**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.

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| --- | --- | --- | --- |
| 1. Agency/Subagency Originating Request:  **U.S. Department of Housing and Urban Development**  Office of Public and Indian Housing | | 2. OMB Control Number:  a. **2577-0191** | b. None |
| 3. Type of information collection: (check one)   1. New Collection 2. Revision of a currently approved collection 3. Extension of a currently approved collection 4. Reinstatement, **without change**, of previously approved   collection for which approval has expired   1. Reinstatement, **with change**, of previously approved collection   for which approval has expired   1. 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)   1. Regular 2. Emergency - Approval requested by 3. 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:

**Information Collection for the Indian Community Development Block Grant (ICDBG) Program for Indian tribes and Alaska Native Villages**

8. Agency form number(s): (if applicable)

HUD-4123, HUD-4125

9. Keywords:

Housing, Indian Community Development, ICDBG, Tribes, Economic Development, Alaska, Community Development Block Grants, Grant Programs – Housing and Community Development, Grant Programs – Indians, Reporting and Recordkeeping Requirements

10. Abstract:

Title I of the Housing and Community Development Act of 1974 allows for applications of funding for the development of decent housing, suitable living environment and economic opportunities for low and moderate-income persons. The Indian Community Development Block Grant (ICDBG) program for Indian tribes and Alaska Native villages requires applicants to submit information to enable HUD to select the best projects for funding during annual competitions. Eligible applicants are invited to submit grant applications through a Notice of Funding Availability which is posted on www.grants.gov. Required information is submitted through Application for Federal Assistance (SF-424), Applicant/Recipient Disclosure/Update Report (HUD-2880), Acknowledgment of Application Receipt (HUD-2993), and Cost Summary (HUD-4123), Implementation Schedule (HUD-4125). ICDBG recipients are also required to submit periodic information through the Federal Financial Report (SF-425) and the Contract and Subcontract Activity Report (HUD-2516).

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| 11. Affected public: (mark primary with “P” and all others that apply with “X”)  a. Individuals or households e. Farms  b. **X** Business or other for-profit f. Federal Government  c. **X** Not-for-profit institutions g. **P** 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 240  b. Total annual responses 840  Percentage of these responses collected electronically 99%  c. Total annual hours requested 7,900  d. Current OMB inventory 10,095  e. Difference (+,-) -2,195  f. Explanation of difference:  1. Program change: 0.00  2. Adjustment: -2,195 | | 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 0.00  b. Total annual costs (O&M) 0.00  c. Total annualized cost requested 151,923.08  d. Current OMB inventory 163,602.00  e. Difference 0.00  f. Explanation of difference:  1. Program change: 0.00  2. Adjustment: -11,678.92 |
| 15. Purpose of Information collection: (mark primary with “P” and all others that apply with “X”)  a. **X** Application for benefits e. **X** Program planning or management  b. **X** Program evaluation f. Research  c. General purpose statistics g. **P** Regulatory or compliance  d. Audit | | 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. Biannually 8. Other (describe) |
| 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: Glenda Green  Phone: (202) 402-6967 | |

**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:

1. It is necessary for the proper performance of agency functions;
2. It avoids unnecessary duplication;
3. It reduces burden on small entities;
4. It uses plain, coherent, and unambiguous terminology that is understandable to respondents;
5. Its implementation will be consistent and compatible with current reporting and recordkeeping practices;
6. It indicates the retention periods for recordkeeping requirements;
7. It informs respondents of the information called for under 5 CFR §1320.8(b)(3):
8. Why the information is being collected;
9. Use of the information;
10. Burden estimate;
11. Nature of response (voluntary, required for a benefit, or mandatory);
12. Nature and extent of confidentiality; and
13. Need to display currently valid OMB control number;
14. It was developed by an office that has planned and allocated resources for the efficient and effective management and use of the information to be collected (see note in item 19 of the instructions);
15. It uses effective and efficient statistical survey methodology; and
16. 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: |

**Supporting Statement for Paperwork Reduction Act Submissions**

1. **Justification**
2. 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.

Title I of the Housing and Community Development Act of 1974 (P.L. 93-383) authorizes Indian Community Development Block Grants (ICDBG) and requires that grants be awarded on a competitive basis. The purpose of the ICDBG program is to develop viable Indian and Alaska Native communities by creating decent housing, suitable living environments, and economic opportunities primarily for low and moderate income persons. Consistent with this objective, not less than 70 percent of the expenditures are to benefit low and moderate income persons. Eligible applicants include Federally-recognized tribes, which includes Alaska Native communities, and tribally authorized tribal organizations. Eligible categories of funding include housing rehabilitation, land acquisition to support new housing, homeownership assistance, public facilities and improvements, economic development, and microenterprise programs. For a complete description of eligible activities, please refer to 24 CFR § 1003, subpart C. In FY 2014 for the first time, applicants can apply for two categories of ICDBG funds.

The ICDBG program regulations are at 24 CFR Part 1003. The ICDBG program requires eligible applicants to submit information to enable HUD to select the best projects for funding during annual competitions. Additionally, the information submitted is essential for HUD in monitoring grants to ensure that grantees are complying with applicable statutes and regulations and implementing activities as approved.

ICDBG applicants must submit a complete application package which includes an Application for Federal Assistance (SF-424), Applicant/Recipient Disclosure/Update Report (HUD-2880), Implementation Schedule (HUD-4125), and Cost Summary (HUD-4123). If the applicant has a waiver of the electronic submission requirement and is submitting a paper application, an Acknowledgement of Application Receipt (HUD-2993) must also be submitted. If the applicant is a tribal organization, a resolution from the tribe stating that the tribal organization is submitting an application on behalf of the tribe must also be included in the application package.

ICDBG recipients are required to submit a quarterly Federal Financial Report (SF-425) that describes the use of grant funds drawn from the recipient’s line of credit. The reports are used to monitor cash transfers to the recipients and obtain expenditure data from the recipients. (24 CFR § 1003.501(16)

The government-wide administrative requirements for grants and cooperative agreements to state, local, and federally recognized Indian tribal governments codified by HUD at 24 CFR Part 85 require that grantees and sub-grantees “take all necessary affirmative steps to assure that minority firms, women's business enterprises, and labor surplus area firms are used when possible” (24 CFR § 85.36(e)). Consistent with these regulations, 24 CFR § 1003.506(b) requires that ICDBG grantees report on these activities on an annual basis, with Contract and Subcontract Activity reports being due to HUD on October 10 of each year (HUD-2516).

The regulations at 24 CFR § 1003.506 instruct recipients to submit to HUD an Annual Status and Evaluation Report (ASER) that describes the progress made in completing approved activities with a listing of work to be completed; a breakdown of funds expended; and when the project is completed, a program evaluation expressing the effectiveness of the project in meeting community development needs. The ASER is due by November 15 each year and at grant closeout.

Copies of the Housing and Community Development Act of 1974, as amended, the FY 2014 Notice of Funding Availability (NOFA) and the ICDBG regulations are attached to this submission.

1. 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.

ICDBG applicants are required to submit information to demonstrate compliance with eligibility and other program requirements. HUD uses collected information to determine whether applications meet minimum screening eligibility requirements and application submission requirements. Applicants provide general information about the proposed project to enable HUD to evaluate the applicant’s response to the criteria for rating the application and for grantee selection.

The information collected allows HUD to audit program performance accurately. The quality of reported data is critical for maintaining HUD’s databases for program evaluation, Congressional reporting, and monitoring a recipient’s performance compliance.

1. 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.

HUD has implemented Public Law 106-107 to streamline grants, and as of fiscal year 2005, has required all grant applications to be submitted electronically through the Grants.gov system. All ICDBG applications are submitted through the Grants.gov website, unless HUD grants a waiver of this requirement.

HUD encourages appropriate cost effective methods with regard to the information collection requirements, but does not prescribe particular technological collection techniques. Tribes are given maximum feasible deference in designing information collection systems that allow the enhanced administration and monitoring of ICDBG funds and program compliance with applicable statutes and regulations.

There are currently no information collection technologies uniformly available which would further reduce the reporting burden on all affected entities. The information collection requirements have been reduced to the minimum necessary to meet the requirements as indicated by the attached statute, regulations, and NOFA.

1. Describe efforts to identify duplication. Show specifically why any similar information already available cannot be used or modified for use for the purpose described in Item 2 above.

There is no duplication of information collected. There are no other sources of information that are being submitted to HUD that duplicate the information required from IDBG grantees. The periodic reporting and closeout package information is not a duplication of project information and there are no other sources of information.

1. 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 collection of information does not impact small businesses or other small entities. Some tribal governments may meet the definition of a “small entity”, however; this information collection will not have a significant impact on these entities. HUD has minimized the burden on all applicants and recipients by allowing them to determine the complexity of the program contained in the application and grant.

1. 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.

The information is collected at the time of the grant application and during the grant period is required to identify the applicant, describe the project, and determine compliance with requirements. If no records are collected, it will not be possible for HUD to assess program performance and compliance. According to 42 U.S.C. 5313 (b) and 24 CFR § 1003.505 of HUD’s implementing regulations, each ICDBG grant recipient must establish and maintain records that are adequate to allow the Secretary to determine whether or not the program is being carried out according to the applicable laws.

1. 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 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 that would cause the information collection to be conducted in a special manner (as listed in the instructions to the supporting statement). HUD program regulations address the maintenance and retention of the appropriate files. The grantee must retain its ICDBG records for three years upon submission of the final expenditure documentation.

1. 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 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.

A notice was published in the Federal Register, volume 79; No. 211, page 64826, dated October 31, 2014. No comments were received.

1. Explain any decision to provide any payment or gift to respondents, other than reenumeration of contractors or grantees.

There are no provisions to provide any payments or gifts to respondents, other than remuneration of contractors or grantees.

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

There is no assurance of confidentiality. This information is available under the Freedom of Information Act. In addition, the information collected under this request does not include information on individuals.

1. 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.

There are no questions of a sensitive nature included in the information to be collected.

1. 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.

There are approximately 579 Native entities throughout the country, which includes tribes, pueblos, Alaska native regional corporations, and Alaska Native villages. The Native entities may designate a tribal organization to submit an application and administer an ICDBG award on its behalf.

Based upon prior competition experience for the ICDBG program, HUD anticipates receiving 240 applications annually. The average application preparation time is 30 hours per application for a total of 7,200 burden hours. HUD estimates that it will make approximately 100 awards annually. Post grant award, the reports that the estimated 100 grant recipients must submit and the time it takes to complete the reports are summarized below.

* Federal Financial Reports (SF-425) are submitted quarterly and at grant close out. The Federal Financial Report has a preparation time of 30 minutes.
* Contract and Subcontract Activity Report (HUD-2516) reports are submitted by October 10 each year and preparation of this report takes approximately one hour.
* Annual Status and Evaluation Report is a narrative report that is submitted by November 15 of each year and it takes approximately four hours to prepare.

**Estimated Number of Respondents, Responses, and Burden Hours Per Annum**

**ICDBG: Categories I and II**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| *Type of Submission* | *Number of Respondents* | *Frequency of Submissions* | *Total Responses* | *Estimate Average Time (Hours)* | *Estimate Annual Burden (Hours)* |
| Grant Application (Includes SF-424, HUD-2880, HUD-2993, HUD-4123, HUD-4125) | 240 | 1 | 240 | 30 | 7,200 |
| Federal Financial Report (SF-425) | 100 | 4 | 400 | .5 | 200 |
| Contract and Subcontract Activity Report (HUD-2516) | 100 | 1 | 100 | 1 | 100 |
| Annual Status and Evaluation Report (ASER) | 100 | 1 | 100 | 4 | 400 |
| TOTAL |  |  | 840 |  | 7,900 |

**Estimates of Annualized Cost to Respondents**

|  |  |  |  |
| --- | --- | --- | --- |
| *Type of Submission* | *Total Annual Burden Hours* | *Hourly Rate\** | *Total Annual Cost* |
| Grant Application (Includes SF-424, HUD-2880, HUD-2993, HUD-4123, HUD-4125) | 7,200 | $19.23 | $138,461.54 |
| Federal Financial Report (SF-425) | 200 | $19.23 | $3,846.15 |
| Minority Business Enterprise Report (HUD-2516) | 100 | $19.23 | $1,923.08 |
| Annual Status and Evaluation Report (ASER) | 400 | $19.23 | $7,692.31 |
| TOTAL | 7,900 |  | $151,923.08 |

\*The hourly cost is based on an average annual salary of $40,000.

1. 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 October1, 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.

There are no additional costs other than what is reported above.

1. 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 expresses (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, ad 14 in a single table.

The review of application information will not constitute an additional staff burden. This is a routine servicing and technical assistance function already being performed.

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

In Item 13, it was necessary to adjust the estimated burden hours downward by 2,195 hours due to incorrect estimates in the FY 2011 ICDBG PRA submission.

In Item 14, the estimated costs to respondents were increased based on the assumption that the average annual salary increased from $37,440 to $40,000.

1. For collections of information whose results are planned to 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.

The information collected is not for statistical use nor does its collection use statistical methods, however, the information is provided to Congress, upon request.

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

The OMB number and expiration date of the information collection will be displayed on the forms.

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

There are no exceptions to the certification identified in Item 19 of the OMB 83-I.

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| Internal HUD Distribution: | | | | | | | | |
| PNH : Reading File | | | PNPG Reading File | | | PNPG ICDBG | | |
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| Correspondence  Code | Originator  PNPE | Concurrence  PNPG | | Concurrence  PNPG | Concurrence  PND | | PN | P |
| Name | STITT/MADORE | YOUMANS | | GREEN | WRIGHT | | BOYD | KONG |
| Initials |  |  | |  |  | | . |  |
| Date |  |  | |  |  | |  |  |
| Correspondence  Code | P |  | |  |  | |  |  |
| Name | BRYON |  | |  |  | |  |  |
| Initials |  |  | |  |  | |  |  |
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