

Supporting Statement for Paperwork Reduction Act
Special Supplemental Nutrition Program for Women, Infants and Children (WIC)

Justification for Adding
WIC Special Project Grants
To the List of Approved Programs Using Uniform Grant Application for
Non-Entitlement Discretionary Grants,
OMB Control Number 0584-0512

- 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 President's Budget for Fiscal Year (FY) 2015 authorizes funds to the U.S. Department of Agriculture Food and Nutrition Service (FNS) to provide grants on a competitive basis to the Special Supplemental Nutrition Program for Women, Infants and Children (WIC) State agencies. Up to \$2 million has been allocated in FY 2015 for State agencies to develop, implement and evaluate new or innovative methods of service to meet the changing needs of WIC participants and/or to improve Program integrity. The focus area for the FY 2015 WIC Special Project Grants is WIC Program Participant Integrity. Eligible entities will prepare an application. FNS will post the Request for Application (RFA) package for the *WIC Special Project Grants* on its website on or after OMB's clearance at <http://www.fns.usda.gov> and on www.grants.gov.

2. Indicate how, by whom, and for what purpose the information is to be used.

Except for a new collection, indicate how the agency has actually used the information received from the current collection.

The primary users of the information collected from the applicants are FNS and other Federal staff who will serve on a panel to systematically review, evaluate, and approve the grant and recommend the applicants most likely to meet program objectives and most responsive to the solicitation. The selection criteria are contained in the RFA package. This process will occur annually for the next two years, depending on funding,

The following grants.gov forms are required of grant applicants. They are located at <http://www.grants.gov/web/grants/forms.html>: Click Active Forms.

- Non-Construction Grant Projects Forms: SF-424 Family
 1. Application and Instruction for Federal Assistance (SF424)
 2. Budget Information and Instruction (SF-424A)
 3. Assurance-Non-Construction Programs (SF-424B)
 4. Federal Financial Report (SF-425)
 5. SF LLL (Disclosure of Lobbying Activities)

The required OMB form can be obtained at the following website:

<http://www.whitehouse.gov/sites/default/files/omb/grants/sfllin.pdf>.

In lieu of submitting AD-1047 and 1048, users will adhere to the Terms and Conditions to follow these regulations

- As a condition of award, selected applicants are required to comply with the requirements of 2 CFR Part 421: Requirements for Drug-Free Workplace (Financial Assistance).

- In addition, selected applicants must agree to ensure that all sub-recipients are neither excluded nor disqualified under the Suspension and Debarment rules found at 7 CFR sec. 3017.300 by doing any one of the following:
 - a) Checking the System for Awards Management (SAM). This information can be found at www.sam.gov.

 - b) Collecting a certification that the entity is neither excluded nor disqualified. Because a Federal certification form is no longer available, the Grantee or sub-Grantee electing this must devise its own.

 - c) Including a clause to this effect in the sub-recipient agreement and in any procurement contract expected to equal or exceed \$25,000, awarded by the Recipient or a sub-recipient within any agreements.

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.

In compliance with E-Government Act 2002, FNS offers applicants the opportunity to receive and provide information electronically. Applicants may receive the RFA package by downloading the application from the FNS website or by downloading the application from the www.grants.gov website. All applicants will apply for this opportunity directly through www.grants.gov. There will be no exceptions. FNS will not accept emailed, faxed, or hand delivered applications.

FNS estimates that approximately 100% of the grant awardees will report financial data using the Federal Financial Report SF 425 electronically through FNS' Food Programs Reporting System (FPRS) at <https://fprs.fns.usda.gov/Home/Reminder.aspx> approved under OMB#0584-0594 Expiration Date 6/30/2017.

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 Question 2.

There is no similar data collection effort available. This program solicitation is new and unique. Every effort has been made to avoid duplication. FNS has reviewed USDA reporting requirements, state administrative agency reporting requirements, and special studies by other government and private agencies. FNS solely administers the WIC

Program. The information required for this grant program is not currently reported by State agencies.

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.

The information requested is held to the minimum amount required. FNS has determined that the requirements for this information collection do not adversely impact small businesses or other small entities since eligible applicants for this RFA are limited to State agencies that administer the WIC Program.

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.

This is an ongoing grant opportunity that is awarded annually to potentially multiple State agencies. The focus area of the solicitation changes each year. FNS will seek minimal information that will be critical in selecting the most promising grantees. This includes information of applicant's plans for innovative projects that will improve WIC Program participant integrity. The consequence for not collecting the information is the inability to establish which proposal meets program objectives for improving WIC Program participant integrity.

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 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 are no special circumstances. The collection of information is conducted in a manner consistent with the guidelines in 5 CFR 1320.5.

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 on 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 years. There may be circumstances that may preclude consultation in a specific situation. These circumstances should be explained.

A 60-day notice was published in the Federal Register on July 27, 2012, (Volume 77, Number 145, page 44210-44212) soliciting comments on FNS's intent to request Office of Management and Budget (OMB) approval for a uniform grant application package for FNS discretionary grant programs that is a revision of the previously approved package. FNS received one public comment in response to the Federal Register notice regarding where online details on FNS grant recipients, grant purpose, accomplishments and period of

performance were located by requested by the writer. FNS prepared a written response to the commenting party.

FNS staff often discuss the availability of the various grant opportunities and the grant application requirements with potential applicants at various national or regional meetings.

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

There are no plans to provide cash payments or gifts to respondents.

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

Provision of the application information requested is entirely voluntarily. The collection of this information is for the purpose of aiding in the review of applications prior to grant award decisions and for management of grants. This information will be used within FNS and may be disclosed outside FNS as permitted by the Privacy Act under certain situations, including disclosures to the public as required by the Freedom of Information Act. All activities associated with the agreement respect the existing policy with regard to privacy. FNS will work with the Grantee and ensure that any release of such information is done under the terms and conditions of the existing Freedom of Information Act that requires the Grantee to release permission and is informed of the use of the information.

Grantees who are awarded a grant under this RFA will be required to submit the SF-425 forms. All of the SF-425 forms are stored in a secured database. Therefore, grant awardees must obtain authorization to submit the form into FPRS. The applications for authorization contain personal identifying information on individuals doing business with the Food and Nutrition Service. Therefore, the Food and Nutrition Service published USDA e-Authentication Service (system of records) July 26, 2006 in the Federal Register Volume 71 page 42346 to specify the uses to be made of the information in this collection. Access to records is limited to those persons who process the records for the specific uses stated in this Privacy Act notice. Records are kept in physically secured rooms and/or cabinets. Paper records are segregated and physically secured in located cabinets. Various methods of computer security limit access to records in automated databases.

11. Provide additional justification for any questions of a sensitive nature, such as sexual behavior or 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.

There are no questions of a sensitive nature included in this data collection.

12. Provide estimates of the hour burden of the collection of information. Indicate the number of respondents, frequency of response, annual hour burden, and an explanation of how the burden was estimated.

A) Indicate the number of respondents, frequency of response, annual hour burden, and an explanation of how the burden was estimated. If this request for approval 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.

B) Provide estimates of annualized cost to respondents for the hour burdens for collections of information, identifying and using appropriate wage rate categories.

FNS estimates that approximately ten (10) respondents will submit an application for the two *WIC Special Project Grants* (to include the Full and Mini Grants). It is estimated that the average applicant will spend 60 hours developing their proposal for either RFA. This is based on the general estimate that applicants will have approximately four (4) weeks to complete their proposals, averaging seven (7) hours a week dedicated to this process. Only State agencies that administer the WIC Program are eligible to submit a final proposal for this RFA.

A.12.1 Estimate of Burden Hours on Respondents for Either WIC Mini or Full Grants Application

Pre-Award Burden

Respondents have a full range of discretion in how they design and develop their proposal. FNS has provided guidance in the RFA on required items and on the evaluation criteria for proposals. Pre-Award hourly estimates identified above are used as the basis for determining total annual cost burden to respondents of the

application.

Affected Public	Form or Instrument	Estimated No. of Respondents	Frequency of Response	Total Annual Responses	Estimated Time (Hours) to complete each Application	Total Estimated Burden Hours
State Agency	RFA for WIC Mini & Full Grants	10	1	10	60	600
Total Burden		10	1	10	60	600

Pre-Award Burden Summary:

Number of Respondents: 10

Responses per respondent: 1

Total Annual Response: 10

Hours per Response: 60

Total Burden Hours: 600

A.12.2 Post-Award Burden Estimate of Hours on Respondents for Application

(Affected Public: State and Local Agencies)

The post-award burden hours are based on the production of quarterly progress reports and quarterly financial reports that are submitted to FNS by the grantee selected for the project. Financial reports submitted use the SF-425. Grant activities are for one to

three years. For the purposes of this estimate, the grantee will submit four (4) quarterly progress reports and four (4) financial reports each year. In addition, the grantee will submit a final written report.

The progress reports will ask for a description of the activities that took place during the previous period and report any deviations and difficulties. The financial reports will be the SF-425, which is the short form for reporting the financial status for the previous period, with the last SF-425 serving as the final financial status report. These reports are routine in nature and only request necessary information to monitor the progress and funds spent during the period of performance of the grant.

The total estimated burden is reflected in the following table:

Post Award AFFECTED PUBLIC	FORMS	NUMBER OF RESPONDENTS	FREQUENCY OF RESPONSE	TOTAL ANNUAL RESPONSES	TIME PER RESPONSE (HRS)	ANNUAL REPORTING BURDEN HOURS
State Agencies	SF-425 Final Report	5	1	5	10.00	50.00
	SF-424	5	1	5	1.10	5.50
	SF-424 A	5	1	5	1.80	9.00
	SF-424 B	5	1	5	0.25	1.25
	SF-LLL	5	1	5	0.50	2.00
	SF-425 Financial Reporting	5	4	20	1.50	30.00
	Total	5		45		97.75

Post-Award Burden Summary:

Number of Respondents: 5

Responses per respondent: 9

Total Annual Response: 45

Hours per Response: 2.172

Total Burden Hours: 97.75

Pre and Post Award Reporting Burden Summary:

Number of Respondents: 10

Responses per respondent: 10

Total Annual Response: 100

Hours per Response: 6.9775

Total Burden Hours: 697.75

A.12.3 Post-Awardees Recordkeeping Burden Estimates Estimate of Hours Burden on Respondents for Application (Affected Public: State agencies)

AFFECTED PUBLIC	(b) Form Number or activity	(c) No. Recordkeepers	(d) No. Records Per Respondent	(e) Est. Total Annual Records (cxd)	(f) Hours Per Recordkeeper
State Agencies	RECORDKEEPING				
	SF-425 Final Report	5	1	5	0.05
	SF-424	5	1	5	0.05
	SF-424 A	5	1	5	0.05
	SF-424 B	5	1	5	0.07
	SF-LLL	5	1	5	0.11
	SF-425 Financial Reporting	5	4	20	0.125
Post Award Recordkeeping Total Burden Estimates		5	-	45	-

The total annual estimated burden hours for pre & post-award reporting and recordkeeping

is 701.19 rounded up to 702 (pre-award 600 burden hours + post-award 97.75 + recordkeeping 4.15 burden hours). The total estimated number of responses for pre & post reporting and recordkeeping is 100 total annual responses (pre-award 10 responses + post-award responses 45 and post award recordkeeping response 45).

A.12.3 Estimates of Annualized Cost to Respondents for Applications

Affected Public	Type of Respondent	Number of Respondents	Frequency of Response	Estimated Total Annual Responses	Average Time per Response (hours)	Estimated Total Annual Burden hours	Hourly Wage Rate
Pre-Award	State Agency	10	1	10	60	600.00	\$32.56
Post-Award Reporting		5	9	45	2.18333	97.75	\$32.56
Post-Award Recordkeeping		5	9	45	0.08862	4.15	\$32.56
Grand Total				100		701.9	

The total estimated annual cost to respondents is \$22,903. FNS estimates that most respondents will utilize at least one full time member at a cost of \$32.56 per hour. The range for this estimate may vary significantly but FNS believes the cost-per-hour estimate is the most practicable and represents the national rate for Social and Community Service Managers-Occupation Code 11-9151 (according to the Bureau of Labor Statistics, Occupational Employment Wages May 2014).

The total Pre-award costs were determined by adding the total number of applicants times the total number of hours times the total hourly costs or as follows: 10 (number of applicants) x 60 hours per respondent = 600 burden hours x \$32.56 = \$19,536

Pre-award costs are determined to total \$19,536. Pre-award costs are one-time only costs. Wage rates were determined using <http://www.bls.gov/bls/wages.htm> website.

Total Post-award costs for routine reporting are 97.75 burden hours x \$32.56 = \$3,182.74. This amount is based on awarding up to five (5) grants. Post award recordkeeping costs are 4.15 burden hours x \$32.56 = \$183.95 these annual costs are for the duration of the project (1-3 years).

- 13. Provide estimates 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 questions 12 and 14). The cost estimates 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 and purchase of services component.**

There are no capital/start-up or ongoing operation/maintenance costs associated with this information collection.

- 14. Provide estimates of annualized cost to the Federal government. Provide a description of the method used to estimate cost and any other expense that would not have been incurred without this collection of information.**

The estimated pre-award cost to process and review applications are approximately \$9,898. This is based on an estimate of 20 hours of labor to process and review *each* application package.

The estimate assumes an hourly cost per staff person of \$49.49 per hour (wage rate determined based on the Office of Personnel management salary table for FY 2015 for a GS-13, step 5 employee in the Washington, DC area). This labor estimate includes 2 hours by grants management and program staff to process an application, 15 hours total by 3 Federal employees to conduct a thorough technical review of each application, and 3 hours by the grants and program officers to document the technical reviews and prepare the recommendations for award. It is estimated that 10 applications will be received, and thus 200 hours will be needed to process and review these applications.

For the 5 proposals anticipated to be awarded, Federal labor costs will total \$8,660.75. This is based on approximately 25 hours spent providing technical assistance and 10 hours reviewing the 5 program and financial reports for each grantee, for a total of 35 hours. (25 hours +10 hours= 35 hours X 5 grantees X \$49.49 per hour = \$8,660.75). Costs other than salary costs are negligible.

Total Annualized Pre-Award Cost to the Government	\$9,898.00
Total Annualized Post Award Cost to the Government	\$8,660.75
Total Annualized Cost to the Federal Government	\$18,558.75

15. Explain the reasons for any program changes or adjustments reported in Items 13 or 14 of the OMB Form 83-1.

This generic clearance request will reduce the available responses by -300 and the available hours by -2,118.

16. For collections of information whose results are planned to be published, outline plans for tabulation and publication.

FNS will publicize summary information of the applicant that receives grant funding at <http://www.fns.usda.gov/>

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

The agency plans to display the expiration date for OMB approval of the information collection on all instruments.

18. Explain each exception to the certification statement identified in Item 19 of the OMB 83-I" Certification for Paperwork Reduction Act".

There are no exceptions to the certification statement.