

SUPPORTING STATEMENT
FOR PAPERWORK REDUCTION ACT SUBMISSION

- 1. Explain the circumstances that make the collection of information necessary. What is the purpose for this information collection? Identify any legal or administrative requirements that necessitate the collection. Include a citation that authorizes the collection of information. Specify the review type of the collection (new, revision, extension, reinstatement with change, reinstatement without change). If revised, briefly specify the changes. If a rulemaking is involved, list the sections with a brief description of the information collection requirement, and/or changes to sections, if applicable.**

This is a request to extend an existing information collection for the Application for Flexibility for Equitable Per-pupil Funding, the instrument through which local educational agencies (LEAs) apply for flexibility to consolidate eligible Federal funds and State and local education funding based on weighted per-pupil allocations for low-income and otherwise disadvantaged students. This program allows LEAs to consolidate funds under the following Federal education programs:

Elementary and Secondary Education Act of 1965 (ESEA)

Title I, Part A	Improving Basic Programs Operated by Local Educational Agencies
Title I, Part C	Education of Migratory Children
Title I, Part D, Subpart 2	Local Prevention and Intervention Programs for Children and Youth Who Are Neglected, Delinquent, or At-Risk
Title II	Preparing, Training, and Recruiting High-quality Teachers, Principals, or Other School Leaders
Title III	Language Instruction for English Learners and Immigrant Students
Title IV, Part A	Student Support and Academic Enrichment Grants
Title V, Part B	Rural Education Initiative

The Elementary and Secondary Education Act of 1965 (ESEA), as amended by the Every Student Succeeds Act (ESSA), created a new program, the Flexibility for Equitable Per-pupil Funding under section 1501. This discretionary flexibility allows the U.S. Department of Education (Department) to offer an LEA the opportunity to consolidate funds under the above-listed programs to support the LEA in creating a single school funding system based on weighted per-pupil allocations for low-income and otherwise disadvantaged students, with attendant flexibility in using those funds.

This is an extension request for the currently approved information collection (1810-0734) that is expiring on July 31, 2021. The Department has made three non-substantive changes. The Department revised the estimated number of respondents from 20 to 10, resulting in a decrease in the burden hours and cost. Additionally, the information collection was revised to remove the

introduction letter and to remove the previous deadline to submit an application. Applications will now be accepted at any time.

- 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.**

The Department will use the information from each LEA's application to determine if an LEA should receive a flexibility agreement under section 1501. Consistent with ESEA section 1501(k) regarding renewal of local flexibility demonstration authority, the Secretary will evaluate the implementation and impact of the program in particular LEAs to determine if the LEA's agreement should be renewed for additional three year terms. Further, information from the collection will form the basis of the program evaluation under ESEA section 1501(j), to be completed through the Director of the Institute of Education Sciences. Results of this evaluation influence whether the Secretary may expand the program under section 1501(c)(3).

For the currently approved information collection, the Department received six LEA applications for local flexibility demonstration agreements. Only one LEA's application was approved but, less than a year after approval, the LEA's agreement was terminated consistent with ESEA section 1501(h) as a result of noncompliance.

- 3. Describe whether, and to what extent, the collection of information involves the use of automated, electronic, mechanical, or other technological collection techniques or forms of information technology, e.g. permitting electronic submission of responses, and the basis for the decision of adopting this means of collection. Please identify systems or websites used to electronically collect this information. Also describe any consideration given to using technology to reduce burden. If there is an increase or decrease in burden related to using technology (e.g. using an electronic form, system or website from paper), please explain in number 12.**

LEAs will be encouraged to submit information under this collection in electronic format via e-mail.

- 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.**

The Department evaluated existing standard forms to consider whether they could be used for this purpose. As this opportunity provides LEAs with flexibility from statutory requirements, rather than funds, existing forms did not appear to meet the unique purpose of this program.

- 5. If the collection of information impacts small businesses or other small entities, describe any methods used to minimize burden. A small entity may be (1) a small business which is deemed to be one that is independently owned and operated and that is not dominant in its field of operation; (2) a small organization that is any not-for-profit enterprise that is independently owned and operated and is not dominant in its field; or (3) a small government jurisdiction, which is a government of a city, county, town, township, school district, or special district with a population of less than 50,000.**

Small businesses are not impacted by this data collection. This information collection requirement may impact small LEAs, but the Department will limit the collection to only that information necessary to approve an application for flexibility, in order to minimize the burden on small entities.

6. Describe the consequences 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.

Not collecting this information would prohibit the Department from offering flexibility through this program. The statute identifies specific required elements for the application and the resulting system in section 1501(d). Accordingly, the Department must collect the information specified in the statute. In September 2020, the Department awarded two LEAs with competitive grants under the Well-Rounded Education Through Student-Centered Funding (WRESCF) Demonstration Grants program. Grants awarded under this program are to demonstrate model programs for providing well-rounded education opportunities through the development and implementation of student-centered funding (SCF) systems based on weighted per-pupil allocations under Section 1501 of the ESEA. As a requirement of each LEA's WRESCF grant, it must apply to the Department for a local flexibility demonstration agreement for equitable per-pupil funding by September 30, 2021.

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 than 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 that unnecessarily impedes sharing of data with other agencies for compatible confidential use; or**
- **requiring respondents to submit proprietary trade secrets, 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 that apply to this collection.

- 8. As applicable, state that the Department has published the 60 and 30 Federal Register notices as required by 5 CFR 1320.8(d), soliciting comments on the information collection prior to submission to OMB.**

Include a citation for the 60 day comment period (e.g. Vol. 84 FR ##### and the date of publication). Summarize public comments received in response to the 60 day notice and describe actions taken by the agency in response to these comments. Specifically address comments received on cost and hour burden. If only non-substantive comments are provided, please provide a statement to that effect and that it did not relate or warrant any changes to this information collection request. In your comments, please also indicate the number of public comments received.

For the 30 day notice, indicate that a notice will be published.

Describe efforts to consult with persons outside the agency to obtain their views on the availability of data, frequency of collection, the clarity of instruction and record keeping, 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.

The Department published a 60-day Federal Register notice seeking public comment on the information collection and received three non-substantive comments. The Department will publish a 30-day Federal Register notice prior to submission to OMB.

- 9. Explain any decision to provide any payment or gift to respondents, other than remuneration of contractors or grantees with meaningful justification.**

No payments or gifts are involved in this information collection. Although this statutory authority offers funding flexibility at the local level, Congress did not appropriate additional funds for this demonstration initiative. Thus, the Department will also not award any additional Federal funds to a successful applicant.

- 10. Describe any assurance of confidentiality provided to respondents and the basis for the assurance in statute, regulation, or agency policy. If personally identifiable information (PII) is being collected, a Privacy Act statement should be included on the instrument. Please provide a citation for the Systems of Record Notice and the date a Privacy Impact Assessment was completed as indicated on the IC Data Form. A confidentiality statement with a legal citation that authorizes the pledge of confidentiality should be provided.¹ If the collection is subject to the Privacy Act,**

¹ Requests for this information are in accordance with the following ED and OMB policies: Privacy Act of 1974, OMB Circular A-108 – Privacy Act Implementation – Guidelines and Responsibilities, OMB Circular A-130 Appendix I – Federal Agency Responsibilities for Maintaining Records About Individuals, OMB M-03-22 – OMB Guidance for Implementing the Privacy Provisions of the E-Government Act of 2002, OMB M-06-15 – Safeguarding Personally Identifiable Information, OM:6-104 – Privacy Act of 1974 (Collection, Use and Protection of Personally Identifiable Information)

the Privacy Act statement is deemed sufficient with respect to confidentiality. If there is no expectation of confidentiality, simply state that the Department makes no pledge about the confidentiality of the data. If no PII will be collected, state that no assurance of confidentiality is provided to respondents. If the Paperwork Burden Statement is not included physically on a form, you may include it here. Please ensure that your response per respondent matches the estimate provided in number 12.

There is no assurance of confidentiality provided to respondents with regard to required information. We do not request any Personally Identifiable Information.

- 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. The 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.**

This collection does not ask questions of a sensitive nature.

- 12. Provide estimates of the hour burden of this current information collection request. The statement should:**

- **Provide an explanation of how the burden was estimated, including identification of burden type: recordkeeping, reporting or third party disclosure. Address changes in burden due to the use of technology (if applicable). Generally, estimates should not include burden hours for customary and usual business practices.**
- **Please do not include increases in burden and respondents numerically in this table. Explain these changes in number 15.**
- **Indicate the number of respondents by affected public type (federal government, individuals or households, private sector – businesses or other for-profit, private sector – not-for-profit institutions, farms, state, local or tribal governments), frequency of response, annual hour burden. 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 this request for approval covers more than one form, provide separate hour burden estimates for each form and aggregate the hour burden in the table below.**
- **Provide estimates of annualized cost to respondents of the hour burdens for collections of information, identifying and using appropriate wage rate categories. [Use this site](#) to research the appropriate wage rate. 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. If there is no cost to respondents, indicate by entering 0 in the chart below and/or provide a statement.**

Provide a descriptive narrative here in addition to completing the table below with burden hour estimates.

The Department estimates that approximately 10 LEAs will apply for this flexibility and that it will take approximately 56 hours for each of them to complete the application. Assuming that individuals at the LEA of varying career levels work on the project, we estimate an average of about \$40/hour, which is roughly equivalent to the Federal GS-12 level. Accordingly, we anticipate a total cost of \$22,400.

Estimated Annual Burden and Respondent Costs Table

Respondent Type	Number of Respondents	Average Burden Hours per Response	Total Annual Burden Hours	Total Annual Cost (total hours x \$40)
New Applicants	10	56	560	\$22,400
Annualized Totals	10		560	\$22,400

Please ensure the annual total burden, respondents and response match those entered in IC Data Parts 1 and 2, and the response per respondent matches the Paperwork Burden Statement that must be included on all forms.

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 Questions 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 acquiring and maintaining 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 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. Also, these estimates should not include the hourly costs (i.e., the monetization of the hours) captured above in Question 12.

Total Annualized Capital/Startup Cost : _____
Total Annual Costs (O&M) : _____
Total Annualized Costs Requested : _____

This information collection does not require the use of capital, start-up, operation and maintenance, or purchase costs.

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 Questions 12, 13, and 14 in a single table.

We estimate that Federal staff will spend an average of 16 hours per LEA per year to review this information. With 10 LEAs, we estimate 160 total hours of review. Different staff members at different pay levels are likely to participate in review, so we will use \$40 as the average hourly rate, which is approximately the GS-12 level for a Federal employee in Washington, DC. At \$40 per hour, the 160 total hours of review comes to an annual cost of \$6,400 to the Federal government.

15. Explain the reasons for any program changes or adjustments. Generally, adjustments in burden result from re-estimating burden and/or from economic phenomenon outside of an agency’s control (e.g., correcting a burden estimate or an organic increase in the size of the reporting universe). Program changes result from a deliberate action that materially changes a collection of information and generally are result of new statute or an agency action (e.g., changing a form, revising regulations, redefining the respondent universe, etc.). Burden changes should be disaggregated by type of change (i.e., adjustment, program change due to new statute, and/or program change due to agency discretion), type of collection (new, revision, extension, reinstatement with change, reinstatement without change) and include totals for changes in burden hours, responses and costs (if applicable).

Provide a descriptive narrative for the reasons of any change in addition to completing the table with the burden hour change(s) here.

Based on the number of responses to the currently approved information collection, the Department is now estimating that 10 LEAs will respond to this information collection. Previously, the Department estimated that 20 LEAs would respond to the information collection, applying for flexibility. This adjustment reduced the burden estimates in the extension request by 50%, as shown below.

	Program Change	Program Change Due to	Change Due to
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	Due to New Statute	Agency Discretion	Adjustment in Agency Estimate
Total Burden			-560
Total Responses			-10
Total Costs (if applicable)			-22,400

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.

Though the Department may publish the applications in full, there are no plans at this time for publishing complex analyses of the data contained in the applications.

As a requirement of the Well-Rounded Education Through Student-Centered Funding (WRESCF) Demonstration Grants program, two LEAs are required to submit applications under this information collection by September 31, 2021. The Department expects the WRESCF grantees with an approved application will begin implementing the flexibility in the 2022-2023 school year, with three years of flexibility awarded at the outset. Applications will be accepted on a rolling basis.

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.

The expiration date for OMB approval of the information collection will be displayed.

18. Explain each exception to the certification statement identified in the Certification of Paperwork Reduction Act.

We do not propose any exceptions to the certification statements identified in the Certification of Paperwork Reduction Act.