

**U.S. Department of Agriculture  
Cooperative State Research, Education, and Extension Service**

SUBJECT: Supporting Statement for the revision of the Reporting Requirements for State Plans of Work for Agricultural Research and Extension Formula Funds.

A. JUSTIFICATION

1. CIRCUMSTANCES MAKING COLLECTION OF INFORMATION NECESSARY

The purpose of this collection of information is to continue implementing the requirements of sections 202 and 225 of the Agricultural Research, Extension, and Education Reform Act of 1998 (AREERA) which require that a plan of work must be submitted by each institution and approved by the Cooperative State Research, Education, and Extension Service (CSREES) before formula funds may be provided to the 1862 and 1890 land-grant institutions. The formula funds are authorized under the Hatch Act for agricultural research activities at the 1862 land-grant institutions, under the Smith-Lever Act for the extension activities at the 1862 land-grant institutions, and under sections 1444 and 1445 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 for research and extension activities at the 1890 land-grant institutions. The plan of work must address critical agricultural issues in the State and describe the programs and projects targeted to address these issues using the CSREES formula funds. The plan of work also must describe the institution's multistate activities as well as their integrated research and extension activities. This information collection continues the Revised Guidelines for State Plans of Work for the Agricultural Research and Extension Formula Funds as published in the *Federal Register* on January 25, 2006 (71 FR 4101).

This collection of information also includes the reporting requirements of section 102(c) of AREERA for the 1862 and 1890 land-grant institutions. This section requires the 1862, 1890, and 1994 land-grant institutions receiving agricultural research, education, and extension formula funds from CSREES of the Department of Agriculture (USDA) to establish and implement processes for obtaining input from persons who conduct or use agricultural research, extension, or education concerning the use of such funds by October 1, 1999. Section 102(c) further requires that the Secretary of Agriculture promulgate regulations that prescribe what the institutions must do to meet this requirement and the consequences of not complying with this requirement per the final rule (7 CFR 3418) on Stakeholder Input Requirements for Recipients of Agricultural Research, Education, and Extension Formula Funds which was published in the *Federal Register* on February 8, 2000 (73 FR 80361). This rule applies not only to the land-grant institutions which receive formula funds but also to the veterinary and forestry schools that are not land-grant institutions but which receive forestry research funds under the McIntire-Stennis Act of 1962 and animal health and disease research funds under section 1433 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (NARETPA). Failure to comply with the requirements of this rule may result in the withholding of a recipient institution's formula funds and redistribution of its share of

formula funds to other eligible institutions. The institutions are required to annually report to CSREES: 1) the actions taken to seek stakeholder input to encourage their participation; 2) a brief statement of the process used by the recipient institution to identify individuals and groups who are stakeholders and to collect input from them; and 3) a statement of how collected input was considered. However, the 1862 and 1890 land-grant institutions are required to report on their Stakeholder Input Process annually as part of their Annual Report of Accomplishments and Results. Non-Land Grant Universities who receive forestry research funds and animal health and disease research funds do not report in this information collection.

Section 103(e) of AREERA requires that the 1862, 1890, and 1994 land-grant institutions establish a merit review process, prior to October 1, 1999, in order to obtain agricultural research and extension funds. Section 104(h) of AREERA also stipulated that a scientific peer review process be established for research programs funded under section 3(c)(3) of the Hatch Act (commonly referred to as Hatch Multistate Research Funds). These proposed guidelines require that a description of the merit review process and if applicable, a description of the scientific peer review process be included in the 5-Year Plan of Work.

These guidelines also provide instructions on when and how to submit the update to the 5-Year Plan of Work. An Annual Report of Accomplishments and Results is also required in order for CSREES to provide program oversight and ensure adequate accountability of funds.

CSREES is requesting to continue to collect an update to the 5-Year Plan of Work which began with the Fiscal Year 2007, and as a result no longer needs to collect the initial 5-Year Plan. CSREES also is in the process of revising the Current Information Collection System (CRIS) for reporting for all CSREES grant programs including those covered in the 5-Year Plan of Work. Also, as required by the Food Conservation and Energy Act of 2008 (FCEA) (P.L. 110-246, Sec. 7505) CSREES is working with the university partners in extension and research to review and identify measures to streamline the submission, reporting under, and implementation of plan of work requirements.

## 2. HOW, BY WHOM, AND THE PURPOSE FOR WHICH THE INFORMATION IS TO BE USED

This collection of information will be received by the Planning and Accountability Unit of CSREES via the web-based on line system at <http://pow.csrees.usda.gov>. The Planning and Accountability Unit coordinates the reviews of the State Plans of Work for the 1862 and 1890 land-grant institutions by Agency program and scientific experts. The Planning and Accountability Unit will be able to ensure that the above requirements have been met by the land-grant institutions by reviewing these reports. CSREES program officials will also provide feedback to the institutions on their Plans of Work and Annual Reports of Accomplishments and Results in order for institutions to improve the conduct and the delivery of their programs. The Planning and Accountability Unit will then inform the

CSREES Office of Extramural Programs (OEP) whether formula funds may be released to the recipient institutions.

3. USE OF IMPROVED INFORMATION TECHNOLOGIES

The recipients of agricultural research, education, and extension formula funds provide this information to CSREES via a web-based system.

4. EFFORTS TO IDENTIFY DUPLICATION

This particular collection of information is not available to CSREES through any other source or means. Since the 1862 land-grant institutions and the 1890 land-grant institutions will be reporting the stakeholder input process as part of their Plan of Work, and annually as part of their Annual Report of Accomplishments and Results, they will not be required to report separately on the stakeholder input process. The plan of work reporting requirements will satisfy the stakeholder input requirements under 7 CFR 3418 which implements the stakeholder input requirements of section 102(c) of AREERA. In addition, those recipients of forestry and animal health research funds that are also land-grant institutions will be exempt from any additional reporting requirements if the stakeholder input process for these funds has already been addressed through the plan of work process.

5. METHODS TO MINIMIZE BUDGET OF SMALL BUSINESSES OR ENTITIES

This information collection will have very little impact on small businesses or small entities as the respondents are the 1862 and 1890 land-grant institutions.

6. CONSEQUENCE IF INFORMATION COLLECTION WERE LESS FREQUENT

These Guidelines for State Plans of Work for Agricultural Research and Extension Formula Funds provide maximum flexibility for the land-grant institutions while providing adequate accountability for agricultural research and extension formula funds. The plans of work for these formula funds are required for the proposed period with a provision that these plans be updated annually to add an additional year so that the plan is always looking ahead five years. Thus States will not have to complete an entirely new 5-Year Plan of Work every 5 years. The Annual Report of Accomplishments and Results is needed to ensure that agricultural research and extension formula funds are being expended on critical agricultural issues in the States; that the stakeholder input and program review processes are implemented; and that institutions are directing a portion of their formula funds, as specified by law, to multi state and integrated research and extension activities. The AREERA legislation requires that CSREES know if these requirements are being met prior to the release of formula funds to these land-grant institutions each fiscal year.

7. SPECIAL CIRCUMSTANCES FOR INFORMATION COLLECTION

There are no special circumstances for this information collection.

8. FEDERAL REGISTER NOTICE

This renewal of this information collection was published in the Federal Register (73, FR 80361) on December 31<sup>st</sup>, 2008. The comment period for the proposed collection of information was for the required 65 days. One comment was received, but it was not responsive to the need, use, or burden estimate of the Plan of Work.

CONSULTATIONS WITH PERSONS OUTSIDE THE AGENCY

CSREES had consulted with the land-grant community in the development of the original guidelines. A new survey for this renewal was conducted in May 2008, with representatives from the land-grant institutions to estimate the burden of this collection in order to extend the information collection. Below is a list of institutions surveyed. Also, as required by the FCEA, CSREES is working with the university partners in extension and research to review and identify measures to streamline the submission, reporting under, and implementation of plan of work requirements.

Ronald L. Williams  
Extension Head,  
Program Planning & Development  
Alabama Cooperative Extension System  
Alabama A&M University  
19714 Alabama Highway 20  
Hillsboro, AL 35643  
Phone: (256) 353-9770  
[RSRFARM@aol.com](mailto:RSRFARM@aol.com)

Patricia M. Day  
Director, Program Planning and reporting Systems  
Division of Agriculture and Reporting Systems  
Division of Agriculture and natural resources  
University of California  
300 Lakeside Drive, 6<sup>th</sup> Floor  
Oakland, CA 94612  
Phone: (510) 987-0032  
FAX: (510) 832-8612  
[pat.day@ucop.edu](mailto:pat.day@ucop.edu)

Michael W. Duttweiler  
Assistant Director for  
Professional Development and Program Accountability  
Cornell Cooperative Extension  
383 Roberts Hall

Ithaca, NY 14853  
Phone: (607) 255-2105  
FAX: (607) 255-0788  
[mwd1@cornell.edu](mailto:mwd1@cornell.edu)

John Richardson  
Extension Accountability Manager  
Box 7607  
NC State University  
Raleigh NC 27695-7607  
Phone: (919) 515-6080  
FAX: (919) 515-1965  
[john\\_richardson@ncsu.edu](mailto:john_richardson@ncsu.edu)

Bruce E. Haas  
Reporting Coordinator  
Michigan State University Extension  
11 Agriculture Hall  
East Lansing, Michigan 48824  
Phone: (517) 432-3491  
FAX: (517) 432-1048  
[haasb@msu.edu](mailto:haasb@msu.edu)

Cathy Good  
Administrator for Research Programs  
Iowa Agriculture and Home Economics Experiment Station  
Iowa State University  
133 Curtiss Hall  
Ames, IA 50011-1050  
Phone: (515) 294-4544  
FAX: (515) 294-8716  
[cgood@iastate.edu](mailto:cgood@iastate.edu)

9. DECISION TO PROVIDE ANY PAYMENT OR GIFT TO RESPONDENTS, OTHER THAN REMUNERATION OF CONTRACTORS OR GRANTEEES

Not applicable.

10. CONFIDENTIALITY PROVIDED TO RESPONDENTS

No privacy and/or confidentiality issues are anticipated with this information collection.

11. QUESTIONS OF A SENSITIVE NATURE

No information of a sensitive nature will be requested.

12. ESTIMATE OF BURDEN

There are two transactions involved with this collection of information: the Annual Update to the 5-Year Plan of Work; and submission of the Annual Report of Accomplishments and Results.

I. Annual Update to 5-Year Plan of Work

Estimate of the Burden: The total reporting and record keeping requirements for the submission of the "Annual Update to the 5-Year Plan of Work" is estimated to average 64 hours per response. There are five components of this "5-Year Plan of Work": "Planned Programs," "Stakeholder Input Process," "Program Review Process," "Multi state Activities," and "Integrated Activities."

Estimated Number of Respondents: 75.

Estimated Number of Responses: 150.

Estimated Total Annual Burden on Respondents: 9,600 hours.

Frequency of Responses: Annually

II. Annual Report of Accomplishments and Results

Estimate of the Burden: The total annual reporting and record keeping requirements of the "Annual Report of Accomplishments and Results" is estimated to average 260 hours per response.

Estimated Number of Respondents: 75.

Estimated Number of Responses: 150.

Estimated Total Annual Burden on Respondents: 39,000 hours.

Frequency of Responses: Annually.

The total annual burden of this collection is 48,600 hours.

Estimated Costs to respondents:

I. Annual Update to the Plan of Work

Total Costs:

	Hours	Rate	Total
Professional Burden Hours	61.5	\$34.59	\$2,127.29
Clerical Burden Hours	3	18.55	55.65
Total Costs Per Component:			<u>\$2,182.94</u>

Total Costs: (\$2,182.94 x 150 responses) = \$327,441.00

## II. Annual Report of Accomplishments and Results

### Total Costs:

	Hours	Rate	Total
Professional Burden Hours	247	\$34.59	\$8,543.73
Clerical Burden Hours	28	18.55	<u>\$519.40</u>
Total Costs Per Response:			\$9063.13
Total Costs: (\$9063.13 x 150 responses) = \$1,359,470			

The total annual cost to respondents of this collection is \$1,686,911.00.

### 13. CAPITAL/STARTUP COSTS

There is no capital or startup or ongoing operation/maintenance costs associated with this information collection.

### 14. ANNUALIZED COST TO THE FEDERAL GOVERNMENT

It is estimated that it will take 1,190 hours to collect and review the Updates to the 5-Year Plans of Work and 1,190 hours to collect and review the Annual Reports of Accomplishments and Results. CSREES estimates an annualized cost to the Federal Government of \$134,885.

### 15. REASONS FOR CHANGE IN BURDEN

CSREES streamlined the planning and reporting process using a web-based planning and reporting system beginning in 2006 for the initial Fiscal Year 2007 – 2011 Plan of Work. Beginning with the 2008 – 2012 Plan of Work Update CSREES is asking for an Annual Update to the Plan of Work as opposed to a new 5-Year Plan every five years for this collection. This revision also includes the addition of the Annual Report of Accomplishments and Results. A new survey of burden on the land-grant universities was conducted in May 2008. Based on this survey there is an 87,000 hour decrease from the previous OMB inventory. This decrease is a result of CSREES no longer collecting the initial 5-Year Plan of Work.

### 16. TABULATION, ANALYSIS AND PUBLICATION PLANS

Not applicable.

### 17. SEEKING APPROVAL TO NOT DISPLAY THE EXPIRATION DATE FOR OMB APPROVAL OF THE INFORMATION COLLECTION ON FORMS

This information is collected in an electronic system and it requires system changes to update the date.

18. EXCEPTION(S) TO THE CERTIFICATION STATEMENT (19) ON OMB 83-1

None.