

SUPPORTING STATEMENT  
FOR PAPERWORK REDUCTION ACT SUBMISSION

**Education Stabilization Fund- Elementary and Secondary School Emergency Relief Fund  
(ESSER I/ESSER II/ARP ESSER Fund) Recipient Data Collection Form**

**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.**

Under the current unprecedented national health emergency, the legislative and executive branches of government have come together to offer relief to those individuals and industries affected by the COVID-19 virus under the Coronavirus Aid, Relief, and Economic Security (CARES) Act (P.L. 116-136) authorized on March 27, 2020, and expanded through the Coronavirus Response and Relief Supplemental Appropriations (CRRSA) Act, and the American Rescue Plan (ARP) Act. The ESSER Fund awards grants to SEAs and for the purpose of providing local educational agencies (LEAs), including charter schools that are LEAs, as well as Outlying Areas, with emergency relief funds to address the impact that Novel Coronavirus Disease 2019 (COVID-19) has had, and continues to have, on elementary and secondary schools across the Nation.

This information collection requests approval for a revision to a previously approved collection that includes annual reporting requirements to comply with the requirements of the ESSER program and obtain information on how the funds were used. In accordance with the Recipient's Funding Certification and Agreements executed by ESSER grantees, the Secretary may specify additional forms of reporting. This collection has 4 fewer grantee respondents than the originally approved version, as information from Outlying Areas will be obtained through a separate collection. The information collection also includes directed questions, in Attachment A, on which the Department is requesting public input.

This information collection is authorized under (Authority: [20 U.S.C. 1221e-3](#), [1231a](#), and [3474](#)) [[72 FR 3702](#), Jan. 25, 2007, as amended at [79 FR 76094](#), Dec. 19, 2014]

§ 76.720 [State](#) and Outlying Areas reporting requirements.

(a) This section applies to a [State's](#) reports required under [2 CFR 200.327](#) (Financial reporting) and [2 CFR 200.328](#) (Monitoring and reporting program performance), and other reports required by the Secretary and approved by the Office of Management and Budget (OMB) under the [Paperwork Reduction Act of 1995](#), [44 U.S.C. 3501-3520](#).

**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 information will be reviewed by U.S. Department of Education (Department) employees to ensure that ESSER funds are used in accordance with applicable requirements under the CARES Act, CRRSA Act, and ARP Act and will be shared with the public to promote transparency regarding the allocation and uses of funds. Furthermore, the information collected will be analyzed to provide aggregate statistics on SEA and LEA use of ESF funds to address the impacts of the COVID-19 virus on students and schools. The collection was used for a similar purpose in the first year of its administration, with reporting made public in June 2021.

**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.**

Data collection will be conducted through a Department-provided web portal. Electronic data collection through a web portal was chosen because of its efficiency, cost, and ability to pre-populate certain fields and conduct verification checks on others in an automated manner. The data collection web portal will leverage the existing structure for data collection set up in 2020 for CARES-specific data elements. This will create efficiencies to the extent that the proposed updated form includes many questions that are the same or similar to the prior version of the form. Moreover, most grantees already have accounts set up on the system and are familiar with it. The web portal was developed to align with objective 4.4 of the Department's data strategy.<sup>1</sup> In particular, the web portal conforms to the FAIR (Findable, Accessible, Interoperable, Re-usable) principle because it both collects and publishes data in a format consistent with these guidelines.

**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.**

This is a unique collection that responds to reporting requirements in ESSER as authorized under the CARES Act, CRRSA Act and ARP Act. There are no other data collections that seek this information.

**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**

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<sup>1</sup> See <https://www.ed.gov/sites/default/files/cdo/ed-data-strategy.pdf>

**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.**

The collection does not impact small businesses or other 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.**

If this collection is not allowed to proceed, the Department will not be able to collect information to inform monitoring oversight and public transparency regarding the uses of funds under ESSER.

**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.**

No such circumstances exist.

**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 considers comments from the public when developing the currently approved forms. The Department will request both a 60-day and a 30-day public comment period to be published in the Federal Register. This is the 30-day public comment request.

The notice requesting comments during the 60-day period was published in the Federal Register on July 2, 2021--[Docket \(ED-2021-SCC-0096-0001\)](#). Seventy-seven comments were submitted the 60-day period, the majority of which were substantive, and address issues pertaining to the burden caused by the collection, the timeline of the collection, the difficulty of collecting and reporting obligated funds data, concerns that the proposed collection is duplicative of other collections, and the clarity of the form's questions. The responses, which are addressed in the attached response to ESSER comments, note whether and how they were incorporated in the revised form.

In addition to collecting public comments, the Department held cognitive interviews with seven total participants from six states. These interviews focused on excerpts from the whole collection form, directed questions from the 60-day comment period. The Department also conducted two focus groups with a total of nine participants that were focused specifically on the collection of obligations data. Summaries of these cognitive interviews and focus groups are included in this package. Responses to the topics discussed in the cognitive interviews and focus groups are included with the 60-day public comment responses.

**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 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. 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.<sup>2</sup> If the collection is subject to the Privacy Act, 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 are no assurances of confidentiality.

**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.**

The request for information does not include any questions of a sensitive nature.

**12. Provide estimates of the hour burden for 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.**

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<sup>2</sup> 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)

- **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 ESSER instrument is targeted to a total of 52 SEAs, and 14,600 LEAs. The response burden is shown in Table 1. The burden estimates are based on an increase in the number of items added to the revised version of the previously approved collection to address requirements in the CRRSA and ARP Acts; public feedback provided during the 60-day comment period; discussions with experts in the Office of Elementary and Secondary Education, the Office of Planning, Evaluation and Policy Development and the Office of the General Counsel in the Department; and the intention to better understand the overlap between ESSER funding and Title I status. The Department wants to ensure equitable allocation of ESSER funds to students eligible for Title I (Part A)<sup>3</sup> support, and Title I (Part A) school designations (Targeted Assistance and Schoolwide Programs), statuses of which are known to both SEAs and LEAs. Therefore, the information collected justifies the additional burden associated with these data. This collection has 4 fewer grantee respondents than the originally approved version, as information reported from Outlying Areas will be obtained through a separate collection.

***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.***

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<sup>3</sup> Title I (Part A) of the Elementary and Secondary Education Act, as amended by the Every Student Succeeds Act (ESEA).

Table 1: Estimated Annual Burden and Respondent Costs Table

Information Activity or IC (with type of respondent)	Sample Size (if applicable)	Respondent Response Rate (if applicable)	Number of Respondents	Number of Responses	Average Burden Hours per Response	Total Annual Burden Hours	Estimated Respondent Average Hourly Wage	Total Annual Costs (hourly wage x total burden hours)
Public State/Local Grantees and Subgrantees			14,652	14,652	Grantees=140; Subgrantees=140	2,051,280	\$46.62	\$95,630,673
Annualized Totals			14,652	14,652	Grantees=140; Subgrantees=140	2,051,280	\$46.62	\$95,630,673

**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 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 Item 12.**

**Total Annualized Capital/Startup Cost :**

**Total Annual Costs (O&M)** : \_\_\_\_\_  
**Total Annualized Costs Requested** :

There are no capital startup costs. The information collection will not create costs associated with generating, maintaining, and disclosing or providing the information that is not already identified in question 12 of this supporting statement.

**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 **annual** costs to the Federal government, beyond the efforts normally associated with Department staff conducting monitoring, include both Federal and contractor staff time and resources totaling **\$1,621,118**.

The Department estimates the **annual** cost for Federal staff time at an average GS-13 level to be **\$371,118** which includes:

- Planning
- Instrument development
- Collection
- Analysis
- Reporting

The estimate assumes an average across three years, based 7909 hours X \$56.31 per hour in the first year (totaling \$445,342), plus an additional \$334,006 for the subsequent two years.

The Department also oversees a contract to support the data collection and the Education Stabilization Fund reporting portal, which includes ESSER. The estimated **annual** contract cost for ESSER-related data collection and reporting is **\$1,250,000**, which includes \$1,650,000 in the first year in which the amended form is implemented, and \$1,050,000 in the subsequent two years.

**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.**

	<b>Program Change Due to New Statute</b>	<b>Program Change Due to Agency Discretion</b>	<b>Change Due to Adjustment in Agency Estimate</b>
<b>Total Burden</b>	988,860 hours	988,860 hours	
<b>Total Responses</b>		-4 respondents	
<b>Total Costs (if applicable)</b>			

This is a revision to the current collection package for the ESSER Data Collection Form.

There is a burden increase of 1,977,720 hours due to additional information being collected in light of the enactment of new statutes (CRRSA Act and ARP Act), which added funds and additional requirements to the ESSER program, as well as agency discretion. This has resulted in an increase from 10 to 140 hours per response for SEAs and from 5 to 140 hours for LEAs. Key additions to the collection include items that address:

- Maintenance of Equity (per pupil allocations)
- Participation counts for activities and interventions, disaggregated by subpopulation
- ESSER allocations to high-poverty schools vs non-high poverty schools
- School staffing for specific staff categories, with FTE detail at school level
- Open text responses, such as “How will the LEA ensure the activities and interventions it implements address students’ academic, social, emotional and mental health needs and address the needs of students disproportionately impacted by Covid-19?”
- Overlap between ESSER funding and Title I (Part A) school status

The number of responses has decreased by 4, from 14,656 to 14,652, as information from Outlying Areas will be obtained through a separate 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.**

SEAs will be asked to respond to the information collection in FY2022 Quarter 2. Data quality will be controlled and reviewed during data collection, while SEAs will have the opportunity to correct and resubmit final data. Once the review is completed, the descriptive statistics based on this information collection will be published on the Education Stabilization Fund (ESF) Public Transparency Portal no later than Quarter 3 of 2022, and on a similar time frame in subsequent years.

**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 Department is not seeking this approval.

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

The Department is not requesting any exceptions to the certification.