

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 Community Development and Development		2. OMB Control Number: a. b. X None	
3. Type of information collection: (check one) a. 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 has expired e. <input checked="" 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. Regular b. <input checked="" type="checkbox"/> Emergency - Approval requested by U.S. Dept of HUD c. 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. Three years from approval date b. <input checked="" type="checkbox"/> Other (specify) 90 days per 5 CFR 1320.13	
7. Title: FY2011 Notice of Funding Availability (NOFA) for Technical Assistance and Capacity Building under the Transformation Initiative ("OneCPD" and "Core Curricula"); Request for Qualifications			
8. Agency form number(s): (if applicable) Technical Assistance and Capacity Building Experience Form (revision of Form 40044); Technical Assistance and Capacity Building Expertise Form (revision of Form 40040); Technical Assistance and Capacity Building Open Awards Form			
9. Keywords: Grants Administration, Technical Assistance, Capacity Building, Community Planning and Development			
10. Abstract: The data required by Technical Assistance and Capacity Building under the Transformation Initiative includes pre-award application materials required to be submitted, and post award requirements under the cooperative agreement including technical budgets and reports on financial and task progress. The data identifies outputs and outcomes of the technical assistance.			
11. Affected public: (mark primary with "P" and all others that apply with "X") a. Individuals or households b. <input checked="" type="checkbox"/> 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 165 b. Total annual responses 225 Percentage of these responses collected electronically 100% c. Total annual hours requested 5,055 d. Current OMB inventory 5,055 e. Difference (+,-) 0 f. Explanation of difference: 1. Program change: 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) \$24,210 c. Total annualized cost requested \$24,210 d. Current OMB inventory \$24,210 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 b. <input checked="" type="checkbox"/> Program evaluation c. General purpose statistics d. Audit e. <input checked="" type="checkbox"/> Program planning or management f. Research g. <input checked="" type="checkbox"/> Regulatory or compliance		16. Frequency of recordkeeping or reporting: (check all that apply) a. <input checked="" type="checkbox"/> Recordkeeping c. <input checked="" type="checkbox"/> Reporting: 4. <input checked="" type="checkbox"/> Quarterly 6. <input checked="" type="checkbox"/> Annually	
17. Statistical methods: Does this information collection employ statistical methods? Yes <input checked="" type="checkbox"/> No		18. Agency contact: (person who can best answer questions regarding the content of this submission) Name: Patrick Jordan Phone: (202) 402-3641	

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:

X

Date:

Signature of Senior Officer or Designee:

X
Colette Pollard, Departmental Reports Management Officer,
Office of the Chief Information Officer

Date:

Supporting Statement for Paperwork Reduction Act Submissions

FY2011 Notice of Funding Availability (NOFA) for Technical Assistance and Capacity Building under the Transformation Initiative (“OneCPD” and “Core Curricula”); Request for Qualifications

A. Justification

1. Circumstances that make the collection of information necessary.

This request is for clearance of the Narratives, Matrices, and Reporting Requirements that will be filled out by applicants of the Technical Assistance and Capacity Building under the Transformation Initiative Program. *The purpose of this program is to assess the need for technical assistance and to target technical assistance in order to achieve the highest level of performance and results for the programs administered by HUD’s Office of Community Planning and Development.*

The Technical Assistance and Capacity Building under the Transformation Initiative NOFA requires applicants to write a narrative designed to collect data on the organization applying for TA funding. Eligible applicants include states, units of local government, public housing authorities, non-profit organizations, for-profit entities, and joint applicants. The Narrative covers factors which evaluate the capacity, expertise, approach, and results and evaluation methods of potential grantees.

The Matrix Forms (Matrices) are designed to accompany the NOFA, and to collect data on the experience and expertise of the technical assistance applicants. Given the diversity of competencies required and the potential diversity in applicants, the Narrative and these Matrices together will serve the indispensable role of helping HUD to identify the strongest and most appropriate applicants for TA delivery.

The Technical Assistance and Capacity Building under the Transformation Initiative Program requires quarterly reporting on:

- (1) The uses of the funds received detailed by task;
- (2) The amount of funds received obligated and expended.
- (3) Activity details will include: the name of the project or activity; a brief description of the project or activity; information on any subcontracts or subgrants awarded by the recipient to include the data elements required to comply with the Federal Funding Accountability and Transparency act of 2006 (P.L. 109-282).

2. How the information is used

The data collected through Technical Assistance and Capacity Building under the Transformation Initiative will be used by HUD to determine the capacity, experience, and expertise of eligible applicants as well as to monitor their compliance and success post-award. Completed Narratives and Matrices will be reviewed by HUD staff and incorporated into the assessment of all applications. HUD will then rank applicants based on scoring criteria listed in the Program NOFA, and funds will be awarded accordingly.

The Matrices include three spreadsheets. Each includes a series of elements and indicators that allow for a comprehensive assessment of the applicant, the applicant’s relevant history, and the applicant’s proposed project staff.

The spreadsheets are comprised of the following:

- *Technical Assistance and Capacity Building Experience Form*
 - (.xls or .xlsx format), includes an assessment of the applicants TA experience and measurable outcomes with the following: needs assessment; direct TA; tools and product development; and group learning.
- *Technical Assistance and Capacity Building Expertise Form*
 - (.xls or .xlsx format) – includes an assessment of the expertise of the applicant’s proposed project staff in areas such as, program requirements; project design; web technology; administration/management; skill areas; and reporting/data.
- *Technical Assistance and Capacity Building Experience Form*
 - (.xls or .xlsx format) – includes an assessment of the active technical assistance awards received including the award date, the award amount, and the awarding organization.

HUD will require Technical Assistance and Capacity Building under the Transformation Initiative grantees to collect information on the activities undertaken with the respective funds. HUD collects this information from recipients through the Disaster Recovery Grant Reporting System (DRGR). HUD Headquarters will use the information collected through DRGR to track compliance with statutory commitment and expenditure requirements and to generate the OMB prescribed quarterly reports. Program management reports are generated by DRGR to provide data on the status of each recipient's commitment and disbursement of funds. HUD will use this data to compile reports used to manage the overall technical assistance program.

3. Improved technology.

The grants.gov interface allows for complete digital access to all of the Technical Assistance and Capacity Building under the Transformation Initiative NOFA application materials, including the Narratives and Matrices. As a result, applicants can download forms in real time, fill out the application digitally, and submit electronically over the web.

In addition to using grants.gov, the Narratives and Matrices have been designed to reduce the overall burden on applicants compared to previous versions of similar forms. The Narratives can be submitted in any text or PDF format, making them easy to upload electronically. The Matrices are being submitted in Microsoft Excel format, which is much easier to populate and work with compared to the previous Microsoft Word format. This will save significant time for applicants as the spreadsheet layout is more appropriate for this type of information collection.

The collection of grant and task level information (collection of data on recipients, funds management, and task-level data) has been automated by DRGR. DRGR eliminates the need for respondents to submit paper quarterly reports. Once recipients are selected, they will be able to get system access by following the instructions on HUD's DRGR system website at <https://drgr.hud.gov/DRGRWeb/request.jsp>.

4. Efforts to identify duplication.

No similar information exists. The Narratives and Matrices will be collected once per year, based on unique applicant pools and comprised of year sensitive information. The Narratives and Matrices are program specific, and so are the only assessment tools available for HUD to determine the relevant and up-to-date capacity, experience and expertise of our TA applicants. The reporting information collected is task-specific, and, therefore, unique to each recipient's TA program.

5. Burden to small business or small entities.

Applications are submitted for this competition on a voluntary basis, and all application requirements and expectations are explicitly listed in published TA Program NOFA. Efforts have been made to reduce burden across the board and to create an accessible application by making the process web-based and fully digital, reducing the number of questions, simplifying existing questions, and offering the Narratives, Matrices, and Reporting Processes in a format that is familiar and easy to use. HUD expects that such organizations should have the capacity to adhere to the reporting requirements in the Notice that are necessitated by program management rules and the goal of prevention of fraud, waste and abuse.

6. Consequences if information is collected less frequently.

Less frequent data collection would damage HUD's ability to effectively manage technical assistance efforts and would not be consistent with government wide standards for the management of cooperative agreements. The loss of this collection mechanism would severely impair HUD's ability to assess TA providers and therefore reduce the efficiency with which we can provide sound and relevant assistance to CPD grantees. The net loss would accrue at the local level through less effective programming and reduced provider capacity. Failure to collect application data yearly would limit HUD's ability to incorporate timely knowledge about the applicant's recent activity, successes and failures, and therefore have the same net effect on outcomes. Failure to collect quarterly reports would significantly impair HUD's ability to assess awardees, make adjustments, and address significant challenges that arise during the grant term.

7. Special circumstances

None.

8. Public Notice.

In accordance with the Paperwork Reduction Act of 1995, the Department of Housing and Urban Development published a notice in the Federal Register on December 22, 2011 (Vol. 76, No. 246, pp. 79703) announcing the agency's intention to request an OMB review of data collection activities for the Technical Assistance and Capacity Building under the

Transformation Initiative Program Narratives, Matrices, and Reporting Requirements. The notice provided a 10-day period for public comments. No comments were received.

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

The following table demonstrates the estimated paperwork burden for applicants in the pre-award process, and recipients in the post-award and reporting processes.

Description of Information Collection	Number of Respondents	Number of Responses	Total Responses	Hours Per Response	Total Hours
PRE-AWARD					
TA Competition					
Narrative	60	1	60	60	3600
Matrices	60	1	60	16	960
POST-AWARD					
TA Competition					
Grantee's Written Agreements	15	1	15	5	75
DRGR Activation, Activity Set-Up and Competition	15	2	30	10	300
Online Quarterly Reporting via DRGR	15	4	60	2	120
TOTAL PAPERWORK BURDEN	***				5,055

13. Estimate of Total Costs to Respondents (Capital Costs)

There are no capital costs for respondents beyond customary or usual business practices or that are not otherwise required to achieve regulatory compliance not associated with the collection of information for purposes of completing the Technical Assistance and Capacity Building under the Transformation Initiative Program Narratives, Matrices, and Reporting Requirements.

14. Estimate of Annualized Cost to Federal Government

The cost to the government to review the submissions and reports for Technical Assistance and Capacity Building under the Transformation Initiative (but not including the costs of follow-up management, technical assistance or monitoring) is estimated at **\$24,210**.

	Application Review	10 hours X 60 submissions	600 hours
	Reports and Recordkeeping Review and Management	1 hour X 105 reports/records	105 hours
Total hours			705 hours
Total cost to the Federal Government: 705 hours at \$34.34/ hour** (**This figure is based on GS-13 salary)			\$24,210

15. Explanation of Program Changes / Adjustments

There is no change in collection burden overall. Just a change in collection content.

16. Publication of Results

The information submitted is not published. Notice of the competition winners are published in the Federal Register approximately two months after receipt of applications.

17. Display of the Expiration date for OMB Approval of the Information Collection

The OMB expiration date will be displayed on all data collection instruments. No exceptions are requested.

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.