

Supporting Statement for Paperwork Reduction Act Submission

Title: Transformation Initiative: FY13 Sustainable Communities Research Grant Program

OMB Control #: 2528-0264

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.

The purpose of this notice is to inform potential applicants that the Office of Policy Development and Research (PD&R) of the Department of Housing and Urban Development (HUD) is interested in receiving applications for grants to support research activities focusing on sustainability issues.

Grant applicants will be expected to submit the following information when submitting applications: Name, address, email address, employment history, Tax Identification Number, DUNS information.

Grantees are selected through a competitive process, announced through a Notice of Funding Availability. Applicants are required to submit certain information as part of their application for assistance. Grantees are required to prepare a quarterly status report so that HUD monitors the progress of grantees in completing their research.

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.

The information is collected during the application process. Collection of this data will serve two purposes:

- a) It will enable HUD to select grantee under a competitive selection process. Without this information, it would be impossible to determine which applicants to select.
- b) It will enable the Government Technical Representative (GTR) to monitor each grantee's performance. It is the only way to determine that funds are being spent in accordance with the goals of the program.

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.

Application materials will be submitted electronically via *Grants.gov*, and there is no impact on small businesses or any other entities.

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.

This program does not duplicate any existing government program. No similar information is available.

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.

This program does not involve small businesses.

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.

If information were not collected pursuant to submitting applications, HUD would have no qualitative way to select applicants to award among the various applications submit. If information were not collected for monitoring purposes, HUD would not be able to ensure that Federal dollars were being spent wisely and appropriately.

Information collected pursuant to submitting applications is requested only once per application cycle, the minimum amount of time possible. Information collected for monitoring purposes is submitted quarterly during the grant period. To require less frequent submission would mean that no action could be taken to correct administrative problems before the end of the grant period.

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 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 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

- 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.

There is None Required

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.

Notice was published in the Federal Register. No comments were received.

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

None

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

None

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.

None

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.

1) Pre-Award

HUD estimates that each applicant spends approximately 35 person-hours to complete an application, excluding standard HUD forms. Almost all of this time is invested by a professor or other senior administrator who would oversee the program. HUD estimates the mean hourly rate at \$30. For 20 applications, the computation for burden hours is as follows:

$$20 \text{ applications} \times 35 \text{ hours} = 700 \text{ burden hours}$$

2) Post-Award

HUD estimates that each grantee will spend approximately 6 hours a year maintaining records. HUD also estimates that each grantee will spend approximately 4 hours a year preparing monitoring reports. Clerical staff and faculty/supervisory staff will share this burden. HUD estimates the applicable hourly rate at \$15. The computation for burden hours is as follows:

$$5 \text{ grantees} \times 10 \text{ hours} = 50 \text{ burden hours}$$

$$\text{TOTAL BURDEN HOURS} = \text{Pre-Award Burden Hours (700)} + \text{Post-Award Burden Hours (50)} = 750$$

Description of Information Collection	Number of Respondents	Responses per Year	Total Annual Responses	Hrs per Response	Total Hours
SF424	20	1	20	0	0
SF424 Supplement	20	1	20	0	0
HUD 424CB	20	1	20	0	0
SFLLL	20	1	20	0	0
HUD 2880 (2510-0011)	20	1	20	0	0
HUD 96010 (2535-0114)	20	1	20	0	0
Rating factor 1	20	1	20	7	140
Rating factor 2	20	1	20	7	140
Rating factor 3	20	1	20	7	140
Rating factor 4	20	1	20	7	140
Rating factor 5	20	1	20	7	140
Subtotal (Application)	20	1	20	35	700
Quarterly Reports	5	4	20	1.5	30
Record keeping	5		5	4	20
Total	20			Varies	750

13. Provide an estimate of the total annual cost burden to respondents or record keepers 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 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.

1) Pre-Award

HUD estimates that each applicant spends approximately 42 person-hours to complete an application. Almost all of this time is invested by a professor or other senior administrator who would oversee the program. HUD estimates the mean hourly rate at \$30. For 20 applications, the computation for cost estimate is as follows:

$$20 \text{ applications} \times 42 \text{ hours} \times \$30 \text{ per hour} = \$25,200.$$

2) Post-Award

HUD estimates that each grantee will spend approximately 6 hours a year maintaining records. HUD also estimates that each grantee will spend approximately 4 hours a year preparing monitoring reports. Clerical staff and faculty/supervisory staff will share this burden. HUD estimates the applicable hourly rate at \$15. The computation for cost estimate is as follows:

$$5 \text{ grantees} \times 10 \text{ hours} \times \$15 \text{ an hour} = \$750$$

$$\text{TOTAL ANNUAL COSTS} = \text{Pre-Award Cost Estimate } (\$25,200) + \text{Post-Award Cost Estimate } (\$750) = \$25,950$$

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.

1) Pre-Award.

Approximately 20 applications are expected to be received annually. Each application goes through a threshold review which takes one hour to conduct. This review is conducted by **five (5)** persons, having an average grade of GS-14 at an **hourly rate of \$45.00**. Thus the annual review process takes approximately **225** staff hours. The computation is as follows:

$$20 \text{ applications} \times 5 \text{ persons} \times 1 \text{ hours} \times \$45.00 = \$4,500.$$

2) Post-Award

HUD will award approximately 5 grants pursuant to each annual Notice of Funding Availability. With annual reporting, HUD would receive 4 quarterly progress reports for each funding cycle, requiring a total review time of one hour per grant per report, for a total of hour. Assuming a GS-14 conducts the reviews, the cost is computed as follows:

$$1 \text{ hour} \times 20 \text{ reports} \times \$45.00 \text{ an hour} = \$900.$$

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

In FY10, the program consisted of a two-stage Notice of Public Interest (NOPI) process. For this year's program, we are offering a standard Notice of Funding Availability (NOFA).

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.

Not applicable

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.

No such approval is sought

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

None requested.

B. Collections of Information Employing Statistical Methods

None