SUPPORTING STATEMENT FOR PAPERWORK REDUCTION ACT SUBMISSION
APPLICATION FOR GRANTS UNDER THE HISPANIC-SERVING INSTITUTIONS PROGRAM (HSI) STEM AND ARTICULATION PROGRAM

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.***

Collection of the information is necessary so that the Secretary of Education can carry out the Hispanic-Serving Institutions (HSI) Science Technology Engineering and Mathematics (STEM) and Articulation Program authorized under section 371 of the Higher Education Act of 1965, as amended (HEA). The information will be used in the evaluation process to determine whether proposed activities are consistent with legislated activities and to determine the dollar share of the Congressional appropriation to be awarded to successful applicants. The purpose of the HSI STEM and Articulation Program is to assist eligible Hispanic-Serving Institutions to develop and carry out activities to improve and expand the institutions' capacity to serve Hispanic and other low-income students, with a priority given to applications that propose to increase the number of Hispanic and other low income students attaining degrees in the fields of science, technology, engineering, or mathematics, and to develop model transfer and articulation agreements between 2-year HSIs and 4-year institutions in such fields.

Information is collected under authority of The Health Care and Education Reconciliation Act of 2010 (P.L. 111-152) that provided new authority to implement the HSI STEM and Articulation Program under Part F, Section 371 (a) (2) and (b) (2) (B) of the HEA; the Education Department General Administrative Regulations 34 CFR parts 74, 75, 77, 79, 82, 84, 85, 86, 97, 98, and 99; the notice of final supplemental priorities and definitions for discretionary grant programs published in the Federal Register on December 15, 2010; enrollment of needy students provisions in 34 CFR 606.3 and the low educational and general expenditures provisions in 34 CFR 606.4 as part of the eligibility criteria; unallowable activities in 34 CFR 606.10 (c); and the tie-breaker provisions in 34 CFR 606.23 (b). This discretionary grant falls under the Streamlined Clearance Process for Discretionary Grant Information Collections, 1894-0001.

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.***

This collection of information is gathered electronically by the Department for the purpose of obtaining programmatic and budgetary information needed to evaluate applications and to make funding decisions based on the authorizing statute and the published selection criteria.

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 Office of Postsecondary Education is committed to the reduction of paperwork and has been collecting this information electronically since 2000. Electronic submission has reduced the burden for both the applicants and Department 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 information submitted in each application is unique to each respondent. No other existing information collection can serve the purposes described in item 2.

5. ***If the collection of information impacts small businesses or other small entities (Item 8b of IC Data Part 2), describe any methods used to minimize burden.***

Not applicable – small businesses or other small entities would not be impacted by this collection.

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.***

This collection will be conducted annually, based on availability of funding for new grants under Title III, Part F, Section 371 of the HEA. If the collection were not conducted annually, appropriated funds could not be spent.

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 special circumstances as outlined in #7 of the instructions.

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.

Since this is a discretionary grant only a 30-day day *Federal Register Notice* is applicable. Publication of the 30-day *Federal Register Notice* was published as required by 5 CFR 1320.8(d).

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 provided to respondents.

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

There are no assurances of confidentiality.

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.

Questions of a sensitive nature are not included in this information collection.

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 16 of IC Data Part 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.***

Total hour burden of this collection of information is 6,750 hours with 225 respondents; 150 professional respondents taking 35 hours to complete the application, and 75 clerical respondents taking 20 hours to complete the application. Applications will be submitted annually.

150 professional respondents x 35 hours=5250
75 clerical respondents x 20 hours=1500
Total Burden Hours=6750

Estimated cost to respondents:

Professionals	
(150 personnel X 35 hours X $38 per hour)	$199,500
Clerical	
(75 personnel X 20 hours X $17 per hour)	$ 25,500
Total estimated costs to respondents	**$225,000**

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

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.

Estimated annual cost to the Federal Government:

Development and Approval Process	
(2 staff X 75 hours X $40 per hour)	$ 6,000
Printing	
(150 applications X $4 per app)	$ 600
Mailing	
(40 applications X $.75 per copy)	$ 30
Peer Review Planning and Coordination	
(30 days X 4 staff X $300 per day)	$ 36,000
Peer Review (Stipends and Training)	
(75 peer reviewers X $1,000)	$ 75,000
(10 alternate peer reviewers X $100)	$ 1,000
Peer Review (Travel to DC, Per Diem, Rooms) 75 X $2,279	$170, 925
Peer Review (Costs associated with hotel space: Control rooms, panel rooms, internet service, Laptop rental, printer rental, incidentals)	$30, 520
Analyses and Evaluation	
(30 days X 5 staff X $300 per day)	$ 45,000
Monitoring of Grants	
(160 days X 5 staff X $300 per day)	$240,000
World Wide Web Preparation for Posting	
(4 hours X 1 staff X $38 per hour)	$ 152
Total estimated cost to the Federal Government	**$ 605,227**

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

A program change increase of 3,250 due to a statutory change based on the passage of the Health Care and Reconciliation Act of 2010. The 2008 ICR submission did not breakout respondents, this submission reports 150 professional at 35 hours and 75 clerical at 20 hours, for a program change increase of 3250.

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.

Results of the collected information will not be published.

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.

This report will display the expiration date for the OMB approval of the information collection.

18. Explain each exception to the certification statement identified in the Certification of Paperwork Reduction Act.

There are no exceptions to the certification statement.

B. Collections of Information Employing Statistical Methods

This collection of information does not employ statistical methods.