

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.

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|--|--|---|--|
| 1. Agency/Subagency Originating Request: U.S. Department of Housing and Urban Development Office of Community Development and Development, Office of Affordable Housing Programs | | 2. OMB Control Number: a. 2506-0171 b. None | |
| 3. Type of information collection: (check one) a. <input type="checkbox"/> New Collection b. <input checked="" 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 has expired e. <input type="checkbox"/> Reinstatement, with change , 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. | | 4. Type of review requested: (check one) a. <input checked="" 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? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No 6. Requested expiration date: a. <input checked="" type="checkbox"/> Three years from approval date b. <input type="checkbox"/> Other (specify) | |
| 7. Title: HOME Investment Partnerships Program | | | |
| 8. Agency form number(s): (if applicable) HUD 40093, SF 1199A, HUD 20755, HUD 40107A. | | | |
| 9. Keywords: Housing, Grants Administration | | | |
| 10. Abstract: This information describes the eligibility of HOME Investment Partnerships Program (HOME) beneficiaries, the eligibility of proposed HOME activities, HOME program agreements, and HOME performance reports. The data identifies who benefits from the HOME program and how statutory and regulatory requirements are satisfied. The respondents are state and local government HOME participating jurisdictions. | | | |
| 11. Affected public: (mark primary with "P" and all others that apply with "X") a. Individuals or households b. Business or other for-profit c. <input checked="" type="checkbox"/> Not-for-profit institutions e. Farms f. Federal Government 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. Voluntary b. <input checked="" type="checkbox"/> Required to obtain or retain benefits c. Mandatory | |
| 13. Annual reporting and recordkeeping hour burden: a. Number of respondents 644 b. Total annual responses 209,960 Percentage of these responses collected electronically 100% c. Total annual hours requested 522,762 d. Current OMB inventory 522,103 e. Difference (+,-) + 659 f. Explanation of difference: 1. Program change: 0 2. Adjustment: + 659 | | 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. Current OMB inventory 0 e. Difference 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. Research c. General purpose statistics g. <input checked="" type="checkbox"/> Regulatory or compliance d. 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 checked="" 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 checked="" 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 checked="" type="checkbox"/> No | | 18. Agency contact: (person who can best answer questions regarding the content of this submission) Name: Tracy Harvey Phone: (202) 708-2684 x6983 | |

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.

| | |
|--------------------------------|-------|
| Signature of Program Official: | Date: |
| X | |

| | |
|---|--|
| Signature of Senior Officer or Designee: | |
| X Lillian Deitzer, Departmental Reports Management Officer, Office of the Chief Information Officer | |

Supporting Statement for Paperwork Reduction Act Submissions

HOME Investment Partnerships Program

A. Justification

1. Circumstances that make the collection of information necessary.

Public Law 101-625 (104 Stat. 4079), Title II of the Cranston-Gonzalez National Affordable Housing Act, as amended established the HOME Investment Partnerships Program (HOME). Under the HOME Program, HUD allocates funds by formula among eligible units of State and local governments to strengthen public-private partnerships for the production of affordable housing for low-income families. Participating jurisdictions (PJs) use HOME funds directly to carry out housing activities and provide funds to other eligible entities, such as Community Housing Development Organizations (CHDOs) and other nonprofit and for-profit developers. State PJs may administer their HOME programs directly, suballocate funds to local governments (State recipients) or combine the two approaches. HOME funds are used to leverage private investment in affordable housing. PJs are required to match Federal HOME funds with State, local or private funds and resources. PJs and other entities may use HOME funds to carry out multi-year housing strategies with a variety of eligible uses, including rehabilitation and substantial rehabilitation of substandard housing, new construction and tenant-based rental assistance. PJs and other eligible entities may provide HOME assistance in a number of eligible forms, including grants, loans, loan guarantees, advances, equity investments, interest subsidies and other forms of investment.

The HOME statute imposes a number of data collection and reporting requirements on the Department and on program participants. Information on assisted properties as well as on the owners or tenants of the properties is needed to fulfill the statutory requirements.

While the narrative requirements for the HOME Program annual performance report have been moved to the Consolidated Plan rule (24 CFR Part 91), the Department is continuing to require that two reporting forms (HUD 40107 and HUD 40107A) be submitted under Part 92.

All of the elements of data collection included herein are required under the statute authorizing HOME or related authorities.

2. How the information is used

HUD requires state and local PJs to collect information on the activities undertaken with HOME funds. HUD collects this information from its PJs through its Integrated Disbursement and Information System (IDIS) (§ 92.502). HUD Field Offices, HUD Headquarters, and HOME PJs use the information collected through IDIS. HUD uses the information on program funds committed and disbursed to track PJ performance and to determine compliance with the statutory 24-month commitment deadline and the regulatory 5-year expenditure deadline (§ 92.500(d)).

The project-specific property, tenant, owner, and financial data is used to compile annual reports to Congress required at Section 284(b) of the Act, as well as to make program management decisions about how well program participants are achieving HOME's statutory objectives. Program management reports are generated by IDIS to provide data on the status of each PJ's commitment and disbursement of HOME funds. These reports are readily available on the HOME website (www.hud.gov/homeprogram/).

Management reports required in conjunction with the Annual Performance Report (§ 92.509) are used by HUD Field Offices to assess the effectiveness of locally designed programs in meeting specific statutory requirements and by Headquarters in preparing the Annual Report to Congress. Specifically, these reports permit HUD to determine compliance with the requirement that PJs provide a 25% match for HOME funds expended during the Federal fiscal year (Section 220 of the Act) and that program income be used for HOME eligible activities (Section 219 of the Act), as well as the Women and Minority Business Enterprise requirements (§ 92.351(b)).

Financial, project, tenant, and owner documentation is used to determine compliance with HOME Program cost limits (Section 212(e) of the Act), eligible activities (§ 92.205), and eligible costs (§ 92.206), as well as to determine whether program participants are achieving the income targeting and affordability requirements of the Act (Sections 214 and 215). Other information collected under Subpart H (Other Federal Requirements) is primarily intended for local program

management and is only viewed by HUD during routine monitoring visits. The written agreement with the owner for long-term obligation (§ 92.504) and tenant protections (§ 92.253) is required to ensure that the property owner complies with these important elements of the HOME Program and are also reviewed by HUD during monitoring visits. HUD reviews all other data collection requirements during monitoring to assure compliance with the requirements of Title II and other related laws and authorities.

3. Improved technology.

The collection of HOME Program information (collection of data on funds management, project and tenant characteristics, and owner data) has been automated by IDIS. IDIS eliminates the need for PJs to submit paper reports. The submission of Action Plan related documents by PJs to the Field Office is also automated. All of the data elements of the IDIS systems and Consolidated Plan are required under Title II or related authorities.

4. Efforts to identify duplication.

No similar information exists. The information collected through IDIS is project-specific and, therefore, unique to each PJ's local HOME program. Other recordkeeping requirements (e.g., property standards, written agreements, tenant protections) are project- or program-specific and unique to local HOME programs. Documentation relating to nondiscrimination, displacement and relocation and lead-based paint are unique to individual program designs and do not result in duplication of effort.

5. Burden to small business or small entities.

None.

6. Consequences if information is collected less frequently.

The information is collected on a project-by-project basis to permit PJs to draw down HOME funds from the U.S. Treasury and to ensure that HOME funds are used for eligible purposes. It is not possible to collect the information less frequently.

7. Special circumstances

None.

8. Public Notice.

The notice of proposed information collection was published in volume 74, number 143, page 37235 of the *Federal Register* on July 28, 2009. Comments were due by September 28, 2009.

9. Payment or gifts.

None.

10. Assurance of Confidentiality

Recipients of the assistance will collect and maintain records of information. Information on activities and expenditures of grant funds is public information and is generally available for disclosure. Recipients are responsible for ensuring confidentiality when public disclosure is not required.

11. Questions of a Sensitive Nature.

None.

12. Annual Reporting and Recordkeeping Burden

| Reg. Section | Paperwork Requirement | Record Keeping Hours | Reporting Hours | Number of Jurisdictions | Total Hours |
|---|--|----------------------|-----------------|-------------------------|-------------------|
| § 92.200 | Private-Public Partnership | 2 | | 644 | 1,288 |
| § 92.201 | Distribution of Assistance | 2 | | 644 | 1,288 |
| § 92.202 | Site and Neighborhood Standards | 2 | | 644 | 1,288 |
| § 92.203 | Income Determination | 1 | | 85,000 | 85,000 |
| § 92.206 | Documentation required by HUD to be included in project file to determine project eligibility i.e., eligible uses and costs, cost limits, mixed-projects and value | 5 | | 8,500 | 42,500 |
| § 92.216 | | | | | |
| § 92.217 | | | | | |
| § 92.218 | | | | | |
| § 92.250 | | | | | |
| § 92.252 | | | | | |
| § 92.254 | | | | | |
| § 92.251 | Written Property Standards | 1 | | 8,500 | 8,500 |
| § 92.253 | Tenant Protections (including lease requirement) | 1 | | 45,000 | 45,000 |
| § 92.254 | Homeownership - Median Purchase Price | 1 | | 4,000 | 4000 |
| § 92.300 | CHDO Identification | 2 | | 644 | 1,288 |
| § 92.300 | CHDO Project Assistance | 2 | | 644 | 1,288 |
| § 92.303 | Tenant Participation Plan | 4 | | 644 | 2,576 |
| § 92.350 | Equal Opportunity (including nondiscrimination, and minority and women business enterprise and minority outreach efforts) | 5 | | 8,500 | 42,500 |
| § 92.351 | Affirmative Marketing | 10 | | 8,500 | 85,000 |
| § 92.353 | Displacement, relocation and acquisition (including tenant assistance policy) | 5 | | 250 | 1,250 |
| § 92.354 | Labor | 2.5 | | 2,500 | 6,250 |
| § 92.355 | Lead-based paint | 1 | | 6,500 | 6,500 |
| § 92.357 | Debarment and Suspension | 1 | | 500 | 500 |
| § 92.501 | HOME Investment Partnership Agreement (HUD 40093) | 1 | | 644 | 644 |
| § 92.504 | Participating Jurisdiction's Written Agreements | 10 | | 8,500 | 85,000 |
| § 91.616 | Confirm first-time homebuyer status | 0.1 | | 3,000 | 300 |
| § 92.61 | Program Description and Housing Strategy for Insular Areas | | 10 | 4 | 40 |
| § 92.66 | Reallocation - Insular Areas | | 3 | 4 | 12 |
| § 92.101 | Consortia Designation | | 5 | 36 | 180 |
| § 92.201 | State Designation of Local Recipients | | 1.5 | 51 | 76.5 |
| § 92.206 | Eligible Costs - Refinancing | | 1 | 6,500 | 6,500 |
| § 92.254 | Homeownership - Alternative to Resale/recapture | | 1 | 3,000 | 3,000 |
| § 92.300 | Designation of CHDOs | | 1.5 | 161 | 242 |
| § 92.501 | HOME Investment Partnership Agreement (HUD 40093) | | 1 | 598 | 598 |
| § 92.502 | Homeownership and Rental Set-Up and Completion (IDIS) | | 1 | 644 | 644 |
| § 92.502 | Tenant-Based Rental Assistance Set-Up (IDIS) | | 2 | 2,000 | 4,000 |
| § 92.502 | IDIS Performance Measurement Set-Up and Completion Screens | | 10 | 8,500 | 85,000 |
| § 92.509 | Management Reports - FY Match Report (HUD 40107A) | | 0.75 | 644 | 483 |
| § 92.502 | IDIS Access Request form (HUD 27055) | | 0.5 | 50 | 25 |
| | Direct Deposit Sign up form (SF 1199A) | | 0.16 | 10 | 1.6 |
| Total Annual Respondents and Burden Hours | | 58.6 | 38.41 | 209,960 | 522,762.01 |
| Estimate of Respondent Cost: 522,103 hours x \$31/hour* = \$16,185,193 | | | | | |
| (This figure is based on GS-12 salary) | | | | | |

13. Estimate of Total Costs to Respondents

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

14. Estimate of Annualized Cost to Federal Government

The cost to the government to review the reports (but not including the costs of follow-up management, technical assistance or monitoring) is estimated at \$477,414.

| | | | |
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| § 92.101 | Consortia Applications and Certification | | |
| | Field Office Cost: | 2 hours X 12 applications | 24 hours |
| § 92.501 | Investment Partnership Agreement | | |
| | Field Office Cost: | 1 hour X 639 agreements | 639 hours |
| § 92.502 | IDIS Program Management Reports | | |
| | Field Office Cost: | 14 hours / month X 12 months X 43 Offices | 7,224 hours |
| | Headquarters Cost: | 250 hours / month X 12 months | 3,000 hours |
| § 92.509 | Management Reports | | |
| | Field Office Cost: | .5 hour X 639 reports | 320 hours |
| | Headquarters Cost: | .25 hour X 639 reports | 160 hours |
| Total hours | | | 11,367 hours |
| Total cost to the Federal Government: 11,367 hours at \$42/ hour* | | | \$477,414 |
| (*This figure is based on GS-13 salary) | | | |

15. Explanation of Program Changes / Adjustments

This is a revision of a currently approved collection. The HUD form 40107 is no longer required. There is a burden hour adjustment. The estimation of the annual reporting and recordkeeping hour burden is more concrete due to receiving more accurate program information after 18 years of program implementation.

16. Publication of Results

Not later than 120 days after the end of each fiscal year, the Department is required at Section 284(b) of the Act to report to Congress on the overall progress of program participants in meeting statutory and regulatory provisions of the HOME Program. The report must include a description of the action taken by PJs to establish and oversee minority outreach programs as required by Section 281 of the Act and include an assessment of the fiscal year performance of the program based upon the data identified herein.

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 OMB approval of the information collection.

18. Explanation of Each Exception to 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.

B. This collection does not employ statistical methods.