SUPPORTING STATEMENT
Commerce Research Performance Progress Report (RPPR)
OMB CONTROL NO. 0690-0032

A. JUSTIFICATION

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

In a Federal Register Notice published on November 9, 2007, the National Science Foundation (NSF), on behalf of the Chief Financial Officers Council's Grants Policy Committee, the Grants.gov Executive Board, and the National Science & Technology Council's Research Business Models Subcommittee, solicited public comment on a standardized Research Performance Progress Report (RPPR) format.

The development of a standardized RPPR was https://www.gpo.gov/fdsys/pkg/PLAW-106publ107/pdf/PLAW-106publ107.pdf an initiative of the Research Business Models (RBM) Subcommittee of the Committee on Science (CoS), a Committee of the National Science and Technology Council (NSTC). It was also part of the implementation of the Federal Financial Assistance Management Improvement Act of 1999 (Pub. L. 106-107). Consistent with the purposes of that Act, the objective of this initiative was to establish a uniform format for reporting performance on Federally-funded research projects. Commerce began using this form, per the Act and 2 CFR Section 200.328 for all progress reports required for grants awarded by Commerce starting with the reporting cycle ending January 31, 2018.

2. Explain how, by whom, how frequently, and for what purpose the information will be used. If the information collected will be disseminated to the public or used to support information that will be disseminated to the public, then explain how the collection complies with all applicable Information Quality Guidelines.

Commerce grant awards vary widely across and within line and staff offices, in requirements and time frames. Progress reports document grantee recipient accomplishments and compliance with terms of award. This format may now be used for interim, annual and final progress reports, as required by a specific grant. For some grants, if they are for one year only, there may be only a final report. The RPPR is intended to address progress for the most recently completed period, at the frequency required or designated by the sponsoring agency. Information, once reported, does not have to be provided again on subsequent reports.

The RPPR requests various types of information, including:

Accomplishments

- What were the major goals and objectives of the project?
- What was accomplished under these goals?
- What opportunities for training and professional development did the project provide?

- How were the results disseminated to communities of interest?
- What do you plan to do during the next reporting period to accomplish the goals and objectives?

Products

- publications, conference papers, and presentations
- website(s) or other Internet site(s)
- technologies or techniques
- inventions, patent applications, and/or licenses
- other products, such as data or databases, physical collections, audio or video products, software, models, educational aids or curricula, instruments or equipment, research material, interventions (e.g., clinical or educational), or new business creation.

Participants and Other Collaborating Organizations

Impact

Changes/Problems (not required for Final or Interim RPPR)

- Changes in approach and reasons for change
- Actual or anticipated problems or delays and actions or plans to resolve them
- Changes that have a significant impact on expenditures
- Significant changes in use or care of vertebrate animals, biohazards, and/or select agents

Budgetary Information (not required for Final or Interim RPPR)

Project Outcomes (only required on Final and Interim RPPR)

- Concise summary of the outcomes or findings of the award, written for the general public in clear and comprehensible language, without including any proprietary, confidential information or trade secrets.

In general, Commerce grant programs provide summary information to the public about the grants it awards. Information is publically disseminated through the publication of reports describing each program's university-based research, education, and outreach activities. These reports are widely distributed in both print and web-based formats. All reports and supporting data are reviewed for objectivity, utility and integrity, as required by the Commerce guidelines, before they are disseminated.

Commerce will retain control over the information and safeguard it from improper access, modification, and destruction, consistent with Commerce standards for confidentiality, privacy, and electronic information. See response to Question 10 of this Supporting Statement for more information on confidentiality and privacy. The information collection is designed to yield data that meet all applicable information quality guidelines. Prior to dissemination, the information will be subjected to quality control measures and a pre-dissemination review pursuant to Section 515 of Public Law 106-554.

3. Describe whether, and to what extent, the collection of information involves the use of automated, electronic, mechanical, or other technological techniques or other forms of information technology.

All reports will be submitted electronically.

4. Describe efforts to identify duplication.

These reports were developed for federal-wide use. However, Commerce is requesting use under the PRA.

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

Depending on the grant, small businesses may be involved. No special methods have been developed, but only the required information is asked for. The specific format, if used for all grants, will save time for awardees responding to more than one award.

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

Use of these reporting forms is meant to save time for both the grantors and the grantees. The reporting intervals are the same as each grant would have used previously, in order to determine grant progress and compliance.

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

NA.

8. <u>Provide information on the PRA Federal Register Notice that solicited public comments on the information collection prior to this submission. Summarize the public comments received in response to that notice and describe the actions taken by the agency in response to those comments</u>. <u>Describe the 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</u>.

The 60-day *Federal Register* Notice soliciting public comment was published on March 09, 2018 (Volume 83, pg. 10428). No comments were received.

In addition, Commerce remains in close contact with the Grants community to obtain their views on the submission of information to the Grants.gov platform.

9. <u>Explain any decisions to provide payments or gifts to respondents, other than remuneration of contractors or grantees</u>.

No payments or gifts will be provided.

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

The minimum of personally identifiable information is requested. There is no confidentiality promised.

11. <u>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</u>.

There are no sensitive questions.

12. <u>Provide an estimate in hours of the burden of the collection of information</u>.

Commerce awards a large number of grants per year, which will require interim and/or final reports. Each year, a number will be completed, and replaced by approximately the same number or more of new awards. Based on outreach to NSF, the burden estimates associated with forms currently in use range from a minimum of 2 hours to a maximum of 15 hours, depending on the type of research project being supported. Therefore, Commerce is estimating a maximum of 10 hours per report. The estimated total burden hours would be as follows: (7400 responses x 10 hours = 74,000 total burden hours.)

13. <u>Provide an estimate of the total annual cost burden to the respondents or record-keepers resulting from the collection (excluding the value of the burden hours in Question 12 above)</u>.

The estimated annual cost burden to respondents, excluding the value of the burden hours in Question 12, is $0.

Reports may be emailed or completed on line. There are no recordkeeping/reporting costs.

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

The costs to the Federal government for this information collection is determined as follows:

Commerce staff whose annual salaries are approximately $100,000, which is $48.07 per hour.

Total cost to Federal government: Total Hours (74,000 hours) x Average Salary ($48.07/hour) = $3,557,180.

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

This is an extension of a currently approved information collection.

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

Publication of awards, and of grant activities, would depend on the line or staff office and the type of award.

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

NA.

18. Explain each exception to the certification statement.

None.

B. COLLECTIONS OF INFORMATION EMPLOYING STATISTICAL METHODS

There are no collections employing statistical methods.