

OMB Supporting Statement:
**Annual Reporting for the Congestion Mitigation and Air Quality Improvement
(CMAQ) Program, OMB# 2125-0614**

Introduction: The purpose of this document is to request OMB’s three-year extension for a currently approved information collection titled, “Annual Reporting for the Congestion Mitigation and Air Quality Improvement (CMAQ) Program,” covered by OMB Control No. 2125-0614.

Part A. Justification

1. Circumstances that make collection of information necessary:

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.

Provide background reasons for the Information Collection (IC), including any legal requirements and most pertinent cites that will be included as attachments. It is required that each information collection support at least one of the DOT Strategic Goals (name one or more of the applicable DOT strategic goals – Safety, Mobility, Economic Growth, Human and Natural Environment, national Security, and Organizational Excellence) Please explain briefly in a few sentences how this collection supports the goal.

Legislation establishing the CMAQ program at 23 USC 149 provides that eligible transportation projects must be located in air quality nonattainment or maintenance areas and must contribute to the attainment or maintenance of national ambient air quality standards. In addition, these contributions must be measured by the projected emissions reduction of criteria pollutants for each candidate CMAQ project. Information regarding these eligibility factors must be clearly established by State and local sponsors of projects prior to approval by the FHWA division office.

The information described above will support the research and development of a study—required by Congress—that delves into the performance of the CMAQ program. Section 1113 of the Moving Ahead for Progress in the 21st Century Act (MAP-21) calls for an Evaluation and Assessment of CMAQ projects. The statute calls for the identification and analysis of a representative sample of CMAQ projects and the establishment and maintenance of an automated database that describes the impacts of the program both on traffic congestion levels and regional air quality. Given the CMAQ program’s direct focus on mobile source emissions reduction and traffic congestion mitigation, this collection effort is tied to DOT Strategic Goals in Mobility and the Natural Environment.

2. How, by whom, and for what purpose is the information used: **INDICATE HOW, BY WHOM, AND FOR WHAT PURPOSE IS 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.**

This answer should be the bulk of the supporting statement. Be sure to address all three parts (how, by whom, and purpose).

The information will be supplied by the State DOTs and other contributing elements of local government. It will be furnished via an automated system provided by the Federal Highway Administration, specifically developed to streamline the reporting process for the CMAQ program and reduce the reporting burden associated with hard-copy paper reports. In conjunction with EPA, FHWA staff will use the project data provided by the States to generate the Evaluation and Assessment mandated by Congress in Section 1113 of MAP-21.

3. Extent of automated information collection:

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.

Include automated, electronic, mechanical and any other technological techniques that are being used to collect information. Specifically describe the use of technology to reduce burdens. Provide an estimated percentage of electronic data submissions. Be sure to include the weblink to electronic data collection mechanism. Please describe alternative means of collecting data.

State DOTs will gather the information required for the annual reports and enter it via FHWA's automated system. The system is menu-driven and follows a step-by-step progression that allows the entry of individual project information and the subsequent summation of program level data by State program. The information provided by States is approved by both FHWA Division Offices and FHWA Headquarters prior to final acceptance into the database. The electronic reporting system is available to all 50 States and the District of Columbia.

4. Efforts to identify duplication:

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.

Explain the availability of any similar information and why it cannot be used or modified. Include the OMB control number of the data collected by another agency.

No similar information is available for the CMAQ program.

5. Efforts to minimize the burden on small businesses:

IF THE COLLECTION OF INFORMATION IMPACTS SMALL BUSINESSES OR OTHER SMALL ENTITIES, DESCRIBE ANY METHODS USED TO MINIMIZE BURDEN.

No burden is expected on small business.

6. Impact of less frequent collection of information:

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.

Describe consequences or program impacts, as well as any technical or legal reasons.

Annual collection appears to be the minimal timeframe to accomplish the statutory goals of Section 1113 of MAP-21. Without adequate population of the database, there would be no basis for the Evaluation and Assessment program called for in the statute.

7. Special circumstances:

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.

If one or more of the following applies, please explain in complete detail.

There are no special circumstances.

8. Compliance with 5 CFR 1320.8:

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 THOSE 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 PERIODS. THERE MAY BE CIRCUMSTANCES THAT MAY PRECLUDE CONSULTATION IN A SPECIFIC SITUATION. THESE CIRCUMSTANCES SHOULD BE EXPLAINED.

Include the publication date, volume number, and page number of the Federal Register notice that solicited public comments for a 60-day period. Include an electronic copy of this notice as an attachment. Summarize and address your office's position on the comments received. Describe any additional efforts to consult with outside persons on any aspect of the information collection. Attached a copy of the summary in ROCIS.

Include the publication date and page number of the Federal Register notice that solicited public comments for a 60-day period. Include a copy of this notice as an attachment. Summarize and address FHWA's position on comments. Describe any additional efforts to consult with outside persons on any aspect of the information collection.

Published in the Federal Register on October 8, 2014 volume 79, Number 195. No comments were submitted.

9. Payments or gifts to respondents:

EXPLAIN ANY DECISION TO PROVIDE ANY PAYMENT OR GIFT TO RESPONDENTS, OTHER THAN REMUNERATION OF CONTRACTORS OR GRANTEES.

Do not include remuneration to contractors or grantees.

No payments or gifts will be given to respondents.

10. Assurance of confidentiality:

DESCRIBE ANY ASSURANCE OF CONFIDENTIALITY PROVIDED TO RESPONDENTS AND THE BASIS FOR THE ASSURANCE IN STATUTE, REGULATION, OR AGENCY POLICY.

Include any basis for assurance in statute, regulation or agency policy.

FHWA will not assuring confidentiality.

11. Justification for collection of sensitive information:

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.

Example: sexual behavior and attitudes, religious beliefs, and other matters commonly considered private.

Sensitive information is not a part of this collection.

12. Estimate of burden hours for information requested:

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 FOR APPROVAL COVERS MORE THAN ONE FORM, PROVIDE SEPARATE HOUR BURDEN ESTIMATES FOR EACH FORM AND AGGREGATE THE HOUR BURDENS.

- 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 14.

Provide a burden summary table that includes the number of respondents, frequency of responses, estimated individual burdens and the calculation for total estimated burden hours. Provide separate estimates for each form. Provide estimates of annualized cost to respondents for the hourly burdens, based on wage rate categories.

Each State and the District of Columbia will provide a response for a total of 51 entries.

Responses are estimated to require approximately 125 hours each, resulting in a gross annual burden of approximately 6375 hours. The annual labor burden associated with this collection is \$320,535.

13. Estimate of total annual costs to respondents:

PROVIDE AN ESTIMATE OF THE TOTAL ANNUAL COST BURDEN TO RESPONDENTS OR RECORDKEEPERS RESULTING FROM THE COLLECTION OF INFORMATION.

-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. 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 COSTS 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.

[None beyond the hour burden reflected accounted in Item 12.](#)

14. Estimate of cost to the Federal government:

PROVIDE ESTIMATES OF ANNUALIZED COST TO THE FEDERAL GOVERNMENT. ALSO, PROVIDE A DESCRIPTION OF THE METHOD USED TO ESTIMATE COSTS, 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.

[Our current estimate of the cost to FHWA for annual data collection and maintenance of the database is \\$125,000, based on a partial utilization rate applied to two full-time equivalents and contractor support for operation and maintenance. \(See attachment\)](#)

15. Explanation of program changes or adjustments:

EXPLAIN THE REASONS FOR ANY PROGRAM CHANGES OR ADJUSTMENTS REPORTED IN QUESTIONS 12 OR 13.

Indicate whether any changes in current burdens (hours and/or costs) are because of a program change or an adjustment.

[This is a renewal of a discontinued request.](#)

16. Publication of results of data collection:

FOR COLLECTIONS 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.

If these results will be published, outline the plans, timetables and publication dates.

Results of the collection will not be published, however it is made available to other government agencies and the public through the CMAQ Public Access System. This is a read only, searchable repository of all CMAQ project information from 1992 to the present, with a one year lag. It is accessible through both the USDOT, FHWA, Air Quality website and most major internet search engines.

17. Approval for not displaying the expiration date of OMB approval:
IF SEEKING APPROVAL TO NOT DISPLAY THE EXPIRATION DATE FOR OMB APPROVAL OF THE INFORMATION COLLECTION, EXPLAIN THE REASONS THAT DISPLAY WOULD BE INAPPROPRIATE.

Explain any reasons that display of OMB's expiration date would be inappropriate.

Not applicable, FHWA is not seeking approval to not display the expiration date..

18. Exceptions to certification statement:
EXPLAIN EACH EXCEPTION TO THE CERTIFICATION STATEMENT "CERTIFICATION FOR PAPERWORK REDUCTION ACT SUBMISSIONS."

Explain only if any circumstance would require OST not to apply certification to this collection, if unclear seek guidance from your information clearance officer.

Not applicable.