received on cost and hour burden. Describe efforts to consult with persons outside DOE.

Consultations outside the Department: As previously noted, these information collections differ from collections placed on the general public in that they are placed on DOE contractors and grant recipients and relate directly to work supported by the Department. Summit Consulting has been contracted to develop and conduct this survey to make use of statistical expertise and experience conducting similar efforts for other agencies and organizations.

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

Explain any decision to provide any payment or gift to respondents, other than enumeration of contractors or grantees: Only contractors or grantees received enumeration from the Department.

10. Describe any assurance of confidentiality provided to respondents and the basis for the assurance in statute, regulation, or agency policy.

Assurances of confidentiality: Use of Summit Consulting and a secure web-based survey are meant to assure confidentiality.

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.

Handling of questions of a sensitive or personal nature: There are no collections in this package which involve questions of a sensitive, personal, or private nature.

12. Provide estimates of the hour burden of the collection of information. The statement should indicate the number of respondents, frequency of response, annual hour burden, and an explanation of how the burden was estimated.

Burden estimates for this package: Expected Respondents: 366; Estimated Number of Burden Hours: Approximately 1 hour per respondent times 366 respondents is 366 hours.

13 and 14. Provide an estimate for the total annual cost burden to respondents or recordkeepers resulting from the collection of information. Provide estimates of annualized cost to the Federal government.

Cost estimate to the Department: Contract with Summit consulting for survey development, administration and analysis with recommended improvements is a \$50,000 fixed price contract. In addition, since our researchers will be responding to the survey, the Department uses standard cost data for determination of the estimated annualized cost of its information collections. The estimated annualized cost to the Department for the data in this package is based on an assumed standard cost of \$42.00 per burden hour. This standard cost is based on the General Services Administration (GSA) formula in determination of Government paperwork and report costs, and is based on an estimate of \$42.00 per hour labor cost (GS-13), an additional 25-30% for employee fringe benefits and an additional 30% overhead cost. Using these standard costs, which have been rounded to the nearest dollar, the annualized cost of this package is:

Government cost, at \$67.00/burden hour:	\$24,522
Summit Consulting:	\$50,000
 TOTAL	 \$74,522

15. Explain the reasons for any program changes or adjustments reported in Items 13 (or 14) of OMB Form 83-I.

Reasons for burden changes: This is a new survey.

16. For collections whose results will be published, outline the plans for tabulation and publication.

Statistical collections: This package contains no collections whose results will be published for statistical use. All such DOE collections are handled by the Energy Information Administration (EIA).

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

The Department is not seeking approval to not display the expiration date for OMB approval of the information collections contained in this package.

18. Explain each exception to the certification statement identified in Item 19 of OMB Form 83-I.

“Certification for Paperwork Reduction Act Submissions:” Information collections in this package have been reviewed and justified by Departmental management requirements, statutes, external regulations or interagency reporting requirements listed in the “Certification for Paperwork Reduction Act Submissions.”