

DEPARTMENT OF HOMELAND SECURITY
SUPPORTING STATEMENT A FOR
S&T Industry Outreach

OMB Control No.:1640 - NEW

COLLECTION INSTRUMENT(S):
DHS S&T Industry Outreach
Information Form

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.

The Department of Homeland Security (DHS), Science and Technology Directorate (S&T) is responsible for performing research, development, test, and evaluation of technical solutions to address the Department's operational challenges. In support of this responsibility, the goal of the Office of Public-Private Partnerships (P3), within the Research and Development Partnerships Group (RDP) of S&T, is to maintain awareness of relevant private sector companies and their technology products that may be of interest to S&T's research and development (R&D) programs. Prior to S&T investing in any program in which new research or technological development is performed, RDP/P3 ensures that potential programs are aware of companies and products within the private sector that may be relevant to the program. In addition, RDP/P3 receives a number of unsolicited inquiries on a weekly basis from private sector companies indicating they have a product applicable to the homeland security mission and asking how to do business with DHS S&T. In order to maintain awareness and knowledge of private sector companies and their technology products, DHS S&T/RDP/P3 needs to be able to collect relevant information on these companies and their products, so that interested R&D programs within S&T may follow up with these companies. All information provided by companies is voluntary. Companies are not required to submit any requested information. However, the less information provided, the less likely an S&T R&D program will understand the company's capabilities and the less likely it is that S&T will be able to follow up with a company, reducing the likelihood of that company being able to do business with S&T.

Title 6 of the U.S. Code, section 193 supports the collection of this information.

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.

Private sector companies are making significant investments in innovative technology development and S&T seeks to leverage those investments to meet the needs of the homeland security enterprise. The information collected in this form is used by both DHS S&T RDP/P3 and R&D program managers to support technology scouting and commercialization efforts, program formulation and planning, and investment decision making. Prior to making any investment decisions regarding R&D funding, DHS S&T conducts planning activities to determine the need for an R&D investment and to ensure awareness of all possible solutions to the operational challenge that requires the investment. Technology scouting and commercialization inform these planning activities by providing information on current industry capabilities. RDP/P3 will gather this information from a number of sources, including the information provided by companies on the Industry Outreach Form. P3 shares the information received from companies with R&D program managers, who may be able to apply a company's technical capabilities or technologies to their specific project or program.

The first page of the form requests basic information on a company, including business name; mailing address; a general company phone number and email address; company website address; and the company classification (size, NAICS code, etc.). The form also requests information to help S&T assess and inform its industry outreach efforts, including how and where a company heard about S&T and any previous experiences working with S&T. The second page of the form requests information about the technical capabilities (technology or service) a company offers, including the current stage of the technology, its current technology and/or manufacturing readiness level, and why the capability is unique and valuable to DHS. All information requested in the form is necessary for determining to which R&D programs the company or product may be of interest, alignment to current and future needs of S&T and its customers in the homeland security enterprise, and how best to partner with the company.

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 collection of information will be primarily via email submission. In response to an email inquiry from an industry representative, this collection proposes to gather information by asking companies to complete an Industry Outreach Form and return it to S&T by emailing it to a dedicated email inbox, SandT.Innovation@hq.dhs.gov, monitored by support staff in DHS S&T RDP/P3. When the vendor submits the form, a DHS S&T RDP/P3 staff member will input all information into the LookOut contact relationship management database. This database allows S&T to compile a searchable directory of companies that are interested in working with S&T and have capabilities that align to DHS priority needs.

4. 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.

After reviewing OMB Office of Information and Regulatory Affairs, at reginfo.gov, DHS S&T has determined that this information is not being collected in any form, and therefore is not duplicated elsewhere.

5. If the collection of information impacts small businesses or other small entities (Item 5 of OMB Form 83-I), describe any methods used to minimize burden.

Because all information collected is voluntary and requires little time and someone with minimal experience to complete the form, the impact to small businesses or other small entities is determined to be insignificant.

6. Describe the consequence 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.

If the information requested in this form is not collected, the chance that S&T programs are aware of all options available to them for partnering and investment is lessened. In addition, S&T programs run the risk of developing duplicative technologies when commercial products may already be available.

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 that 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 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.

The special circumstances contained in Item 7 of the Supporting Statement are not applicable to this information collection.

8. If applicable, provide a copy and identify the data 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 instructions and recordkeeping, 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.

A 60-day Federal Register Notice inviting public comments was published on July 14, 2017, 82 FR 14869. The collection of information received one unrelated comment. A 30-day Federal Register Notice inviting public comments was published on April 12, 2018, 83 FR 15865. The collection of information received three unrelated comments. There were no efforts to consult with persons outside the agency to obtain their views on the availability of data, frequency of collection, clarity of instructions and recordkeeping, disclosure, or reporting format, and on any of the data elements to be recorded, disclosed, or reported. There was no Consultation with representatives of those from whom information is to be obtained or those who must compile records.

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

DHS S&T does not provide any payments or gifts to respondents in exchange for a benefit sought.

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

Respondents are specifically requested not to supply any business proprietary information. There are no assurances of confidentiality. The collection is privacy sensitive. The collection is covered by the Privacy Impact Assessment - DHS/ALL/PIA-006 DHS General Contact Lists.

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 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.

There are no questions of a sensitive nature.

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 13 of OMB Form 83-I.
- Provide estimates of annualized cost to respondents for 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 be included in Item 14.

Type of Respondent	Form Name / No. of Form	No. of Respondents	No. of Responses per Form	Avg. Total Burden (hours)	Avg. Total Responses	Annual Burden per Respondent (in hours)	Hourly Wage Rate	Annual Cost
Business	Industry Form	312	1	0.50156	156.00	36.405	16.40	5,678.40
<input type="button" value="Add Row"/> <input checked="" type="checkbox"/>		Total	312	1	0.50156	156.00		5,678.40

(1) Form Name: Complete name of form will be "DHS S&T Industry Outreach Information Form"

(2) Number of Respondents: S&T receives a maximum of six (6) email inquiries/week. This number is based on an analysis performed by DHS S&T of public-facing email boxes. We also do not see any slowdown in inquiries during the holidays; therefore we are using the standard 52 weeks/year. (6*52=312)

(3) Number of Responses per Respondent: There should only be 1 response (form) per respondent.

(4) Average Burden per Response: The form should take no more than 30 minutes to complete

(5) Total Annual Burden: (.5*312)

(6) Average Hourly Wage Rate: This form does not require anyone with specialized knowledge, skills, or abilities beyond general knowledge of the company and its products. Rate is based on The Bureau of Labor and Statistics Dec 2016 average hourly wage for private industry, table B-3. <https://www.bls.gov/news.release/empsit.t19.htm>, with a 1.4 multiplier to reflect a fully-loaded wage rate.

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 purchasing or 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.

There are no record keeping, capital, start-up or maintenance costs associated with this information collection.

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.

The estimated annual cost to the Federal Government is \$4,187.04. This number is based on having a Federal employee at the GS-14, step 1 level (hourly rate of \$53.68, based on GS SALARY TABLE 2017-DCB found at https://www.opm.gov/policy-data-oversight/pay-leave/salaries-wages/salary-tables/pdf/2017/DCB_h.pdf) entering information from the form into DHS S&T's database. The input of information averages ~15 minutes per form received.

$\$53.68 * 312 \text{ forms} * 0.25 \text{ hours} = \$4,187.04$

15. Explain the reasons for any program changes or adjustments reporting in Items 13 or 14 of the OMB Form 83-I.

There are no changes, as this is a new collection.

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.

DHS S&T does not intend to employ the use of statistics or the publication thereof for this information collection.

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.

DHS S&T will display an OMB expiration date for OMB approval of this information.

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

DHS S&T does not request an exception to the certification of this information collection.