

**SUPPORTING STATEMENT FOR  
PAPERWORK REDUCTION ACT SUBMISSION**

**INVESTING IN INNOVATION (i3) GRANT PROGRAM**

**Justification:**

**1. Explain the circumstances that make the collection of information necessary.**

The Investing in Innovation (i3) Fund was established under section 14007 of the American Recovery and Reinvestment Act of 2009 (ARRA). An application is required to award the Investing in Innovation (i3) Program. Under the i3 program, three types of grants which include Scale-Up, Validation, and Development grants will be awarded. These grants are to provide funding to support local educational agencies (LEAs), and nonprofit organizations in partnership with one or more LEAs or a consortium of schools to apply for funding to expand and develop innovative practices that can serve as models of best practices, (2) allow eligible entities to work in partnership with the private sector and the philanthropic community, and (3) identify and document best practices that can be shared and taken to scale based on demonstrated success.

**2. Indicate how, by whom, and for what purpose the information is to be used.**

The application will allow LEAs and nonprofit organizations in partnership with one or more LEAs or a consortium of schools to apply for Federal assistance for each of the any of three grant competitions. The applicants will provide a description of their proposed activities and provide information necessary to determine which grant applications should be funded. The information provided in the application will allow field readers and the Department of Education to determine if applicants are eligible and identify which applications qualify for funding. An additional part of the application consists of assurances regarding the applicant's compliance with applicable Federal laws and regulations.

**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.**

Applicants are required to submit a mandatory E-grants application to the U.S. Department of Education. We will insert the most recent E-grants language in the application package shortly prior to announcing any future grant competition.

All applicants are required to submit their applications electronically through the E-grants application system.

**4. Describe efforts to identify duplication.**

The information supplied by the applicant is not in any other data collection, and is unique to this program and the particular grantee. The application is a single document intended to serve a specific authorized purpose, and is in keeping with statutory requirements.

**5. If the collection of information impacts small businesses or other small entities, describe any methods used to minimize burden.**

Small businesses are not impacted by this data collection.

**6. Describe the consequences to Federal program or policy activities if the collection is not conducted or is conducted less frequently**

The Department cannot distribute these grant awards to recipients without an application requesting the funds. If no application information were collected, the Department would not know which organizations want or merit funding.

**7. Explain any special circumstance that would cause an information collection**

There are no special circumstances that require the collection to be conducted in a manner inconsistent with the guidelines in 5 CFR 1320.5.

**8. 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.**

The Department has consulted with potential applicants, other interested organizations and entities to obtain their views on the availability of possible requested information and potential application processes for these grants.

We will seek public comment via the appropriate Federal Register notices.

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

No gifts or payments will be made to application respondents other than the award to the grant recipient.

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

No assurance of confidentiality is provided.

**11. Provide additional justification for any questions of a sensitive nature**

There is no question of sensitive nature in this collection of information.

**12. Provide estimates of the hour burden of the collection of information.**

**Scale Up Grants:**

***Estimated data burden for Scale-Up grants:***

Annual reporting burden per response (preparing and submitting application):

120 hours x 100 applicants = 12,000 hours

**Total Burden for Scale-Up Grant = 12,000 hours**

***Estimated respondent cost for Scale-Up grants:***

Estimated respondent cost for an application is based on 120 hours per application for Scale Up grants. The figure of 120 hours is based on our own experience and the comments the eligible applicants that we consulted.

*We estimate respondent cost at an average of \$25 per hour so that the average cost*

*per application would be  $\$25 \times 120 \text{ hours} = \$3000$ .*

We expect that a total of 100 applications will be received from eligible applicants. **Total estimated cost for Scale-Up grants:  $\$3000 \times 100 \text{ applications} = \$300,000$**

**Validation Grants:**

***Estimated data burden for Validation grants:***

Annual reporting burden per response (preparing and submitting application):

120 hours x 500 applicants = 60,000 hours

***Estimated respondent cost for Validation grants:***

Estimated respondent cost for an application is based on 120 hours per application for Validation grants. The figure of 120 hours is based on our own experience and the comments the eligible applicants that we consulted.

We estimate respondent cost at an average of \$25 per hour so that the average cost per application would be  $\$25 \times 120 \text{ hours} = \$3000$ .

We expect that a total of 500 applications will be received from eligible applicants. **Total estimated cost for Validation grants:  $\$3000 \times 500 \text{ applications} = \$1,500,000$**

### **Development Grants:**

#### ***Estimated data burden for Development grants:***

Annual reporting burden per response (preparing and submitting application):

60 hours x 2100 applicants = 126,000 hours

#### ***Estimated respondent cost for Development grants:***

Estimated respondent cost for an application is based on 60 hours per application for Development grants. The figure of 60 hours is based on our own experience and the comments the eligible applicants that we consulted.

We estimate respondent cost at an average of \$25 per hour so that the average cost per application would be  $\$25 \times 60 \text{ hours} = \$1500$ .

We expect that a total of 2100 applications will be received from eligible applicants 2000 pre-applications and full 100 applications.

**Total estimated cost for Development grants:  $\$1500 \times 2100 \text{ applications} = \$3,150,000$**

**Grand total for all three (i3) grants:**

***Estimated overall data burden for all three grants:***

Annual reporting burden per response (preparing and submitting application):

Scale-Up grants: 120 hours x 100 applicants = 12,000 hours  
Validation grants: 120 hours x 500 applicants = 60,000 hours  
Development grants: 60 hours x 2100 applicants = 126,000 hours  
**Total: 2700 applicants and 198,000 hours**

***Estimated overall cost burden for all three grants:***

Estimated cost for Scale-Up grants: \$3000 x 100 applications = \$300,000  
Estimated cost for Validation grants: \$3000 x 500 applications = \$1,500,000  
Estimated cost for Development grants: \$1500 x 2100 applications = \$3,150,000  
= **Total: \$4,950,000**

**13. Provide an estimate of the total annual cost burden to respondents or record keepers resulting from the collection of information.**

There are no startup costs to respondents.

**14. Estimated annualized Federal cost:**

There will be at least 4 program personnel dedicated solely to the i3 program along with an assigned contractor of \$4,950,000 will be the estimated annual Federal cost.

**15. Explain the reasons for any program changes or adjustments reported in Items 13 or 14**

The i3 program is a new program, therefore all burden is considered new.

**16. For collections of information whose results will be published, outline plans for tabulation and publication.**

There is no plan for publication.

**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 expiration date will be displayed on the information collection.

**18. Explain each exception to the certification statement identified in Item 20, "Certification for Paperwork Reduction Act Submissions form"**

There is no exception to the "Certification for Paperwork Reduction Act Submissions"