

SUPPORTING STATEMENT

Title of Information Collection: Grant Applicant Demographic Data Collection

Type of Information Collection: New

A. Justification

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

The Federal Government has a continuing commitment to monitor the operation of its review and award processes to identify and address any inequities in the awarding of grants consistent with the Civil Rights laws of the United States,

NASA is requesting demographic data based on gender, race, ethnicity, or disability of its proposed Principle Investigators/Co-Investigators in order to ensure compliance with Title VI of the Civil Rights Act of 1964, 42 U.S.C. § 2000d et seq., Title IX of the Education Amendments of 1972, 20 U.S.C. A § 1681 et seq., Section 504 of the Rehabilitation Act of 1973, 29 U.S.C. § 701 et seq., and NASA's implementing regulations.

NASA has not previously collected demographic data on grant applicants in Science, Technology, Engineering, Math (STEM) solicitations and therefore have no data to compare the number of grants awarded to females or underrepresented researchers in the scientific community. NASA has chosen to focus on gender, race, and ethnicity because such groups are typically underrepresented in the STEM fields and NASA's strategic goal is to ensure all qualified proposers are evaluated based solely on the quality of the proposal submitted. Collecting these demographic data will provide insight and the opportunity to better manage the award process and help the Agency or Nation attract the highest caliber of scientists and engineers possible. In addition, such demographic collection is consistent with the practices of other science agencies such as the National Science Foundation and the National Institutes of Health.

2. Indicate how, by whom, how frequently, and for what purpose the information will be used.

NASA solicits scientific research proposals in the areas of aeronautics, planetary, Earth, heliophysics, astrophysics, life sciences (space biology and human research), and physical sciences fields. NASA research proposal solicitations occur six – ten times per year, targeting one or more of the seven science areas listed above.

Beginning in early 2016, each NASA research solicitation will include information regarding the NASA Form 1839/*Demographic Data Collection*, its purpose, and instructions to fill and submit. The NASA Form 1839 requests that the proposer fill out a

single form for each of the following roles:

- Principal Investigator/Project Director
- Co-Principal Investigator/Co-Project Directors

The NF 1839 will be used to collect the following information:

- demographic data to include gender
- ethnicity
- race
- disability status
- citizenship

The NF1839 will also collect information related to current and/or previous project funding while serving in following roles:

- Principal Investigator
- Co-Principal Investigator
- Principal Director
- Co-Principal Director

Collecting information regarding prior history of grant awards on PIs enables NASA to develop trends. This establishes whether PIs have been successful (receiving grant awards) over time or whether they are consistently unsuccessful. This will help NASA determine whether a bias in grant selections is occurring.

Response is voluntary.

When grant proposals are received, each NF1839 submitted will be separated from the proposal and will not be a factor in the proposal review and award process.

The data collected via NF1829 will be analyzed by a third party and a summary report will be generated for each solicitation.

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.

NASA Form 1839 'Demographic Data Collection' will be in an electronic format with capability to be filled in electronically. Completed NASA 1839 forms will reside in electronic form in the NASA Solicitation and Proposal Integrated Review and Evaluation System (NSPIRES) database.

Blank NASA Form 1839 'Demographic Data Collection' will be available in PDF format that can be filled in electronically. It will be available to the public via NASA Electronic

Forms System (NEFS).

4. Describe efforts to identify duplication.

This survey is focused solely on the researchers submitting proposals to NASA scientific solicitations. There is no duplication within NASA since there are no other sources in the agency available to collect this information.

This survey is collecting data similar to the National Science Foundation and the National Institutes of Health. It is not duplicative since each agency uses a different panel of reviewers for their proposal assessments and each agency has differing missions resulting in solicitations focusing on different topical areas.

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

Proposals to NASA scientific solicitations typically originate from academic institutions. In some cases large aerospace companies may be listed as co-investigators. Rarely are small businesses included in the proposals and never as principal investigators or co-investigators, in the solicitations we will be collecting the data on. Therefore, small businesses will not be required to complete the survey.

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

The Federal Government has a continuing commitment to monitor the operation of its review and award processes to identify and address any inequities based on gender, race, ethnicity, or disability of its proposed Principle Investigators/Co-Investigators.

NASA funds research in science, technology, engineering, and math (STEM fields.) If the collection is not conducted, NASA will not be able to analyze differences, if any, regarding grant awards to women, men, and minorities in STEM fields.

7. Explain any special circumstances that would cause an information collection to be conducted in certain manners (as listed).

- 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 3 years;
- In connection with a statistical survey, that is not designed to produce valid and reliable results that can be generalized to the universe of study;
- Requiring the use of a statistical data classification that has not be 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 secret, 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. The collection of information is conducted in a manner consistent with the guidelines in 5 CFR 1320.6.

8. Provide the date and page number of publication in the Federal Register for the 60-day and 30-day FRNs, required by 5 CFR 1320.8(d), soliciting comments on the information collection prior to submission to OMB.

60-day FRN: Federal Register Volume 80, Number 116, on Wednesday, June 17, 2015.

No comments were received.

30-day FRN: Federal Register Volume 80, Number 167, on August 28, 2015.

No comments were received.

The information collection instruments were not pre-tested. However, NASA reviewed comparable information collection instruments used by the National Science Foundation and the United States Department of Agriculture.

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

No payments, gifts, or other remuneration are provided to respondents.

10. Describe any assurance of confidentiality provided to respondents and the basis for the assurance in statute

Privacy protected data are not collected as part of this information collection.

The form will be separated from the rest of the proposal package and associated only with

the solicitation number so the required data can be analyzed.

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.

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

Category of Respondents	Number of Respondents	Estimated Burden per Response	Estimated Burden Hours
Individuals	1000	5 minutes	83.3 hours

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

The estimate of the total cost burden per respondent is approximately \$7.50, which is based on an estimate of 5 minutes of effort multiplied by \$90 (the estimated average hourly wage of the professional).

The total annualized cost burden estimate is \$7500 based on the hourly wage and estimated hours.

14. Provide estimates of annualized cost to the Federal government.

The NASA cost to process the information collected is estimated at 15 minutes of labor at \$30 per hour for a total of \$7.50 per respondent. The estimated annualized cost to the federal government is \$7,500 based on the estimate of 1000 respondents. There is no travel or other expense associated with this survey.

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

This is a new information collection, and will serve as the information collection baseline.

16. For collections of information intended for publication, outline plans for tabulation and publication.

Individual demographic data submitted per solicitation will be collected and analyzed by a third party. A non-published report will be submitted to NASA per each solicitation. NASA will summarize the data results annually and post the results on the NASA public website. This report will list the number of solicitations for the year, the number of respondents to the solicitations, the number of awards total and the number of awards made by gender, race, and ethnicity.

17. If seeking approval to not display the expiration date for OMB approval of the information collection, explain the reasons that display may be inappropriate.

The information collection expiration date will be displayed within the PRA Statement directly on the information collection instrument.

18. Explain each exception to the certification statement identified in item 19, “Certification for Paperwork Reduction Act Submissions” of OMB Form 83-I.

NASA does not seek exceptions to the following statements:

The proposed collection of information –

(a) is necessary for the proper performance of the functions of NASA, including that the information to be collected will have practical utility;

(b) is not unnecessarily duplicative of information that is reasonably accessible to the agency;

(c) reduces to the extent practicable and appropriate the burden on persons who shall provide information to or for the agency, including with respect to small entities, as defined in the Regulatory Flexibility Act (5 U.S.C. 601(6)), the use of such techniques as:

(1) establishing differing compliance or reporting requirements or timelines that take into account the resources available to those who are to respond;

(2) the clarification, consolidation, or simplification of compliance and reporting requirements; or

(3) an exemption from coverage of the collection of information, or any part thereof;

(d) is written using plain, coherent, and unambiguous terminology and is understandable to those who are targeted to respond;

(e) indicates for each recordkeeping requirement the length of time persons are required to maintain the records specified;

(f) has been developed by an office that has planned and allocated resources for the efficient and effective management and use of the information to be collected, including the processing of the information in a manner which shall enhance, where

appropriate, the utility of the information to agencies and the public;

(g) when applicable, uses effective and efficient statistical survey methodology appropriate to the purpose for which the information is to be collected; and

(h) to the maximum extent practicable, uses appropriate information technology to reduce burden and improve data quality, agency efficiency and responsiveness to the public; and

(i) will display the required PRA statement with the active OMB control number, as validated on www.reginfo.gov

Information Collection Sponsor: Dr. Gale Allen/NASA Office of the Chief Scientist

B. Collection of Information Employing Statistical Methods.

Not applicable.

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