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 the Deputy Assistant Secretary for Economic Development

2. OMB Control Number:
a. b. X None

3. Type of information collection: (check one)
- a. ☒ New Collection
- b. ☐ Revision of a currently approved collection
- c. ☐ Extension of a currently approved collection
- d. ☐ Reinstatement, **without change**, of previously approved collection for which approval has expired
- e. ☐ Reinstatement, **with change**, of previously approved collection for which approval has expired
- f. ☐ 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. ☐ Regular
- b. ☒ Emergency - Approval requested by : General Deputy Assistance Secretary for CPD
- c. ☐ Delegated

5. Small entities: Will this information collection have a significant economic impact on a substantial number of small entities?
☐ Yes ☒ No

6. Requested expiration date:
a. ☒ Three years from approval date b. ☐ Other (specify)

. Title: Rural Innovation Fund

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

SF 424- Application for Federal Assistance,

SF 424 supplement- Survey on Ensuring Equal Opportunity for Applicants,

HUD 424 cb-Detailed Budget, HUD 424 cbw- Detailed Budget Worksheet, HUD 27061-Race and Ethnic Data;

HUD 2991- Consistency with Con Plan, SF LLL- Disclosure of Lobbying Activities, HUD 96010- Logic Model,

HUD 27300- America's Affordable Communities Initiative, HUD 2880- Applicant/Recipient Disclosure/Update Report

HUD 2990- RC/EZ/EC-II Certification, HUD 2994 A, Grant Application Survey
SF 1199A- Direct Deposit, HUD 27054- Voice Response System, HUD 27054A- LOCCS,
SF 425- Financial Status Report, SF PPR-E, Activity Based Expenditures

HUD 6002- Economic Opportunity for Low-and-Very Low Income Persons

9. Keywords: Federally recognized Indian tribes, Housing, grants, community development, economic development

10. Abstract:
The Rural Fund provides support for highly targeted and innovative grants dedicated to addressing the problems of concentrated rural housing distress and community poverty for projects that demonstrate the likelihood of substantial impact in addressing the housing needs and community poverty in the project area.

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. X Not-for-profit institutions
- e. Farms
- f. Federal Government
- g. x State, Local or Tribal Government

12. Obligation to respond: (mark primary with "P" and all others that apply with "X")
- a. Voluntary
- b. x Required to obtain or retain benefits
- c. Mandatory

13. Annual reporting and recordkeeping hour burden:
- a. Number of respondents 335
- b. Total annual responses 335
  Percentage of these responses collected electronically 100%
- c. Total annual hours requested 24,770
- d. Current OMB inventory
- e. Difference (+,-)
- f. Explanation of difference: A decline in the number of applications and grantees
  1. Program change: new program
  2. Adjustment:

14. Annual reporting and recordkeeping cost burden: (in thousands of dollars)
- a. Total annualized capital/startup costs $0.00
- b. Total annual costs (O&M)
- c. Total annualized cost requested
- d. Total annual cost requested $686,950
- e. Current OMB inventory $
- 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. x Application for benefits
- b. Program evaluation
- c. General purpose statistics
- d. Audit
- e. **P** Program planning or management
- f. Research
- g. Regulatory or compliance

16. Frequency of recordkeeping or reporting: (check all that apply)
a. ☒ Recordkeeping b. ☐ Third party disclosure
c. ☒ Reporting:
1. ☐ On occasion 2. ☐ Weekly 3. ☐ Monthly
4. ☐ Quarterly 5. ☒ Semi-annually 6. ☐ Annually
7. ☐ Biannually 8. ☒ Other (describe) Final Report

17. Statistical methods:
Does this information collection employ statistical methods?
☐ Yes ☒ No

18. Agency contact: (person who can best answer questions regarding the content of this submission)
Name: Robert Duncan Phone: 202-402-4681

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 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:	Date:
X Colette Pollard, Departmental Reports Management Officer Office of Investment Strategies, Policy, and Management, Office of the Chief Information Officer	

Supporting Statement for Paperwork Reduction Act Submissions

A. Justification

1. Explain the circumstances that make the collection of information necessary. Identify any legal or administrative requirements that necessitate the collection. Attach a copy of the appropriate section of each statute and regulation mandating or authorizing the collection of information.

   ANSWER: The Notice of Funding Availability for Fiscal Year 2010 outlines the criteria needed to score, rank and select an application.

2. Indicate how, by whom and for what purpose the information is to be used. Except for a new collection, indicate the actual use the agency has made of the information received from the current collection.

   ANSWER: First, the information collected through the annual one-time application is essential so that HUD staff may determine the eligibility, qualification, and capability of applicants to implement HUD's Rural Innovative Fund (RF) program. Second, RF grantees must establish and maintain records to allow the Secretary to determine whether or not their programs are being carried out in accordance with applicable laws and requirements and to facilitate the review and audit of grant management.

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.

   ANSWER: Applicants must submit applications via grants.gov as described in the NOFA. Other annual and semi annual reports will be submitted by mail service or email.

4. Describe efforts to identify duplication. Show specifically why any similar information already available cannot be used or modified for use for the purposes described in Item 2 above.

   ANSWER: The Rural Innovation Fund program is a new program. Each program year is new and require most recent data. Information collected is unique to that program. No duplication of efforts is caused by this collection.

5. If the collection of information impacts small businesses or other small entities (Item 5 of OMB Form 83-I) describe any methods used to minimize burden.

   ANSWER: The collection of information does not impact small businesses or other small entities.

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.

   ANSWER: Without the information collection, grantees would not be able to report progress, make drawdowns or close-out the funded grants. Under the HUD Reform Act, discretionary funds must be awarded on a competitive basis. Without collecting this information funds could not be awarded. Performance information is required to determine if a grantee is carrying out the approved grant activities.

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 on a semi- annual basis;
   - 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 than 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

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- requiring respondents to submit proprietary trade secret, 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.

ANSWER: Applications are submitted electronically via Grants.Gov. Required performance information is based upon standard government-wide or HUD-wide requirements. Applicants are responsible to report information to the agency on a semi annual basis for evaluation and monitoring purposes.

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 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 the data elements to be recorded, disclosed, or reported.
   - Consultation with representatives of those from whom information is to be obtained or those who must compile records should occur at least once every 3 years -- even if the collection of information activity is the same as in prior periods. There may be circumstances that preclude consultation in a specific situation. These circumstances should be explained.

ANSWER: The Notice hasn't been published at this time.

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

ANSWER: Not applicable

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

ANSWER: Confidentiality is governed by applicable Privacy Act and the Freedom of Information Act provisions.

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. This justification should include the reasons why the agency considers the questions necessary, the specific uses to be made of the information, the explanation to be given to persons from whom the information is requested, and any steps to be taken to obtain their consent.

ANSWER: Not applicable. There are no requests for information of a sensitive nature.

12. Provide estimates of the hour burden of the collection of information. The statement should:
   - indicate the number of respondents, frequency of response, annual hour burden, and an explanation of how the burden was estimated. Unless directed to do so, agencies should not conduct special surveys to obtain information on which to base hour burden estimates. Consultation with a sample (fewer than 10) of potential respondents is desirable. If the hour burden on respondents is expected to vary widely because of differences in activity, size, or complexity, show the range of estimated hour burden, and explain the reasons for the variance. Generally estimates should not include burden hours for customary and usual business practices;
   - if this request covers more than one form, provide separate hour burden estimates for each form and aggregate the hour burdens in Item 13 of OMB Form 83-I; and
   - provide estimates of annualized cost to respondents for the hour burdens for collections of information, identifying and using appropriate wage rate categories. The cost of contracting out or paying outside parties for information collection activities should not be included here. Instead this cost should be included in Item 13.

Submissions	# of Responses	Annual Burden Hours	Total	Annualized Cost @ $8/hour
Applications	250	78	19,500	$156,000
Grantees' Semi-Annual reports and other reports for all open grants	85	62	5,270	$ 42,760

13. Provide an estimate of the total annual cost burden to respondents or recordkeepers resulting from the collection of information (do not include the cost of any hour burden shown in Items 12 and 14).
   - The cost estimate should be split into two components: (a) a total capital and start-up cost component (annualized over its expected useful life); and (b) a total operation and maintenance purchase of services component. The estimates should take into account costs associated with generating, maintaining, and disclosing or providing the information. Include descriptions of methods used to estimate major cost factors including system and technology acquisition, expected useful life of capital equipment, the discount rate(s) and the time period over which costs will be incurred. Capital and start-up costs include, among other items, preparations for collecting information such as purchasing computers and software; monitoring, sampling, drilling and testing equipment; and record storage facilities;
   - If cost estimates are expected to vary widely, agencies should present ranges of cost burdens and explain the reasons for the variance. The cost of purchasing or contracting out information collection services should be a part of this cost burden estimate. In developing cost burden

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estimates, agencies may consult with a sample of respondents (fewer than 10) utilize the 60-day pre-OMB submission public comment process and use existing economic or regulatory impact analysis associated with the rulemaking containing the information collection, as appropriate.

- generally, estimates should not include purchases of equipment or services, or portions thereof made: (1) prior to October 1, 1995, (2) to achieve regulatory compliance with requirements not associated with the information collection, (3) for reasons other than to provide information or keep records for the government, or (4) as part of customary and usual business or private practices.

ANSWER: There are no additional costs other than those shown in #12 above.

14. Provide estimates of annualized cost to the Federal government. Also, provide a description of the method used to estimate cost, which should include quantification of hours, operational expenses (such as equipment, overhead, printing, and support staff), and any other expense that would not have been incurred without this collection of information. Agencies also may aggregate cost estimates from Items 12, 13, and 14 in a single table.

ANSWER: Annualized Cost to the Federal Government:

Fed. Gov't Workload	Workload No.	Annual Burden Hours	Total	Annualized Cost @ $36/hour
Applications (review/rank/award)	250	10	2,500	$71,750
Grantees: grant agreement; environmental, semi-annual reports, risk-based monitoring and financial oversight	85	20	1,700	$615,200

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

ANSWER: N/A- new collection of information

16. For collection of information whose results will be published, outline plans for tabulation and publication. Address any complex analytical techniques that will be used. Provide the time schedule for the entire project, including beginning and ending dates of the collection of information, completion of report, publication dates, and other actions.

ANSWER: Results will not be published.

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.

ANSWER: Expiration date for OMB approval will be displayed as appropriate.

18. Explain each exception to the certification statement identified in item 19.

ANSWER: There are no exceptions to the certification statement in item 19.

B. Collections of Information Employing Statistical Methods

ANSWER: NONE

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