Supporting Statement A for
Paperwork Reduction Act Submission

OMB Control Number 1076-0135

Reporting System for Pub. L. 102-477 Demonstration Project

Terms of Clearance: None.

1. Explain the circumstances that make the collection of information necessary.

Public Law 102-477 authorizes tribal governments to integrate Federally-funded employment, training and related services programs into a single, coordinated, comprehensive delivery plan. The goal of the legislation is to reduce unemployment, improve services, and reduce administrative costs. The programs under the responsibility of the Secretary of the Interior, Secretary of Labor, and Secretary of Health and Human Services are all included within this authorization. The Bureau of Indian Affairs, (BIA) is legislatively required to serve as lead agency.

Section 11 of this Act, "Federal Responsibilities," and sub-parts (a)(1) and (2) require the Secretary of the Interior to make available a single universal report format which shall be used by a tribal government to report on integrated activities undertaken within their project. It also requires that the Secretary make available a single universal report format related to the projected expenditures for the individual project which shall be used by the tribal government to report on all project expenditures.

These universal, single-page report forms and the narrative total six pages and are due annually. The reports consolidate activities under the jurisdiction of three different agencies and 11 differently funded but related programs.

2. Indicate how, by whom, and for what purpose the information is to be used. If the information collected will be disseminated to the public or used to support information that will be disseminated to the public, explain how the collection complies with all applicable Information Quality Guidelines.

The three participating Federal agencies, in direct collaboration with tribes, developed three report forms to collect data. The agencies use all of the data collected to ensure statutory compliance, report to the Congress, the Office of Management and Budget, and to report to the respective agency administration. These reports may include a discussion of the use of funds, activities engaged in by tribes and the extent to which tribes are successful. The goal of the program is to find unsubsidized employment for Indians either through direct referrals or assisted through training, education and other supportive services such as child care. The three reports are:

(a) **The statistical report** is used to demonstrate how well a tribal plan was executed in comparison to its proposed goals. This one-page, single-sided, universal report form:

- Satisfies the very basic statutory requirements for the three participating Federal agencies;
- Helps the funding agencies determine the quality of the employment, training, child care and related services provided to individual participants in the program;
- Helps determine the level of program activity in which the tribes are engaged.

In accordance with standard regulations governing the administration of grants, the Common Rule, certain sanctions will be imposed on grantees if they do not report thoroughly and timely.

The statistical report identifies the number of participants enrolled in the program, the number that successfully completed the program, those that were not successful, the characteristics and barriers to employment faced by participants and the types of activities and services the participant received while enrolled. This information helps to determine the success of current employment and training programs.

(b) **The financial status report** is used to track cash flow, compare program activity with expenditures, compare general expenditures with approved intent and budget, and to avoid over-expenditures and identify savings. The form is a slightly modified SF-269A (short form). This report will identify the tribes applying for grants, the period of operation, and total resources committed to the plan. The form includes a "previously reported" column, a "current expenditures" (this period) column and a "cumulative" column. This report is acceptable to all the participating Federal agencies.

An attachment to the financial status report provides another form, Tribal Temporary Assistance for Needy Families (TANF) ACF, which corresponds to Item 12g of the financial status report. Tribes that receive TANF must complete column A of the TANF form.

(c) **The narrative report** allows tribes to go beyond numbers and report goals and objectives against accomplishments and describe problems or unmet needs toward addressing employment and training issues.

3. **Describe whether, and to what extent, the collection of information involves the use of automated, electronic, mechanical, or other technological collection techniques or other forms of information technology, e.g., permitting electronic submission of responses, and the basis for the decision for adopting this means of collection. Also describe any consideration of using information technology to reduce burden [and specifically how this**

collection meets GPEA requirements.].

The reports were designed to provide tribes the opportunity to collect, maintain and report the data using technological collection techniques. Some tribes have automated the data to such an extent that they are able to meet their own day-to-day needs, (i.e., identify candidates for employment meeting specific qualifications while meeting with prospective employers), as well as complete the annual reports. The use of technology at the tribal level depends upon the extent to which each tribe has developed an integrated intake and reporting system. We plan to put the forms on the website for electronic submission, but in the meantime, we are providing respondents with a copy of the forms on a CD to facilitate submission. Last year, five respondents submitted the forms on CD or by email.

4. **Describe efforts to identify duplication.**

While three different Federal agencies representing eleven different programs do collect the information, comprising an estimated 166 pages of reports and instructions annually, we have consolidated that into one set of forms annually through this reporting mechanism. Terms used in the reports have been standardized among the three Federal agencies. Duplication has been eliminated.

5. **If the collection of information impacts small businesses or other small entities, describe any methods used to minimize burden.**

To minimize burden, the agencies worked with tribal entities to develop streamlined reports that met everyone's needs.

6. **Describe the consequence to Federal program or policy activities if the collection is not conducted or is conducted less frequently, as well as any technical or legal obstacles to reducing burden.**

Grant funds are dependent upon filing the necessary reports. If the reports are not completed annually by the grantee, additional payments to the grantee will not be made. Once reports are submitted, payments will resume.

7. **Explain any special circumstances that would cause an information collection to be conducted in a manner:**
   - **requiring respondents to report information to the agency more often than quarterly;**
   - **requiring respondents to prepare a written response to a collection of information in fewer than 30 days after receipt of it;**
   - **requiring respondents to submit more than an original and two copies of any document;**
   - **requiring respondents to retain records, other than health, medical,**

government contract, grant-in-aid, or tax records, for more than three years;

* **in connection with a statistical survey, that is not designed to produce valid and reliable results that can be generalized to the universe of study;**
* **requiring the use of a statistical data classification that has not been reviewed and approved by OMB;**
* **that includes a pledge of confidentiality that is not supported by authority established in statute or regulation, that is not supported by disclosure and data security policies that are consistent with the pledge, or which unnecessarily impedes sharing of data with other agencies for compatible confidential use; or**
* **requiring respondents to submit proprietary trade secrets, or other confidential information unless the agency can demonstrate that it has instituted procedures to protect the information's confidentiality to the extent permitted by law.**

Not Applicable. Regulatory compliance indicates annual reports are sufficient; tribes control the content of the information and normally do not deal in sensitive information when compiling this report. Any copies needed by other agencies are made by the Bureau.

8. **If applicable, provide a copy and identify the date and page number of publication in the Federal Register of the agency's notice, required by 5 CFR 1320.8(d), soliciting comments on the information collection prior to submission to OMB. Summarize public comments received in response to that notice [and in response to the PRA statement associated with the collection over the past three years] and describe actions taken by the agency in response to these comments. Specifically address comments received on cost and hour burden.**
Describe efforts to consult with persons outside the agency to obtain their views on the availability of data, frequency of collection, the clarity of instructions and recordkeeping, disclosure, or reporting format (if any), and on the data elements to be recorded, disclosed, or reported.

The following Federal partners to this initiative were consulted on the review of these forms:

Ms. Ann Bowker, Native Employment Works Program Specialist,
Department of Health and Human Services, Administration of Children and Families
370 L' Enfant Promonade, Aerospace Bldg.
Washington, DC 20447
(202) 401-5308

Mr. Ray Apodaca and Mr. Ray Shelbourne
Temporary Assistance to Needy Families
Department of Health and Human Services, Administration for Children and Families
370 L'Enfant Promenade, Aerospace Bldg.
Washington, D.C. 20447

Ms. Evangeline Campbell, ICWA Specialist
DOI/OTS, Division of Human Services
1849 C. Street, NW, MS-4513-MIB
Washington, DC 20240
(202) 513-7623

Ms. Dawn Anderson
Department of Labor
Division of Indian and Native American Programs,
Washington, D.C.

Mr. Chris Redman
Office of Indian Education
Department of the Interior
Washington, D.C.

The Bureau of Indian Affairs meets with the grantees once each quarter and obtains feedback on this information collection, and has consulted with the following individuals regarding this information collection:

1. **Spirit Lake Sioux Tribe**
   Ms. Jolene Crosswhite
   Community Center, Main Street
   Fort Totten, North Dakota 58335
   Telephone: (701) 766-1200 Fax: (701) 766-1236

2. **Citizen Potawatomi Tribe**
   Ms. Margaret Zientek

   1901 S. Gordon Cooper Drive
   Shawnee, Oklahoma 74801

   Telephone: (405) 275-5269 Fax: (405) 878-4668
   E-mail: cclaylevi@potawatomi.org

Ms. Crosswhite and Ms. Zientek both indicated that the burden estimates were appropriate for this information collection requirement.

The Federal Register notice requesting comments on the reporting requirements for Public Law 102-477 grantees was published on May 13, 2010 (75 FR 26978). No comments were received.

9. **Explain any decision to provide any payment or gift to respondents, other than remuneration of contractors or grantees.**

No payments or gifts are made to respondents.

10. **Describe any assurance of confidentiality provided to respondents and the basis for the assurance in statute, regulation, or agency policy.**

Not applicable; the annual report deals with totals and summaries, not with individual applicants.

11. **Provide additional justification for any questions of a sensitive nature, such as sexual behavior and attitudes, religious beliefs, and other matters that are commonly considered private.**

Questions of a sensitive nature are not collected and, therefore, not applicable to this collection.

12. **Provide estimates of the hour burden of the collection of information.**

The collection of data necessary to complete the forms is completed by administrators of the grant to determine eligibility and to report to tribal councils. No additional data collection is required to complete the P.L. 102-477 forms. These reports will be retained for the life of the grant.

The reporting requirements currently used will affect approximately 65 grantees. Many of the grantees state that their reporting requirements of their respective tribal councils are more stringent than the reports required by this program—both in frequency and the amount of data. As a result, grantees are able to provide the necessary information for this program relatively easily. Not all 65 grantees include TANF funds in their Pub. L. 102-477 grants. We estimate 35 grantees will participate in TANF.

Information Collection	Number of Respondents	Hourly Burden	Annual Burden Hours	Annual Salary Cost (at $47.84/hour)*	Non-Hour Annual Cost: $5
Financial Report	65	2	130	$6,219	--
Statistical Report	65	16	1,040	$49,754	$325
Narrative	65	40	2,600	$124,348	--
TANF	35	2	70	$3,349	--
Totals	**-**		**3,840**	**$183,670**	**$325**

*We are estimating salary using Bureau of Labor Statistics, EMPLOYER COSTS FOR EMPLOYEE COMPENSATION— June 2010 (released September 8, 2010), USDL 10-1241, Table 2, for the "Management, professional and related" category ($34.17/hour x 1.4 for benefits for individuals or $47.84/hour). The 1.4 multiplier is also derived from the Bureau of Labor Statistics, EMPLOYER COSTS FOR EMPLOYEE COMPENSATION— June 2010 (released September 8, 2010), USDL 10-1241. See www.bls.gov/news.release/pdf/ecec.pdf.

13. **Provide an estimate of the total annual [non-hour] cost burden to respondents or record keepers resulting from the collection of information.**

There are no additional costs to grantees reported in #12 above; any automation has been done by grantees for use in managing the tribal government and would have occurred regardless of this report. An estimated $5.00 per grantee for the cost of paper and file maintenance, times 65 grantees equals $325 for all.

14. **Provide estimates of annualized cost to the Federal government.**

Approximately 160 hours annually is spent on the collection, verification of forms, summarizing data, printing and distribution of data to other Federal agencies and to bureau management for policy decisions. At an annual salary of $37.29* per hour, the total salary cost to the Federal government is $5,996. This estimated does not include cost to the Department of Labor Department of Health and Human Services which receives copies of the data. This estimate is based on eight years of experience implementing the program.

*We used an average salary of **$37.29** per hour ($24.86 x 1.5 for benefits), based on *Salary Table 2010-GS Incorporating the 1.50% General Schedule Increase*. See, 2010 General Schedule (Base) – Hourly Rate (GS 10, Step 5) at www.opm.gov/oca/10tables/indexGS.asp. The 1.5 multiplier for benefits is based on the Bureau of Labor Statistics, EMPLOYER COSTS FOR EMPLOYEE COMPENSATION— June 2010 (released September 8, 2010), USDL 10-1241. See www.bls.gov/news.release/pdf/ecec.pdf.

15. **Explain the reasons for any program changes or adjustments reported in Items 13 or 14 of the OMB Form 83-I**.

We adjusted the number of respondents upward from 51 to 65 to reflect the actual increase that has occurred over the past three years. We also increased our estimate of those respondents that will complete a TANF from 30 to 35. As such, the total number of responses has increased by 98, and the burden hours have increased by 822 hours due to adjustments. Also, note that we have split the "Statistical Report and Narrative" IC entry into two separate IC entries (for a total of four IC entries in ROCIS).

Previous ROCIS entry:
Statistical Report & Narrative = 51 responses
Financial Report = 51 responses
TANF = 30 responses
Total: 132 responses

New ROCIS entry:
Statistical Report = 65 responses
Narrative = 65 responses *NEW – SPLIT OUT FROM “Statistical Report & Narrative”
Financial Report = 65 responses
TANF = 35 responses
Total: 230 responses

16. **For collections of information whose results will be published, outline plans for tabulation and publication.**

The Bureau of Indian Affairs does not intend to publish the annual reports; we will distribute the summary to each of the other two Federal agencies involved in the project.

17. **If seeking approval to not display the expiration date for OMB approval of the information collection, explain the reasons that display would be inappropriate.**

We will display the OMB Control number and expiration date on the forms.

18. **Certification**

The requirements for certification for the Paperwork Reduction Act submissions are fully met with no exceptions requested.