

## SUPPORTING STATEMENT/JUSTIFICATION

### 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 copy of the appropriate section of each statute and regulation mandating or authorizing the collection of information.*

Section 703 of the Higher Education Act of 1965, as amended, authorizes the Secretary to award fellowships under the Jacob K. Javits Fellowship Program for graduate study in the arts, humanities, and social sciences. The fellowships support graduate students of superior ability selected on the basis of demonstrated achievement, exceptional promise and financial need. Each individual fellow's need must be assessed and reported each year, along with a continuing fellow's academic progress as determined by the institution. The U.S. Department of Education has administered the Jacob K. Javits Fellowship Program since 1986.

The regulations governing the Jacob K. Javits Fellowship Program are in 34 CFR Part 650. Included with the submission are the regulations revised January 20, 1999, which amend Part 650 – Jacob K. Javits Fellowship Program sections 650.1, 650.2, 650.3, 650.4, 650.5, 650.10, 650.20, 650.30, 650.31, 650.32, 650.33, 650.34, 650.34, 650.35, 650.36, 650.37, 650.40, 650.41, 650.42, 650.43, 650.44.

The Education Department General Administrative Regulations (EDGAR) requires grantees to submit performance reports annually [see 34 CFR Part 74.51, 34 CFR Part 75, Section 75.118, 75.720(a) and 75.720 (b)].

Currently, an annual Report of Financial Need and Certification for the Jacob K. Javits Fellowship Program is submitted to the Program Officer for each budget period of the four-year grant cycle for the Jacob K. Javits Fellowship Program by each institution.

The Javits award is a four-year fellowship; renewal for each fellow is dependent on continued academic progress as determined by the institution. In addition, the stipend portion of the fellowship is determined by the individual's financial need and must be reassessed each year. In order to continue funding for Javits fellows, institutions of higher education (IHEs) currently certify the academic progress of each fellow and report on the fellow's financial need.

The Annual Student Activities Report will provide the necessary information to track each fellow's progress toward degree completion. Without such critical data on the progress and performance of Javits fellows, it is difficult to measure the success of the Program's long-term goals or to further develop useful technical assistance methods for grantees.

The information to be requested on the Javits fellows is in response to both congressional inquiries and the need for data to be collected for the Program's

performance indicators, in compliance with the Government Performance and Results Act.

Requests for data on Javits fellows have come from IHEs, Javits Coordinators, professional associations, Members of Congress as well as OMB as part of the PART process.

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 Annual Student Activities Reports will be reviewed by Program Officers to ensure compliance with the program requirements and to ensure the completion of grant funding activities.

The proposed data to be collected will be used for tracking the programs' performance measures: graduation rate, the average time to degree completion rate, as well as the employment status of Javits fellows.

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 of using information technology to reduce burden.*

In fiscal year 2004, the Javits Program Staff developed and implemented an electronic version of the currently approved performance data collection instrument. The electronic version of the instrument is identical to the currently approved collection instrument. The instrument was electronically submitted to the grantees to allow for the option of electronic or hardcopy transmission of their responses. Eighty percent of grantees downloaded the forms for completion and submitted the completed forms to ED both electronically and via regular mail. The Javits program currently utilizes an electronic version of the currently approved performance data collection instrument, which is accessed online by grantees. In the future, it is expected that the majority of grantees will continue to respond in the same manner. The currently approved collection instrument may be viewed on the Office of Postsecondary Education Web site at <http://www.ed.gov/programs/jacobjavits/performance.html> .

This experience has led Javits Program Staff to conclude that electronic reports are the most effective means to collect programmatic data from individual fellows each academic year.

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

The collection and use of this information is not duplicated within the U.S. Department of Education or any other government entity.

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.*

The collection of this information has no impact on small businesses or other 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.*

As the grants awarded under this Program are awarded on an annual basis, data must be collected as requested by OMB as part of the PART requirements. If the data requested in this Annual Student Activities Report is not collected, program staff will not be able to determine whether or not funded projects were completed successfully and in accordance with the program statute and regulations. In addition, evaluation of the program based on GPRA performance indicators, or on other program evaluation criteria established by Department policies, will not be possible.

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 than 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 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.*

There are no circumstances that would cause this information collection to be conducted in this manner.

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.*

*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.*

We will publish the appropriate 60- and 30-day Federal Register Notices to allow for public comment. Requests for data on Javits fellows have come from IHEs, Javits Coordinators, professional associations, Members of Congress as well as OMB as part of the PART process. The collection attached reflects the comments and requests of these groups, as well as clarifications based on questions to Program Staff. The information to be collected will also give the Program Staff the data needed to accurately address the Program's performance indicators, in compliance with the Government Performance and Results Act. Data from all of these sources have been used to calculate hour and cost burden to respondents.

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

No payment or gifts are provided to respondents.

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

The proposed data to be collected in the Annual Student Activities Report will be subject to the requirements of the Privacy Act to maintain confidentiality, as the reports will contain information regarding individual Javits fellows. Any collected data made public would only be presented in aggregate, and would not include personal information.

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, 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.*

No questions of a sensitive nature are asked in this report.

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 83-1.
- 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 not be included in Item 14.

	Number of Respondents	Frequency of Response	Hours	Total Burden Hours
Individual Fellow	190	Annual	3	570
Totals	190	Annual	3	570

The burden of individual respondents is estimated at an average of 3 hours for each Javits fellow. These estimates are based on input from current respondents.

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 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.

Total Annualized Capital/Startup Cost : \$ .00

Total Annual Costs (O&M) : .00

Total Annualized Costs Requested : \$ .00

The only costs would be for customary and usual business practices.

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.

Task	Cost	Hours	Number of Staff	Hours Total	Total Cost to USG
Securing OMB approval (every 3 years)	\$42/hr	10	6	60	\$2520.00
Reports Design (every 3 years)	\$42/hr	8	2	16	\$672.00
Review Of Forms by Staff	\$42/hr	8	2	16	\$672.00
Data Entry for Reports by Staff	\$42/hr	8	2	16	\$672.00
Annual Monitoring and Technical Assistance	\$42/hr	8	2	16	\$672.00
Other Department Staff Review	\$55/hr	5	5	25	\$1375.00
<b>Totals</b>				<b>149</b>	<b>\$6,583.00</b>

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

There is no change or adjustment reported in Items 13 or 14 of the OMB Form 83-I.

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.*

The U.S. Department of Education does not plan to publish any information from this collection.

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 U.S. Department of Education will display the expiration date for the OMB approval for this data collection.

18. *Explain each exception to the certification statement identified in Item 20, "Certification for Paperwork Reduction Act Submissions," of OMB Form 83-I.*

No exceptions are being requested for this information collection.

## **B. COLLECTION OF INFORMATION EMPLOYING STATISTICAL METHODS**

*The agency should be prepared to justify its decision not to use statistical methods in any case where such methods might reduce burden or improve accuracy of results. When Item 17 on Form 83-I is checked "Yes," the following documentation should be included in the Supporting Statement to the extent that it applies to the methods proposed:*

1. *Describe the potential respondent universe (including a numerical estimate) and any sampling or other respondent selection method to be used. Data on the number of entities (e.g., establishments, state and local government units, households, or persons) in the universe covered by the collection and in the corresponding sample are to be provided in tabular form for the universe as a whole and for each of the strata in the proposed sample. Indicate expected response rates for the proposed sample. Indicate expected response rates for the collection as a whole. If the collection had been conducted previously, include the actual response rate achieved during the last collection.*
  
2. *Describe the procedures for the collection of information, including:*
  - *Statistical methodology for stratification and sample selection.*
  
  - *Estimation procedure.*
  
  - *Degree of accuracy needed for the purpose described in the justification.*
  
  - *Unusual problems requiring specialized sampling procedures, and*
  
  - *Any use of periodic (less frequent than annual) data collection cycles to reduce burden.*
  
1. *Describe methods to maximize response and to deal with issues of non-response. The accuracy and reliability of information collected must be shown to be*

*adequate for intended uses. For collections based on sampling, a special justification must be provided for any collection that will not yield "reliable" data that can be generalized to the universe studied.*

- 2. Describe any tests of procedures or methods to be undertaken. Testing is encouraged as an effective means of refining collections of information to minimize burden and improve utility. Tests must be approved if they call for answers to identical questions from 10 or more respondents. A proposed test or set of tests may be submitted for approval separately or in combination with the main collection of information.*
- 3. Provide the name and telephone number of individuals consulted on statistical aspects of the design and the name of the agency unit, contractor(s), grantee(s), or other persons who will actually collect and/or analyze the information for the agency.*

This information collection does not employ statistical methods.