

**INFORMATION COLLECTION SUPPORTING STATEMENT**  
**FAA Research and Development Grants**  
**2120-0559**

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

The Federal Aviation Administration Research, Engineering, and Development Authorization Act of 1990, P.L. 101-508, Section 9205 and Section 9208, created the Aviation Research Grants Program to be utilized by the FAA to “conduct aviation research into areas deemed by the Administrator to be required for the long-term growth of civil aviation.”

**2. Indicate how, by whom, and for what purpose the information is to be used and the consequence to Federal program or policy activities if the collection of information was not conducted.**

The Administrator of the FAA is empowered under this program to make directed grants for research and development deemed by the Administrator to be required for the long-term growth of civil aviation. Information is required from grantees for the purpose of grant administration and review in accordance with applicable OMB circulars (i.e., A-110, A-21, etc.). The collection of data is required in order to adhere to the statutes and OMB circulars. The information is collected through a solicitation that has been published by the FAA. Prospective grantees respond to the solicitation using a proposal format outlined in the solicitation in adherence to applicable FAA directives, statutes, and OMB circulars.

**a) The following electronic form is used:** SF 424, Application for Federal Assistance

**b) The following paper forms are used:**

- 1) FAA 9550-5, Final Project Report
- 2) SF 270, Request for Advance or Reimbursement
- 3) SF 425, Federal Financial Report
- 4) SF 3881, ACH Vendor/Miscellaneous Payment Enrollment Form

**3. Describe whether, and to what extent, the collection of information involves the use of automated, electronic, mechanical, or other technological collection techniques or other forms of information technology. e.g. permitting electronic submission of responses, and the basis for the decision for adopting this means of collection. Also describe any consideration of using information technology to reduce burden.**

The FAA Grants Office currently accepts proposals solely by electronic submission of grants via the Grants.gov website. We continue to upgrade our Grants Database to help in better serving our customers. In compliance with the Government Paperwork Elimination Act, we have developed a web site at <http://www.tc.faa.gov/logistics/grants>. The site contains information pertaining to requirements for submission of proposals and forms to download. This reduces the need for printing of handbooks, solicitations, forms, etc. The site contains internal FAA forms that the technical monitors now fill out and submit 100% electronically. Additionally, we scan final technical grant reports so that they can be reviewed and downloaded from the web. We are also uploading grant award information on the FAA home page to enable the public to review all FAA Aviation Research Grant awards.

**4. Describe effort to identify duplication and show specifically why any similar information already available cannot be used or modified for use for the purpose(s) described in 2 above.**

The FAA Grants Program requires information from prospective grantees that is unique to the implementation of the enabling legislation and is not currently available through other programs.

Similar information has not been requested from organizations meeting the legislative requirements who received Federal funding under the FAA Grants Program and is, therefore, not available to the FAA.

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

The information requested consists of that which is required to be in compliance with the enabling legislation and applicable OMB circulars. The Program will make use, whenever practical and efficient, of Federal Standard Forms and only those identified additional forms that are necessary for the proper administration of the Grant Program (reference paragraph 2 of this document).

**6. Describe the consequences to Federal program or policy activities if the collection were conducted less frequently.**

The timely issuance of authorized Federal grant monies to the grantee would be hampered if the information that is required for adherence to OMB circulars and applicable legislation, regulation or rules were conducted less frequently.

**7. Explain any special circumstances that require that collection to be conducted in a manner inconsistent with the guidelines in 5 CFR 1320.5(d)(2).**

The requirement for the collection of information is consistent with the guidelines in 5 CFR 1320.5(d)(2).

**8. Provide a copy and identify date and page number of publication in the Federal Register of the agency's notice required by 5 CFR 1320.8(d) and describe efforts to consult with persons outside the agency to obtain their views on the availability of data, frequency of collection, the clarity of instructions and recordkeeping, disclosure, or reporting format, if any, and the data elements to be recorded, disclosed or reported.**

A notice for public comments was published in the Federal Register on June 27, 2013, vol. 78, no. 124, pages 38795-38796. No comments were received.

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

None.

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

Portions of proposals resulting in awards that contain descriptions of inventions in which either the Federal Government or the grantee owns or may own a right, title, or interest (including a nonexclusive license) will not normally be made available to the public until after a reasonable time

for the filing of a patent application. It will be the policy of the FAA to notify the grantee of requests for funded proposals in order for the grantee to advise the FAA whether there are any such inventions described in the proposal.

The Freedom of Information Act (FOIA) required that records in the possession of the FAA, including records originating elsewhere, be made available to the public unless they fall within one or more of nine exemptions. FAA's FOIA regulations are published in 49 CFR 7.

Prior to award, FAA grant proposals are treated as exempt from disclosure because they contain confidential and personal information. After award, most information in proposals must be disclosed on request.

Merit reviews are normally held confidential, except for disclosure (without identification of the reviewer) to the Principal Investigator. Certain Congressional committees and subcommittees may obtain copies of proposals and merit reviews including names of reviewers. The Government Accountability Office (GAO) also has access to merit reviews as part of its regular audit function.

**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. This justification should include the reasons why the agency considered 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.**

Information collection of this nature is not included at this time.

**12. Provide estimates of the hour burden of the collection of information and provide estimates of annualized cost to respondents for the hour burdens for collections of information identifying and using appropriate wage rate categories.**

It is anticipated that there will be approximately 100 respondents per year. Each respondent will generally be submitting one response to the FAA's solicitation and incur an annual burden of about 6.5 hours of form preparation time for a total of 650 hours. This was estimated based on the time it is expected to take to completely and accurately prepare the required forms for submittal to the agency. Indicated below is the estimated time that will be required to prepare the forms required:

Form Title	Time/Hours
FAA 9550-5, Final Project Report	3 hours
SF 270, Request for Advance or Reimbursement	1 hour
SF 425, Federal Financial Report	1.5 hours
SF 424, Application for Federal Assistance	.75 hours
SF 3881, ACH Vendor/Miscellaneous Payment Enrollment Form	.25 hours
Total: 6.5 hours	

The estimated cost to the respondents for the preparation of responses to FAA solicitations is approximately \$163 per year. This will total about \$105,950 using the anticipated 100 respondents expected to participate. This is based on the approximate average salary of the personnel that are generally assigned the task of responding to Federal solicitations and the amount of time that will be required to prepare the necessary forms. These figures are detailed above.

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

No additional start-up costs involved. Information included in item 12 above.

**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.**

The estimated cost to the Federal Government for the forms processing requirements of the Grants Program would, on average, be approximately \$25,000 per year. This estimate is based on the expected grade level of proposal review personnel, which will consist of federal employees, reviewing an expected 200 responses, which include proposals, final reports, etc. on average annually and requiring approximately 3 hours to perform the review process.

**15. Explain the reasons for any program changes or adjustments reported in items 13 or 14 of OMB Form 83.1**

Salary figures have been updated since the last submission to reflect more current wage rates.

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

The results of the collection of information are not intended for publication for statistical purposes.

**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.**

FAA is not seeking approval to not display the expiration date.

**18. Explain each exception to the certifications statement identified in Item 19, "Certification for Paperwork Reduction Act Submissions," of OMB Form 83-1.**

There are no exceptions.