

SUPPORTING STATEMENT
OMB Control Number 2700-0092

INFORMATION COLLECTION TITLE: Financial Assistant Awards/Grants and Cooperative Agreements

INFORMATION COLLECTION TYPE: Reinstatement with Change of a Previously Approved Information Collection

A. JUSTIFICATION.

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

This collection is required to ensure proper accounting of Federal funds and property provided under financial assistance awards (grants and cooperative agreements). Reporting and recordkeeping are prescribed at 2 CFR 1800 for awards issued to non-profits, institutions of higher educations, government, and commercial firms when cost sharing is not required and 4 CFR Part 1274 for awards issued to commercial firms when cost sharing is required.

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

Information collected will be used by the NASA Office of the Chief Financial Officer. Absence of the information provided by recipients by means of the following proposals, reports, and recordkeeping would result in NASA's inability to carry out its mission and to comply with statutory requirements, e.g., Chief Financial Officers' Act, on the accountability of public funds and maintenance of an appropriate internal control system.

The following table depicts projected information collection frequency and its intended use:

INFORMATION/ REPORTS	FREQUENCY	USE
Proposals	Occasionally	Select qualified recipients
Invoices	Milestones	Report expenditures
Property Reports	Annually	Report to Congress
Patent & New Technology Reports	Annually	Protect rights of Government & recipients
Performance Reports	Annually	Assess progress
Changes, including subcontracts and foreign nationals	Occasionally	Determine recipient control of funds and property and protect U.S. property interests
Recordkeeping	Continuous	Ensure proper accounting of funds

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.

Proposals are submitted through the NASA Solicitation and Proposal Integrated Review and Evaluation System (NSPIRES) or grants.gov. The use of these systems reduces the need for proposers to submit multiply copies to the agency. It further allows them to submit multiple proposals to different funding announcements without registering each time. Electronic funds transfer is used for payment under Treasury guidance, for commercial firms and through the HHS Payment Management System for other recipients. In addition, NASA encourages the use of computer technology and is participating in Federal efforts to extend the use of information technology to more Government processes.

4. Describe efforts to identify duplication.

Each financial assistance award is a unique project, therefore there is no known duplication of information.

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

The burden on small business has been minimized by decreasing the frequency of reporting consistent with applicable laws, Executive Orders, regulations, and prudent business practices.

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

Absence of information collection or further reductions in the frequency of collections could jeopardize the proper accountability of public funds and property.

7. Explain any special circumstances that would cause an information collection to be conducted in certain manners as listed on the 83-1 form.

No circumstances apply.

8. 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 before submission to OMB.

60-day FRN: Published on November 30, 2015, Number 15-113, Vol. 80, No. 229, pages 74812-74813. No comments were received from the public.

30-day FRN: Published on February 2, 2016, Number 16-004, Vol. 81, No 21, page 5488. No comments were received from the public.

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.

The confidentiality of this data is governed by the Privacy Act, other statutes, the Freedom of Information Act, and award terms and conditions.

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.

No questions of a sensitive nature are involved.

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

The annual burden estimate of 717,681 hours, associated with the collection of information, is calculated as follows:

INFO and REPORTS	No. of Respondents	No. of Responses	Hours per Report	TOTAL HOURS	Hourly Rate	Cost
Proposals	7,100	7,100	50	355,000	\$33.39	\$11,853,450
Request for Payment	120	480	8	3,840	\$33.39	\$128,217.20
Financial Reports SF 425	6,500	26,000	9	234,000	\$33.39	\$7,813,260
Property Reports	120	120	1	120	\$33.39	\$4,006.80
Patent/New Technology Reports	6,175	6,175	.167	1,031	\$33.39	\$34,425.09
Patent/New Technology Reports	425	425	8	3,400	\$33.39	\$113,526
Performance Reports	6,500	6,500	8	52,000	\$33.39	\$1,736,280
Changes, including subcontracts and foreign nationals	1,625	1,625	2	3,250	\$33.39	\$108,517.50
Recordkeeping	6,500	6,500	10	65,000	\$33.39	\$2,170,350
TOTALS	35,065	54,925	13.066	717,641	\$33.39	\$23,962,040.50

There are approximately 6,500 financial assistance awards open at any one time. It is estimated that out of the 7,100 proposals received each year, NASA awards approximately 1,600 new awards. The period of performance for these financial assistance awards is usually three to five years. NASA had approximately 120 awards with commercial firms. Commercial firms submit quarterly payment requests, directly to NASA, while other recipients submit Financial Reports (SF 425) on a quarterly bases to the HHS Payment Management System. Performance, Property, and Patent Reports are filed annually. Historical records indicate that on average 1,625 changes are submitted annually.

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

Total annual cost burden is estimated to be \$23,962,040. This figure is derived by applying a burdened labor rate of \$33.39 to the total number of 717,641 hours. This rate of \$33.39 is for a GS-12, step 5 (2015) as this is the comparable skill level that would be required to perform these duties.

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, and any other expense that would not have been incurred without this collection of information.

	TOTAL RESPONSES/YEA R	HOURS	TOTAL HOURS	HOURL Y PAY RATE	TOTAL COST/YEAR
Proposals	7,100	50	355,000	\$46.92	\$16,656,600.00
Request for payment	480	0.5	240	\$33.39	\$8,013.60
Property reports	120	1	120	\$117.00	\$14,040.00
New tech reports	6,175	0.167	1,031.225	\$33.39	\$34,432.60
Performance reports	6,500	4	26,000	\$46.92	\$1,219,920.00
Modifications	1,625	5	8,125	\$39.70	\$322,562.50
Recordkeeping	6,500	10	65,000	\$39.70	\$2,580,500.00
Financial reports	26,000	0.167	4,342	\$33.39	\$144,979.38
New tech reports	425	1	425	\$46.92	\$19,941.00
TOTAL	54,925	8.38	460,283	\$45.63	21,000,989.00

A burdened labor rate varies depending on task. Labor costs ranges from \$117/hour charged to review and process property reports to \$33.39/hour, equivalent to a GS 12 step 5. The government employee rate used is considered an appropriate skill level for the tasks to be performed. The weighted average of labor is \$45.63.

Estimated annual cost to the Government is **\$21,000,989**.

15. Explain the reasons for any program changes or adjustments reported

The scope of the previously approved information collection was limited to cooperative agreements with commercial firms only. NASA expanded the scope of this information collection to include a burden estimate for all applicants.

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

Not applicable.

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.

NASA is not seeking approval to not display the expiration date for OMB approval of the information collection.

18. Explain all exceptions to the “Certification for Paperwork Reduction Act Submissions.”

The NASA Office of Procurement sponsors this information collection. NASA does not take exception to the content of 5 CFR1320.9 and the related provisions of 5 CFR 1320.8(b)(3).

Manuel Quinones, NASA HQ Office of Procurement
Barbara Orlando, NASA HQ Office of Procurement

B. Collections of Information Employing Statistical Methods.

Not applicable.