

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.

<p>1. Agency/Subagency Originating Request: U.S. Department of Housing and Urban Development Community Planning and Development</p>	<p>2. OMB Control Number: a. b. None</p>																		
<p>3. Type of information collection: (check one)</p> <p>a. <input checked="" type="checkbox"/> New Collection</p> <p>b. <input type="checkbox"/> Revision of a currently approved collection</p> <p>c. <input type="checkbox"/> Extension of a currently approved collection</p> <p>d. <input type="checkbox"/> Reinstatement, without change, of previously approved collection for which approval has expired</p> <p>e. <input type="checkbox"/> Reinstatement, with change, of previously approved collection for which approval has expired</p> <p>f. <input type="checkbox"/> Existing collection in use without an OMB control number</p> <p>For b-f, note item A2 of Supporting Statement instructions.</p>	<p>4. Type of review requested: (check one)</p> <p>a. <input checked="" type="checkbox"/> Regular</p> <p>b. <input type="checkbox"/> Emergency - Approval requested by</p> <p>c. <input type="checkbox"/> Delegated</p> <p>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</p> <p>6. Requested expiration date: a. <input checked="" type="checkbox"/> Three years from approval date b. <input type="checkbox"/> Other (specify)</p>																		
<p>7. Title: Application for OneCPD Technical Assistance and Capacity Building Program NOFA</p>																			
<p>8. Agency form number(s): (if applicable) SF-424, HUD-424-CB, HUD-424-CBW, SF-424 Supplement; SF-LLL, HUD-2880, SF-425; HUD-40040; HUD-40044</p>																			
<p>9. Keywords: Housing, technical assistance, capacity building, Transformation Initiative, OneCPD</p>																			
<p>10. Abstract: Application for technical assistance funds with which CPD grantees will engage providers to supply expertise to shape their resources into effective, coordinated, neighborhood and community development strategies to revitalize and physically, socially and economically strengthen their communities. These actions reduce burden because information will be collected using forms instead of narrative.</p>																			
<p>11. Affected public: (mark primary with "P" and all others that apply with "X")</p> <p>a. Individuals or households e. Farms</p> <p>b. <input checked="" type="checkbox"/> Business or other for-profit f. Federal Government</p> <p>c. <input checked="" type="checkbox"/> Not-for-profit institutions g. <input checked="" type="checkbox"/> State, Local or Tribal Government</p>	<p>12. Obligation to respond: (mark primary with "P" and all others that apply with "X")</p> <p>a. Voluntary</p> <p>b. <input checked="" type="checkbox"/> Required to obtain or retain benefits</p> <p>c. Mandatory</p>																		
<p>13. Annual reporting and recordkeeping hour burden:</p> <table style="width: 100%; border: none;"> <tr> <td style="width: 60%;">a. Number of respondents</td> <td style="text-align: right;">95</td> </tr> <tr> <td>b. Total annual responses</td> <td style="text-align: right;">425</td> </tr> <tr> <td> Percentage of these responses collected electronically</td> <td style="text-align: right;">100%</td> </tr> <tr> <td>c. Total annual hours requested</td> <td style="text-align: right;">5,050</td> </tr> <tr> <td>d. Current OMB inventory</td> <td style="text-align: right;">0</td> </tr> <tr> <td>e. Difference (+,-)</td> <td style="text-align: right;">5,050</td> </tr> <tr> <td>f. Explanation of difference:</td> <td></td> </tr> <tr> <td> 1. Program change:</td> <td style="text-align: right;">5,050</td> </tr> <tr> <td> 2. Adjustment:</td> <td></td> </tr> </table>	a. Number of respondents	95	b. Total annual responses	425	Percentage of these responses collected electronically	100%	c. Total annual hours requested	5,050	d. Current OMB inventory	0	e. Difference (+,-)	5,050	f. Explanation of difference:		1. Program change:	5,050	2. Adjustment:		<p>14. Annual reporting and recordkeeping cost burden: (in thousands of dollars) Do not include costs based on the hours in item 13.</p> <p>a. Total annualized capital/startup costs</p> <p>b. Total annual costs (O&M)</p> <p>c. Total annualized cost requested \$0.00</p> <p>d. Current OMB inventory</p> <p>e. Difference</p> <p>f. Explanation of difference:</p> <p> 1. Program change:</p> <p> 2. Adjustment:</p>
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<p>15. Purpose of Information collection: (mark primary with "P" and all others that apply with "X")</p> <p>a. <input checked="" type="checkbox"/> Application for benefits e. <input checked="" type="checkbox"/> Program planning or management</p> <p>b. <input checked="" type="checkbox"/> Program evaluation f. Research</p> <p>c. General purpose statistics g. Regulatory or compliance</p> <p>d. Audit</p>	<p>16. Frequency of recordkeeping or reporting: (check all that apply)</p> <p>a. <input checked="" type="checkbox"/> Recordkeeping b. <input type="checkbox"/> Third party disclosure</p> <p>c. <input checked="" type="checkbox"/> Reporting:</p> <table style="width: 100%; border: none;"> <tr> <td>1. <input checked="" type="checkbox"/> On occasion</td> <td>2. <input type="checkbox"/> Weekly</td> <td>3. <input type="checkbox"/> Monthly</td> </tr> <tr> <td>4. <input checked="" type="checkbox"/> Quarterly</td> <td>5. <input type="checkbox"/> Semi-annually</td> <td>6. <input type="checkbox"/> Annually</td> </tr> <tr> <td>7. <input type="checkbox"/> Biennially</td> <td colspan="2">8. <input type="checkbox"/> Other (describe)</td> </tr> </table>	1. <input checked="" type="checkbox"/> On occasion	2. <input type="checkbox"/> Weekly	3. <input type="checkbox"/> Monthly	4. <input checked="" type="checkbox"/> Quarterly	5. <input type="checkbox"/> Semi-annually	6. <input type="checkbox"/> Annually	7. <input type="checkbox"/> Biennially	8. <input type="checkbox"/> Other (describe)										
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<p>17. Statistical methods: Does this information collection employ statistical methods? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p>	<p>18. Agency contact: (person who can best answer questions regarding the content of this submission) Name: Kenneth Rogers Phone: 202/402-4396</p>																		

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

Notice of Funding Availability (NOFA) for Technical Assistance and Capacity Building under the Transformation Initiative (OneCPD TA)

A. Justification

1. Circumstances that make the collection of information necessary.

This request is for clearance of the Narratives 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 (OneCPD TA) 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.

OneCPD TA requires each awardee to submit monthly status reports related to invoicing that enables HUD to understand the work conducted, the cost of the work, results of the work and any barriers or issues with completing the work on time. The format for this information is not yet standardized. The monthly status reports also form the basis for the required quarterly reporting on the following items:

- (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).

Additionally, awardees are required to update the experience and expertise of their organizations and subcontractors at least annually to ensure HUD is using accurate information when identifying the strongest and most appropriate awardees for TA delivery. This requirement replaces the earlier requirement to provide this information at the time of application and then as requested by HUD.

2. How the information is used

The information is used to determine the most qualified technical assistance providers best able to offer HUD the ability to shape their CPD resources and other available resources into effective, coordinated, neighborhood and community development strategies to revitalize and physically, socially and economically strengthen communities nationwide. Completed Narratives 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 information is also used to support payment requests from awardees, assess progress in achieving objectives, and to determine the capacity, skills, and expertise of TA providers as well as to monitor their compliance and success post-award.

HUD collects required post-award information through the Disaster Recovery Grant Reporting System (DRGR) and the TA Portal. HUD Headquarters will use the information collected through DRGR and the TA Portal to generate the quarterly reports and program management reports to provide data on the status of each awardees commitment and disbursement of funds, status of each TA work, achievements compared to proposed objectives, etc.

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. 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 use of DRGR and the TA Portal eases the collection of work plan and task level information, expenditure data and achievements. DRGR eliminates the need for respondents to submit paper quarterly reports.

4. Efforts to identify duplication.

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

5. Burden to small business or small entities.

The information collection does not have significant economic impact on a substantial number of small entities.

6. Consequences if information is collected less frequently.

If the application information is not collected, the Department cannot evaluate the potential providers’ abilities to efficiently and effectively provide technical assistance to CPD grantees. If post-award information is not collected, the Department cannot evaluate the providers’ activities to determine the adequacy of their efforts and justify payments. 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.

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 November XX, 2011 (Vol. XX, No. XX, pp. XXXX-XX) 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 60-day period for public comments.

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	35	1	35	80	2,800
POST-AWARD					
Grantee's Written Agreements, Final Report/award closeout	15	2	30	5	150
DRGR Activation, Skills/Expertise update	15	2	30	8	240
Reporting (Invoice, Status	15	12	180	2	360

Work Plans, engagement closing	15	10	150	16	1,500
TOTAL PAPERWORK BURDEN	95	27	425	111	5,050

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 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 **\$112,200**.

	No. of staff	No. of Hours per staff	Annual Frequency	Total Annual Hrs	Cost per Hr	Total Annual Cost
Application retrieval and Dissemination	4	30	1	120	\$35	\$4,200
Application Review	30	32	1	960	\$35	\$33,600
Report Review	20	2	12	480	\$35	\$16,800
Recordkeeping	20	8	12	1,920	\$35	\$57,600
TOTAL						\$112,200

15. Explanation of Program Changes / Adjustments

Data included in this submission is based on the Department’s experience as a result of applications and awards for FY2010, FY2011 and FY2012. This collection replaces a previously approved collection that was discontinued.

16. Publication of Results

The information submitted is not published. Notice of the competition winners are published in the Federal Register three-four 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.