

# Paperwork Reduction Act Submission

Please read the instruction before completing this form. For additional forms or assistance in completing this forms, contact your agency's Paperwork Reduction 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 Seventeenth St. NW, Washington, DC 20503.

<b>1. Agency/Subagency Originating Request:</b> <b>U.S. Department of Housing and Urban Development</b> Office of Affordable Housing Programs	<b>2. OMB Control Number:</b> b. a. <b>2506-0157</b>																																		
<b>3. Type of information collection: (check one)</b> a. <input type="checkbox"/> New Collection b. <input type="checkbox"/> Revision of a currently approved collection c. <input checked="" type="checkbox"/> Extension of a currently approved collection d. <input type="checkbox"/> Reinstatement, <b>without change</b> , of previously approved collection for which approval has expired e. <input type="checkbox"/> Reinstatement, <b>with change</b> , of previously approved collection for which approval has expired f. <input type="checkbox"/> Existing collection in use without an OMB control number For b-f, note item A2 of Supporting Statement instructions.	<b>4. Type of review requested: (check one)</b> a. <input checked="" type="checkbox"/> Regular b. <input type="checkbox"/> Emergency - Approval requested by c. <input type="checkbox"/> Delegated <b>5. Small entities: Will this information collection have a significant economic impact on a substantial number of small entities?</b> <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <b>6. Requested expiration date:</b> a. <input checked="" type="checkbox"/> Three years from approval date    b. <input type="checkbox"/> Other (specify)																																		
<b>7. Title:</b> <b>Self-Help Homeownership Opportunity Program (SHOP) Grant Monitoring</b>																																			
<b>8. Agency form number(s): (if applicable)</b> HUD-40215, HUD-40216, HUD-40217, HUD-40218, HUD-40219, and HUD-40220																																			
<b>9. Keywords:</b> Housing, Self-Help Homeownership Opportunity Program (SHOP)																																			
<b>10. Abstract:</b> SHOP provides for funds to purchase home sites and develop/improve infrastructure to support sweat equity and volunteer-based homeownership programs for low-income persons and families. This information collection is to measure performance goals and demonstrate the success of the program.																																			
<b>11. Affected public: (mark primary with "P" and all others that apply with "X")</b> a. Individuals or households    e. Farms b. Business or other for-profit    f. Federal Government c. <b>P</b> Not-for-profit institutions    g. State, Local or Tribal Government	<b>12. Obligation to respond: (mark primary with "P" and all others that apply with "X")</b> a. Voluntary b. <b>P</b> Required to obtain or retain benefits c. Mandatory																																		
<b>13. Annual reporting and recordkeeping hour burden:</b> <table style="width:100%;"><tr><td>a. Number of respondents</td><td style="text-align: right;">933</td></tr><tr><td>b. Total annual responses</td><td style="text-align: right;">3,861</td></tr><tr><td>    Percentage of these responses collected electronically</td><td style="text-align: right;">100%</td></tr><tr><td>c. Total annual hours requested</td><td style="text-align: right;">8,675</td></tr><tr><td>d. Current OMB inventory</td><td style="text-align: right;">0</td></tr><tr><td>e. Difference (+,-)</td><td style="text-align: right;">8,675</td></tr><tr><td colspan="2">f. Explanation of difference:</td></tr><tr><td>    1. Program change:</td><td></td></tr><tr><td>    2. Adjustment:</td><td style="text-align: right;">8,675</td></tr></table>	a. Number of respondents	933	b. Total annual responses	3,861	Percentage of these responses collected electronically	100%	c. Total annual hours requested	8,675	d. Current OMB inventory	0	e. Difference (+,-)	8,675	f. Explanation of difference:		1. Program change:		2. Adjustment:	8,675	<b>14. Annual reporting and recordkeeping cost burden: (in thousands of dollars)</b> Do not include costs based on the hours in item 13. <table style="width:100%;"><tr><td>a. Total annualized capital/startup costs</td><td style="text-align: right;">\$0.00</td></tr><tr><td>b. Total annual costs (O&amp;M)</td><td style="text-align: right;">\$0.00</td></tr><tr><td>c. Total annualized cost requested</td><td style="text-align: right;">\$0.00</td></tr><tr><td>d. Current OMB inventory</td><td style="text-align: right;">\$0.00</td></tr><tr><td>e. Difference</td><td style="text-align: right;">\$0.00</td></tr><tr><td colspan="2">f. Explanation of difference:</td></tr><tr><td>    1. Program change:</td><td style="text-align: right;">0</td></tr><tr><td>    2. Adjustment:</td><td></td></tr></table>	a. Total annualized capital/startup costs	\$0.00	b. Total annual costs (O&M)	\$0.00	c. Total annualized cost requested	\$0.00	d. Current OMB inventory	\$0.00	e. Difference	\$0.00	f. Explanation of difference:		1. Program change:	0	2. Adjustment:	
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<b>15. Purpose of Information collection: (mark primary with "P" and all others that apply with "X")</b> a. Application for benefits    e. Program planning or management b. <b>P</b> Program evaluation    f. Research c. General purpose statistics    g. Regulatory or compliance d. Audit	<b>16. Frequency of recordkeeping or reporting: (check all that apply)</b> a. <input checked="" type="checkbox"/> Recordkeeping    b. <input type="checkbox"/> Third party disclosure c. <input checked="" type="checkbox"/> Reporting: 1. <input checked="" type="checkbox"/> On occasion    2. <input type="checkbox"/> Weekly    3. <input type="checkbox"/> Monthly 4. <input checked="" type="checkbox"/> Quarterly    5. <input type="checkbox"/> Semi-annually    6. <input checked="" type="checkbox"/> Annually 7. <input type="checkbox"/> Biennially    8. <input type="checkbox"/> Other (describe)																																		
<b>17. Statistical methods:</b> Does this information collection employ statistical methods? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	<b>18. Agency contact: (person who can best answer questions regarding the content of this submission)</b> Name: Lou Thompson Phone: (202) 402-4594																																		

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## 19. Certification for Paperwork Reduction Act Submissions

On behalf of the U.S. Department of Housing and Urban Development, 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 collections 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 terminology 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):
  - (i) Why the information is being collected;
  - (ii) Use of the 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 collected (see note in item 19 of the instructions);
- (i) It uses effective and efficient statistical survey methodology; 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.

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Signature of Program Official:

Date:

X  
Clifford Taffet, Director, Office of Affordable Housing Programs

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Signature of Senior Officer or Designee:

Date:

X  
Lillian Deitzer, Departmental Paperwork Reduction Act Officer,  
Office of the Chief Information Officer

# Supporting Statement for Paperwork Reduction Act Submissions

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## A. Justification

### 1. Circumstances that make the collection of information necessary.

The Self-Help Homeownership Opportunity Program (SHOP) provides funds for eligible national and regional non-profit organizations and consortia to purchase home sites and develop or improve the infrastructure needed to set the stage for sweat equity and volunteer-based homeownership programs for low-income persons and families. SHOP is authorized by the Housing Opportunity Program Extension Act of 1996, Section 11, and is subject to other Federal crosscutting requirements. SHOP funds are used for eligible expenses to develop decent, safe and sanitary non-luxury housing for low-income persons and families who otherwise would not become homeowners. Homebuyers must be willing to contribute significant amounts of their own sweat equity, along with other volunteer labor, toward the construction of the housing units. HUD awards grants to nonprofit organizations for self-help housing projects of at least 30 homes.

Fewer than ten respondents apply for SHOP grants annually. However, the number of current grantees has grown to average 16. Post award reporting from those grantees is included in this submission.

The Housing Opportunity Program Extension Act of 1996, Section 11, which identifies specific requirements of SHOP grantees. SHOP reporting requirements are outlined in the SHOP NOFA.

This request is for extension of a collection for which approval will expire on May 31, 2008. No additional forms have been added since the previous approval. This submission updates and clarifies data instructions and adds two data collections (Other Funds Expended-Funds Leveraged and Total Number of Volunteer Hours) to forms HUD-40215 through HUD-40218. One data collection (Total Number of Volunteer Hours) is added to form HUD-40220. These data collections will ensure uniform reporting from grantees. These additional data will enable HUD to respond to performance measurements in the PART on the leveraging ratio and hours of labor provided by volunteers, in addition to the homebuyers, which increases the homebuyers' household equity. Grantees have this information on hand, which should not increase the hourly burdens already established for these collections. No changes were made to HUD-40219.

### 2. How the information is used.

HUD's 2008 Annual Performance Plan includes outcome indicator A.1.13, the number of homeowners who have used sweat equity to earn assistance with SHOP funding, as one of its performance goals under Goal A: "increasing homeownership opportunities." The information collected through the required SHOP reports will serve as the tool to measure these performance goals. This information is necessary to demonstrate the success of the program. The information collected is used to evaluate the performance of the national or regional nonprofit public or private organizations or consortia that are the recipients of SHOP funds. HUD will use the information to monitor the use of grant funds and to ensure compliance with the SHOP statute. Affiliate organizations provide information to SHOP grantees to analyze and aggregate data for reporting to HUD. SHOP grantees will provide a financial closeout report for its SHOP program at the conclusion of its grant agreement with HUD. A grantee whose grant expires during the year or who expends the balance of its grant during the year must report to HUD. Grantees must also report activities funded from the earnings of SHOP grant funds. Earnings are any interest, fees, or other earnings (including loan repayments) directly generated by use of SHOP funds and must be used for SHOP-eligible activities only.

### 3. Improved technology.

All information must be submitted electronically. The forms, provided via the internet, will perform all necessary calculations and are to be submitted via email.

### 4. Efforts to identify duplication.

No duplication of efforts is caused by this collection.

### 5. Burden to small businesses or small entities.

The collection of information does not adversely impact small business or other small entities.

### 6. Consequences if information is collected less frequently.

If reporting information is collected less frequently than required, HUD loses an important monitoring tool. By requiring quarterly and annual status reports, HUD can monitor the progression of activity within SHOP projects and ensure the timely expenditure of funds under SHOP.

**7. Special circumstances.**

Grantee reporting begins upon joint execution of the grant agreement by HUD and the grantee and notification that grant funds have been set up in a line of credit.

**8. Public notice.**

The notice of proposed information collection was published in the *Federal Register* on January 28, 2008. Comments were due by March 28, 2008. No comments were received. A small sample of three existing grantees was consulted to obtain feedback concerning the proposed information collection.

**9. Payment or gifts.**

Information collection does not involve any payments or gifts to respondents.

**10. Assurance of confidentiality.**

Recipients of the assistance will collect and maintain records of information. Information on project activities and expenditure of grant funds is public information and generally available for disclosure. There is no assurance of confidentiality.

**11. Questions of a sensitive nature.**

The information collected does not include information of a sensitive nature.

**12. Annual reporting and recordkeeping burden.**

The total recordkeeping burden for paperwork requirements under SHOP is 8,675 hours on an annual basis.

Paperwork Requirement	Frequency of Response	Number of Respondents	Number of Responses	Hours per Response	Annual Hour Burden	Cost per Hour***	Total Cost to Respondents
HUD-40215	4	16 *	64	2.25	144	\$15.59	\$2,245
HUD-40216	1	16	16	9	144	\$15.59	\$2,245
HUD-40217	4	16	64	2.25	144	\$15.59	\$2,245
HUD-40218	4	912 **	3,648	2.25	8,208	\$15.59	\$127,963
HUD-40219	1	5 ***	5	0.5	2.5	\$15.59	\$39
HUD-40220	4	16	64	0.5	32	\$15.59	\$499
Total	Varies	16+912+5=933	3,861	Varies	8,675		\$135,236

\* Reporting grantees on open grants

\*\* Reporting affiliates/consortium members on open grants

\*\*\* Reporting grantees on closed out grants

\*\*\*\* Rate substantially equivalent to a GS-7, step1, based on the 2008 OPM pay scale.

**13. Estimate total cost to respondents.**

There are no other costs to the respondents (other than those shown in item 12 above).

**14. Estimated annualized cost to the federal government.**

The cost to the government to review and analyze SHOP reports is estimated at \$5,600 on an annual basis.

Required Action	Number of Respondents	Frequency of Response	Hours per Response	Cost per Hour	Annual Cost to Federal Government
Reviewing / analyzing reports	16	5	2	\$35.00	\$5,600

**15. Explanation of program changes/adjustments.**

This request is for extension of a collection for which approval expired on May 31, 2008. No additional forms have been added since the previous approval. This submission updates and clarifies data instructions and adds two data elements (Other Funds Expended and Total Number of Volunteer Hours) to forms HUD-40215 through HUD-40218. One data element (Total Number of Volunteer Hours) is added to form HUD-40220. These data elements were added to these forms to enable HUD to more fully identify the leveraging ratio measurement and volunteer hours provided, in addition to the sweat equity hours provided by homebuyers, for the annual update of the PART. Grantees and affiliates have this information on hand, since they must have firm leveraging commitments to complete construction at the time of application approval and subsequent grant award. This will not increase the hourly burdens already established for these collections.

**16. Publication of results.**

Results will not be published.

**17. Display of the expiration date for OMB approval of the information collection.**

The Office of Affordable Housing Programs is not seeking to not display the expiration date for the OMB approval of the information collection.

**18. Explanation of each exception on the certification statement.**

No exceptions are made to the certification statement identified in item 19, "Certification for Paperwork Reduction Act Submissions" of OMB Form 83-i.

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**B. Collections of Information Employing Statistical Methods**

This collection does not employ statistical methods.