

Supporting Statement
Accounting System and Financial Capability Questionnaire, NA Form 17003
OMB Control No. 3095-0072

- 1. Circumstances Making the Collection of Information Necessary.** Pursuant to the Title 2, Section 215 of the Code of Federal Regulations, Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations (formerly Office of Management and Budget (OMB) Circular A-110) and Office of Management and Budget Circular A-133, Audits of States, Local Governments, and Non-Profit Organizations, grant recipients are required to maintain adequate accounting controls and systems in managing and administering Federal funds. Some of the recipients of grants from the National Historical Publications and Records Commission (NHPRC) have proven to have limited experience with managing Federal funds. This questionnaire is designed to identify those potential recipients and provide appropriate training or additional safeguards for Federal funds. Additionally, the questionnaire serves as a pre-audit function in identifying potential deficiencies and minimizing the risk of fraud, waste, abuse, or mismanagement, which we use in lieu of a more costly and time consuming formal pre-award audit.

In February 2015, NARA submitted a Change Worksheet for the actual form, revising Federal Audit data numbers, allowing URL for respondents for a couple of data fields, and updating Time and Effort Reporting data fields

- 2. Purpose and Use of the Information.** NARA's Office of the Inspector General conducted an audit of the NHPRC and recommended the addition of this questionnaire as a method to improve its financial monitoring of grantees. This questionnaire will assist in determining those applicants requiring special attention in matters relating to the accountability of Federal funds. This is a one-time questionnaire and assists the NHPRC in pre-screening applicants to avoid high-risk situations and protect Federal funds.
- 3. Use of Information Technology and Burden Reduction.** Once members of the Commission recommend an application for funding, the questionnaire can be emailed or faxed to NHPRC staff.
- 4. Efforts to Identify Duplication and Use of Similar Information.** There is no duplication.
- 5. Impact on Small Business or Other Small Entities.** The information does not impact small businesses and other entities.
- 6. Consequences of Collecting the Information Less Frequently.** Once the form is approved, the information will be collected once from each successful grant applicant to the NHPRC. If the information was not collected, the government could risk funding applicants with inadequate accounting and financial management systems.

7. **Special Circumstances Relating to the Guidelines of 5 CFR 1320.5.** The collection will be conducted in a manner consistent with the guidelines in 5 CFR 1320.
8. **Comments in Response to the Federal Register Notice and Efforts to Consult outside Agency.** NARA provided the public an opportunity to comment on the information collection in a Federal Register published on March 19, 2012 (77 FR 16076). No comments were received.
9. **Explanation of Any Payment or Gift to Respondents. No gifts or payments are made to respondents** for completing this questionnaire.
10. **Assurance of Confidentiality Provided to Respondents.** The collection of information, which would require privacy or confidentiality, is not planned.
11. **Justification for Sensitive Questions.** There are no questions of a sensitive nature contained in the questionnaire.
12. **Estimate of Hour Burden Including Annualized Hourly Costs.** Estimated burden hours: 100 respondents per year, @4 hours per respondent for a total annual burden of 400 hours. These respondents are requested to submit the questionnaire only once when the Commission has recommended a grant to an organization but before it is approved by the Archivist of the United States, who chairs the NHPRC. One hundred respondents based upon a cost of 4 hours staff time @ \$20.00 per hour totals \$8,000. This estimate is based upon respondents providing information on the questionnaire from already established accounting records.
13. **Estimate of Other Total Annual Cost Burden to Respondents or Recordkeepers.** There is no annual cost to respondents apart from that enumerated in Item 12.
14. **Annualized Cost to the Federal Government.** Estimated annualized cost to the Federal government is \$2,000, based on one hour of review time at \$20.00 per hour.
15. **Explanation for Program Changes or Adjustments.** This is a new information collection.
16. **Plans for Tabulation and Publication and Project Time Schedule.** The information collected from the questionnaire will not be published.
17. **Reason(s) Display of OMB Expiration Date is Inappropriate.** The expiration date for OMB approval of this information collection will be displayed on the questionnaire.
18. **Exceptions to Certification for Paperwork Reduction Act Submissions.** There are no exceptions to the certification statement identified in Item 19 of OMB Form 83-I “Certification for Paperwork Reduction Submissions.”