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 Sustainable Housing and Communities

2. OMB Control Number:
a. **2501-NEW** b. ☐ 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
- 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)

7. Title:
OSHC Financial Reporting Form

8. Agency form number(s): (if applicable)
HUD-NEW

9. Keywords:
N/A

10. Abstract:
The Department of Housing and Urban Development's Sustainable Communities Initiative (SCI) Planning Grant Programs, which comprise of the Sustainable Communities Regional Planning Grant Program and the Community Challenge Planning Grant Program, require the financial reporting by grantees. This tracking of grantee financial data is solely in regards to the HUD-OSHC SCI grant. Such tracking is obligatory during the prescribed reporting periods, reimbursement requests for award funds, proof of in-kind contributions toward grant match funding, and the close-out of the award.

11. Affected public: (mark primary with "P" and all others that apply with "X")
- a. Individuals or households
- b. **X** Business or other for-profit
- c. **P** 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. **P** Required to obtain or retain benefits
- c. Mandatory

13. Annual reporting and recordkeeping hour burden:

a. Number of respondents	200
b. Total annual responses	1200
Percentage of these responses collected electronically	100%
c. Total annual hours requested	300
d. Current OMB inventory	300
e. Difference (+,-)	0
f. Explanation of difference:	
1. Program change:	0
2. Adjustment:	0

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:	0
2. Adjustment:	0

15. Purpose of Information collection: (mark primary with "P" and all others that apply with "X")
- a. Application for benefits
- b. **P** Program evaluation
- c. **X** General purpose statistics
- d. Audit
- e. **X** 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. ☐ Biennually 8. ☒ Other (describe) If special conditions are designated to grantee, reporting frequency may increase.

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: Thaddeus Wincek
Phone: 202-402-6617

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:	Date:
X Wayne Eddins, Departmental Paperwork Reduction Act Officer, Office of the Chief Information Officer	

Supporting Statement for Paperwork Reduction Act Submissions

A. Justification

1. **Why is this information necessary?**

   The Department of Defense and Full-Year Continuing Appropriations Act, 2011 (Public Law 112-10, approved April 15, 2011) (Appropriations Act), provided a total of $100,000,000 to HUD for a Sustainable Communities Initiative to improve regional planning efforts that integrate housing and transportation decisions, and increase the capacity to improve land use and zoning. Of that total, $70,000,000 is available for the Sustainable Communities Regional Planning Grant Program, and $30,000,000 is available for the Community Challenge Planning Grant Program.

   This information collection is necessary to fulfill the administrative requirements of the Department of Housing and Urban Development's Sustainable Communities Initiative (SCI) Planning Grant Programs, which comprise of the Sustainable Communities Regional Planning Grant Program and the Community Challenge Planning Grant Program. Both grant programs require the financial reporting by grantees on a periodic basis (e.g. Semi-annual Reporting, Reimbursement Requests, In-kind Contributions Documentation, Final Closeout Reports). The grantee is required by the grant terms and conditions to provide a record of its award funds and its match funds expended for a given period (e.g. semi-annual). This expense report must be delineated by budget category in order to ensure that funds are expended in accordance with approved work plan activities and specific line items in the approved budget.

2. **How is the information collected and how is the information to be used?**

   The Department of Housing and Urban Development's Sustainable Communities Initiative (SCI) Planning Grant Programs, which comprise of the Sustainable Communities Regional Planning Grant Program and the Community Challenge Planning Grant Program, require the financial reporting by grantees. This tracking of grantee financial data is solely in regards to the HUD-OSHC SCI grant. The tracking is obligatory during the prescribed reporting periods, reimbursement requests for award funds, proof of match or in-kind contributions toward grant match funding, and the closeout of the award.

   The grantee is provided electronically the *OSHC Financial Reporting Form* from the awarding HUD office. At the aforementioned instances where reporting of award funding is obligatory, the grantee will fill out the form and submit it to the awarding HUD office via email or online through the office's Grants Management System (GMS). There are only two columns which the grantee is required to provide information: Column C, *HUD EXPENDED THIS PERIOD*, and Column F, *MATCH CONTRIBUTION (IF APPLICABLE)*. The corresponding rows for these columns reflect the budget categories as delineated in the grantee's budget. This specification of reporting expenses by budget category is used in order to ensure funds are designated to allowable activities and to approved work plan activities as reflected in the approved budget.

3. **Describe whether, and to what extent, the collection of information is automated?**

   The form for the collection of information will be fully automated or pre-populated for all columns except for the aforementioned columns C, *HUD EXPENDED THIS PERIOD*, and F, *MATCH CONTRIBUTION (IF APPLICABLE)* which are to be completed by the grantee.

4. **Is this information collected elsewhere?**

   For the columns C, *HUD EXPENDED THIS PERIOD*, and F, *MATCH CONTRIBUTION (IF APPLICABLE)*, which require grantee input, no other source or method is available to collect this information.

5. **Does the collection of information impact small businesses or other small entities?**

   This collection of information does not significantly impact small businesses or entities.

6. **Describe the consequence to Federal program or policy activities if the collection is not conducted or is conducted less frequently.**

   Without this collection of information or if the information were collected less frequently, the office would lose its ability to track and manage grant award funds and match funds and contributions. There would be severe lack of government oversight on these programs which would put unacceptable risk to public funds and program activities. Complete grant budgets could not be monitored as expenses could not be attributed to budget categories or budget line items.

7. **Explain any special circumstances.**

The grantee may be designated special conditions at any time during the period of performance as well as during pre-award grant negotiations. Special conditions may vary given the findings of the grantee; an example may be more frequent reporting requirements. Special conditions may be designated to the grantee due to prior reporting violations, audit violations, or other administrative violations.

8. **Identify the date and page number of the *Federal Register* notice soliciting comments on the information.**

In accordance with 5 CFR 1320.8(d), the agency's notice soliciting public comments was announced in the Federal Register on June 22, 2012 (Vol. 77, pages 37700). HUD received one comment on this proposed collection and the appropriate office responded appropriately.

9. **Explain any payments or gifts to respondents, other than remuneration of contractors or grantees.**

No payments or gifts to respondents are provided.

10. **Describe any assurance of confidentiality provided to respondents.**

The information provided is not of a confidential nature.

11. **Justify any questions of a sensitive nature, such as sexual, religious beliefs, and other matters that are commonly considered private.**

The information collected does not contain questions of a sensitive nature.

12. **Annual Reporting Burden**

Form/Document	Number of Respondents	Average Number of Responses	Total Responses	Hours per Response	Total Hours	Cost per Hour	Total Cost
OSHC Financial Reporting Form	**200**	**6**	**1200**	**0.25**	**300**	**$40.00**	**$12,000**

The estimated hourly cost figure of $40.00 is determined for an experienced professional that approximates the hourly (mid-range) salary of a GS-13 employee.

The typical grantee completes the form twice per year (semi-annually) for reporting and at least four additional times (at least quarterly) to be included in quarterly reimbursement request packages.

13. **Additional Cost to Respondents**

There are no additional costs to respondents other than what is reported in Item 12.

14. **Annualized cost to the Federal Government**

There are no additional costs to the federal government other than what is reported in Item 12.

15. **Explain any program changes or adjustments.**

This is a new collection.

16. **If the information will be published, outline plans for tabulation and publication.**

The results of this information collection will not be published.

17. **OMB Expiration Date.**

HUD-OSHC is not seeking approval to avoid displaying the OMB expiration date.

18. **Certification of Paperwork Reduction Act Submission.**

There is no exception to Item 19 "Certification of Paperwork Reduction Act Submission."

B. Collections of Information Employing Statistical Methods

The collection of information does not employ statistical methods.