

**U.S. Department of Education**

Teacher Incentive Fund (TIF)

*Office of Management and Budget  
Clearance Package Supporting Statement  
And Data Collection Instrument*

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## **A. JUSTIFICATION**

**A1. 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 the information.**

The Department of Education (ED) is currently collecting information for the Teacher Incentive Fund (TIF) Annual Performance Report (APR) using the standard ED form 524B. This information is being collected in compliance with the Government Performance Results Act (GPRA) of 1993, Section 4 (1115) (shown in appendix B), and the Education Department General Administrative Regulations (EDGAR), 34 CFR 75.253. EDGAR states that recipients of multi-year discretionary grants must submit an APR demonstrating that substantial progress has been made towards meeting the approved objectives of the project. In addition, EDGAR requires discretionary grantees to report on their progress toward meeting the performance measures established for the ED grant program.

ED requests a customized APR that goes beyond the generic 524B APR to facilitate the collection of more standardized and comprehensive data to inform the GPRA measures for this grant program, to improve the overall quality of data collected, and to increase the quality of data that can be used to inform policy decisions as well as Congress.

**A2. Indicate how, by whom, and for what purpose the information will be used. Except for a new collection, indicate the actual use the agency has made of the information received from the current collection.**

The TIF office staff will collect information via the APR submitted by TIF grantees in compliance with GPRA 1993 section 4, sub-section 1115. APRs are submitted once a year and are used to monitor grantee progress. We request a customized APR that goes beyond the generic 524B APR to facilitate the collection of more standardized and comprehensive data to inform GPRA, to improve the overall quality of data collected, and to increase the quality of data that can be used for evaluation and to inform policy decisions and well as Congress.

**A3. 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.**

The revised APR form will be collected via an online form accessible only to grantees. This may improve the timeliness of submission, accuracy of data, and reduce cost or burden associated with regular mail or email. It will also reduce the TIF office's cost associated with data analysis. All information collected in support of the APR will be collected in compliance with grantee evaluation requirements.

**A4. Describe efforts to identify duplication. Show specifically why any similar information already available cannot be used or modified for use for the purposes described in item 2 above.**

There is no duplication of reporting on the TIF APR. Data are reported annually covering the specified reporting period. The information requested on the APR from TIF grantees is not collected or reported elsewhere. It will replace and enhance the data currently collected by the 524-B form.

**A5. If the collection of information involves small businesses or other small entities, describe any methods used to minimize burden.**

The data collection does not involve small businesses or other small entities.

**A6. Describe the consequences to the 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 APR is a requirement of funded TIF projects, as stipulated in GPRA 1993, Section 4. Annual reporting ensures each grantee is:

- implementing project activities as described in their grant proposal and funding agreement;
- reducing waste and inefficiencies through the collection, analysis and use of formative information;
- contributing to desired progress on program indicators.

Less frequent or no annual reporting risks waste, inefficiency and/or lack of progress on desired indicators due to insufficient oversight.

**A7. Explain any special circumstances that require the collection to be conducted in a manner inconsistent with OMB guidelines.**

There are no special circumstances that would require the collection to be conducted in a manner inconsistent with OMB guidelines.

**A8. 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 comment on the information collection prior to submission to OMB. Summarize the public comments received in response to that notice and describe the actions taken by the agency in response to those 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 instructions and recordkeeping, disclosure, or reporting format (if any), and on the data elements to be recorded, disclosed, or reported.**

OESE published both a 60-day and 30-day Federal Register notice and did not receive any public comments during the 60-day comment period.

Also, OESE consulted with TIF project Directors, a draft of the TIF APR was electronically mailed to a small subset of TIF project directors (six project directors in total). The project directors were asked to provide written feedback on the draft APR, but they were not asked to actually complete the APR. The project directors offered feedback on the topics of: 1) availability of data, 2) clarity of instructions and recordkeeping, 3) estimated number of burden hours, and 4) estimated costs to the project. The TIF APR has since been revised to reflect grantees' suggested improvements derived from the written feedback received from the project directors.

**A9. Explain any decision to provide payments or gifts to respondents, other than remuneration of contractors or grantees.**

There are no payments or gifts to grantees in support of the data collection.

**A10. Describe any assurance of confidentiality provided to respondents and the basis for assurance in statute, regulation, or agency policy.**

There are no assurances of confidentiality to grantees, as information collected through APR is considered public information and releasable under FOIA.

**A11. 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.**

There are no questions of a sensitive nature on the APR.

**A12. Provide an estimate in hours of the burden of the collection of information.**

We anticipate a burden of approximately 46 hours per grantee. With 92 grantees, that would be a total of about 4,232 hours. Using a cost estimate of \$40 per hour, the cost burden per grantee would be about \$1,840.00, or a total for all 92 grantees of about \$169,280.00.

Please note TIF staff consulted with six TIF respondents to arrive at the 46 hour response estimate.

**A13. Provide an estimate of the total annual cost burden to the respondents or recordkeepers resulting from the collection of information (do not include the cost of any hour burden shown in items #12 and #14).**

There are no additional costs to respondents or record-keepers resulting from the collection other than already reported in A12 and A14, including capital or start-up costs, or operation, maintenance, or purchase of services.

**A14. Provide estimates of annualized cost to the Federal government.**

TIF Team GS Grade Levels	Hourly Salary Rates	Estimated No. of Grantees	Estimated No. of Burden Hours per Staff Member per APR Review	Estimated Annualized Cost to Fed. Gov.'t
GS-12 = 4 staff	\$35.88 (x 4 = \$143.52)	Est. 7 grantees each (28 total)	8	\$8,037.12
GS-13 = 5 staff	\$42.66 (x 5 = \$213.30)	Est. 7 grantees each (36 total because one staff has 8)	8	\$12,286.08
GS-14 = 4 staff	\$50.41 (x 4 = \$201.64)	Est. 7 grantees each (28 total)	8	\$11,291.84
Total: 13 TIF staff	Total: \$558.46	Total: 92 grantees	Total: 24 hrs.	<b>Total: 31,615.04</b>

**A15. Explain the reasons for any program changes or adjustments reported in Items 13 or 14 of the OMB 83-I.**

This is a new customized APR has additional reporting requirements that are not included in the generic 524B reporting form. Therefore, there is a program change increase of 4,232 hours.

**A16. For collections whose results will be published, outline the plans for tabulation and publication.**

The results from this collection will not be published.

**A17. If seeking approval to not display the expiration date for OMB approval of the information**

**collection, explain the reasons why display would be inappropriate.**

The OMB number and expiration date will be displayed on the data collection form.

**A18. Explain each exception to the certification statement identified in Item 19 of the OMB 83-I.**

There are no exceptions to the certification statement.

## **B. COLLECTIONS OF INFORMATION EMPLOYING STATISTICAL METHODS**

Data collection does not employ statistical methods.

## **Appendix A: Authorizing Legislation for TIF 3**

### **The Teacher Incentive Fund (TIF) is authorized in P.L. 111-117 –FY 2010 Appropriations Language**

*Provided further,* That \$400,000,000 of the funds for subpart 1 of part D of title V of the ESEA shall be for competitive grants to local educational agencies, including charter schools that are local educational agencies, or States, or partnerships of: (1) a local educational agency, a State, or both; and (2) at least one non-profit organization to develop and implement performance-based compensation systems for teachers, principals, and other personnel in high-need schools.

*Provided further,* That such performance-based compensation systems must consider gains in student academic achievement as well as classroom evaluations conducted multiple times during each school year among other factors and provide educators with incentives to take on additional responsibilities and leadership roles.

*Provided further,* That recipients of such grants shall demonstrate that such performance-based systems are developed with the input of teachers and school leaders in the schools and local educational agencies to be served by the grant.

*Provided further,* That recipients of such grants may use such funds to develop or improve systems and tools (which may be developed and used for the entire local educational agency or only for schools served under the grant) that would enhance the quality and success of the compensation system, such as high-quality teacher evaluations and tools to measure growth in student achievement.

*Provided further,* That applications for such grants shall include a plan to sustain financially the activities conducted and systems developed under the grant once the grant period has expired: *Provided further,* That up to 5 percent of such funds for competitive grants shall be available for technical assistance, training, peer review of applications, program outreach and evaluation activities.



## **Appendix B: Authorizing Legislation for TIF 4**

### **The Teacher Incentive Fund TIF) is authorized in P.L. 112-74-- FY 2012 Consolidated Appropriations Act of 2012, Title V, Part D.**

Provided further, That \$300,000,000 of the funds for subpart 1 of part D of title V of the ESEA shall be for competitive grants to local educational agencies, including charter schools that are local educational agencies, or States, or partnerships of: (1) a local educational agency, a State, or both; and (2) at least one nonprofit organization to develop and implement performance-based compensation systems for teachers, principals, and other personnel in high-need schools: Provided further, That such performance-based compensation systems must consider gains in student academic achievement as well as classroom evaluations conducted multiple times during each school year among other factors and provide educators with incentives to take on additional responsibilities and leadership roles: Provided further, That recipients of such grants shall demonstrate that such performance-based compensation systems are developed with the input of teachers and school leaders in the schools and local educational agencies to be served by the grant: Provided further, That recipients of such grants may use such funds to develop or improve systems and tools (which may be developed and used for the entire local educational agency or only for schools served under the grant) that would enhance the quality and success of the compensation system, such as high-quality teacher evaluations and tools to measure growth in student achievement. Provided further, That applications for such grants shall include a plan to sustain financially the activities conducted and systems developed under the grant once the grant period has expired: Provided further, That up to 5 percent of such funds for competitive grants shall be available for technical assistance, training, peer review of applications, program outreach, and evaluation activities.

## **Appendix C: Government Performance Results Act of 1993**

### SECTION 4. ANNUAL PERFORMANCE PLANS AND REPORTS.

(a) Budget Contents and Submission to Congress.-Section 1105(a) of title 31, United States Code, is amended by adding at the end thereof the following new paragraph:

"(29) beginning with fiscal year 1999, a Federal Government performance plan for the overall budget as provided for under section 1115."

(b) Performance Plans and Reports.-Chapter 11 of title 31, United States Code, is amended by adding after section 1114 the following new sections:

"Sec. 1115. Performance plans

(a) In carrying out the provisions of section 1105(a)(29), the Director of the Office of Management and Budget shall require each agency to prepare an annual performance plan covering each program activity set forth in the budget of such agency. Such plan shall-

"(1) establish performance goals to define the level of performance to be achieved by a program activity;

"(2) express such goals in an objective, quantifiable, and measurable form unless authorized to be in an alternative form under subsection (b);

"(3) briefly describe the operational processes, skills and technology, and the human, capital, information, or other resources required to meet the performance goals;

"(4) establish performance indicators to be used in measuring or assessing the relevant outputs, service levels, and outcomes of each program activity;

"(5) provide a basis for comparing actual program results with the established performance goals; and

"(6) describe the means to be used to verify and validate measured values.

(b) If an agency, in consultation with the Director of the Office of Management and Budget, determines that it is not feasible to express the performance goals for a particular program activity in an objective, quantifiable, and measurable form, the Director of the Office of Management and Budget may authorize an alternative form. Such alternative form shall-

"(1) include separate descriptive statements of-

"(A)(i) a minimally effective program, and

"(ii) a successful program, or

"(B) such alternative as authorized by the Director of the Office of Management and Budget, with sufficient precision and in such terms that would allow for an accurate, independent determination of whether the program activity's performance meets the criteria of the description; or

"(2) state why it is infeasible or impractical to express a performance goal in any form for the program activity.

"(c) For the purpose of complying with this section, an agency may aggregate, disaggregate, or consolidate program activities, except that any aggregation or consolidation may not omit or minimize the significance of any program activity constituting a major function or operation for the agency.

"(d) An agency may submit with its annual performance plan an appendix covering any portion of the plan that-

"(1) is specifically authorized under criteria established by an Executive order to be kept secret in the interest of national defense or foreign policy; and

"(2) is properly classified pursuant to such Executive order.

"(e) The functions and activities of this section shall be considered to be inherently Governmental functions. The drafting of performance plans under this section shall be performed only by Federal employees.

"(f) For purposes of this section and sections 1116 through 1119, and sections 9703 and 9704 the term-

"(1) 'agency' has the same meaning as such term is defined under section 306(f) of title 5;

"(2) 'outcome measure' means an assessment of the results of a program activity compared to its intended purpose;

"(3) 'output measure' means the tabulation, calculation, or recording of activity or effort and can be expressed in a quantitative or qualitative manner;

"(4) 'performance goal' means a target level of performance expressed as a tangible, measurable objective, against which actual achievement can be compared, including a goal expressed as a quantitative standard, value, or rate;

"(5) 'performance indicator' means a particular value or characteristic used to measure output or outcome;

"(6) 'program activity' means a specific activity or project as listed in the program and financing schedules of the annual budget of the United States Government; and

"(7) 'program evaluation' means an assessment, through objective measurement and systematic analysis, of the manner and extent to which Federal programs achieve intended objectives.

"Sec. 1116. Program performance reports

"(a) No later than March 31, 2000, and no later than March 31 of each year thereafter, the head of each agency shall prepare and submit to the President and the Congress, a report on program performance for the previous fiscal year.

"(b)(1) Each program performance report shall set forth the performance indicators established in the agency performance plan under section 1115, along with the actual program performance achieved compared with the performance goals expressed in the plan for that fiscal year.

"(2) If performance goals are specified in an alternative form under section 1115(b), the results of such program shall be described in relation to such specifications, including whether the performance failed to meet the criteria of a minimally effective or successful program.

"(c) The report for fiscal year 2000 shall include actual results for the preceding fiscal year, the report for fiscal year 2001 shall include actual results for the two preceding fiscal years, and the report for fiscal year 2002 and all subsequent reports shall include actual results for the three preceding fiscal years.

"(d) Each report shall-

"(1) review the success of achieving the performance goals of the fiscal year;

"(2) evaluate the performance plan for the current fiscal year relative to the performance achieved toward the performance goals in the fiscal year covered by the report;

"(3) explain and describe, where a performance goal has not been met (including when a program activity's performance is determined not to have met the criteria of a successful program activity under section 1115(b)(1)(A)(ii) or a corresponding level of achievement if another alternative form is used)-

"(A) why the goal was not met;

"(B) those plans and schedules for achieving the established performance goal; and

"(C) if the performance goal is impractical or infeasible, why that is the case and what action is recommended;

"(4) describe the use and assess the effectiveness in achieving performance goals of any waiver under section 9703 of this title; and

"(5) include the summary findings of those program evaluations completed during the fiscal year covered by the report.

"(e) An agency head may include all program performance information required annually under this section in an annual financial statement required under section 3515 if any such statement is submitted to the Congress no later than March 31 of the applicable fiscal year.

"(f) The functions and activities of this section shall be considered to be inherently Governmental functions. The drafting of program performance reports under this section shall be performed only by Federal employees.

"Sec. 1117. Exemption

"The Director of the Office of Management and Budget may exempt from the requirements of sections 1115 and 1116 of this title and section 306 of title 5, any agency with annual outlays of \$20,000,000 or less."

## **Appendix D: Data Collection Instrument**