SUPPORTING STATEMENT
FOR PAPERWORK REDUCATION ACT SUBMISSIONS
PRIORITY NEEDS FOR EDUCATIONAL RESEARCH NEEDS OF THE SOUTHWEST AND ESTABLISHING A BASELINE FOR REL SOUTHWEST PERFORMANCE
OMB CONTROL NO: XXXX

1. Explain the circumstances that make the collection of information necessary. Identify any legal or administrative requirements that necessitate the collection. Attach a copy of the appropriate section of each statute and regulation mandating or authorizing the collection of information.

The current authorization for the Regional Laboratories program is under the Education Sciences Reform Act of 2002, Part D, Section 174, (20 U.S.C 9564), administered by the Institute of Education Sciences' National Center for Education Evaluation and Regional Assistance. This data collection is in accordance with this regional educational laboratory contractor's five year plan to establish how this laboratory contractor shall ensure that the research base used or developed for its research endeavors is consistent with the IES standards for scientifically valid research. (See sections 134, 173 and 174 of the IES authorizing legislations.)

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.

This will be a new data collection. The respondents will consist of Superintendents, Principals, Teachers, Higher Education Administrators, PTA Presidents and local and state Chamber of Commerce Presidents from Arkansas, Louisiana, New Mexico, Oklahoma, and Texas. The information obtained will provide a landscape of the region. It will also identify the educational research needs of key REL Southwest constituents in a quantitative manner and create insights needed to most efficiently serve those constituents. In addition, it will identify satisfaction levels with current research available, identify educational issues facing REL Southwest constituents, and identify unique areas of technical assistance most needed. The information obtained through the project will be used by REL Southwest, IES, the U.S. Department of Education, state and district policymakers, district administrators, educators, building administrators, parents, business communities, and possibly others. Two Task 1 Needs Sensing projects are planned: Task 1.1.1 Establishing a Baseline for REL Southwest Performance and Task 1.1.2 Identifying Customer Needs.

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, e.g., permitting electronic submission of responses, and the basis for the decision for adopting this means of collection. Also describe any consideration of using information technology to reduce burden.

Once a sample has been identified for each population of interest, e-mail addresses and phone numbers will be obtained for each person in the sample. Each person in the sample will be contacted by email, and asked to participate in the on-line survey. Each person will be sent no more than five emails asking them to participate. If necessary, each person who has not yet taken the survey will be contacted by phone. Up to five attempts will be made to reach each person, but no more than one phone contact will be made with any person (unless they agree to participate in the phone survey at a later time, in which case a second phone call will be made at an agreed upon time).

Data collection will be done by deploying a survey online/over the internet. Invitations to take the survey will be sent by email to the identified target population by constituent segment. This methodology of online data collection will help to ensure minimum time commitment from respondents as most surveys will be completed within 15 minutes. We determined this time using two methods.

The first method was to test the time it took for nine respondents to complete a paper/pencil version of this survey. We had nine individuals complete the survey. The respondents' time ranged from 5 minutes to complete a survey to 17 minutes to complete a survey. The average time it took respondents to complete the educator survey was 11 minutes; the average time for the PTA president survey was 10 minutes; and the average time for business chamber president survey was 8 minutes. These averages are comparable to the 15 minutes we are estimating for the full project. It is important to keep in mind that the group testing the timing of the survey is smaller and does not take into account the various titles that may take longer or shorter to complete the survey (for example, we did not test the survey with superintendents who may provide more or less open-ended comments). In addition, there will be some time variance for people taking the survey online as compared with those taking the survey via paper/pencil.

The second method used was to rely on our previous years' experience deploying similar email surveys to these specific groups and the average time it took respondents to complete surveys of this length. In our experience, the time it takes respondents to complete a survey of this length varies greatly depending on the individual themselves, the amount of detail provided in the open-ended sections, the individual's title, the circumstances going on around the individual while taking the survey, etc. Therefore, 15 minutes is an acceptable range.

Using an online survey will help reduce burden in that it significantly reduces the amount of paperwork necessary to create a traditional paper/pencil survey sent to respondents. It is also less time-consuming to complete, as respondents do not need to return the survey by mail or fax their completed responses. It also allows respondents the flexibility to complete the survey at times that are most convenient for them. The online survey is less expensive than traditional paper/pencil and phone surveys and alleviates time spent on data entry, as respondents' responses are automatically entered into a database. All steps described above reduce the burden (both in terms of time and budget) for the originator of the survey (REL Southwest) as well as respondents' time and efforts.

4. **Describe efforts to identify duplication. Show specifically why any similar information available cannot be used or modified for use for the purposes describe in item 2 above.**

   Secondary research conducted by REL Southwest has revealed that very little research has been done to accurately identify research needs of educators in the southwest region, nor has the available research been projectable to or representative of the constituents in our five state region. The research that has been done has been qualitative in nature by SEDL, the former Southwest regional laboratory contract administrator. Also as 2006 was the first year of Edvance Research, Inc. managing REL Southwest, no prior baseline of performance exists and hence there is no concern for duplication of existing research.

5. **If the collection of information impacts small businesses or other small entities (Item 5 of OMB Form 83-I), describe any methods used to minimize burden.**

   This collection of information does not impact small businesses or other small entities.

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.**

   If this collection is not conducted or is conducted less frequently, then the Department of Education will not be able to enhance its understanding of the specific education related research needs of the southwest region in a timely manner. Also a baseline of performance for the REL

Southwest will not be established and hence will hinder the Department of Education in effectively measuring the needs sensing research efforts undertaken by REL Southwest.

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 that 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 which unnecessarily impedes sharing of data with other agencies for compatible confidential use; *or requiring respondent 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.**

   No special circumstances exist for this data collection.

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 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. Consultation with representatives of those from who 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.**

   Page and Date of publication in the Federal Register of the agency's notice is 45541 and August 9, 2006.

   We have not received any public comments.

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

   We will not be offering any incentives.

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

    REL Southwest follows the confidentiality and data protection requirements of IES (The Education Sciences Reform Act of 2002, Title I, Part E, Section 183). REL Southwest will protect the confidentiality of all information collected for the study and will use it for research purposes only. No information that identifies any study participant will be released. Information from participating institutions and respondents will be presented at aggregate levels in reports. Information on respondents will be linked to their institution but not to any individually identifiable information. No individually identifiable information will be maintained by the study team. All institution-level identifiable information will be kept in secured locations and identifiers will be destroyed as soon as they are no longer required. REL Southwest obtains signed NCEE Affidavits of Nondisclosure from all employees, subcontractors, and consultants that may have access to this data and submits them to the NCEE COR.

Regarding privacy issues: We will not be seeking any personal contact information from respondents. We will be utilizing only professional emails and addresses of the respondents' employer/educational institution/district. In our surveys, we will inform all respondents that it is optional for them to provide us with their professional contact information.

Regarding email addresses:
One of the primary functions of REL Southwest is to disseminate research information to its constituents. Therefore, it is important for us to collect the professional email information from those who grant us permission to send them research, since email is the primary way to communicate with our constituents.

At the end of the survey, we will ask respondents if they would like to receive research or research notifications through email. For those who respond "yes", we will ask for their professional emails. For those who respond "no", we will not ask for their emails.

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. This 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.

The survey developed for this data collection does not have any questions of a sensitive 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. 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 and aggregate the hour burdens in Item 13 of OMB Form 83-I. *Provide estimates of annualized cost to respondents for 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 13.

This study involves collecting information from a variety of educators involved in elementary, secondary and higher education in the southwest region, local and state Chamber of Commerce Presidents and PTA Presidents (residing in the states of Arkansas, Louisiana, New Mexico, Oklahoma and Texas).

Within the targeted elementary and secondary education segment, we will collect information from educators in public schools having the following titles: Superintendents, Principals, and Teachers.

Within higher education, we will collect information from educators having the following titles: College Admissions Directors and College Student Affairs Directors/Officers of Public and Private 2 and 4 year colleges and universities in the five state region.

We will collect information from the identified sample of presidents of a Parent Teacher Association/Organization (PTA/PTO) for a public K-12 school in the five state region.

We will also collect information from an identified sample of presidents from state and local Chambers of Commerce in the five state region.

For most respondent titles, we will collect information from rural and non-rural (i.e., urban and suburban) schools/districts and universities/colleges within the targeted state. The number of surveys required to be completed per respondent title within rural and non-rural schools/districts (for each of the 5 REL Southwest states) was calculated using sampling techniques (outlined in Supporting Statement B, Question 2) to ensure collection of data that will be statistically projectable for each targeted population segment.

Table 1.A Estimates of Annual Burden Hours by Respondents:

Respondent	Number of respondents per region type: (Rural Regions)	Number of respondents per region type: (Non- Rural)	Total Number of Respondents: (Rural+Non-Rural)	Burden Hours per Respondent	Number of Collections	Total Annual Person Hours For All Five REL Southwest States
Superintendents	195	200	395	0.25	1	99
Principals	200	200	400	0.25	1	100
Teachers	320	320	640	0.25	1	160
Higher Education Administrators	-	-	402	0.25	1	101
PTA Presidents	200	200	400	0.25	1	100
Chamber Presidents	-	-	422	0.25	1	106
Total	-	-	2,659	0.25	1	665

The estimated average time per interview was calculated based on the experience of using similar instruments from other research surveys with the targeted audience at Harcourt Assessment, Inc., a leading, national, educational assessment company.

Table 2.A Estimates of Annualized Cost to Respondents:

Respondent	Total Number of Respondents: (Rural+ Non-Rural)	Burden Hours Per Respondent	Number of Collections	Total Annual Person Hours For All Five REL Southwest States	*Hourly Salary Estimate	Total Annual Cost for All Five REL Southwest States
Superintendents	395	0.25	1	99	$40	$3,960
Principals	400	0.25	1	100	$39	$3,900
Teachers	640	0.25	1	160	$24	$3,840
Higher Education Administrators	402	0.25	1	101	$40	$4,040
PTA Presidents	400	0.25	1	100	$24	$2,400
Chamber Presidents	422	0.25	1	106	$50	$5,300
Total	2,659	0.25	1	665		$23,440

* The hourly salaries provided here were derived from annual salary estimations and adjusted for inflation, as based on information from the U.S. Census Fact Sheet, *Differences Between the Income and Poverty Estimates From the American Community Survey and the Current Population Survey Annual Social and Economic Supplement, Released 8/26/04*.

13. **Provide an estimate for 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 show 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 components. 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 or 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 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 purchasing or contracting out information collections 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 and 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 associate 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.**

    There are no startup costs to respondents.

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

The total annualized cost to the Federal Government per study is $112,882.

The annualized capital/startup cost per study is estimated to be $59,632. This estimate includes costs for online data collection, online survey software and hosting fees and phone survey costs.

The annual labor costs for study 1.1.1 are $53,250 and for study 1.1.2 are $53,251. These include labor costs for REL Southwest staff that will be involved and responsible for this data collection, results analysis and product development efforts.

All costs are outlined as follows:

Table 3.A Estimated Annualized Costs

		Study 1.1.1	Study 1.1.2	Total for Both Studies (1.1.1 AND 1.1.2)
Annualized Capital/Startup Costs	Total Annualized Capital/Startup Cost (including data collection costs, email purchase costs, online survey software costs, online survey hosting costs and phone survey fielding costs)	$59,632	$59,632	$119,264
Annual Labor Costs		$53,250	$53,251	$106,501
Total Annualized Costs		$112,882	$112,882	$225,764

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

The total annual person hours for respondents from all five REL Southwest states are 665. The 665 program change is because this is a new collection.

This study involves collecting information from a variety of educators involved in elementary, secondary and higher education in the southwest region, state and local Chamber of Commerce Presidents and PTA presidents (comprised of Arkansas, Louisiana, New Mexico, Oklahoma and Texas).

Within the targeted elementary and secondary education segment, we will collect information from public educators having the following titles: Superintendents, Principals, and Teachers.

Within higher education, we will collect information from educators having the following titles: College Admissions Directors and College Student Affairs Directors/Officers of Public and Private 2 and 4 year colleges and universities in the five state region.

We will collect information from presidents of a PTA/PTO for a public K-12 school in the five state region.

We will also collect information from presidents of state and local Chambers of Commerce in the five state region.

For most respondent titles, we will collect information from rural and non-rural schools/districts and universities/colleges within the targeted state. The number of surveys required to be completed per respondent title within rural and non-rural schools/ districts (for each of the 5 REL

Southwest states) was calculated using sampling techniques (outlined in Item 16) to ensure collection of data that will allow for estimation of population parameters with desired level of precision for each targeted population segment.

Table 4.A Respondent Sampling Profile

Respondent	Number of respondents per region type: (Rural Regions)	Number of respondents per region type: (Non-Rural)	Total Number of Respondents: (Rural + Non-Rural)	Burden Hours Per Respondent	Number of Collections	Total Annual Person Hours For All Five REL Southwest States
Superintendents	195	200	395	0.25	1	99
Principals	200	200	400	0.25	1	100
Teachers	320	320	640	0.25	1	160
Higher Education Administrators	-	-	402	0.25	1	101
PTA Presidents	200	200	400	0.25	1	100
Chamber of Commerce Presidents	-	-	422	0.25	1	106
Total	-	-	2,659	0.25	1	665

The estimated average time per interview was calculated based on the experience of using similar instruments from other research surveys with the targeted audience.

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.

We are collecting data for six different populations for this survey (superintendents, principals, teachers, higher education administrators, PTA/PTO presidents, state and local Chamber of Commerce presidents) across five different states (Arkansas, Louisiana, New Mexico, Oklahoma, Texas) and, in some cases, two levels of urbanicity (rural, non-rural). Operational definitions of the various populations of interest are provided in Table 1.B in Supporting Statement B. Data for the different populations will not be combined in any way, though within a population, data will be aggregated across both state and urbanicity.

Please see Supporting Statement B, Question 2 for specifics on statistical details.

Publication:
The following research products will be developed and published to present information collected through this research effort one for each Task 1.1.1 and Task 1.1.2:

2007	Date	Date
Milestones	**Task 1.1.1**	**Task 1.1.2**
Re-submit to OMB	3/15	3/15
Anticipate approval from OMB	5/31	5/31
Pilot to begin	6/4	6/4
Begin data collection	8/01	8/01
School summer vacation - no data collection on Teachers	8/01-8/31	8/01-8/31
Continue Data Collection as appropriate per sample	8/01	8/01
Resume Data Collection on Teachers & rest of sample	9/03	9/03
Complete Data Collection	11/15	11/15
Data Analysis Begins	11/16	11/16
2008		
Milestones	**Task 1.1.1**	**Task 1.1.2**
Data Analysis Ends/Report Writing Begins	2/1	2/1
Complete Final Report	2/29	3/7
Submit Final Report Draft to IES for Review	3/3	3/14
Submit Revised Final Report Draft to IES for Review	3/14	4/1
Submit Final Report (in template) to IES for Approval	3/31	4/30
Receive Final Report Approval from IES	4/15	5/15
Begin Final Report Dissemination	5/1	5/30
Subsequent Dissemination Products		
Begin Policymaker News Dissemination	N/A	7/1
Begin District Administrator News Dissemination	N/A	9/3

**Survey pilot and any data collection with more than 9 people will not occur until OMB project approval has been granted. Therefore, data collection and analysis dates are subject to change.*

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

Not Applicable

17. Explain each exception to the certification statement identified in Item 19, “Certification for Paperwork Reduction Act Submissions,” of OMB Form 83-I

Not Applicable