

## SUPPORTING STATEMENT FOR REQUEST FOR OMB APPROVAL UNDER THE PAPERWORK REDUCTION ACT

### A. JUSTIFICATION

#### 1. Circumstances necessitating information collection.

The Carl D. Perkins Career and Technical Education Act of 2006 (Perkins IV), 20 U.S.C. 2301 *et seq.* as amended by P.L. 109-270, was signed into law on August 12, 2006. The purpose of this request is to update the information collection package 1830-0029 (The Carl D Perkins Vocational and Technical Education Act of 1998; P.L 105-332 – State Plan) to include:

- Added instructions on application submission requirements for years 2010-2012 (the remaining years of the legislation)
- Prior submission approval:
  - ✓ Instructions regarding contents of a one-year transition plan or six-year State plan;
  - ✓ New State plan narrative requirements from the new Act;
  - ✓ Information States must provide regarding the consolidation of Title II funds under Title I;
  - ✓ Budget information;
  - ✓ Accountability information; and
  - ✓ A cover page that must be submitted with the State plan.

Perkins IV reauthorizes programs previously authorized by the Carl D. Perkins Vocational and Technical Education Act of 1998 for fiscal years 2007 through 2012. Title I of Perkins IV authorizes grants to eligible agencies in the fifty States, the District of Columbia, Puerto Rico, the United States Virgin Islands, and Guam for the purposes of “promoting the development of services and activities that integrate rigorous and challenging academic and career and technical instruction, and that link secondary education and postsecondary education” for participating career and technical education students. Grant amounts are determined by a formula prescribed in the law. Title II of Perkins IV authorizes grants to the same eligible agencies listed above to support tech-prep education programs as defined by Title II. Grant amounts are determined by the same formula used to allocate funds for Title I. Under section 202 of the Act, eligible agencies now have the option of consolidating all or a portion of their Title II funds under Title I.

Section 122 of the Act requires eligible agencies to submit a six-year state plan in order to receive funds under Title I. Section 201 requires eligible agencies to submit an application for Title II funds as part of its six-year state plan. These State plans were submitted April 2, 2007. The Act contains specific requirements for what must be included in the State plan. This collection is limited to the information that is required by Perkins IV, the General Education Provisions Act and its implementing regulations, and the Education Department General Administrative Regulations (34CFR Part 76.104).

#### *Additional State Options for FY 2007*

##### *One-Year Transition Plan under Perkins IV*

Section 122(a)(1) of Perkins IV provides eligible agencies the option of meeting the State plan requirements by submitting a one-year transition plan for fiscal year 2007. If an agency elects to submit a one-year transition plan, it must submit a 5-year State plan by April 2, 2008.

*Unified Plan under the Workforce Investment Act*

Section 501 of WIA provides eligible agencies with the option of submitting the State plan for Perkins IV as part of a unified plan that incorporates one or more related education and workforce development programs. These programs include employment-training activities authorized by Title I of WIA, the Adult Education and Family Literacy Act, programs authorized by Title I of the Rehabilitation Act, and work programs authorized under the Food Stamp Act. The portion of the unified plan that addresses career and technical education must meet all of the requirements for a State plan under Perkins IV. The Department will issue under separate cover guidance for States for submitting a unified State plan.

**2. Use for which the information is gathered.**

Staff members of the Division of Academic and Technical Education, Office of Vocational and Adult Education review the State plans to determine compliance with the Act, as required by section 122 of the Act. The State plans also are used as a source of information for policy analysis and for responding to inquiries from members of Congress and others. States cannot receive Federal career and technical education funds without the submission and approval of the State plans. State Plan revisions submitted in subsequent years will be used in the same manner as described above.

**3. Use of improved information technology.**

The Department is encouraging eligible agencies to submit State plans electronically. Last year, all States submitted electronically their required State plan revisions; therefore, we anticipate that every eligible agency make an electronic submission of their new State plan.

**4. Efforts to identify duplication.**

Prior legislative State plans expired March 31, 2007. They were developed, submitted, and approved under the Carl D. Perkins Vocational and Technical Education Act of 1998, which was repealed by P.L. 109-270, effective August 12, 2006. The new Act contains additional and more rigorous requirements for the submission of State plans that must be addressed in the new State plans.

**5. Small businesses.**

This collection does not impact small businesses.

**6. Consequence of less frequent collection.**

The State plan serves as the basis for the granting of Federal career and technical education funds under the Act. The Department of Education could not release funds to the States if the information collection was not conducted. The Act dictates the frequency of collection and the types of information that must be collected.

**7. Special circumstances.**

No such circumstances exist.

**8. Federal Register notice/consultation outside the agency.**

Time since enactment of the Act has not permitted consultation with eligible agencies prior to submission of this request. In early October 2006, we convened a meeting here in Washington, DC, of all the State Directors of Career and Technical Education to discuss the new provisions of the Act, including the new requirements concerning State plans. Since that time ongoing consultation is

achieved through monthly conference calls with the State Directors on a quarterly basis.

**9. Payments of gifts to respondents.**

We will not provide gifts or payment to respondents. The submission of a State plan is a prerequisite for eligible agencies to receive funds.

**10. Assurance of confidentiality.**

Confidentiality concerns are handled according to provisions in the Privacy Act and the Freedom of Information Act. No other pledges of confidentiality are made.

**11. Questions of a sensitive nature.**

There are no questions of a sensitive nature.

**12. Estimate of respondent burden.**

This request is for approval of one form only.

The Act requires eligible agencies in the 50 States, District of Columbia, Puerto Rico, U.S. Virgin Islands, American Samoa, Palau, and Guam to submit State plans in order to receive funds under the Act. State plans were due to be submitted to the Department by States on April 2, 2007. The duration of the plan is six years, but for Fiscal Year 2007 only, eligible agencies have the option of submitting a one-year transition plan in order to meet the State plan requirements of the Act. If an agency exercised this option, it submitted a five-year State plan by April 2, 2008. Agencies then submit annual revisions to their approved State plan that they determine to be necessary in accordance with EDGAR 76.703 (b)(3)(ii).

The development of the initial information collection package that permitted states to submit a one-year transition State plan, a five-year State plan or a six-year State plan was the product of extensive consultation with eligible agencies. The time required to develop state plans under the previously approved collection lead us to estimate that the development and submission of the information collected pursuant to Title I and Title II of the Act for submission of either a *six-year or five-year State plan* required an estimated average of 7,560 hours of professional staff time to gather, compile, review and prepare information and 1,620 hours of clerical staff time.

As a result of the experience gained during the development of the previous information collection packages, it is our judgment that the time required for developing either a *one-year transition State plan or State plan revisions* would be considerably less. Please note that during program years (2009 and 2011) the States are required to negotiate performance levels with the department.

The total estimated annual average cost over the three (3) program year period (i.e. FY-2010 to FY-2013) is \$45,900 for 56 respondents. This figure represents the salaries of one professional staff person who is projected to work an estimated annual average of 1692 hours at \$25 per hour (\$42,300), and one clerical staff person who will work an estimated annual average of 360 hours at \$10 per hour for a cost of \$3,600.

<b>Program Year</b>	<b>Estimated Number Of Responses</b>	<b>Type Of Staff</b>	<b>Estimated Number Of Burden Hours Per Response</b>	<b>Estimated Number Of Burden Hours</b>
2007-2008	54	Professional	140	7560
		Clerical	30	1620
		Total	170	9180
2008-2009	54	Professional	47	2538
		Clerical	10	540
		Total	57	3078
2009-2010	56	Professional	47	2538
		Clerical	10	540
		Total	57	3078
<b>2010-2011</b>	56	Professional	25	1269
		Clerical	5	270
		Total	30	1539
<b>2011-2012</b>	56	Professional	47	2538
		Clerical	10	540
		Total	57	3078
<b>2012-2013</b>	56	Professional	25	1269
		Clerical	5	270
		Total	30	1539
<b>Annual Average</b>	<b>56</b>	<b>n/a</b>	<b>39*</b>	<b>2052*</b>

**NOTE:** The revised “Estimated Number of Responses” from 54 to 56 (as seen in column 2) reflect the addition of two United States territories, the Republic of Palau and American Samoa. These territories are now required to submit a Perkins IV State plan and/or revisions to the OVAE. In past years these territories submitted their state plans and budgets to the Office of Elementary and Secondary Education.

In addition, please note that the above total annual averages are based on Program Years 2010-2013.

### **13. Estimate of cost to respondent.**

The total capital and start-up costs for this collection are zero. The information collection will not require the purchase of any capital equipment or create any start-up costs. Computers and software used to complete this information collection are part of the respondents' customary and usual business or private practices, and therefore are not included in this estimate.

The total for operation and maintenance and purchase of service components for this information is zero. The information collection will not create costs associated with generating, maintaining, and disclosing or providing the information not already identified in question 12 of this supporting statement.

**14. Estimate of costs to the Federal Government.**

The Federal cost is estimated to be approximately \$24,551. This includes salaries of program staff who will review State plans and State plan revisions. The method used to estimate the cost is as follows:

Program Office Staff:

3 GS-12 X 40 hours =	\$4,238
5 GS-13 X 40 hours =	\$8,400
6 GS-14 X 40 hours =	\$11,913
TOTAL =	\$24,551

TOTAL ESTIMATED FEDERAL COST = \$ 24,551

**15. Reasons for program changes or adjustments.**

The first three years of the Carl D. Perkins Career and Technical Education Act of 2006 required states to develop and submit either a five-year or six-year State plan. The burden hours associated with the collection of information during the first three years of the legislative requirements are significantly higher than what is estimated for the final three years of the legislative requirements. During the final *three* years of the Perkins legislative requirements, states are required to submit *revised* State plans and budgets. The submission of revised state plans and budgets will result in a *significant* reduction in the burden hours during the final three years of the legislative requirements

**16. Plans for tabulation and publication.**

There are no plans for complex analytical techniques or for publication of data from this collection, although each state plan is a public document.

**17. Display of OMB expiration date.**

We are not seeking this approval.

**18. Exceptions to the certification statement.**

This request is in compliance with 5 CFR 1320.9.

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

This collection of information does not employ statistical methods.