

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.

1. Agency/Subagency Originating Request: U.S. Department of Housing and Urban Development Office of Public and Indian Housing		2. OMB Control Number: a. 2577-XXXX b. None	
3. Type of information collection: (check one) a. <input checked="" 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 previously approved collection for which approval PHAs expired e. <input type="checkbox"/> Reinstatement, with change , of previously approved collection for which approval PHAs expired f. <input type="checkbox"/> Existing collection in use without an OMB control number For b-f, note item A2 of Supporting Statement instructions.		4. Type of review requested: (check one) a. <input type="checkbox"/> Regular b. <input checked="" 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? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No 6. Requested expiration date: a. <input type="checkbox"/> Three years from approval date b. <input checked="" type="checkbox"/> Other (specify) 180 Days	
7. Title: American Recovery and Reinvestment Act Capital Fund Recovery Competition Grants			
8. Agency form number(s): (if applicable) SF-424, SF-LLL, HUD-50075.1			
9. Keywords: Housing, Public Housing, TDC, annual formula grant, contract, competitive grant			
10. Abstract: This information collection is under the authority of Title XII of the American Recovery and Investment Act of 2009 ("the Recovery Act"). Under the Recovery Act, HUD was allocated \$1 billion of additional Capital Funds to be made available to PHAs by competition for priority investments, including investments that leverage private sector funding or financing for renovations and energy conservation retrofit investments. Additionally, this information collection is the grant applications only and does include any of the reporting requirements.			
11. Affected public: (mark primary with "P" and all others that apply with "X") a. <input type="checkbox"/> Individuals or households e. <input type="checkbox"/> Farms b. <input type="checkbox"/> Business or other for-profit f. <input type="checkbox"/> Federal Government c. <input type="checkbox"/> Not-for-profit institutions g. <input checked="" type="checkbox"/> State, Local or Tribal Government		12. Obligation to respond: (mark primary with "P" and all others that apply with "X") a. <input type="checkbox"/> Voluntary b. <input checked="" type="checkbox"/> Required to obtain or retain benefits c. <input type="checkbox"/> Mandatory	
13. Annual reporting and recordkeeping hour burden: a. Number of respondents 2,010 b. Total annual responses 7,264 Percentage of these responses collected electronically 100% c. Total annual hours requested 82,334 d. Current OMB inventory 0 e. Difference (+,-) 82,334 f. Explanation of difference: 1. Program change: 82,334 2. Adjustment:		14. Annual reporting and recordkeeping cost burden: (in thousands of dollars) Do not include costs based on the hours in item 13. a. Total annualized capital/startup costs 0 b. Total annual costs (O&M) 0 c. Total annualized cost requested 0 d. Total annual cost requested 0 e. Current OMB inventory 0 f. Explanation of difference: 1. Program change: 2. Adjustment:	
15. Purpose of Information collection: (mark primary with "P" and all others that apply with "X") a. <input checked="" type="checkbox"/> Application for benefits e. <input checked="" type="checkbox"/> Program planning or management b. <input checked="" type="checkbox"/> Program evaluation f. <input type="checkbox"/> Research c. <input type="checkbox"/> General purpose statistics g. <input checked="" type="checkbox"/> Regulatory or compliance d. <input type="checkbox"/> Audit		16. Frequency of recordkeeping or reporting: (check all that apply) a. <input checked="" type="checkbox"/> Recordkeeping b. <input type="checkbox"/> Third party disclosure c. <input checked="" 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 checked="" type="checkbox"/> Other (describe) One time	
17. Statistical methods: Does this information collection employ statistical methods? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		18. Agency contact: (person who can best answer questions regarding the content of this submission) Name: Thomas Shelton Phone: 202-402-4799	

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) appears 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 PHAs 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.

Signature of Program Official:

Date:

X
Lillian Deitzer

Signature of Senior Officer or Designee:

Date:

X
Wayne Eddins, Departmental Reports Management Officer,
Office of the Chief Information Officer

Supporting Statement for Paperwork Reduction Act Submissions

A. Justification:

1. Why is this information necessary?

On February 17, 2009 the President signed the American Recovery and Investment Act (“the Recovery Act”). Title XII of the Recovery Act involves the funding of Transportation and Housing Urban Development and Related Agencies. The Recovery Act includes \$4 billion of additional Capital Funds to carry out capital and management activities for public housing agencies as authorized under section 9 of the United States Housing Act of 1937 (“the 1937 Act”). The Recovery Act specifies that the Secretary of Housing and Urban Development (“HUD”) shall make available \$3 billion of the funds through the same formula used for amounts made available in FY08. The Recovery Act further specifies that \$1 billion will be made available by competition for priority investments, including investments that leverage private sector funding or financing for renovations and energy conservation retrofit investments. Additionally, the competitive funding must be obligated by September 30, 2009. As part of the competition, known as the “Recovery Act Capital Fund Recovery Competition” (CFRC), HUD will be issuing a Notice of Funding Availability (NOFA) with the submission requirements for Public Housing Authorities (PHAs). The results of the CFRC will be the award of \$995 million in assistance through the CFRC Grants. This collection details information requirements for the submission of PHA applications for the NOFA. This information collection is the grant applications only and does not include any of the reporting requirements. This information collection is the grant applications only and does not include any of the reporting requirements.

2. How is this information to be used?

The following types of information are included in this collection:

Notice of Funding Availability (NOFA) Eligible PHAs interested in obtaining grant funds under the Recovery Act are required to submit applications to HUD, as explained in the NOFA. The information collection covers the information needed from applicants to determine which applicants should be funded. The information provided demonstrates the applicants’ plans to implement the grant requirements. The information will be used by HUD Office of Public Housing Investments staff to evaluate threshold requirements and rate and rank grant applications. The forms mostly involve certifications and assurances by the PHAs that they meet the eligibility requirements set forth in the NOFA. To be eligible a PHA must meet several different criteria, which include being a PHA, owning or operating Low Income Public Housing, and must be eligible to receive capital funding under section 9 of the 1937 Act, etc. PHAs that manage only Sect. 8 units under 1937 Act may not apply. PHAs must also meet certain additional Public Housing requirements if they are a troubled agency. The certifications and assurance include compliance with past Capital Fund expenditure requirements, Dun and Bradstreet Data Universal Numbering System (DUNS) number requirements, Fair Housing requirements, Public Housing requirements for the use of the grant funds, etc. Additionally, PHAs must submit a program schedule, narrative description of activities to be undertaken and project budget showing a detailed use of grant funds. PHAs will submit separate applications for each of the four categories under the NOFA: 1. Improvements Promoting Services for Elderly and Persons with Disabilities; 2. Public Housing Transformation; 3. Gap Financing for Projects that are Stalled due to Financing Issues; and 4. Creation of Energy Efficient, Green Communities. PHAs are allowed to submit multiple applications for each category. Per the NOFA, a separate application will be submitted for each individual project. Under Category 1, Services for Elderly and Persons with Disabilities Application, a PHA could apply for more than one activity for the same project.

The NOFA application submission is derived from the information PHAs provide in the following prescribed forms:

Form/Document	Title	Description
	General Forms all applications	
SF-424	Application for Federal Assistance	

SF-LLL	Disclosure of Lobbying Activities	
	Public Housing Agency Certification	Certification of Eligibility to Apply and Application amount (check boxes)
	Eligible Applicant Checklist	Capacity, Fair housing, Civil Rights Certifications, etc.
	Grant Application	Lists Project for modernization, new development , or demolition
	Program Overview narrative	Provides brief description of proposed activities
	Program Schedule	Provides brief description of proposed schedule
HUD-50075.1	Annual Statement/Performance and Evaluation Report	Project Budget for Category 1 and Category 4 Option 2
	Capital Fund Recovery Competition Grant Source and Uses and TDC Calculation Schedule	Project Budget and Total Development Cost (TDC) calculation schedule for Category 2,Category 3, and Category 4 Option 1
	TDC Waiver Request Form	Narrative fill in to request a waiver of Total Development Cost
	Services for Elderly and Persons with Disabilities Application	Category 1
	Category 1 Activity List	Certifications of Thresholds that must be met for funding. (check boxes)
	Activity 1 Specific Threshold Requirements	UFAS compliant Accessibility Modifications to dwelling units thresholds (check boxes)
	Activity 2 Specific Threshold Requirements	Conversion of dwelling units to service provider space thresholds (check boxes)
	Activity 3 Specific Threshold Requirements	Accessibility Improvements to Non-dwelling areas thresholds (check boxes)
	Activity 4 Specific Threshold Requirements	Improvements to Non-dwelling units to provide additional service provider space thresholds (check boxes)
	Community Transformation through Public Housing Application	Category 2
	Category Specific Threshold Requirements form	Certifications of Thresholds that must be met for funding. (check boxes)
	Gap Financing Application	Category 3
	Category Specific Threshold Requirements	Certifications of Thresholds that must be met for funding. (check boxes)
	Creation of an Energy Efficient, Green Community Application	Category 4
	Category Specific Threshold Requirements	Certifications of Thresholds that must be met for funding. (check boxes)
	Option 1, Substantial Rehabilitation or New Construction Threshold Requirements and Rating Factor 1	Certifications of Thresholds that must be met for funding. Rating factor 1 pass or fail ((check boxes)
	Option 1, Rating Factor 2	Certifications, pass or fail (check boxes)
	Option 1, Rating Factor 3	Certifications, pass or fail (check boxes)
	Option 2, Moderate Rehabilitation Threshold Requirements and Rating Factor 1	Certifications of Thresholds that must be met for funding . Rating factor 1 pass or fail ((check boxes)
	Option 2, Rating Factor 2	Certifications, pass or fail (check boxes)
	Option 2, Rating Factor 3	Certifications, pass or fail (check boxes)

3. Describe whether, and to what extent, the collection of information is automated?

The data will be collected utilizing an automated Microsoft Excel spreadsheet. PHAs will be required to submit applications electronically. To the greatest extent possible, all PHA data will be pre-populated to minimize data entry.

4. Duplication of Information

This information is not being collected elsewhere. The information being collected is specific to current funding, therefore the information has not been previously collected.

5. Does the collection of information impact small businesses or other small entities?

This collection of information does not significantly impact small businesses or entities.

6. Describe the consequences to Federal program or policy activities if the collection is not conducted or is conducted less frequently.

The Department would not be able to ensure that funds were distributed in a fair and impartial manner if this collection was not conducted.

7. Explain any special circumstances

There are no special circumstances.

8. Identify the date and page number of the Federal Register notice soliciting comments on the information.

The Department is requesting a waiver of the Federal Register notice.

9. Explain any payments or gifts to respondents, other than remuneration of contractors or grantees.

No payments or gifts to respondents are provided.

10. Describe any assurance of confidentiality provided to respondents.

The information provided is not of a confidential nature.

11. Justify any questions of a sensitive nature, such as sexual, religious beliefs, and other matters that are commonly considered private.

The information collected does not contain questions of a sensitive nature.

12. Annual Reporting Burden

The annual reporting burden hours for Category 1 and 4 are based on expected number of PHAs that are anticipated to apply in each size category: Small (<250units), Medium (250 – 1,249 units)), Large and Very Large (>1,249 units). We anticipate approximately ¼ of small PHAs or approximately 600 PHAs will apply under Category 1 and 4. We anticipate approximately 1 application from each of the approximately 650 medium PHAs in Category 1 and 4. The breakdown between Category 1 and Category 4 for Small and Medium PHAs is estimated to be 1/3 of the Small and Medium PHAs applying would apply for Category 1 and 2/3 of for Category 4, since Category 4 has more funding. We anticipate 6 applications each for the approximately 760 large PHAs in Category 1 and 4 (2 applications in Category 1 and 4 applications in category 4 since Category 4 has more money). The number of applications for Category 2 and 3 are based on the number of projects that are currently in process and are eligible for funding under the Category 2 and 3 thresholds. It would be extremely difficult for PHAs to submit applications for any new projects to be submitted that aren't already in the development process, due to all of the development requirements and the one year obligation requirement of the Recovery Act.

The forms mostly involve certifications and assurances by the PHAs that they meet the eligibility requirements set forth in the NOFA. The HUD 50075.1 is normally filled out for all of the projects at a PHA for the PHA Annual Plan. The reported burden is 8 hours. For this collection we are only estimating 3 hrs as each application is for one project and not all of the projects for the PHA. These will generally be new projects for which the PHAs did not have funding, therefore these are new budgets and not a duplication of the information in the PHA Annual Plan. ,

Form/Document	No. of Respondents	Average # of Applications	Total Responses	Hours per Response	Total Hours	Cost per hour	Total Cost
Category 1 Improvements for Elderly and Persons with Disabilities Application (SF-424, SF-LLL, HUD-50075.1, Thresholds, certification, etc)	1,176	2	2,352	10	23,520	\$47	\$1,105,440
Category 2 Public Housing Transformation Application (SF-424, SF-LLL, Capital Fund Recovery Competition Grant Source and Uses and TDC Calculation Schedule, Thresholds, certification, etc)	40	2	80	11	880	\$47	\$41,360
Category 3 Gap Financing Application SF-424, SF-LLL, Capital Fund Recovery Competition Grant Source and Uses and TDC Calculation Schedule, Thresholds, certification, etc)	50	1	50	11	550	\$47	\$25,850
Category 4 Creation of Energy Efficient, Green Community Application SF-424, SF-LLL, Capital Fund Recovery Competition Grant Source and Uses and TDC Calculation Schedule (Option 1), HUD-50075.1 (Option 2), Thresholds, certification, etc)	1,594	3	4,782	12	57,384	\$47	2,697,048
Total Burden			7,264		82,334		\$3,869,698

13.

Additional Cost to Respondents

There are no additional costs to respondents other than what is reported in Item 12.

14. Annualized cost to the Federal Government

The estimated annualized cost to the Federal Government is based on the hourly rate of \$47, the 2008 General Pay Scale for a GS 14 Step 1, which represents the staff of HUD’s Office of Public Housing Investments (OPHI). This office primarily administers the Capital Fund Program, and both administers and implements the Capital Fund

Financing Program, and Mixed-Finance transactions for the Capital Fund, Capital Fund Financing, and HOPE VI Programs. OPHI has approximately 40 full-time employees that work on these programs. 40 x \$47 x 2080 hours per year, equals \$3,910,400.

There is no additional cost to the Government related to processing less complex Capital Fund public housing development, since such processing is included as part of standard Field Office staff work.

15. Explain any program changes or adjustments.

Program Change – This is a new collection of information which was made necessary due the Recovery Act, which requires HUD to award \$995 million of the Recovery Act funds utilizing a competitive process. The information in this collection is required to determine PHA eligibility to apply for Recovery Act Competitive funding and to rank applicants and subsequently to award funding. This information collection is the grant applications only and does include any of the reporting requirements.

16. If the information will be published, outline plans for tabulation and publication.

The results of this information collection will not be published.

17. OMB Expiration Date

HUD is not seeking approval to avoid displaying the OMB expiration date.

18. Certification of Paperwork Reduction Act Submission There is no exception to Item # 19 "Certification of Paperwork Reduction Act Submission."

B. Collections of Information Employing Statistical Methods.

The collection of information does not employ statistical methods.