

SUPPORTING STATEMENT - PART A

SCIENCE, MATHEMATICS AND RESEARCH FOR TRANSFORMATION (SMART)

SCHOLARSHIP PROGRAM – 0704-0466

Summary of Changes from Previously Approved Collection

- The forms have been revised to include the OMB Control number, updated Agency Disclosure Notices and increased 'user-friendliness'. Additionally, the forms have been elevated to DD forms and assigned form numbers.
- The number of respondents has decreased from 4,300 to 2,800. At the previous approval, the number of respondents was improperly estimated and did not reflect that respondents may complete some or all the forms.
- The time and cost burden have increased. The SMART program office has reevaluated the estimated time to complete the forms and estimated wages of respondents. Since the last OMB review in 2016, the estimated burden hours have increased from 30,200 to 129,225. The cost burden has increased from \$218,950.00 to \$936,881.25.

1. Need for the Information Collection

The DoD Science, Mathematics and Research for Transformation (SMART) Scholarship Program, authorized by 5 U.S.C. §3304 Competitive service examinations and 10 U.S.C. §2192a, Science, Mathematics And Research for Transformation (SMART) Defense Education Program is part of the National Defense Education Program. SMART is fully funded by the DoD and is designed to increase the number of new civilian science, technology, engineering, and mathematics (STEM) entrants to the DoD. Additionally, the SMART Program develops and retains current DoD civilian STEM employees that are critical to the national security functions of the Department of Defense and are needed in the Department of Defense workforce. SMART awards scholarships, ranging from 1.5 to 5 years, to undergraduate and graduate level students pursuing a degree in one of 21 technical disciplines. Upon graduation, scholars fulfill a service commitment with the DoD facility that nominated the scholar for an award (the sponsoring facility, or SF).

The information collection activity under review is a statutory and functional requirement necessary to administer the scholarship program. SMART requires a competitive application process. All awardees must be U.S. citizens or citizens of a country, the government of which is a party to the Technical Cooperation Program (TTCP) memorandum of understanding of October 24, 1995 at the time of application, able to participate in summer internships at DoD laboratories/facilities, willing to accept post-graduation employment with the DoD, be a current college student in good standing with a minimum GPA of 3.0 on a 4.0 scale (as calculated by the SMART application), pursuing an

undergraduate or graduate degree in one of the 21 program funded disciplines, and eligible to obtain and maintain at the minimum a secret level security clearance.

In order to apply for the program, information is required so that the application may be evaluated for compliance with statutory eligibility requirements, academic merit, and compatibility with DoD workforce needs. The information collected consists of applications submitted by members of the general public and current DoD personnel who actively choose to become involved in SMART and thus become subject to information collection. The applications include information on academic records, community and volunteer activities, letters of recommendations from faculty and community leaders, a list of publications, work experience, certification of citizenship and personal contact information. All this information is necessary to evaluate and rank each candidate's credentials for awarding scholarships and determining whether the candidate meets specific DoD facility workforce needs.

Legend:

- During the application selection phase, SMART Scholarship Program Candidates will be referred to as applicants throughout the supporting statement.
- After the Award phase, SMART Scholarship Program Candidates will be referred to as scholars throughout the supporting statement.
- SMART Recruitment (RC) – SMART Scholarship Program Scholars who are not employed in a permanent civilian position by the Sponsoring Facility (SF) at the time of award.
- SMART Recruitment (RC) - Bureau of Labor Statistics minimum wage rate of \$7.25 per hour will be used. Source: <http://www.dol.gov/general/topic/minimumwage>
- During the application Selection Phase upper level DoD civilian employees are panelist reviewers. For the SMART Panelist, we will use the Office of Personnel Management (OPM), 2019 General Schedule (GS): GS 14/5 wage rate of \$62.23 per hour.
- Faculty Reviewers - The Bureau of Labor Statistics average hourly salary rate of \$45 per hour will be used.

2. Use of the Information

Individuals interested in participating in the SMART program complete an online application and submit supporting documentation. The process for receiving, evaluating, selecting, and awarding SMART scholarships is a multi-step process.

Application Phase

- Applicants complete an on-line application
- Applicants submit paper copies of official academic transcripts
- Applicant references are submitted electronically
- Applications are verified by the Logistics Management Institute (LMI) for completeness and applicant eligibility

- Applicants have the ability to monitor the status of their application and references as well as change submitted information at any time until the application period closes.

Evaluation Phase

- Applications undergo a panel review board in which each application is evaluated and ranked by at least three panelists on a variety of criteria.
- Panelists consist of DoD and academic members.
- Each application is reviewed by panelists who are subject matter experts in the applicant's proposed field of study and hold at least the degree level for which the applicant is seeking funding.

Selection Phase

- The top 50-70% of applications as ranked by the review panel are distributed for review to participating DoD SFs through a secure portal database. Access is limited to DoD personnel authorized to make nomination selections on behalf of the facility and is secured by password and smartcard security.
- SFs may conduct a phone interview with potential scholars prior to nominating applicants for awards.
- SFs nominate applicants for award whose field of study, degree level and graduation timeline meet facility personnel needs. SFs submit nominations ranked in order of preference to the Component Administrative Offices (CAO) within the DoD Components.
- The final determination of which applicants receive awards is made by the CAOs. The determination is validated based upon CAOs nominations and budget allocations across participating DoD Components.

Award Phase

- Awards are issued by providing an email invitation to a secure database hosted by LMI.
- Awardees may decline a scholarship award electronically within the secure database.
- Awardees may accept a scholarship by obtaining acceptance documents (DD forms 3067 series) within the database and submitting signed documents in hard copy to the CAO. The program maintains limited hard copy scholar records in accordance with Privacy Act information guidelines, including the use of security folders stored in OPM approved safes further secured by restricted keycard access and an alarm system.

After entry into the program, information is collected by authorized SMART Scholarship Program staff members as required to monitor scholar progress, administrate scholar awards, make required payments and effectively manage the program. SMART maintains a secure database system and communicates with scholars primarily through email to reduce the need for paper and maximize efficiency.

The following collections are those presently utilized by the SMART Program. The SMART Application is a secure online application. DD Forms 3067-1 thru 15 are obtained online through the SMART website (www.smartscholarship.org). Awards are granted in April and upon acceptance the DD forms are uploaded into the awardee portal. Upon completion of the forms the scholars are instructed to submit the forms to their SMART Scholar Coordinator via a SMART e-mail account.

SMART Application. The SMART Application is a secure online application. Detailed instructions are included at <https://smartscholarshipprod.service-now.com/smart> under “Application Instructions.”

SMART Service Agreement/Handbook Packages.

DD Form 3067-2: SMART Scholarship Educational Work Plan
DD Form 3067-6: SMART Scholarship Participant Information Verification
DD Form 3067-12: SMART Scholarship-for-Service Agreement

Award Change Requests.

DD Form 3067-1: SMART Scholarship Award Length Change Approval
DD Form 3067-3: SMART Scholarship Foreign Travel Notification
DD Form 3067-4: SMART Scholarship Internship Report for Recruitment Scholars
DD Form 3067-8: SMART Scholarship Recruitment Internship Request
DD Form 3067-9: SMART Scholarship Recruitment Site Visit Request
DD Form 3067-11: SMART Service Agreement Amendment Request
DD Form 3067-13: SMART Scholarship Site Visit Report for Recruitment Participants
DD Form 3067-15: SMART Scholarship Revised Degree Completion Plan

Notice of Withdrawal.

DD Form 3067-14: SMART Scholarship Notice of Withdrawal

Annual Report.

DD-3067-7 – SMART Scholarship Phase 1 Annual Report

Other.

DD-3067-5 – SMART Scholarship Media Release¹
DD-3067-10 – SMART Scholarship Retention Summer Schedule²

3. Use of Information Technology

The SMART Program utilizes information technology throughout the program to maximize efficiency. The majority of information collection is executed via secure technological means, including those outlined in Part A, Section 2 of this Statement. Currently, approximately 95% of SMART submissions are collected electronically. Secure technological collection methods have been deemed most efficient for collection of SMART Scholarship Program information of all types, as they reduce applicant and program burdens. The only paper documents collected are

¹ DD Form 3067-5 and 10 are part of the application package, however they do not constitute a collection.

the acceptance documents and student transcripts. Acceptance documents are required in paper to ensure original signatures as the scholar is executing a contract. Student transcripts are required in paper to ensure authenticity of the document via embossed stamp or other registrar certification. As information technology advances, the program will strive to seek appropriate methods of further reducing and/or eliminating the need for paper records.

4. Non-duplication

The information obtained through this collection is unique and is not already available for use or adaptation from another cleared source.

5. Burden on Small Businesses

This information collection does not impose a significant economic impact on a substantial number of small businesses or entities.

6. Less Frequent Collection

Information collected is on occasion and is currently minimized to one application period and transcripts are required after completion of academic terms and upon degree conferral. SMART receives funding each fiscal year and receives applications during a defined annual period. After award, SMART must continue to maintain contact with scholars in order to properly administer the awards and facilitate the transition to the post-graduation service period.

7. Paperwork Reduction Act Guidelines

This collection of information does not require collection to be conducted in a manner inconsistent with the guidelines delineated in 5 CFR 1320.5(d)(2).

8. Consultation and Public Comments

Part A: PUBLIC NOTICE

A 60-Day Federal Register Notice (FRN) for the collection published on Wednesday, May 22, 2019. The 60-Day FRN citation is 84 FRN 23536.

No comments were received during the 60-Day Comment Period.

A 30-Day Federal Register Notice for the collection published on Monday, July 29, 2019. The 30-Day FRN citation is 84 FRN 36592.

Part B: CONSULTATION

SMART consults frequently with scholars, mentors, academic advisors, DoD civilian employees, and other individuals, primarily through email and other electronic media, to obtain feedback regarding improvement of information collection efforts and instructions. The program continually implements improvements based on this feedback.

9. Gifts or Payment

No payments or gifts are being offered to respondents as an incentive to participate in the collection.

10. Confidentiality

A Privacy Act Statement (PAS) is required for this collection because we request individuals to furnish personal information for a system of records. The PAS is provided at the beginning of each form.

A System of Record Notice (SORN) is required for this collection because records are retrievable by PII. The applicable SORN is DUSDA 14, Science, Mathematics, and Research for Transformation (SMART) Information Management System. The SORN is available at <https://dpcl.d.defense.gov/Privacy/SORNsIndex/DOD-Component-Article-View/Article/570592/dusda-14/>.

A draft copy of the Privacy Impact Assessment, Science, Mathematics, and Research for Transformation (SMART) Scholarship-for-Service Program, Defense Education Program, has been provided with this package for OMB's review.

RETENTION AND DISPOSAL:

Participant information will be deleted/destroyed 6 years and 3 months after completion of service commitment, or upon repayment of funds. Records of individuals not chosen for participation in the program will be deleted when 3 years old. DoD research and engineering facility data will be deleted/destroyed upon termination of affiliation.

11. Sensitive Questions

Questions of a sensitive nature (e.g. race and/or ethnicity) are asked in this collection (online application and. All questions of such nature are used exclusively to provide baseline demographic data for internal use. The SMART Program does request the scholar to provide a social security number. An SSN Justification Memorandum indicating the reason for the collection of this information has been submitted with this package.

12. Respondent Burden and its Labor Costs

Part A: ESTIMATION OF RESPONDENT BURDEN

SMART Application (online)

a) Number of Respondents: 2,800

- b) Number of Responses Per Respondent: 1
- c) Number of Total Annual Responses: 2,800
- d) Response Time: 8 hours
- e) Respondent Burden Hours: 22,400 hours

SMART Service Agreement/Handbook Packages (DD-3067-2, DD-3067-6, DD-3067-12)

- a) Number of Respondents: 250
- b) Number of Responses Per Respondent: 1
- c) Number of Total Annual Responses: 250
- d) Response Time: 5.5 hours
- e) Respondent Burden Hours: 1,375 hours

DD-3067-7 – SMART Phase 1 Annual Report

- a) Number of Respondents: 850
- b) Number of Responses Per Respondent: 1
- c) Number of Total Annual Responses: 850
- d) Response Time: 4 hours
- e) Respondent Burden Hours: 3,400 hours

Award Change Requests (DD-3067-1, DD-3067-3, DD-3067-4, DD-3067-8, DD-3067-9, DD-3067-11, DD-3067-13, DD-3067-15)

- a) Number of Respondents: 850
- b) Number of Responses Per Respondent: 8
- c) Number of Total Annual Responses: 6,800
- d) Response Time: 15 hours
- e) Respondent Burden Hours: 102,000 hours

DD-3067-14 – SMART Notice of Withdrawal

- a) Number of Respondents: 50
- b) Number of Responses Per Respondent: 1
- c) Number of Total Annual Responses: 50
- d) Response Time: 1 hour
- e) Respondent Burden Hours: 50 hours

Total Submission Burden

- a) Total Number of Respondents: 2,800
- b) Total Number of Annual Responses: 10,750
- c) Total Respondent Burden Hours: 129,225 hours

Part B: LABOR COST OF RESPONDENT BURDEN

SMART Application (online)

- a) Number of Total Annual Responses: 2,800
- b) Response Time: 8 hours
- c) Respondent Hourly Wage: \$7.25
- d) Labor Burden per Response: \$58.00

e) Total Labor Burden: \$162,400.00

SMART Service Agreement/Handbook Packages (DD-3067-2, DD-3067-6, DD-3067-12)

- a) Number of Total Annual Responses: 250
- b) Response Time: 5.5 hours
- c) Respondent Hourly Wage: \$7.25
- d) Labor Burden per Response: \$39.875
- e) Total Labor Burden: \$9,968.75

DD-3067-7 – SMART Phase 1 Annual Report

- a) Number of Total Annual Responses: 850
- b) Response Time: 4 hours
- c) Respondent Hourly Wage: \$7.25
- d) Labor Burden per Response: \$29.00
- e) Total Labor Burden: \$24,650.00

Award Change Requests (DD-3067-1, DD-3067-3, DD-3067-4, DD-3067-8, DD-3067-9, DD-3067-11, DD-3067-13, DD-3067-15)

- a) Number of Total Annual Responses: 6,800
- b) Response Time: 15 hours
- c) Respondent Hourly Wage: \$7.25
- d) Labor Burden per Response: \$108.75
- e) Total Labor Burden: \$739,500.00

DD-3067-14 – SMART Notice of Withdrawal

- a) Number of Total Annual Responses: 50
- b) Response Time: 1 hour
- c) Respondent Hourly Wage: \$7.25
- d) Labor Burden per Response: \$7.25
- e) Total Labor Burden: \$362.50

Overall Labor Burden

- a) Total Number of Annual Responses: 10,750
- b) Total Labor Burden: \$936,881.25

The Respondent hourly wage was determined by using the [Department of Labor Wage Website] ([<http://www.dol.gov/dol/topic/wages/index.htm>]).

13. Respondent Costs Other Than Burden Hour Costs

Scholars submit official academic transcripts at the end of each academic term. Depending on how the academic institution structures its courses (semesters or quarters), a scholar may submit transcripts two or three times per year. We estimate respondents spend \$31,875.00 annually to request and mail official transcripts.

14. Cost to the Federal Government

Part A: LABOR COST TO THE FEDERAL GOVERNMENT

- 1) SMART Application Review
 - a) Number of Total Annual Responses: 2,800
 - b) Processing Time per Response: 1.5 hours
 - c) Hourly Wage of Worker(s) Processing Responses : \$62.23
 - d) Cost to Process Each Response: \$93.35
 - e) Total Cost to Process Responses: \$261,380.00

- 2) SMART Service Agreement/ Handbook Package review by Component Administrator Officer (CAO)
 - a) Number of Total Annual Responses: 250
 - b) Processing Time per Response: 1.25 hours
 - c) Hourly Wage of Worker(s) Processing Responses : \$62.23
 - d) Cost to Process Each Response: \$77.79
 - e) Total Cost to Process Responses: \$19,447.50

- 3) Annual Report Review by advisors
 - a) Number of Total Annual Responses: 850
 - b) Processing Time per Response: 1.25 hours
 - c) Hourly Wage of Worker(s) Processing Responses : \$45.00
 - d) Cost to Process Each Response: \$56.25
 - e) Total Cost to Process Responses: \$47,812.50

- 4) Award Change Requests
 - a) Number of Total Annual Responses: 6,800
 - b) Processing Time per Response: 2.5
 - c) Hourly Wage of Worker(s) Processing Responses : \$45.00
 - d) Cost to Process Each Response: \$112.50
 - e) Total Cost to Process Responses: \$765,000.00

- 5) Notice of Withdrawal
 - a) Number of Total Annual Responses: 50
 - b) Processing Time per Response: 1.0
 - c) Hourly Wage of Worker(s) Processing Responses : \$45.00
 - d) Cost to Process Each Response: \$45.00
 - e) Total Cost to Process Responses: \$2,250

- 6) Overall Labor Burden to the Federal Government
 - a) Total Number of Annual Responses: 10,750
 - b) Total Labor Burden: \$ 1,095,890.00

Part B: OPERATIONAL AND MAINTENANCE COSTS

- 1) Cost Categories
 - a) Equipment: \$0.00
 - b) Printing: \$0.00
 - c) Postage: \$0.00
 - d) Software Purchases: \$0.00
 - e) Licensing Costs: \$0.00
 - f) Other: \$ 1,215,831.00 (general maintenance, design, testing and one-time evaluation, honorariums provided to academia for application reviews)

- 2) Total Operational and Maintenance Cost: \$515,831.00.

Part C: TOTAL COST TO THE FEDERAL GOVERNMENT

- 1) Total Labor Cost to the Federal Government: \$1,095,890.00
- 2) Total Operational and Maintenance Costs: \$515,831.00
- 3) Total Cost to the Federal Government: \$1,611,721.00

15. Reasons for Change in Burden

The burden has increased since the previous approval due to significant growth of this program, which has resulted in adding additional forms and an increase in the number of respondents.

16. Publication of Results

The results of this information collection will not be published.

17. Non-Display of OMB Expiration Date

We are not seeking approval to omit the display of the expiration date of the OMB approval on the collection instrument.

18. Exceptions to "Certification for Paperwork Reduction Submissions"

We are not requesting any exemptions to the provisions stated in 5 CFR 1320.9.