

**SUPPORTING STATEMENT**  
**FOR PAPERWORK REDUCTION ACT SUBMISSION**

**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.

The Institute of Education Sciences (IES) has three education training grant programs that provide funds to universities to support three types of training programs in the education sciences: 1) Predoctoral Interdisciplinary Research Training Programs, 2) Postdoctoral Research Training Program, and 3) Postdoctoral Research Training Program in Special Education. To determine the quality and effectiveness of these grants, program participants are to be surveyed annually as to their satisfaction with their program and their accomplishments. The populations of pre and postdoctoral fellows are small enough to make a census survey manageable and to make a sample not reliable for subgroup findings.

Participants in the program for multiple years will be surveyed every year. The purpose of the survey is to determine whether participants in the pre and post-doctoral fellows program continue to work in and contribute to the field of education research. Therefore data on their annual status and contributions to the field of education research will be collected.

The National Center for Education Research (NCER) of the Institute of Education Sciences (IES), U.S. Department of Education, is conducting this study, as authorized under Public Law 107-279, Title I, Part C, Section 131(a) and 131(b) of the Education Sciences Reform Act of 2002 and U.S. Code Title 20 Section 9543 which states:

(a) ESTABLISHMENT.—There is established in the Institute a National Center for Education Research (in this part referred to as the “Research Center”).

(b) MISSION.—The mission of the Research Center is—

(1) to sponsor sustained research that will lead to the accumulation of knowledge and understanding of education, to—

(A) ensure that all children have access to a high quality education;

(B) improve student academic achievement, including through the use of educational technology;

(C) close the achievement gap between high-performing and low-performing students through the improvement of teaching and learning of reading, writing, mathematics, science, and other academic subjects; and

(D) improve access to, and opportunity for, postsecondary education;

(2) to support the synthesis and, as appropriate, the integration of education research;  
(3) to promote quality and integrity through the use of accepted practices of scientific inquiry to obtain knowledge and understanding of the validity of education theories, practices, or conditions; and  
(4) to promote scientifically valid research findings that can provide the basis for improving academic instruction and lifelong learning.

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 survey information will be used by IES staff to write an annual report that examines how the grants and their supported programs have contributed to the development of new education researchers.

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.

The survey will be conducted through email so that all responses will be submitted electronically reducing the time requirements for respondents and IES staff.

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 survey collects data from individuals taking part in the education programs that is not available from other sources. The data - specifically quantitative and qualitative information – provides important details regarding fellows’ satisfaction with the training programs and post-fellowship status.

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 survey does not impact 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.

The survey is in compliance with 5 CFR1320.5. Without the survey, IES would not be in a position to determine whether its education training grants programs were achieving their purpose and would not be able to make adjustments to improve the results of these grant programs. The annual nature of the survey is in sync with the annual nature of the training provided by the universities.

7. Explain any special circumstances that would cause an information collection to be conducted in a manner:

There are no special circumstances that would cause information collection to be conducted in any of the manners listed below.

- 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.

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.

The 60 day Federal Register notice published Vol. 75 page 1757 January 13, 2010.

There have not been any public comments.

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

No payments or gifts will be provided to respondents.

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

From a privacy standpoint the Privacy Act language will be cited to provide the respondent confidence that the appropriate safeguards are implemented to avoid unauthorized use or disclosure of individually identifying information. Since IES plans to publish the person's name and some of this personal information for the Predoctoral Survey, a Privacy Act statement will be a part of the electronic survey forms or linked at the Web site to the forms. The statements below will appear: Data collection activities will be conducted in compliance with The Privacy Act of 1974.

The program is currently applying for a SORN and PIA. The data is to be stored both electronically and in paper copy. It is to be retrievable by name and the data is expected to be kept after the report is complete. The electronic file will be kept in a password protected server. The paper copy will be kept in a locked file cabinet. The security protections for the content will be identified in the SORN and PIA documents. The PIA and SORN are added assurances of confidentiality that IES is establishing protections to reasonably safeguard the respondents' information from improper disclosure - whether intentional or unintentional.

The assurance of confidentiality for the survey of participants in the Predoctoral Interdisciplinary Research Training Programs is as follows:

“Your responses regarding the quality of the program will be presented at the group level only, and only IES/NCER staff will know your individual responses. These responses will be summarized across the sample and will not be associated with a specific person. We will not provide information regarding these responses in a manner that identifies you to anyone outside the study team, except as required by law. With your consent, IES would like to publically report your name, fellowship program, date of PhD, dissertation title, post-fellowship position, and whether your post-fellowship research is in the field of education in order to provide more information on the fellowship program. Please also complete and return the consent form with your decision regarding your willingness/unwillingness for IES to report this information.”

The assurance of confidentiality for the survey of participants in the two Postdoctoral Interdisciplinary Research Training Programs is as follows:

“Your responses regarding the quality of the program will be presented at the group level only, and only IES/NCER staff will know your individual responses. These responses will be summarized across the sample and will not be associated with a specific person. We will not provide information regarding these responses in a manner that identifies you to anyone outside the study team, except as required by law.

The above statements describe IES’ intent to make public personal identifiers but still provide privacy act assurances for the remainder of the information. By providing the dissertation titles, research being done, and positions of the fellows, IES will be able to show the work being done by them in the field of education research. Names will be provided as well because: 1) names could be identified by the dissertations, publications and publications, and 2) to give the individuals direct recognition for the work they are doing. All of this information is already available publically and is not likely to be considered prejudicial. However the other information collected on the survey addresses the fellows’ opinions on the quality of the fellowship programs. Such information might be considered prejudicial by those running the programs or other participants if it was critical of the program. For this reason, this information will be kept confidential and only reported in aggregated data.

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 this type are included in the survey.

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.
  
- 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.

Table 1: Respondents' Burden from Survey of Predoctoral Interdisciplinary Research Training Programs

Year	Estimated # of Pre-Docs	Time to Complete Survey (hours)	Total time to complete survey (hours)	Cost per hour* (\$)	Total Respondent Burden (\$)
1	494	.25	123.50	19.40	2396
2	574	.25	143.50	19.40	2784
3	620	.25	155	19.40	3007
Total Respondent Burden					8187

Table 2: Respondents' Burden from Survey of Postdoctoral Research Training Program

Year	Estimated # of Post-Docs	Time to Complete Survey (hours)	Total time to complete survey (hours)	Cost per hour** (\$)	Total Respondent Burden (\$)
1	80	.25	20	28.74	575
2	105	.25	26.25	28.74	754

3	115	.25	28.75	28.74	826
Total Respondent Burden					2155

Table 3: Respondents' Burden from Survey of Postdoctoral Research Training Program in Special Education.

Year	Estimated # of Post-Docs	Time to Complete Survey (hours)	Total time to complete survey (hours)	Cost per hour** (dollars)	Total Respondent Burden (dollars)
1	14	.25	3.5	28.74	100.59
2	16	.25	4.0	28.74	114.96
3	18	.25	4.5	28.74	129.33
Total Respondent Burden					344.88

The average annual respondents and responses will be 679 and the average annual burden hours will be 170 burden hours per year.

\*Predocs receive a fellowship in the amount of \$60,500 per 12 month year that covers stipend, tuition support, and fringe benefits. Using 2,088 working hours per year, this works out to a fellowship of \$19.40 per hour.

\*\*Postdocs receive a fellowship in the amount of \$60,500 per 12 month year that covers stipend and fringe benefits. Using 2,088 working hours per year, this works out to a fellowship of \$28.74 per hour.

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.)

There are no capital costs, no start up costs, and no costs for operation and maintenance and purchase of services.

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.

The survey, data analysis and report writing will be handled by IES education research analysts. Since the survey is done online, the analysis is done in house, and the report will be published electronically, there are no equipment, printing, and overhead costs. The annual cost to the Federal government is determined by the time spent by the education research analysts which is described in the table below.

**Annual Time and Its Cost Required by IES Education Research Analysts**

Task	Predoctoral Survey	Postdoctoral Survey	Special Education Postdoctoral Survey	Total
Data collection and quality control	160 hours	100 hours	40 hours	
Data compilation and tabulation	120 hours	60 hours	20 hours	
Report writing	80 hours	40 hours	40 hours	
Total Hours	360	200	100	660
Education Research Analyst's salary & benefits per hour	71.60	71.60		\$71.60
Annual Cost				\$47,256

15. 15. Explain the reasons for any program changes or adjustments to #16f of the IC Data Part 1 Form.

There is a program change of 170 burden hours since this is a new collection.

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 survey will be sent out by email as soon as OMB approval is received. (We anticipate that will be in mid-May.)

Survey responses will be due mid to late June.

Follow-up data collection for non-respondents will continue to the end of August.

Data analysis will take place from September through October. This analysis will make use of tabulations. No complex analytical techniques will be used.

The report will be written in November.

The report will be published in December.



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.

Approval is not being sought to not display the expiration date for OMB approval of the information 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 sought for this work.