SUPPORTING STATEMENT - PART A

Science, Mathematics, and Research for Transformation (SMART) Scholarship Program – OMB 0704-0466

Summary of Changes from Previously Approved Collection

- Reduced the number of program forms from 15 to 10 as a result of efficiencies, making previous forms obsolete.
- There has been a decrease in burden due as a result of realizing administrative efficiencies that reduce both the amount of responses required, as well as the time required to complete them. ROCIS has identified an increase in burden due to a reformatting of the ICs and the way in which they are filled out- there has not been an actual increase in burden.

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1.   Need for the Information Collection

The DoD Science, Mathematics and Research for Transformation (SMART) Scholarship Program, authorized by 10 U.S.C. §4093, 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 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. Application to the SMART Program is a competitive process. All awardees must 18 years of age and be U.S. citizens or citizens of a country 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, 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.

The SMART Program requires information to be collected at several stages during a participant's time with the program.

Application, Evaluation, & Selection Stage
Applicants submit information via an on-line application needed for the DoD to assess their statutory eligibility, their academic merit/achievements, and their compatibility with DoD workforce needs.

Award Stage
Upon an applicant's acceptance of a SMART scholarship award, the DoD collects information (through DD-3067 series forms) from awardees that are required to establish the service commitment and facilitate future tracking of scholar progress during their degree pursuit.

Degree Pursuit and Service Commitment Stages
During a scholar's degree pursuit and completion of the obligated service commitment, the DoD collections information (through DD-3067 series forms) to monitor scholar progress and modify service agreements as required.

At all stages, the information gathered helps the program to assess effectiveness as well as providing insights need for program evaluation and improvement.

Other Authorities:

10 U.S.C. 4093, Science, Mathematics, and Research for Transformation (SMART) Defense Education Program;
10 U.S.C. 133a, Under Secretary of Defense for Research and Engineering;
DoD Directive 5137.02, Under Secretary of Defense for Research and Engineering (USD(R&E));
DoD Instruction 1025.09, Science, Mathematics, and Research for Transformation Defense Education Program;
Executive Order 9397, Number System for Federal Accounts Relating to Individual Persons, as amended.

2.   Use of the Information

The use of information varies depending on the stage of the participant. All information gathered by the SMART Program, including any on-line portals designed to obtain such information, is contained or implemented within the SMART Information Management System (SIMS). The SORN for SIMS can be found here: https://dpcld.defense.gov/Portals/49/Documents/Privacy/SORNs/OSDJS/DUSDA-14.pdf?ver=KO2ZkLWhxB3QCZoRTElMFA%3d%3d . Access to each portal described below is security via multi-factor authentication, including both an individual user password and a one-time pin. All information or document used to administer the program are obtained and retained electronically. Communication with participants is primarily achieved through email to reduce the need for paper and maximize efficiency.

Application Phase

Applicants complete an application through a secure on-line Application Portal. Information gathered during the application includes, but is not limited to: academic transcripts, personal statements, letters of recommendation, list of academic achievements (awards, publications, etc.), contact information, and demographic information. Upon receipt of an application, the SMART Program performs an initial assessment to verify completeness and eligibility. Applicants have the ability to monitor the status of their application as well as change submitted information at any time until the application period closes.

Evaluation Phase
Eligible applications undergo an evaluation by a panel of subject matter experts within the DoD and Academia. Evaluators review applications through a secure on-line Evaluator Portal. Applications are evaluated according to a rubric.

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 online Selection Portal. Access to this portal is limited to DoD personnel authorized to make nomination selections on behalf of the facility. 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 and the SMART Program Office, subject to budget allocations and constraints.

Award Phase
Awards are issued by providing an email to the awardee, inviting them to a secure on-line Awardee Portal. Awardees accept a scholarship by completing the relevant acceptance documents (DD-3067 series forms) and resubmitting them to the SMART Program via the same portal.

Scholar Phase
Once participants begin their SMART-sponsored degree pursuit, during their SMART-related service commitment, and after their SMART service commitment is complete, information is gathered from participants through a secure online Scholar Portal. Information gathered during this phase is largely to track progress towards degree completion, administer scholarship benefits, and measure scholar/program success.

The DD-3067 series forms primarily used in the Award and Scholar phases are listed below. In some cases, participants are invited/prompted via email to complete and provide the information gathered through these forms. Copies of these emails are enclosed with this package. Expectations for reporting are also covered in the SMART Scholar Handbook, also included with this package.

Depending on the form, a participant may only be required to complete the form once (at the onset of their award), annually (for monitoring and reporting purposes), or ad hoc (to request a modification of the terms of their award, if needed).

DD3067-2: SMART Scholarship Educational Workplan
DD3067-4: SMART Scholarship Recruitment Internship Report
DD3067-5: SMART Scholarship Media Release
DD3067-7: SMART Scholarship Phase 1 Annual Report
DD3067-8: SMART Scholarship Recruitment Internship Request
DD3067-9: SMART Scholarship Site Visit Report
DD3067-11: SMART Scholarship Service Agreement Amendment Request
DD3067-12: SMART Scholarship Service Agreement
DD3067-13: SMART Scholarship Site Visit Report
DD3067-15: SMART Scholarship Revised Degree Completion Plan

As a result of other realized efficiencies, DD3067-1/3/6/10/14 are now obsolete.

3.   Use of Information Technology

100% of forms are submitted electronically, through secure online portals as described in Sections 1 and 2.

Further, we have begun implementation of digital signatures within the respective portal when a document requires a signature. We believe this will further reduce user burden.

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

5 forms are only required once (DD3067-2,5,9,12, and 13). These forms are completed at the time of the award and are meant to gather information required to establish the initial service agreement.

2 forms are needed only as required (DD3067-11, and 15). These forms are used to capture any changes to the service agreement (e.g. – a change in award length, a change in academic institution, a change in area of study, etc.).

3 forms are needed annually (DD3067-4,7, and 8). These forms are related to annual reporting/monitoring, or to administer the annual internships at the scholar's participating DoD lab.

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 Tuesday, July 26, 2022. The 60-Day FRN citation is 87 AFR 44367 FRN 44367.

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

A 30-Day Federal Register Notice for the collection published on Monday, September 26, 2022. The 30-Day FRN citation is 87 FR 58332 FRN 58332.

Part B: CONSULTATION

No additional consultation apart from soliciting public comments through the Federal Register was conducted for this submission.

9.   Gifts or Payment

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

10.   Confidentiality

Privacy Act Statements are included at the top of each form.

The SMART SORN is here and a link is included in each form's PAS: https://dpcld.defense.gov/Portals/49/Documents/Privacy/SORNs/OSDJS/DUSDA-14.pdf?ver=KO2ZkLWhxB3QCZoRTElMFA%3d%3d

A copy of the Privacy Impact Assessment for the SMART Program is provided with this package.

POLICIES AND PRACTICES FOR RETENTION AND DISPOSAL OF RECORDS: Participant information will be deleted 30 years after completion of service commitment or 30 years upon repayment of funds. Records of individuals not chosen for participation in the program will be deleted 3 years after final decision. DoD research and engineering facility data is deleted upon termination of affiliation.

11. <u>Sensitive Questions</u>

Social Security numbers are collected for awardees of the SMART Scholarship via the DD3067-12 – Science, Mathematics, and Research for Transformation (SMART) Scholarship Service Agreement form. A Social Security Number Justification memo is included in this package.

12. <u>Respondent Burden and its Labor Costs</u>

Part A: ESTIMATION OF RESPONDENT BURDEN

1) Collection Instrument(s):
   SMART Application
   - a) Number of Respondents: 2,500
   - b) Number of Responses Per Respondent: 1
   - c) Number of Total Annual Responses: 2,500
   - d) Response Time: 8 hours
   - e) Respondent Burden Hours: 20,000 hours

   DD3067-2 – Science, Mathematics, and Research for Transformation (SMART) Scholarship Educational Work Plan
   - f) Number of Respondents: 500
   - g) Number of Responses Per Respondent: 1
   - h) Number of Total Annual Responses: 500
   - i) Response Time: 1 hour
   - j) Respondent Burden Hours: 500 hours

   DD3067-4 – Science, Mathematics, and Research for Transformation (SMART) Scholarship Recruitment Internship Report
   - a) Number of Respondents: 650
   - b) Number of Responses Per Respondent: 1
   - c) Number of Total Annual Responses: 650
   - d) Response Time: 30 min
   - e) Respondent Burden Hours: 325 hours

   DD3067-5 – Science, Mathematics & Research for Transformation (SMART) Scholarship Media Release
   - a) Number of Respondents: 500
   - b) Number of Responses Per Respondent: 1
   - c) Number of Total Annual Responses: 500
   - d) Response Time: 5 min
   - e) Respondent Burden Hours: 42 hours

   DD3067-7 – Science, Mathematics, and Research for Transformation (SMART) Scholarship Phase 1 Annual Report

a) Number of Respondents: 900
b) Number of Responses Per Respondent: 1
c) Number of Total Annual Responses: 900
d) Response Time: 2 hours
e) Respondent Burden Hours: 1,800 hours

DD3067-8 – Science, Mathematics, and Research for Transformation (SMART) Scholarship Recruitment Internship Request
a) Number of Respondents: 650
b) Number of Responses Per Respondent: 1
c) Number of Total Annual Responses: 650
d) Response Time: 1 hour
e) Respondent Burden Hours: 650 hours

DD3067-9 – Science, Mathematics, and Research for Transformation (SMART) Scholarship Recruitment Site Visit Request
a) Number of Respondents: 500
b) Number of Responses Per Respondent: 1
c) Number of Total Annual Responses: 500
d) Response Time: 30 min
e) Respondent Burden Hours: 250 hours

DD3067-11 – Science, Mathematics, and Research for Transformation (SMART) Scholarship Service Agreement Amendment Request
a) Number of Respondents: 500
b) Number of Responses Per Respondent: 1
c) Number of Total Annual Responses: 500
d) Response Time: 1 hour
e) Respondent Burden Hours: 500 hours

DD3067-12 – Science, Mathematics, and Research for Transformation (SMART) Scholarship Service Agreement
a) Number of Respondents: 500
b) Number of Responses Per Respondent: 1
c) Number of Total Annual Responses: 500
d) Response Time: 1 hour
e) Respondent Burden Hours: 500 hours

DD3067-13 – Science, Mathematics, and Research for Transformation (SMART) Scholarship Site Visit Report for Recruitment Awardees
a) Number of Respondents: 500
b) Number of Responses Per Respondent: 1
c) Number of Total Annual Responses: 500
d) Response Time: 30 min
e) Respondent Burden Hours: 250 hours

DD3067-15 – Science, Mathematics, and Research for Transformation (SMART) Scholarship Revised Degree Completion Plan
   a) Number of Respondents: 200
   b) Number of Responses Per Respondent: 1
   c) Number of Total Annual Responses: 200
   d) Response Time: 1 hour
   e) Respondent Burden Hours: 200 hours

2) Total Submission Burden

We have broken out the respondents by "Applicant" and "Participant." Adding them together would be inaccurate and lead to double counting, as some respondents are both Applicants and Participants.

   a) Total # of Annual Application Respondents: 2,500
   b) Total # of Annual Application Responses: 2,500
   c) Total Application Respondent Burden Hours: 20,000

   d) Total Number of Participant Respondents: 1,500 (Note, a single SMART participant may respond to more than one form. Thus, the "Total Number of Respondents" is the estimated number of unique program participants annually, and not a sum of the individual responses of each form).
   e) Total Number of Annual Responses: 5,400
   f) Total Respondent Burden Hours: 5,400 hours

Part B: LABOR COST OF RESPONDENT BURDEN

Since SMART scholars are full-time students receiving a financial stipend directly from the SMART Program, the respondents are neither salaried nor hourly wage-earners. However, assuming a Federal Minimum Wage of $7.50/hr and a total respondent burden of 25,400 hours, the total labor burden may be estimated at $190,500 annually.

13.   Respondent Costs Other Than Burden Hour Costs

There are no annualized costs to respondents other than the labor burden costs addressed in Section 12 of this document to complete this collection.

14.   Cost to the Federal Government

Part A: LABOR COST TO THE FEDERAL GOVERNMENT

   1) Collection Instrument(s):

SMART Application Evaluation (by DoD employees, assuming the GS-14 Step 5 rate via OPM)

a) Number of Total Annual Responses: 3,750
b) Processing Time per Response: 0.5 hours
c) Hourly Wage of Worker(s) Processing Responses: $53.65
d) Cost to Process Each Response: $26.83
e) Total Cost to Process Responses: $100,612.00

DD3067-2 – Science, Mathematics, and Research for Transformation (SMART) Scholarship Educational Work Plan

a) Number of Total Annual Responses: 500
b) Processing Time per Response: 0.15 hours
c) Hourly Wage of Worker(s) Processing Responses: $26.36
d) Cost to Process Each Response: $4.25
e) Total Cost to Process Responses: $2,125.00

DD3067-4 – Science, Mathematics, and Research for Transformation (SMART) Scholarship Recruitment Internship Report

a) Number of Total Annual Responses: 650
b) Processing Time per Response: 0.08 hours
c) Hourly Wage of Worker(s) Processing Responses: $26.36
d) Cost to Process Each Response: $2.11
e) Total Cost to Process Responses: $1,371.50

DD3067-5 – Science, Mathematics & Research for Transformation (SMART) Scholarship Media Release

a) Number of Total Annual Responses: 500
b) Processing Time per Response: 0.03 hours
c) Hourly Wage of Worker(s) Processing Responses: $26.36
d) Cost to Process Each Response: $0.88
e) Total Cost to Process Responses: $439.33

DD3067-7 – Science, Mathematics, and Research for Transformation (SMART) Scholarship Phase 1 Annual Report

a) Number of Total Annual Responses: 900
b) Processing Time per Response: 0.15 hours
c) Hourly Wage of Worker(s) Processing Responses: $26.36
d) Cost to Process Each Response: $4.25
e) Total Cost to Process Responses: $3,829.33

DD3067-8 – Science, Mathematics, and Research for Transformation (SMART) Scholarship Recruitment Internship Request

a) Number of Total Annual Responses: 650
b) Processing Time per Response: 0.2 hours
c) Hourly Wage of Worker(s) Processing Responses: $31.20
d) Cost to Process Each Response: $6.24
e) Total Cost to Process Responses: $4,056.00

DD3067-9 – Science, Mathematics, and Research for Transformation (SMART) Scholarship Recruitment Site Visit Request

a) Number of Total Annual Responses: 500
b) Processing Time per Response: 0.15 hours
c) Hourly Wage of Worker(s) Processing Responses: $31.20
d) Cost to Process Each Response: $4.68
e) Total Cost to Process Responses: $2,340.00

DD3067-11 – Science, Mathematics, and Research for Transformation (SMART) Scholarship Service Agreement Amendment Request

a) Number of Total Annual Responses: 500
b) Processing Time per Response: 1.1 hours
c) Hourly Wage of Worker(s) Processing Responses: $31.20
d) Cost to Process Each Response: $34.32
e) Total Cost to Process Responses: $17,160.00

DD3067-12 – Science, Mathematics, and Research for Transformation (SMART) Scholarship Service Agreement

a) Number of Total Annual Responses: 500
b) Processing Time per Response: 0.1 hours
c) Hourly Wage of Worker(s) Processing Responses: $31.20
d) Cost to Process Each Response: $3.12
e) Total Cost to Process Responses: $1,560.00

DD3067-13 – Science, Mathematics, and Research for Transformation (SMART) Scholarship Site Visit Report for Recruitment Awardees

a) Number of Total Annual Responses: 500
b) Processing Time per Response: 0.08 hours
c) Hourly Wage of Worker(s) Processing Responses: $26.36
d) Cost to Process Each Response: $2.11
e) Total Cost to Process Responses: $1,055.00

DD3067-15 – Science, Mathematics, and Research for Transformation (SMART) Scholarship Revised Degree Completion Plan

   a) Number of Total Annual Responses: 200
   b) Processing Time per Response: 0.05 hours
   c) Hourly Wage of Worker(s) Processing Responses: $26.36
   d) Cost to Process Each Response: $1.32
   e) Total Cost to Process Responses: $264.00

1) Overall Labor Burden to the Federal Government
   a) Total Number of Annual Responses: 8,250
   b) Total Labor Burden: $132,612

Part B: OPERATIONAL AND MAINTENANCE COSTS

1) Cost Categories
   a) Equipment: $0
   b) Printing: $0
   c) Postage: $0
   d) Software Purchases: $0
   e) Licensing Costs: $700,000 (SMART Information Management System [SIMS])
   f) Other (honorarium for academic evaluators): $70,000

2) Total Operational and Maintenance Cost: $770,000

Part C: TOTAL COST TO THE FEDERAL GOVERNMENT

1) Total Labor Cost to the Federal Government: $132,612
2) Total Operational and Maintenance Costs: $732,000
3) Total Cost to the Federal Government: $855,612

15.   Reasons for Change in Burden

The burden has decreased since the previous approval for several reasons. First, the number of forms required to collect necessary and relevant data has been reduced. Further, the increased administrative efficiencies have drastically reduced the time needed to process each response. The number of respondents has also decreased due to administrative efficiencies.

16.   Publication of Results

The SMART program regularly undergoes independent evaluations in order to measure program effectiveness. These evaluations happen on annual intervals, as well as over longer longitudinal periods, and result in reports that are available to the public on the SMART Program website. Any data collected through these forms are anonymized prior to

use or publication in any evaluation. These reports also go through the DoD's normal public release and security review.

17.   <u>Non-Display of OMB Expiration Date</u>

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

18.   <u>Exceptions to "Certification for Paperwork Reduction Submissions"</u>

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