



ADMINISTRATIVE
COMMUNICATIONS SYSTEM
U.S. DEPARTMENT OF EDUCATION

DEPARTMENTAL DIRECTIVE

OM:6-102

Page 1 of 22 (08/30/2006)

Distribution:
All Department of Education employees

Approved by: /s/ Scott Anderson for
Michell Clark
Assistant Secretary for Management

Information Collection Activities and Burden Control

Table of Contents

	Page
I. Purpose.....	2
II. Policy	2
III. Authorization	2
IV. Applicability	3
V. Definitions.....	3
VI. Responsibilities.....	6
VII. Requirements and Procedures.....	11
Exhibit A: Review Criteria for Information Collection Requests	16
Exhibit B: Standard/Generic Contents for Discretionary Grant Application Packages	17
Exhibit C: OMB Form 83-I.....	18
Exhibit D: Instructions for Completing OMB Form 83-I.....	20
Exhibit E: Information Collection Clearance Process Flowchart	22

For technical questions regarding this directive, please contact Angela Arrington via [email](#) or on 202-245-6409.

Supersedes OM: 3-104 Information Collection Activities and Burden Control, dated 09/01/2004.

I. Purpose

This directive defines the policies, responsibilities, and procedures for managing information collection activities, controlling and reducing the paperwork burden imposed on the public, and more effectively utilizing the information collected by the U.S. Department of Education (ED).

II. Policy

It is the policy of ED that:

- A. Information is collected, stored, processed, managed, protected, and disposed of in the most efficient and effective manner possible;
- B. The collection, storage, and use of information are limited to only that required by law or needed to manage ED programs effectively;
- C. ED information collection activities do not produce information that is unnecessary or redundant;
- D. Information collection submissions under the Paperwork Reduction Act (PRA) of 1995 are consistent with the requirements of Title 5, Part 1320 (5 CFR Part 1320);
- E. ED regulations do not contain unnecessary information collection requirements; and,
- F. ED information collection instruments are written in clear, simple terms and are understandable to the general public.

III. Authorization

- A. Control of Paperwork Amendments of 1995
http://frwebgate.access.gpo.gov/cgbin/getdoc.cgi?dbname=104_cong_public_laws&docid=publ13.104

Under Section 3506, Chapter 35 of Title 44, U.S. Code, as amended by the Paperwork Reduction Act (PRA), the Secretary of Education is responsible for reviewing and approving any data acquisitions and information collections by ED in which either:

1. The respondents are primarily educational agencies or institutions, or
2. The purpose of the information collection is to request information needed for the:
 - a. Formulation of policy for, or management of, Federal education programs, or
 - b. Research or evaluation studies related to the implementation of Federal education programs.

B. PRA of 1995 (http://www.cio.gov/archive/paperwork_reduction_act_1995.html)

As relevant to the requirements of this directive, this Act:

1. Gives the Office of Management and Budget (OMB) the authority to approve all ED information collection activities;
2. Establishes the Federal responsibility to manage information as a valuable resource; and,
3. Requires each Federal agency to designate the Assistant Secretary for Management (ASM) as the single senior official responsible for carrying out the requirements of the law.

C. 5 CFR Part 1320 – Controlling Paperwork Burdens on the Public
http://www.access.gpo.gov/nara/cfr/waisidx_02/5cfr1320_02.html

These regulations require that agencies prepare and submit to OMB an annual Information Collection Budget (ICB). The ICB serves as the major planning and management tool to assist agencies in the efficient management of information resources. These regulations also specify the OMB requirements for submission of information collection requests, the clearance approval process, and the timeframes for obtaining clearance.

IV. Applicability

This directive applies to all information collection activities in which 10 or more respondents are asked to provide any written or oral information in response to questions, surveys, or instructions created or approved by ED. Respondent refers to the general public and not Federal employees. For further clarification, see Section V.B. of this document.

OMB allows certain activities to be excluded from this approval process. Those activities not subject to the OMB approval process are detailed in 5 CFR 1320.4.

V. Definitions

A. Information

1. The communication or reception, manual or automated, of any statement of fact or opinion, whether in numerical, graphic, or narrative form, and whether oral or maintained on paper, magnetic tapes, computerized databases, or other media.
2. For the purposes of this directive, the term “information” does not generally include the following:

- a. Affidavits, oaths, affirmations, certifications, receipts, changes of address, consents, or acknowledgements, provided that they entail no burden other than that necessary to identify the respondent, the date, the respondent's address, and the nature of the instrument;
- b. Facts or opinions obtained through a direct observation by an employee or agent of a sponsoring agency or through non-standardized oral communication in connection with such direct observations;
- c. Facts or opinions submitted in response to general solicitations of comments from the public, published in the Federal Register or other publications, regardless of the form or format thereof, provided that no person is required to supply specific information pertaining to the commenter, other than that necessary for self-identification, as a condition of the agency's full consideration of the comment;
- d. Examinations designed to test the aptitude, abilities, or knowledge of the persons tested and the collection of information for identification or classification in connection with such examinations;
- e. Facts or opinions obtained or solicited at, or in connection with, public hearings; agency audits and investigations such as those from the Office of the Inspector General (OIG) and the Office for Civil Rights (OCR); clinical experimentation for research or to prevent a disorder; and non-standardized follow-up clarification of approved information collection activities; and,
- f. Facts or opinions obtained or solicited through non-standardized follow-up questions designed to clarify responses to approved collection of information.

B. Information Collection Activity

1. Any ED-sponsored or -authorized activity that imposes an information collection or record keeping burden on 10 or more respondents of the general public by means of identical (or essentially the same) questions or identical reporting or record keeping requirements, whether these collections are mandatory, voluntary, or required to obtain or retain Federal benefits. These collections may include: written reports; forms; application forms; schedules; questionnaires; reporting or record-keeping requirements; contracts; agreements; policy statements; plans; rules or regulations; information collection requests or requirements contained in, derived from, or authorized by such rules or regulations; planning requirements; circulars; directives; instructions; bulletins; letters to colleagues; requests for proposals or other procurement requirements; interview guides; oral communications; disclosure requirements; labeling requirements; telegraphic or telephonic requests; automated collection techniques; and standard questionnaires or performance reports used to monitor compliance with ED requirements.
2. Any activity in which ED requires a person or agency to obtain or compile information so that ED can disclose the information (through posting, notification, labeling, or similar disclosure requirements) to members of the public or to the

public at large, when that activity would be an information collection activity if the information were directly provided to ED.

C. Information Collection Budget (ICB)

An annual estimate of the total number of hours required of the public to comply with ED requests for information collection activities during the fiscal year.

D. Information Collection Coordinator (ICC)

The individual specifically designated by the Principal Officer to coordinate, with the Office of Management (OM), the information collection activities of the Principal Office (PO).

E. Information Collection Plan

The information collection activities planned by a PO for the fiscal year.

F. Information Collection Requirement

Any information collection activity that is published as part of agency regulations.

G. Paperwork Burden

The total time, effort, or financial resources expended by persons to generate, maintain, retain, disclose or provide information to or for a Federal agency, including:

1. Reviewing instructions;
2. Developing, acquiring, installing, and utilizing technology and systems for the purpose of collecting, validating, and verifying information;
3. Developing, acquiring, installing, and utilizing technology and systems for the purpose of processing and maintaining information;
4. Developing, acquiring, installing, and utilizing technology and systems for the purpose of disclosing and providing information;
5. Adjusting existing methods in order to comply with any previously applicable instructions and requirements;
6. Training personnel to be able to respond to a collection of information;
7. Searching data sources;
8. Completing and reviewing the collection of information; and,
9. Transmitting or otherwise disclosing the information.

H. Paperwork Clearance Official

The operating official who is responsible for reviewing, approving, and certifying ED's information collection activities. ED's paperwork clearance official is the Assistant Secretary for Management (ASM), or designee.

I. Person

Any individual, partnership, association, corporation (including government-owned contractor-operated facilities), business trust, legal representative, organized group of individuals, State, territory, or local government or any component thereof. Federal employees acting within the scope of their employment are excluded from this definition, including military reservists and members of the National Guard on active duty.

J. Practical Utility

The actual (not the theoretical or potential) usefulness of information to ED, taking into account the information's accuracy, adequacy, and reliability, and ED's ability to process the information in a useful and timely fashion. The sponsor must be able to demonstrate actual timely use of the information to meet an ED mission.

K. Sponsor

The individual within a PO who determines the information needed and initiates a request for ED and OMB approvals of an information collection activity. This is often the Program Manager or Project Manager directly responsible for collecting and analyzing the information.

L. Ten or More Persons

The persons to whom ED addresses a collection of information within any 12-month period, including any independent entities to which the initial addressee may reasonably be expected to transmit the collection of information during that period. Any record keeping or reporting requirement contained in a rule of general applicability is deemed to involve ten or more persons.

VI. Responsibilities

A. Secretary

The Secretary is responsible for the coordination and management of all Federal education information and data acquisition activities conducted by ED.

B. Assistant Secretary for Management

The ASM is designated the single senior official responsible for implementing the provisions of the PRA for ED, which includes establishing policies and managing resources used to collect, store, process, manage, protect, and dispose of information.

The ASM decides the outcome of any appeal of a Regulatory Information Management Services (RIMS) decision.

The ASM is responsible for reviewing and approving ED's information collection plans and paperwork reduction goals and for the management of all ED information resources (which includes government information and information technology).

C. OM/RIMS

OM/RIMS analyzes and evaluates ED proposals to collect, store, process, manage, protect, and dispose of information collected consistent with the PRA. This group:

1. Develops and disseminates approved policies, standards, and procedures concerning information collection activities and paperwork burden reduction goals;
2. Analyzes proposed information collection plans to ensure that they impose the minimum burden hours and costs upon the public and that the collection has practical utility for ED;
3. Analyzes proposed regulations and legislation to determine the impact on ED information management policies and procedures;
4. Prepares each Federal Register "Notice of Proposed Information Collection," which invites public comment on the proposed information collection activity;
5. Submits notices of proposed information collections to the Federal Register;
6. Formulates the ICB request, based on the combined information collection plans of the POs, and monitors the execution of the ICB;
7. Reviews and approves information collection requests using the information collection review criteria (see Exhibit A) and the ICB.
8. Reviews all Notices of Proposed Rulemaking (NPRMs), final regulations, and Federal Register notices to ensure that all information collection activities referred to, or contained in, those documents have been approved by OMB or submitted to OMB for review and approval. Notifies ICCs and the Office of the General Counsel's (OGC's) Regulatory Services Division when OMB has not approved information collection activities;
9. Approves adjustments to the ICB to meet the priority needs of ED;
10. Provides technical assistance to POs on the development of information collection plans and other matters under the PRA;
11. Establishes a master information collection clearance schedule for each fiscal year and coordinates the review and approval of information collections;

12. Monitors and updates the master schedule on a quarterly basis to assure that target dates established in the schedule are met. Contacts the ICC of the appropriate PO when submissions are due and informs the Principal Officer if a critical date is missed;
13. Establishes and maintains an automated tracking system that covers all ED information collection activities and that is accessible throughout ED;
14. Maintains a schedule for and conducts training seminars on practical and conceptual approaches and techniques for minimizing the paperwork burden and improving the efficiency of the information collection review and approval process;
15. Establishes and maintains a collection of advisory opinions, policies, and examples illustrating such matters as the current OMB definitions of paperwork. These are used to provide instruction to ED personnel;
16. Tracks the progress of ED information collection requests through the clearance processes of OMB;
17. Reviews information collection packages to ensure they comply with policies concerning standard contents (see Exhibit B) and to remove unnecessary materials;
18. Provides sponsors and the Office of the Chief Financial Officer (OCFO) Grants Policy and Oversight Staff (GPOS) with a list of OMB-approved supplemental information collection materials that can be used with the standard forms in each application package; and
19. Provides sponsors, through the ICCs, with the public's comments on the accuracy of ED burden estimates and recommended improvements to specific information collection activities. Helps sponsors calculate more accurate burden estimates and implement any improvements.

D. OCFO/GPOS

OCFO/GPOS reviews application packages to determine if they adhere to the OM/RIMS and OMB requirements for standard contents (see Exhibit B) and supplemental information. OCFO/GPOS refers unresolved problems to OM/RIMS.

E. Principal Officers

The Principal Officer is responsible for ensuring that sponsors comply with the PRA and OMB regulations (5 CFR 1320). The Principal Officer:

1. Designates an ICC to carry out the duties specified in Section VI.F. of this document and submits the ICC's name to the ASM;

2. Supports the ICC in fulfilling the ICC's duties regarding PO information collection activities and establishes procedures to coordinate efficiently the development and review of information collection requests within the PO;
3. Designates a replacement ICC in a timely manner when an ICC is given other responsibilities or unable to perform the function;
4. Ensures that PO management fully understands and is committed to paperwork burden reduction goals and information collection clearance schedules; and
5. Advises the Paperwork Clearance Official as soon as changing Administration, congressional, or program priorities suggest possible changes to the PO's information collection activities.

F. ICC

Working with the Paperwork Clearance Official, the ICC provides technical assistance to the sponsor in the development and submission of the sponsor's information collection plans and activities. The ICC:

1. Establishes a PO Information Collection Plan by working with the program managers to determine present and future information requirements and opportunities for reducing the paperwork burden;
2. Proposes a PO information collection budget based on the current information collection activities of the programs and the anticipated information collection activities resulting from potential legislative or program policy changes;
3. Reviews the PO's NPRM document, final regulations, Federal Register notices, bulletins, transmittal letters, and other policy issuances for their effects on the information collection and record keeping burden;
4. Reviews information collection clearance requests for completeness and compliance with the format requirements of ED and OMB (see Exhibits B and C) and to determine if improvements suggested by the public were incorporated into the requests;
5. To promote the timely clearance of the PO's information collection activities, informs PO managers of the time requirements of the information collection approval process and advises them on upcoming deadlines;
6. Ensures that information collection requests involving proposed regulations are submitted to OM/RIMS prior to the planned publication of the NPRM in the Federal Register and that requests for clearance of information collection activities are submitted at least 120 days before they are required for printing or distribution;

7. Disseminates within the PO any information from OM/RIMS on the information clearance process and policies. As the liaison with OM/RIMS on all information clearance matters, the ICC maintains a file of this information;
8. Advises the Principal Officer of the status of information collection activities, such as when it seems as though the PO is likely to miss important deadlines;
9. Ensures that PO sponsors adhere to established standards in their application packages; and (See Exhibits A, B, and C.)
10. Ensures that public comments concerning the estimation of burden and public recommendations for improvement of information collection activities are analyzed by the sponsor and implemented after OM/RIMS and OMB approval.

G. OGC – Business and Administrative Law Division

OGC's Business and Administrative Law Division is responsible for providing legal advice on the PRA and the implementing regulations, 5 CFR 1320.

H. OGC – Regulatory Services Division

OGC's Regulatory Services Division has the following PRA responsibilities:

1. Transmits copies of regulatory documents to OM/RIMS for review under the PRA;
2. If OM/RIMS determines the regulatory documents contain information collection requirements, OGC's Regulatory Services Division transmits appropriate language regarding the PRA to POs for insertion into final regulations or a NPRM document; and
3. Ensures that POs display OMB-assigned control numbers under the appropriate sections of final regulations.

I. Office of Planning, Evaluation, and Policy Development – Policy and Program Studies Service

Reviews proposed information collection activities to determine their consistency with evaluation priorities.

J. Office of Planning, Evaluation, and Policy Development – Budget Service

Reviews proposed information collection activities to determine their consistency with ED budget.

VII. Requirements and Procedures

A. Information Collection Budget (ICB)

The following steps are taken to develop the information collection budget plans for ED information collection activities:

1. At the request of the Paperwork Clearance Official, the ICC submits the PO's information collection budget plans for the fiscal year, including detailed descriptions of new collections or any changes in continuing collections in the remaining months of the current fiscal year.
2. The Paperwork Clearance Official reviews each PO's information collection plan for inclusion in ED's ICB. Changes and clarifications are negotiated with the ICCs and PO representatives.
3. The Paperwork Clearance Official submits the proposed ICB to the ASM.
4. The proposed ICB, as amended by the OM, is submitted to the OMB.
5. OMB and ED representatives meet to discuss the proposed ICB, and OMB returns the approved ICB. OM/RIMS forwards copies to ED ICCs.

For Agency ICB Appeals –

1. The OM may formally appeal any OMB decision on the ICB.
2. The Paperwork Clearance Official disseminates the approved ICB to the ICCs.

B. Information Collection Requests

The following information is a summary of the general steps involved in information collection requests. More detailed information is furnished in the handbook reference, "*A Guide to the Information Collection Clearance Process.*" The reference can be retrieved from -- http://connected.ed.gov/doc_img/ticol.doc.

1. The sponsor determines that an instrument or document contains a reporting or recordkeeping burden or determines that a currently approved information collection activity requires modification.
2. The sponsor prepares an information collection request containing a completed OMB 83-I (see Exhibits C and D), a justification statement, the information collection instrument or documents, the accompanying instructions and transmittal letters, and other supporting documents, and submits it to the ICC of the respective PO for review. (See Exhibit C)
3. The ICC reviews the request to determine if the submission meets PO, OM/RIMS, and OMB requirements. The ICC directs or makes needed changes.

4. The sponsor must submit the information collection request via the EDucation Information Collection System (EDICS). In addition, the Sponsor must furnish one to: Desk Control, Potomac Center Plaza. There are four types of requests:
 - A “regular” request (a collection with both 60-day and 30-day comment period notices) is delivered at least 120 days before OMB clearance is needed and at least 30 days before a planned publication of an NPRM, if applicable.
 - “Discretionary application” requests (collections containing a discretionary grant with only a 30-day comment period notice) are delivered at least 60 days before OMB approval is needed (or in 10 days if the application uses the “generic application” guidelines). Generic grant applications follow only a 10-day clearance process.
 - “Emergency” requests (collections that are processed with an expedited review but meet the emergency guidelines) are only granted by OMB. An emergency notice for public comment is published for these types of requests.
 - Special Information Collection Requests are requests with shortened review periods such as the generic discretionary grant applications, system clearances, customer surveys and focus groups, etc. Public comment period notices are not required for these individual requests other than a 30-day notice for system clearances.

(Note—For specific guidelines, refer to Information Collection Guide “Handbook” referenced above.)

5. OM/RIMS first publishes a 60-day public comment period notice, a “Notice of Proposed Information Collection,” which gives the public a reasonable opportunity to comment on the proposed ED information collection activity. During this 60-day comment period, OM/RIMS and other ED offices review (based on the criteria in Exhibits A, B, and C) the information collection.
6. OM/RIMS must ensure the PO has resolved any issues and comments relating to the collection, including those from ED offices and the public, and all the necessary revisions are made.
7. OM/RIMS approves or disapproves the information collection activity. If the activity is approved, OM/RIMS publishes a second public notification for this collection, the 30-day comment period notice. OM/RIMS will then submit the information collection request to OMB. If the activity is not approved, OM/RIMS offers the sponsor an opportunity to correct the deficiencies. If the sponsor makes corrections, OM/RIMS sends the request to OMB; otherwise a memorandum reflecting the reasons for disapproval is sent through the ASM to the sponsor and ICC.
8. OMB reviews and approves the information collection request within 60 days, included in which are the 30-day comment period when they collect public comments and an additional 30 days for their continued review. Comments from

the public and OMB must be addressed prior to the approval of the information collection. OMB negotiates any changes with OM/RIMS and the PO, and upon agreement, the PO makes the necessary changes to the information collection.

9. OMB assigns a control number and an expiration date (not to exceed three years from the date of approval) and transmits this decision to OM/RIMS in a "Notice of Action."
10. OM/RIMS transmits the Notice of Action to the respective ICC.
11. The PO displays the OMB control number, expiration date, and burden paragraph as instructed by OM/RIMS.

C. Information Collections Requiring Emergency Clearances

The sponsor, OM/RIMS and OMB follow all the steps in Section VII.B. of this document with the following exceptions:

1. In addition to submitting the information collection request (see Section VII.B.4. of this document), the sponsor provides OM/RIMS with an emergency justification for OMB's acceptance.
2. OM/RIMS transmits the emergency information collection request to OMB and a notice is published in the Federal Register for the emergency and the regular public comment periods. (Note: The notice for the concurrent regular public comment period is required since the sponsor must submit the regular collection request concurrent with the emergency information collection request.)
3. OMB reviews and approves (see Section VII.B.7. of this document) the emergency request by the date specified in the Federal Register, but with an expiration date not to exceed six months.

D. Appeals to Decisions

1. Appeals to the Paperwork Clearance Official's decision must be filed within 15 working days of the date of the official disapproval memorandum. The requesting Principal Officer forwards an appeals package to the ASM.
2. An appeals package consists of:
 - a. The original request;
 - b. The disapproval memorandum;
 - c. Memorandum of endorsement from the Principal Officer to the ASM requesting that the OM/RIMS decision be overturned; and
 - d. Supporting documents as needed.

E. Regulations with Paperwork Burden

1. If the sponsor or OM/RIMS determines that a draft NPRM or draft final regulations contain information collection requirements, the sponsor prepares an information collection request (as described in Section VII.B. of this document) and notes the sections containing paperwork in the NPRM's preamble.
2. The sponsor, through the ICC, submits an information collection request (as in Section VII.B.2 of this document) to OM/RIMS for review concurrently with the submission of the final draft NPRM to OGC's Regulatory Services Division for intra-ED review (at least 30 days prior to the planned publication of an NPRM, if applicable.)
3. OM/RIMS reviews and clears the information collection submission concurrently with ED clearance schedule for regulations. OM/RIMS sends information collection comments to the PO, and any regulatory comments to the Regulatory Services Division and the PO. Once corrections are made, and there is a publication date for the proposed regulation, OM/RIMS submits the information collection request with the regulatory document to OMB.
4. OM/RIMS conveys the timing of the information collection request with OGC's Regulatory Services Division to arrive at OMB on the day of the publication of the NPRM in the Federal Register.
5. OMB concurrently reviews the information collection requirements proposed in the NPRM and the information collection request with the goal of having the clearance process completed for the information collection by the time the NPRM is published as final regulations.
6. OMB reviews the information collection request, collecting any public comments from the information collection and proposed regulation comment periods, during which time OMB negotiates any changes with OM/RIMS and the PO. OMB may provide an action "File and Continue" which allows the process to extend to the time the proposed regulation becomes final. At this point, OMB is able to approve the information collection and the final regulation."
7. OMB assigns a control number and an expiration date (not to exceed three years from the date of approval) and transmits this decision to OM/RIMS in a "Notice of Action."
8. OM/RIMS transmits copies via e-mail of the Notice of Action to the ICC in the respective PO and informs the Regulatory Services Division of this approval as necessary.
9. OGC's Regulatory Services Division includes the OMB control number in the regulations, as instructed by OM/RIMS.
10. The PO displays the OMB control number, expiration date, and burden paragraphs, as instructed by OM/RIMS on the information collection.

F. Review of Rules and Notices to be Published in the Federal Register

OM/RIMS reviews all rules and notices distributed through the OGC's Regulatory Services Division clearance process and may not concur if:

1. Rules contain unnecessary information collection requirements;
2. Information collection requests are not submitted for clearance concurrently with clearance for the proposed rules and at least 30 days before a planned publication of an NPRM, if applicable;
3. Notices contain any information collection provisions not cleared by OMB; and/or
4. Notices contain an application closing date that conflicts with the expiration date of the OMB clearance authorizing that information collection activity.

G. Contract Acquisition Plans

OM/RIMS reviews all contract acquisition plans containing information collection activities provided by OCFO's Contracts and Purchasing Operations office and nonconcur if:

1. Work statements contain inefficient or redundant information collection activities;
2. Information collection activities would produce information without practical utility;
3. The information collection schedule does not provide sufficient time for paperwork clearance; and/or
4. The information collection proposals are not in compliance with ED information management policy or OMB paperwork clearance regulations.

H. Relationship to the Privacy Act

OM/RIMS considers the protection of individual's privacy in the review of information collection requests. For more information on the Privacy Act, please consult the ACS Directive (OCIO:1-101) "Privacy Act of 1974."

Exhibit A: Review Criteria for Information Collection Requests

OM/RIMS reviews each information collection submission to determine if it:

1. Is efficiently collected, not duplicative, and has practical utility;
2. Is authorized by statute, regulation, or is necessary to an ED program mission or responsibilities;
3. Is consistent with ED policies, priorities, and burden reduction goals;
4. Uses data standards and terminology;
5. Employs acceptable statistical standards and survey methodologies;
6. Protects the privacy of individuals;
7. Imposes a justifiable burden on an individual or small business;
8. Provides for public notification through publication in the Federal Register;
9. Demonstrates consultation with representatives of groups, agencies, and individuals who will be affected by the information collection activity; and,
10. Complies with other Government-wide standards [e.g., OMB Circulars (A-102 – Grants and Cooperative Agreements with State and Local Governments, A-110 – Uniform Administrative Requirements for Grants and Other Agreements With Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations, A-123 – Management Accountability and Control) and the Government Paperwork Elimination Act (GPEA)].

Exhibit B: Standard/Generic Contents for Discretionary Grant Application Packages

- Closing Date Notice
- Program Statute (as appropriate)
- Selection Criteria (EDGAR and/or statutory)
- Title Page Form – Application for Federal Education Assistance (ED 424)
- Application Abstract
- Application Narrative
- Burden Statement
- Instructions for Transmitting Applications
- Budget Information Form (ED 524)
- General Education Provisions Act (GEPA) Section 427 Statement
- Certifications and Assurances
 - Assurances-Non-Construction Programs (Standard Form 424B)
 - Certification Regarding Lobbying; Debarment, Suspension, and Other Responsibility Matters; and Drug-Free Work-Place Requirements (ED Form 80-0013)
 - Disclosure of Lobbying Activities (Standard Form LLL), if applicable
 - Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion–Lower Tier Covered Transactions (ED Form 80-0014)
[Note -- ED Form GCS-0014 is intended for the use of primary participants and should not be transmitted to ED]
 - Ensuring Equal Opportunity for Grant Applicants (if nonprofit)
- Application Checklist Application Packages for New Grants

Exhibit C: OMB Form 83-I

PAPERWORK REDUCTION ACT SUBMISSION

<p>Please read the instructions before completing this form. For additional forms or assistance in completing this form, contact your agency's Paperwork Clearance Officer. Send two copies of this form, the collection instrument to be reviewed, the Supporting Statement, and any additional documentation to: Office of Information and Regulatory Affairs, Office of Management and Budget, Docket Library, Room 10102, 725 17th Street NW, Washington, DC 20503.</p>	
1. Agency/Subagency originating request	2. OMB control number b. <input type="checkbox"/> None a. _____ - _____ _____
3. Type of information collection (<i>check one</i>) a. <input type="checkbox"/> New Collection b. <input type="checkbox"/> Revision of a currently approved collection c. <input type="checkbox"/> Extension of a currently approved collection d. <input type="checkbox"/> Reinstatement, without change , of a previously approved collection for which approval has expired e. <input type="checkbox"/> Reinstatement, with change , of a previously approved collection for which approval has expired f. <input type="checkbox"/> Existing collection in use without an OMB control number <i>For b-f, note Item A2 of Supporting Statement instructions</i>	4. Type of review requested (<i>check one</i>) a. <input type="checkbox"/> Regular b. <input type="checkbox"/> Emergency – Approval requested by: ___/___/___ c. <input type="checkbox"/> Delegated
	5. Small entities Will this information collection have a significant economic impact on a substantial number of small entities? Yes <input type="checkbox"/> No <input type="checkbox"/>
	6. Requested expiration date a. <input type="checkbox"/> Three years from the approval date b. <input type="checkbox"/> ___/___/___
7. Title	
8. Agency form number(s) (<i>if applicable</i>)	
9. Keywords	
10. Abstract	
11. Affected public (<i>Mark primary with "P" and all others with "X"</i>) a. ___ Individuals or households d. ___ Farms b. ___ Businesses or other for-profit e. ___ Federal Government c. ___ Not-for-profit institutions f. ___ State, Local, or Tribal Government	12. Obligation to respond (<i>Mark primary with "P" and all others that apply with "X"</i>) a. <input type="checkbox"/> Voluntary b. <input type="checkbox"/> Required to obtain or retain benefits c. <input type="checkbox"/> Mandatory
13. Annual reporting and recordkeeping hour burden a. Number of respondents _____ b. Total annual responses _____ 1. Percentage of these responses collected electronically _____ % c. Total annual hours requested _____ d. Current OMB inventory _____ e. Difference _____ f. Explanation of difference 1. Program change _____ 2. Adjustment _____	14. Annual reporting and recordkeeping cost burden (<i>in thousands of dollars</i>) a. Total annualized capital/startup costs _____ b. Total annual costs (O&M) _____ c. Total annualized cost requested _____ d. Current OMB inventory _____ e. Difference _____ f. Explanation of difference 1. Program change _____ 2. Adjustment _____
15. Purpose of information collection (<i>Mark primary with "P" and all others that apply with "X"</i>) a. ___ Application for benefits e. ___ Program planning or management b. ___ Program evaluation f. ___ Research c. ___ General purpose statistics g. ___ Regulatory or compliance d. ___ Audit	16. Frequency of recordkeeping or reporting (<i>check all that apply</i>) a. <input type="checkbox"/> Recordkeeping b. <input type="checkbox"/> Third party disclosure c. <input type="checkbox"/> Reporting: 1. <input type="checkbox"/> On occasion 2. <input type="checkbox"/> Weekly 3. <input type="checkbox"/> Monthly 4. <input type="checkbox"/> Quarterly 5. <input type="checkbox"/> Semi-annually 6. <input type="checkbox"/> Annually 7. <input type="checkbox"/> Biennially 8. <input type="checkbox"/> Other (describe) _____
17. Statistical methods Does this information collection employ statistical methods? <input type="checkbox"/> Yes <input type="checkbox"/> No	18. Agency contact (<i>person who can best answer questions regarding the content of this submission</i>) Name: _____ Phone: _____
OMB 83-I	10/95

19. Certification for Paperwork Reduction Act Submissions

On behalf of this Federal agency, I certify that the collection of information encompassed by this request complies with 5 CFR 1320.9.

NOTE: The text of 5 CFR 1320.9, and the related provisions of 5 CFR 1320.8(b)(3), appear at the end of the instructions. *The certification is to be made with reference to those regulatory provisions as set forth in the instructions.*

The following is a summary of the topics, regarding the proposed collection of information, that the certification covers:

- (a) It is necessary for the proper performance of agency functions;
- (b) It avoids unnecessary duplication;
- (c) It reduces burden on small entities;
- (d) It uses plain, coherent, and unambiguous language that is understandable to respondents;
- (e) Its implementation will be consistent and compatible with current reporting and recordkeeping practices;
- (f) It indicates the retention periods for recordkeeping requirements;
- (g) It informs respondents of the information called for under 5 CFR 1320.8(b)(3) about:
 - (i) Why the information is being collected;
 - (ii) Use of information;
 - (iii) Burden estimate;
 - (iv) Nature of response (voluntary, required for a benefit, or mandatory);
 - (v) Nature and extent of confidentiality; and
 - (vi) Need to display currently valid OMB control number;
- (h) It was developed by an office that has planned and allocated resources for the efficient and effective management and use of the information to be collected (see note in Item 19 of the instructions);
- (i) It uses effective and efficient statistical survey methodology (if applicable); and
- (j) It makes appropriate use of information technology.

If you are unable to certify compliance with any of these provisions, identify the item below and explain the reason in Item 18 of the Supporting Statement.

Signature of Senior Official or designee:	Date:
OMB 83-I	10/95

Exhibit D: Instructions for Completing OMB Form 83-I

Please answer all questions and have the Senior Official or designee sign the form. These instructions should be used in conjunction with 5 CFR 1320, which provides information on coverage, definitions, and other matters of procedure and interpretation under the Paperwork Reduction Act of 1995.

1. Agency/Subagency originating request

Provide the name of the agency or subagency originating the request. For most cabinet-level agencies, a subagency designation is also necessary. For non-cabinet agencies, the subagency designation is generally unnecessary.

2. OMB control number

- If the information collection in this request has previously received or now has an OMB control or comment number, enter the number.
- Check "None" if the information collection in this request has not previously received an OMB control number. Enter the four digit agency code for your agency.

3. Type of information collection (check one)

- Check "New collection" when the collection has not previously been used or sponsored by the agency.
- Check "Revision" when the collection is currently approved by OMB, and the agency request includes a material change to the collection instrument, instructions, its frequency of collection, or the use to which the information is to be put.
- Check "Extension" when the collection is currently approved by OMB, and the agency wishes only to extend the approval past the current expiration date without making any material change in the collection instrument, instructions, frequency of collection, or the use to which the information is to be put.
- Check "Reinstatement without change" when the collection previously had OMB approval, but the approval has expired or was withdrawn before this submission was made, and there is no change to the collection.
- Check "Reinstatement with change" when the collection previously had OMB approval, but the approval has expired or was withdrawn before this submission was made, and there is a change to the collection.
- Check "Existing collection in use without OMB control number" when the

collection is currently in use but does not have a currently valid OMB control number.

4. Type of review requested (check one)

- Check "Regular" when the collection is submitted under 5 CFR 1320.10, 1320.11, or 1320.12 with a standard 60 day review schedule.
- Check "Emergency" when the agency is submitting the request under 5 CFR 1320.13 for emergency processing and provides the required supporting material. Provide the date by which the agency requests approval.
- Check "Delegated" when the agency is submitting the collection under the conditions OMB has granted the agency delegated authority.

5. Small entities

Indicate whether this information collection will have a significant impact on a substantial number of small entities. 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.

6. Requested expiration date

- Check "Three years" if the agency requests a three year approval for the collection.
- Check "Other" if the agency requests approval for less than three years. Specify the month and year of the requested expiration date.

7. Title

Provide the official title of the information collection. If an official title does not exist, provide a description which will distinguish this collection from others.

8. Agency form number(s) (if applicable)

Provide any form number the agency has assigned to this collection of information.

Separate each form number with a comma.

9. Keywords

Select and list at least two keywords (descriptors) from the "Federal Register Thesaurus of Indexing Terms" that describe the subject area(s) of the information collection. Other terms may be used but should be listed after those selected from the thesaurus. Separate keywords with commas. Keywords should not exceed two lines of text.

10. Abstract

Provide a statement, limited to five lines of text, covering the agency's need for the information, uses to which it will be put, and a brief description of the respondents.

11. Affected public

Mark all categories that apply, denoting the primary public with a "P" and all others that apply with an "X."

12. Obligation to respond

Mark all categories that apply, denoting the primary obligation with a "P" and all others that apply with an "X."

- Mark "Voluntary" when the response is entirely discretionary and has no direct effect on any benefit or privilege for the respondent.
- Mark "Required to obtain or retain benefits" when the response is elective, but is required to obtain or retain a benefit.
- Mark "Mandatory" when the respondent must reply or face civil or criminal sanctions.

13. Annual reporting and record keeping hour burden

- Enter the number of respondents and/or recordkeepers. If a respondent is also a record-keeper, report the respondent only once.
- Enter the number of responses provided annually. For recordkeeping as compared to reporting activity, the number of responses equals the number of recordkeepers.
 - Enter the estimated percentage of responses that will be submitted/collected electronically using magnetic media (i.e., diskette), electronic mail, or electronic data interchange. Facsimile is **not** considered an electronic submission.

- c. Enter the total annual recordkeeping and reporting hour burden.
- d. Enter the burden hours currently approved by OMB for this collection of information. Enter zero (0) for any new submission or for any collection whose OMB approval has expired.
- e. Enter the difference by subtracting line d from line c. Record a negative number (d larger than c) within parentheses.
- f. Explain the difference. The difference in line e must be accounted for in lines f.1. and f.2.
- f.1. "Program change" is the result of deliberate Federal government action. All new collections and any subsequent revision of existing collections (e.g., the addition or deletion of questions) are recorded as program changes.
- f.2. "Adjustment" is a change that is not the result of a deliberate Federal government action. Changes resulting from new estimates or actions not controllable by the Federal government are recorded as adjustments.

14. Annual reporting and recordkeeping cost burden (in thousands of dollars)

The costs identified in this item must exclude the cost of hour burden identified in Item 13.

- a. Enter total dollar amount of annualized cost for all respondents of any associate capital or start-up costs.
- b. Enter recurring annual dollar amount of cost for all respondents associated with operating or maintaining systems or purchasing services.
- c. Enter total (14.a. + 14.b.) annual reporting and record keeping cost burden.
- d. Enter any cost burden currently approved by OMB for this collection of information. Enter zero (0) if this is the first submission after October 1, 1995.
- e. Enter the difference by subtracting line d from line c. Record a negative number (d larger than c) within parentheses.
- f. Explain the difference. The difference in line e must be accounted for in lines f.1. and f.2.
- f.1. "Program change" is the result of deliberate Federal government action. All new collections and any subsequent revisions or changes resulting in cost changes are recorded as program changes.

- f.2. "Adjustment" is a change that is not the result of a deliberate Federal government action. Changes resulting from new estimations or actions not controllable by the Federal government are recorded as adjustments.

15. Purpose of information collection

Mark all categories that apply, denoting the primary purpose with a "P" and others that apply with an "X."

- a. Mark "Application for benefits" when the purpose is to participate in, receive, or qualify for a grant, financial assistance, etc., from a Federal agency or program.

- b. Mark "Program evaluation" when the purpose is a formal assessment, through objective measures and systematic analysis, of the manner and extent to which Federal programs achieve their objectives or produce other significant effects.

- c. Mark "General purpose statistics" when the data is collected chiefly for use by the public or for general government use without primary reference to the policy or program operations of the agency collecting the data.

- d. Mark "Audit" when the purpose is to verify the accuracy of accounts and records.

- e. Mark "Program planning or management" when the purpose relates to progress reporting, financial reporting and grants management, procurement and quality control, or other administrative information that does not fit into any other category.

- f. Mark "Research" when the purpose is to further the course of research, rather than for a specific program purpose.

- g. Mark "Regulatory or compliance" when the purpose is to measure compliance with laws or regulations.

16. Frequency of record keeping or reporting

Check "Recordkeeping" if the collection of information explicitly includes a recordkeeping requirement.

Check "Third party disclosure" if a collection of information includes third-party disclosure requirements as defined by 1320.3(c).

Check "Reporting" for information collections that involve reporting and check the frequency of reporting that is requested or required of a respondent. If the reporting is on "an event" basis, check "On occasion."

17. Statistical methods

Check "Yes" if the information collection uses statistical methods such as sampling or imputation. Generally, check "No" for applications and audits (unless a random auditing scheme is used). Check "Yes" for statistical collections, most research collections, and program evaluations using scientific methods. For other types of data collection, the use of sampling, imputation, or other statistical estimation techniques should dictate the response for this item. Ensure that supporting documentation is provided in accordance with Section B of the Supporting Statement.

18. Agency contact

Provide the name and telephone number of the agency person best able to answer questions regarding the content of this submission.

19. Certification for Paperwork Reduction Act Submissions

The Senior Official or designee signing this statement certifies that the collection of information encompassed by the request complies with 5 CFR 1320.9. Provisions of this certification that the agency cannot comply with should be identified and fully explained in item 18 of the attached Supporting Statement. NOTE: The Office that "develops" and "uses" the information to be collected is the office that "conducts or sponsors" the collection of information. (See 5 CFR 1320.3(d)).

Exhibit E: Information Collection Clearance Process Flowchart

(Except for collections that do not involve rulemaking or streamlined processes)

