

# **2021 Supporting Statement for new form to replace some of the forms approved under OMB 0596-0217**

## Federal and Non-Federal Financial Assistance Instruments

### **A. Justification**

- 1. 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.**

The Forest Service new form included in this request is necessary to the Agency's Non-Federal Financial Assistance program. Authorities and Statutes with description related to this collection can be found under the supplementary documents.

To streamline the G&A process when developing ezFedGrants (eFG), the eFG development team created a single face sheet form for all Forest Service grants and agreements. The goal was to eliminate approximately 40 current forms the policy office maintains and would have required contractor maintenance in eFG. Further, this would have streamlined the process for Program Managers. When the decision to not use the eFG system was made at the beginning of FY2020, the policy office put the new form on hold. While implementing the new 638 Tribal agreement process, we decided to test this new form. We are currently using this new form as a test agreement with less than 10 638 Tribal participants. With this success, the decision was made to further use the form for our partnership agreements and obtain approvals so we can expand the 638 Tribal program. We believe this new form will create significant efficiencies for our partners, program managers, grants specialists, and in the Policy Office. The new form will create a more consistent agreement process where the Forest Service agreements will be more in line with other USDA agencies. The design and process for the new form was modeled after NRCS, APHIS, and ARS agreement forms and procedures.

**Federal Financial Assistance (FFA) Collection:** To carry out specific Forest Service activities, Congress created several authorities to assist the Agency in its mission. These authorities allow the Forest Service to utilize Federal Financial Assistance (FFA) awards (i.e., grants and cooperative agreements) to support agency specific activities and appropriations. Included in this collection are forms related to the Award Letter, Certification Letters, FFA related Standard Forms (SF), and information related to Pre-Award and Post-Award activities, which include but not limited to, the project description, project scope, financial plan, statement of work, and cooperator business information.

Regulations related to Forest Service FFA awards are as follows: Regulations related to Forest Service FFA awards are the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Award, found at 2 CFR 200, as well as the terms and conditions of the Federal award. A list of Legal Authorities can be found in the appendix at the end of this document.

**Non-Federal Financial Assistance:** Paperwork Reduction Act, 44 USC 3512(a)(1), as implemented at 5 CFR 1320.6(a)(1), states that agency-specific agreement

**2021 Supporting Statement for OMB 0596-0217**  
**Federal and Non-Federal Financial Assistance Instruments**

forms must be approved by OMB and display the OMB control number to be binding on our partners. In order to create, develop, and administer agreements that do not fall under the Federal Grants and Cooperative Agreements Act (FGCAA) and properly administer them, whether funded or non-funded, the Forest Service requires the collection of information from the cooperating parties from the pre-award to the close-out stage. The scope of the information collection includes but is not limited to: the project type, project scope, financial plan, statement of work, and cooperator business information. Included in this collection are updates to instrument provisions to improve the Agency's Non-Federal financial assistance program and comply with recent acts of Congress and Executive Orders. The list of instruments associated with this request, the information collected, and from whom the information is collected can be found in *Appendix A: Forms, Information Collected, and Respondent*. The improved instruments gather the same information that is currently being collected and do not increase the burden to cooperators. A list of Forest Service's authorities exempt from FGCAA and/or Chapter 63 of Title 31 can be found in the attached supplemental documents.

**2. 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.**

In this request, Forest Service seeks approval for the continued use of information collections and new information collections related to grant and agreement administrative procedures which are required for approval by OMB under the Paperwork Reduction Act of 1995 and OMB's implementing regulations in 5 CFR 1320 Controlling Paperwork Burdens on the Public.

To perform specific Forest Service activities, Congress created several authorities to assist the Agency in carrying out its mission. The Forest Service issues partnership agreements under specific authorities exempt from the Federal Grants and Cooperative Agreements Act (FGCAA). This collection is for a new form that will be used to enter into the following agreement types by the Forest Service:

- Participating Agreements (replaces FS-1500-16 and 16A through 16G),
- Cost-Reimbursable Agreement (replaces FS-1500-12),
- Joint Venture Agreement (replaces FS-1500-14 and 14A)
- Cooperative Research and Development Agreements (replaces FS1500-13 through 13B).
- Challenge Cost-Share Agreement (replaces FS-1500-10 and 10A through 10C)

In addition to Federal Financial Assistance (FFA), Congress created specific authorizations for acts outside the scope of the FGCAA. Appropriations language was developed to convey authority for the Forest Service to enter into relationships that are outside the scope of the FGCAA. The Forest Service implements these authorizations using instruments such as collection

## **2021 Supporting Statement for OMB 0596-0217**

### **Federal and Non-Federal Financial Assistance Instruments**

agreements, FGCAA exempted agreements, memorandums of understanding, and other agreements which mutually benefit participating parties. These instruments fall outside the scope of the Federal Acquisition Regulations (FAR) and often require financial plans and statements of work. Forest Service employees collect information from cooperating parties from the pre-award to the closeout stage via telephone calls, e-mails, postal mail, and person-to-person meetings to create, develop, and administer these funded and non-funded agreements. The multiple means for respondents to communicate their responses include forms, non-forms, electronic documents, face-to-face, telephone, and Internet. The scope of information collected varies; however, it typically includes the project type, project scope, financial plan, statement of work, and cooperator's business information.

The Forest Service would not be able to create, develop, and administer these funded and non-funded agreements without the collected information. The Agency would also be unable to develop or monitor projects, make or receive payments, or identify financial and accounting errors.

**a. What information will be collected reported or recorded? (If there are pieces of information that are especially burdensome in the collection, a specific explanation should be provided.)**

The Information collected from cooperators includes:

- Contact information;
- Employer ID Numbers (EINs), Taxpayer Identification Numbers (TIN), Data Universal Numbering System (DUNS), & System of Award Management (SAM) registration verification;
- Project description or statement of work, such as activities to be performed, expected outcomes, monitoring activities, or work products;
- Financial plans (such as contribution types and amounts, Electronic Fund Transfer (EFT) and billing information, list of contractors/sub recipients);
- Performance and Financial Reports; and
- Other related administrative information.

**b. From whom will the information be collected? If there are different respondent categories (e.g., loan applicant versus a bank versus an appraiser), each should be described along with the type of collection activity that applies.**

Statutory authority authorizing the agreement program outlines, which type of organization, may participate in the agreement program. Organizations include and information is collection from non-profits and for-profit organizations; institutions of higher education; Federal, state, local, and Native American Tribal governments; individuals; foreign governments and organizations.

**c. What will this information be used for, provide ALL uses?**

The information will be used to develop, implement, and administer Forest Service's Non-Federal Financial Assistance program awards. Additionally, the attached Appendix A further clarifies Forest Service's Catalog of Federal Domestic Assistance (CFDA) numbers, program titles, and authorizing legislation for all instruments with outgoing funding.

## **2021 Supporting Statement for OMB 0596-0217**

### Federal and Non-Federal Financial Assistance Instruments

- d. How will the information be collected (e.g., forms, non-forms, electronically, face-to-face, over the telephone, over the Internet)? Does the respondent have multiple options for providing the information? If so, what are they?**

Respondents have multiple options for responding, including forms, non-forms, or optional templates. The partner or recipient may provide the information electronically, face-to-face, over the telephone, and over the internet. Typically, the information will be collected via telephone calls, e-mails, postal mail, and person-to-person meetings. Electronic responses are encouraged.

The following are the list of Forms or Templates that are administered under this collection which include administration forms, Federal-financial assistance award letters, and agreement templates:

#### **REPORTING REQUIREMENTS AND ADMINISTRATION FORMS**

**Performance Reports:** Cooperators may use their own format of their choosing or may use the Cooperator Performance Report (Optional Template), FS-1500-23. For grants and cooperative agreements, grantees may be required to submit a project performance report on a monthly, quarterly, semiannual, or annual basis. The report will compare actual accomplishments to objectives, provide explanations if objectives are not obtained, and outline ways to correct problem situations. It may also outline objectives and timetables for the next reporting period.

**Final Project Performance:** The final project development report must be submitted within 90 days after project completion and include a detailed project funding and expense summary, and a summary of the project's installation/construction process, including recommendations for development of similar projects by future applicants to the program.

#### **Modification Form and Supporting Documents**

FS-1500-19: Modification Form

*Description:* Instrument used when the Forest Service and Cooperator mutually agree to modify terms and conditions of an existing agreement between the two parties. For grants and cooperative agreements, the grantee must obtain prior Forest Service approval for any change to the costs, contractor, or vendor of the approved project. Failure to obtain prior approval of any such change could result in disallowance of costs, suspension, termination, and recovery of grant funds. Requests for changes must be submitted in writing to the Agency.

*Information Collected:* Information related to changes in project description/statement of work, such as activities to be performed, expected outcomes/work products; adding/de-obligating funds; changes to terms and conditions of the award/agreement; other related administrative information such as updates to the financial plans.

*Options for providing the information:* Respondents have multiple options for responding including forms, non-forms, electronically, face-to-face, over the telephone, and over the Internet. However, both the Cooperator and the Forest Service must sign the FS-1500-19, Modification Form in hardcopy, binding the parties to the bilaterally agreed to modification to the agreement or award.

**2021 Supporting Statement for OMB 0596-0217**  
Federal and Non-Federal Financial Assistance Instruments

**FEDERAL FINANCIAL ASSISTANCE COLLECTION:**

**AWARD LETTERS, CERTIFICATIONS, AND STANDARD FORMS (SF)**

*Note:* The four award letters and the supplement to the Forest Legacy Programs (see Supplementary Documents in ROCIS.gov) are completed by Forest Service personnel internally and there is no burden on the public.

**Cooperative Agreement Award Letter**

*Description:* The letter outlines the dollar amount award, the CFDA number, as well as the conditions of the award.

*Information Collected:* Agreement must be signed in hardcopy by all parties involved.

**Domestic Grant Award Letter**

*Description:* The letter outlines the dollar amount award, the CFDA number, as well as the conditions of the award.

*Information Collected:* Agreement must be signed in hardcopy by all parties involved.

**International Cooperative Agreement Award Letter**

*Description:* The letter outlines the dollar amount award, the CFDA number, as well as the conditions of the award.

*Information Collected:* Agreement must be signed in hardcopy by all parties involved.

**International Grant Award Letter**

*Description:* The letter outlines the dollar amount award, the CFDA number, as well as the conditions of the award.

*Information Collected:* Agreement must be signed in hardcopy by all parties involved.

**CERTIFICATION AND ASSURANCE FORMS**

FS-1500-35: Certification Regarding Lobbying (Required for all awards over \$100K)

**STANDARD FORMS (SF) FORMS AND ASSOCIATED FORMS INCLUDED UNDER OTHER ICRS NUMBERS**

**Common Forms:**

SF-424: Application for Federal Assistance (Mandatory)

SF-424: Application for Federal Assistance (Individual)

SF-424 RR: Application for Federal Assistance – Research & Related (R&R)

**Burden accounted for under other information collections:**

SF-LLL: Disclosure of Lobbying Activities (OMB 4040-0013)

SF-LLLa: Disclosure of Lobbying Activities Continuation Sheet (OMB 4040-0013)

SF-270: Request for Advance or Reimbursement (OMB 4040-0012)

SF-271: Outlay Report and Request for Reimbursement for Construction Programs (OMB 4040-0011)

## **2021 Supporting Statement for OMB 0596-0217**

### **Federal and Non-Federal Financial Assistance Instruments**

SF-424A: Budget Information - Non-Construction Programs (OMB 4040-0006)

SF-424B: Assurances - Non-Construction Programs (OMB 4040-0007)

SF-424C: Budget Information - Construction Programs (OMB 4040-0008)

SF-424D: Assurances - Construction Program (OMB 4040-0009)

SF-425: Federal Financial Report (OMB 4040-0014)

SF-428: Tangible Personal Property (OMB 4040-0018)

SF-428-A: Annual Report

SF-428-B: Final Report Form and Instructions

SF-428-C: Disposition Request/Report

SF-428-S: Supplemental Form and Instructions

SF-429: Real Property Status Report (OMB 4040-0016)

SF-25A: Payment Bond (OMB 9000-0045)

### **FINANCIAL MANAGEMENT SYSTEM REVIEW QUESTIONNAIRE AND CHECKLIST:**

FS-1500-22: Financial Capability Questionnaire

FS-1500-22A: Financial Capability Checklist - State Government

FS-1500-22B: Financial Capability Checklist

*Description:* Instruments are used to outline the requirements necessary to accept and spend federal funds and to collect administrative and financial information and documentation required by the Forest Service to assess a partner's financial capabilities to manage Federal funds. Forest Service will utilize these checklists to assist and to monitor recipients of federal financial assistance by outlining both the financial and the internal policies necessary to accept and spend federal dollars.

*Information Collected:* Financial Capability Questionnaire collects and documents the cooperator's responses regarding elements of their financial capabilities, accounting system, and integral policy to assess whether their organization has the internal systems and policies that are consistent with the minimum requirements outlined in the administrative regulation to properly spend federal funds. The Questionnaire will be distributed to a defined population of cooperators to self-certify that their systems meet the minimum requirements outlined by associated 2 CFR 200, OMB circular and uniform administration requirements.

The Financial Capability Checklist will be provided to every cooperator during the pre-award process to clearly define the proper controls that must be in place for a cooperator to properly discharge the public trust, which accompanies the authority to expend public funds. As the list outlines the requirements of OMB's regulations, there is no time burden associated with this checklist, as the cooperator is responsible for assessing that their systems and policies are consistent with OMB's regulations. Furthermore, the checklist provides valuable information to the cooperator. The organization receiving the checklist is requested to designate an individual from the entity to sign on behalf of the entity that they received the checklist, to record the designated

## **2021 Supporting Statement for OMB 0596-0217** Federal and Non-Federal Financial Assistance Instruments

person's position title within the entity, and cite date of their signature.

*Similar OMB approved forms:* The following are approved OMB forms related to the proposed new forms:

- a) OMB No. 1121-0021: U.S. Department of Justice's Office of Justice Programs' *Accounting System And Financial Capability Questionnaire*;
- b) OMB No. 2030-0020: Environmental Protection Agency's *Administrative Capability Questionnaire*; and
- c) OMB No. 3095-0072: National Archives and Records Administration's *Accounting System and Financial Capability Questionnaire*.

*Authority to Conduct Reviews:* Federal agencies have general authority to conduct business management system reviews which these forms and checklist attempt to formalize. OMB A-102 §.20(c) states that, "an award agency may review the adequacy of the financial management system of any applicant for financial assistance as part of a pre-award review or at any time subsequent to award." Furthermore, 2 CFR 215.53(e) and A-102 §.42(e)(1) stipulate that the awarding agency, its Inspector General, the Comptroller General of the United States, or any of their duly authorized representatives have a right to the timely and unrestricted access of recipients' books and records to audit and examine them.

### **GRANT EQUIPMENT JUSTIFICATION AND CERTIFICATION STATEMENT**

FS-1500-34: Grant Equipment Justification and Certification Statement

*Description:* This form will be completed by a cooperator and approved by the Forest Service prior to purchase of equipment with Federal assistance funds.

*Information Collected:* The cooperator provides information regarding contemplated purchase of equipment with Federal funds. The form requires information about the specific piece of equipment, and a justification for purchase over lease or rental. The cooperator signs the form, and the Forest Service will concur with signature if appropriate.

*Options for providing the information:* Respondents have multiple options for responding including forms, non-forms, electronically, face-to-face, over the telephone, and over the Internet. Typically, the information may be collected in e-mail, postal mail, or signature on the form. Electronic responses are encouraged.

### **NON-FEDERAL FINANCIAL ASSISTANCE: OTHER AGREEMENT TEMPLATES**

#### **FIRE AGREEMENTS**

FS-1500-7: Cooperative Fire Agreements

*Description:* Instrument used when the Forest Service and a Cooperator share an interest in working collaboratively on fire protection.

*Information Collected:* 1) Contact information; 2) Employer ID Numbers (EINs), Taxpayer Identification Numbers (TIN), Data Universal Numbering System (DUNS), & System of Award Management (SAM); 3) Project description or statement of work, such as activities to be performed, expected outcomes, or work products; 4) Financial plans (such as contribution types and amounts, EFT and billing information, list of contractors/sub recipients); and 5) Other related administrative information.

## **2021 Supporting Statement for OMB 0596-0217**

### Federal and Non-Federal Financial Assistance Instruments

*Options for providing the information:* Respondents have multiple options for responding including forms, non-forms, electronically, face-to-face, over the telephone, and over the Internet. Typically, the information will be collected via telephone calls, e-mails, postal mail, and person-to-person meetings. Electronic responses are encouraged. Agreement must be signed by the Cooperator's designated signing official.

*Statutory Authority:* 1) Reciprocal Fire Protection Act of 1955, P.L. 84-46 as amended.

#### **LAW ENFORCEMENT AGREEMENTS**

FS-1500-8: Cooperative Law Enforcement Agreement

*Description:* Instrument used when the Forest Service and a law enforcement entity share an interest in working collaboratively on law enforcement activities.

FS-1500-8A: Cooperative Law Enforcement Annual Operating Plan and Financial Plan

*Description:* Instrument provide stand-alone document to FS-1500-8 for annual operating and financial plans.

*Information Collected:* 1) Contact information; 2) Employer ID Numbers (EINs), Taxpayer Identification Numbers (TIN), Data Universal Numbering System (DUNS), & System of Award Management (SAM); 3) Project description or statement of work, such as activities to be performed, expected outcomes, or work products; 4) Financial plans (such as contribution types and amounts, EFT and billing information, list of contractors/sub recipients); and 5) Other related administrative information.

*Options for providing the information:* Respondents have multiple options for responding including forms, non-forms, electronically, face-to-face, over the telephone, and over the Internet. Typically, the information will be collected via telephone calls, e-mails, postal mail, and person-to-person meetings. Electronic responses are encouraged. Agreements must be signed by the Cooperator's designated signing official.

*Statutory Authority:* Cooperative Law Enforcement Act of 1971, P.L. 92-82).

#### **ROAD AGREEMENTS**

FS-1500-9: Cooperative Forest Road Agreement

*Description:* Instrument used when the Forest Service and a local state entity share an interest in working collaboratively on roads.

FS-1500-9A: Road Project Agreement

*Description:* Instrument acts as a supplemental, funded agreement for FS-1500-9.

*Information Collected:* 1) Contact information; 2) Employer ID Numbers (EINs), Taxpayer Identification Numbers (TIN), Data Universal Numbering System (DUNS), & System of Award Management (SAM); 3) Project description or statement of work, such as activities to be performed, expected outcomes, or work products; 4) Financial plans (such as contribution types and amounts, EFT and billing information, list of contractors/sub recipients); and 5) Other related



## **2021 Supporting Statement for OMB 0596-0217** Federal and Non-Federal Financial Assistance Instruments

administrative information.

*Options for providing the information:* Respondents have multiple options for responding including forms, non-forms, electronically, face-to-face, over the telephone, and over the Internet. Typically, the information will be collected via telephone calls, e-mails, postal mail, and person-to-person meetings. Electronic responses are encouraged. Agreement must be signed by the Cooperator's designated signing official.

*Statutory Authority:* 1) 16 U.S.C. 532-538, 23 U.S.C. 205, and 2) Secure Rural Schools (SRS) and Community Self-Determination Act, P.L. 106-393 (when obligating SRS funds).

### **GRANT OR AGREEMENT AWARD FACE SHEET**

FS-1500-100: Used for Challenge Cost-Share Agreement, Joint Venture Agreements, Cost Reimbursable Agreements, Participating Agreements, Cooperative Research and Development Agreements.

*Description:* Used when Forest Service and Cooperator share mutual interests and benefit in the same qualitative way from the objective of the agreement.

*Information Collected:* 1) Contact information; 2) Employer ID Numbers (EINs), Taxpayer Identification Numbers (TIN), Data Universal Numbering System (DUNS), & System of Award Management (SAM); 3) Project description or statement of work, such as activities to be performed, expected outcomes, or work products; 4) Financial plans (such as contribution types and amounts, EFT and billing information, list of contractors/sub recipients); and 5) Other related administrative information.

*Options for providing the information:* Respondents have multiple options for responding including forms, non-forms, electronically, face-to-face, over the telephone, and over the Internet. Typically, the information will be collected via telephone calls, e-mails, postal mail, and person-to-person meetings. Electronic responses are encouraged. Agreements must be signed by the Cooperator's designated signing official.

*Statutory Authority:* Interior and Related Agencies Appropriations Act of 1992, Pub.L. 102-154 and, Secure Rural Schools (SRS) and Community Self-Determination Act, P.L. 106-393, (when obligating SRS funds), the National Agricultural Research, Extension, and Teaching Act of 1977. 7 USC 3318, 3319, Cooperative Funds and Deposits Act of 1978, Public Law 94-148 as amended. 16 USC 565a-1; Watershed Restoration and Enhancement Act of 1998 (Wyden), Public Law 105-277 as amended, 16 USC 1011a; Secure Rural Schools and Community Self-Determination Act, Public Law 106-393 §601 (a) as amended. 16 USC 500. If sub projects may collect funds: Cooperative Funds Act of June 30, 1914 (16 U.S.C. 498) as amended by P.L. 104-127; and Granger- Thye Act of 1950, Public Law 81-478, as amended. 16 USC 572, Federal Technology Transfer Act of 1986. 15 USC 3710.

### **COLLECTION AGREEMENTS**

FS-1500-11: Collection Agreement

*Description:* Instrument used to accept money, equipment, property, or

## **2021 Supporting Statement for OMB 0596-0217**

### **Federal and Non-Federal Financial Assistance Instruments**

products from a non-Federal party to carry out a purpose authorized by law.

FS-1500-11A: Reimbursable Collection Agreement, Rocky Mountain Elk Foundation

*Description:* Instrument provides unique, project specific reimbursable payment requirements for the Rocky Mountain Elk Foundation.

FS-1500-11B: Advance Collection Agreement, Rocky Mountain Elk Foundation

*Description:* Instrument provides unique, project specific advance payment requirements for the Rocky Mountain Elk Foundation.

*Information Collected:* 1) Contact information; 2) Employer ID Numbers (EINs), Taxpayer Identification Numbers (TIN), Data Universal Numbering System (DUNS), & System of Award Management (SAM); 3) Project description or statement of work, such as activities to be performed, expected outcomes, or work products; 4) Financial plans (such as contribution types and amounts, EFT and billing information, list of contractors/sub recipients); and 5) Other related administrative information.

*Options for providing the information:* Respondents have multiple options for responding including forms, non-forms, electronically, face-to-face, over the telephone, and over the Internet. Typically, the information will be collected via telephone calls, e-mails, postal mail, and person-to-person meetings. Electronic responses are encouraged. Agreements must be signed by the Cooperator's designated signing official.

*Statutory Authority:*

FS-1500-11: 1) Cooperative Funds Act of June 30, 1914 (16 U.S.C. 498) as amended  
by P.L. 104-127.; 2) Granger- Thye Act of 1950, Public Law 81-478, as amended.  
16 USC 572; 3) Forest and Rangeland Renewable Resources Research Act of 1978  
and 4) Intergovernmental Cooperation Act of 1968, Public Law 90-577. 31 USC 6505

FS-1500-11A & B: 1) Cooperative Funds Act of June 30, 1914. 16 U.S.C. 498.  
FS-1500-11C; 2) Granger- Thye Act of 1950, Public Law 81-478, as amended.

### **MEMORANDUM OF UNDERSTANDING**

FS-1500-15: Memorandum of Understanding

*Description:* Instrument used for a written plan between the Forest Service and other parties for carrying out their separate activities in a coordinated and mutually beneficial manner and for documenting a framework for cooperation.

FS-1500-15A: Memorandum of Understanding for Cooperative Frequency Usage

*Description:* Instrument that establishes a mutual agreement between parties regarding the use of radio frequencies.

*Information Collected:* 1) Contact information; 2) Employer ID Numbers (EINs),

## **2021 Supporting Statement for OMB 0596-0217**

### Federal and Non-Federal Financial Assistance Instruments

Taxpayer Identification Numbers (TIN), Data Universal Numbering System (DUNS), & System of Award Management (SAM); and 3) Other related administrative information.

*Options for providing the information:* Respondents have multiple options for responding including forms, non-forms, electronically, face-to-face, over the telephone, and over the Internet. Typically, the information will be collected via telephone calls, e-mails, postal mail, and person-to-person meetings. Electronic responses are encouraged. Agreements must be signed by the Cooperator's designated signing official.

*Statutory Authority:* None.

#### **STEWARDSHIP AGREEMENTS**

FS 1500-21: Master Stewardship Agreement

*Description:* Instrument that establishes a mutual agreement between parties regarding a stewardship agreement.

FS-1500-21A: Stewardship Agreement Supplemental Project Agreement

*Description:* Instrument that acts as a supplemental, funded agreement to a Master Stewardship Agreement.

FS-1500-21B: Stewardship Agreement Financial Plan

*Description:* Instrument that documents the financial component of a Stewardship Agreement Supplemental Project Agreement.

FS-1500-21C: Stewardship Agreement

*Description:* Instrument that provides unique, project specific requirements for a stewardship agreement.

FS-1500-21D: Stewardship Agreement Non-Timber

*Description:* Instrument that provides unique, project specific requirements for a stewardship agreement

*Information Collected:* 1) Contact information; 2) Employer ID Numbers (EINs), Taxpayer Identification Numbers (TIN), Data Universal Numbering System (DUNS), & System of Award Management (SAM); 3) Project description or statement of work, such as activities to be performed, expected outcomes, or work products; 4) Financial plans (such as contribution types and amounts, EFT and billing information, list of contractors/sub recipients); and 5) Other related administrative information.

*Options for providing the information:* Respondents have multiple options for responding including forms, non-forms, electronically, face-to-face, over the telephone, and over the Internet. Typically, the information will be collected via telephone calls, e-mails, postal mail, and person-to-person meetings. Electronic responses are encouraged. Agreements must be signed by the Cooperator's designated signing official.

*Statutory Authority:* Stewardship End Result Contracting, Public Law 108-148 §604. 16 USC 6591c.

#### **GOOD NEIGHBOR AGREEMENTS**

FS 1500-36: Good Neighbor Agreement

*Description:* Instrument that provides unique, project specific requirements

## **2021 Supporting Statement for OMB 0596-0217**

### Federal and Non-Federal Financial Assistance Instruments

for a stewardship agreement.

FS-1500-36A: Master Good Neighbor Agreement

*Description:* Instrument that establishes a mutual agreement between parties regarding a good neighbor agreement.

FS-1500-36B: Supplemental Good Neighbor Agreement

*Description:* Instrument that acts as a supplemental, funded agreement to a Master Good Neighbor Agreement.

FS 1500-37: Good Neighbor Agreement

*Description:* Instrument that provides unique, project specific requirements for a stewardship agreement.

*Information Collected:* Information is collected *ONLY* from a State Agency. 1) Contact information; 2) Employer ID Numbers (EINs), Taxpayer Identification Numbers (TIN), Data Universal Numbering System (DUNS), & System of Award Management (SAM); 3) Project description or statement of work, such as activities to be performed, expected outcomes, or work products; 4) Financial plans (such as contribution types and amounts, EFT and billing information, list of contractors/sub recipients); and 5) Other related administrative information.

*Options for providing the information:* Respondents have multiple options for responding including forms, non-forms, electronically, face-to-face, over the telephone, and over the Internet. Typically, the information will be collected via telephone calls, e-mails, postal mail, and person-to-person meetings. Electronic responses are encouraged. Agreements must be signed by the Cooperator's designated signing official.

*Statutory Authority:* Good Neighbor 16 USC 2113A (permanent authority); Consolidated Appropriations Act P.L. 113-76, SEC 417.

#### **FINANCIAL PLANS (OPTIONAL FORMAT)**

FS-1500-17A: Agreements Financial Plan (Long)

*Description:* Used by the Forest Service, for the benefit of both parties, to express the financial terms and conditions of the proposed partnership agreement or modification.

FS-1500-17B: Agreements Financial Plan (Short)

*Description:* Used by the Forest Service, for the benefit of both parties, to express the financial terms and conditions of the proposed partnership agreement or modification.

FS-1500-17C: Agreements Financial Plan (Medium Form)

*Description:* Development of a medium version of FS-1500-17a and FS-1500-17b.

FS-1500-18: Collection Agreement Financial Plan

*Description:* Used by the Forest Service, for the benefit of both parties, to express the financial terms and conditions of the proposed collection agreement or modification.

*Information Collected:* Collects cost estimates associated with the activities

**2021 Supporting Statement for OMB 0596-0217**  
**Federal and Non-Federal Financial Assistance Instruments**

outline in the agreement and/or associated statement of work.

*Options for providing the information:* Respondents have multiple options for responding including forms, non-forms, electronically, face-to-face, over the telephone, and over the Internet. Typically, the information will be collected via telephone calls, e-mails, postal mail, and person-to-person meetings. Electronic responses are encouraged.

*Statutory Authority:* None.

**INTERAGENCY AGREEMENT DOCUMENT**

FS-1500-6: Interagency Agreement Narrative

*Description:* This is an Interagency Agreement document (i.e. federal agency to federal agency agreements) which causes no burden on the public. This document is attached, when necessary, to Treasury's 7600A/B.

Supplemental Provisions to 7600A

*Description:* This is an Interagency Agreement document (i.e. federal agency to federal agency agreements) which causes no burden on the public. This document is attached, when necessary, to Treasury's 7600A/B.

**e. How frequently will the information be collected?**

Cooperators voluntarily enter into these agreements. Any party may initiate conversations to enter into these agreements at any time. The performance period for these agreements can range from 1 day to 5 years. Once an agreement is established, the frequency will typically be once per year based on the number of years for performance. In the case of financial and performance reporting information collections, the frequency may be quarterly. Subsequent modifications, which can be initiated by either party, may increase the frequency based on the number of modification entered into.

**f. Will the information be shared with any other organizations inside or outside USDA or the government?**

The information will not be shared with other organizations outside USDA or other Agencies except as required under Freedom of Information Act and the Federal Accountability and Transparency Act or as agreed to jointly by the Cooperator and the Forest Service, in writing.

**g. If this is an ongoing collection, how have the collection requirements changed over time?**

This is an ongoing collection. Many of the authorities authorizing the agreements have been made permanent by Congress which allows for minimal changes to requirements. However, collection requirements can change based on external agency requirements, such as external requirements based on Office of Management and Budget and Treasury Department direction and internal audits recommendation to improve process and procedures.

**3. 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.**

**2021 Supporting Statement for OMB 0596-0217**  
**Federal and Non-Federal Financial Assistance Instruments**

Respondents to the Forest Service's request for information collection may respond to information collection requests by either: handwritten or manually typed documentation submitted via any mail delivery service; electronic documentation submitted via internet, including emails; by electronic submission via fax; by voice over telephonic device, such as a telephone or voice over internet provider, or in person discussions with the Forest Service; or any other commonly used means of communication available to both parties. Forms may be located at a National office, region, research and development station, laboratory, Area, unit, or Job Corps website.

The decision to use a specific means of collection is based on the availability of technology and informal agreement of both parties; as agreed upon in any signed agreement by both parties; and/or as specifically provided by written, procedural rules made publicly available by the Forest Service unit to the Respondent. Use of modern information technology to reduce burden is encouraged by both parties, whenever possible. The new form is scheduled to be automatically created within our G&A system using information collected from other systems such as SAM and FMFI systems.

**4. 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.**

Forest Service has carefully reviewed the collection for duplication. The collection includes master agreements templates, which permits the overarching agreement to be established between a partner and the Forest Service. Under this agreement, units from both parties may execute Supplemental Project Agreements (SPAs) which decreases duplication of information and increases consistency of project implementation.

As the information collected is unique for specific projects and for specific agreements, the information collected is not available from any other source. FS has identified duplication in the post award meetings, whereby in response to USDA Office of the Inspector General recommendations, recipients are required to attend a post award meeting for each award that they receive, regardless if the cooperator has already attended a similar meeting.

The new form FS 1500-100 is in the first stages of replacing most of the FS form templates. This first stage replaces our partnership templates forms: FS-1500-10, 10A-10C; FS-1500-12; FS-1500-13, 13A and 13B; FS1500-14 and 14A; FS-1500-16, 16A - 16E. By using a single form FS-1500-100 the agency hopes to eliminate duplicate collection when G&A Specialists must change forms when the wrong instrument type is completed by a partner/FS Program Manager. As the Agency tests the above forms being replaced, the goal in the upcoming years will be to use the FS-1500-100 as the single form for all our Grants and Agreements.

**5. If the collection of information impacts small businesses or other small entities, describe any methods used to minimize burden.**

The Forest Service minimizes the burden to all cooperators by materially assisting in the drafting of the agreements, after both informal and formal discussions. Additionally, other than the duplication of post award meetings described above, the Forest Service does not request the same information twice, unless a problem arises related to any previous request. Furthermore, the Forest Service only seeks information required to carry out the basic administrative functions and to

**2021 Supporting Statement for OMB 0596-0217**  
**Federal and Non-Federal Financial Assistance Instruments**

establish the scope of the project(s) related to the agreements.

The Forest Service provides a number of customer service products available to assist the cooperator, such as: a comprehensive website, which provides regulatory and policy information, forms, procedural information, etc.; points of contact with the agency, including the name, address, email, and telephone number for the agreements specialist, the program manager, and other relevant project contacts; and, a toll free telephone number to the agency's budget and finance center in Albuquerque, NM for finance related issues. The majority of our small business partners typically work with the Forest Service under contracts and procurement instruments and not under grants or agreements.

The new FS 1500-100 form will lessen the burden further on small businesses by utilizing data already collected from the SAM database. The burden for filling out the form will fall to the Federal Grants Specialist leaving the partner to work only on the scope of work and financial plan with the FS program manager. The form requires the partner to review, recommend changes, and then sign the final agreement cover sheet.

**6. 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.**

Without the ability to collect the information requested by a respondent, the Forest Service would not be able to conduct any of the activities falling under the authorities and instruments listed above. The agency would not be able to develop projects, make or receive payment, monitor projects, identify financial and accounting errors, etc. There are no technical or legal obstacles to reducing burden.

**7. 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;**  
Respondents are asked to report more often than quarterly when substantive changes occur to their information, timely provide information as agreed to by both parties in an agreement, and mutually agree with the agency to enter into a modification to the original agreement.
- **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;**

Financial records, supporting documents, statistical records, and all other records pertinent to an award or agreement shall be retained for a period of three years from the date of submission of the final expenditure report or, for awards that are renewed quarterly or annually, from the date of the submission of the quarterly or annual financial report, as authorized by the Federal awarding agency. The only exceptions are the following.

## **2021 Supporting Statement for OMB 0596-0217**

### Federal and Non-Federal Financial Assistance Instruments

1. If any litigation, claim, or audit is started before the expiration of the 3-year period, the records shall be retained until all litigation, claims or audit findings involving the records have been resolved and final action taken.
  2. Records for real property and equipment acquired with Federal funds shall be retained for 3 years after final disposition.
  3. When records are transferred to or maintained by the Federal awarding agency, the 3-year retention requirement is not applicable to the recipient.
  4. Indirect cost rate proposals, cost allocations plans, etc. as specified.
- **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.**

There are no other special circumstances. The collection of information is conducted in a manner consistent with the guidelines in 5 CFR 1320.6.

- 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 these comments. Specifically address comments received on cost and hour burden.**

The Federal Register 60-day Notice for the renewal of this information collection was published on September 14, 2020, Vol. 85, No. 178, 194 pages 56575-56576. The Forest Service did not receive any comments.

**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 record keeping, 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.**



**2021 Supporting Statement for OMB 0596-0217**  
Federal and Non-Federal Financial Assistance Instruments

Name: Jeri Lou Zimmerman  
Title: Senior Grants and Contracts Administrator  
Office/Work Address: Office of Sponsored Programs Administration, University of Missouri-Columbia, 115 Business Loop 70 West, Mizzou North, Room 501  
Phone Number (office and mobile): 573/882-9587 (office); 573/338-2006 (mobile)  
Office/Work Email address: [zimmermanje@missouri.edu](mailto:zimmermanje@missouri.edu)

Name: Benjamin Kalan  
Title: Assistant Manager  
Office/Work Address: 666 K St, NW STE 1250 Washington, DC 20006  
Phone Number (office and mobile): 609-651-9080  
Office/Work Email address: [bkalan@jeffersonconsulting.com](mailto:bkalan@jeffersonconsulting.com)

Name: Jody Olson  
Title: Senior Director, Federal Affairs  
Office/Work Address: 1133 15<sup>th</sup> St, NW, Suite 1000, Washington, DC 20005  
Phone Number (office and mobile): (o) 202-595-2481; (c) 703-338-3489  
Office/Work Email address: [Jody.Olson@nfwf.org](mailto:Jody.Olson@nfwf.org)

**Other Commination:** Forest Service maintains close contact with recipients and partners throughout the execution of the award or agreement. Both program personal and Grants and Agreement specialists place emphasis on fulfilling of project objectives and that the cooperator understands and follows the appropriate guidelines and regulations. Furthermore recipients and partners are encouraged to work with the Forest Service in pre-award, during the award, and at close-out to ensure the project is performed successfully. This communication leads to new policies and procedures which improves communication and decreases the burden on the cooperator.

**9. Explain any decision to provide any payment or gift to respondents, other than re-enumeration of contractors or grantees.**

No financial incentive, payment or gift, will be used to garner responses.

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

*Confidentiality Provisions:* Forest Inventory and Assessment & Cooperative R&D Agreements Instruments used for Forest Inventory and Assessment contain a confidentiality provision in the agreements, as permitted under the Food Security Act of 1985 (7 U.S.C. 3318, and 3319, Pub. L. 99-198). In Cooperative Research and Development agreements, a confidentiality provision exists, as permitted by the Federal Technology Transfer Act of 1986 (15 U.S.C. 3710a, Pub. L. 96-480).

All other assurances of confidentiality, found in agency related agreement provisions, are standardized and based on the Freedom of Information Act (5 U.S.C. § 552, as amended by Public Law No. 104-231, 110 Stat. 3048) and

**2021 Supporting Statement for OMB 0596-0217**  
**Federal and Non-Federal Financial Assistance Instruments**

FSM 1580, et. al.

- 11. Provide additional justification for any questions of a sensitive nature, such as sexual behavior or 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, such as those pertaining to sexual behavior, attitudes, religious beliefs, or other matters commonly considered private.

- 12. Provide estimates of the hour burden of the collection of information. Indicate the number of respondents, frequency of response, annual hour burden, and an explanation of how the burden was estimated.**

- **Indicate the number of respondents, frequency of response, annual hour burden, and an explanation of how the burden was estimated. If this request for approval covers more than one form, provide separate hour burden estimates for each form.**

- a) **Description of the collection activity**
- b) **Corresponding form number (if applicable)**
- c) **Number of respondents**
- d) **Number of responses annually per respondent,**
- e) **Total annual responses (columns c x d)**
- f) **Estimated hours per response**
- g) **Total annual burden hours (columns e x f) estimates for each form.**

Table 1: Estimated Reporting

<b>BURDEN ESTIMATE</b>	<b>NUMBER OF RESPONDENTS</b>	<b>RESPONSES PER RESPONDENT</b>	<b>TOTAL NUMBER OF RESPONSES</b>	<b>AVERAGE HOURS PER RESPONSE *</b>	<b>TOTAL ANNUAL BURDEN HOURS</b>
<b>Private Sector:</b> Creating/developing, maintaining/processing, reviewing, and closing-out physical/electronic file(s), including all related administrative actions associated with the project(s).	2,836	1	2,836	8.68	24,616
<b>Government:</b> Creating/developing, maintaining/processing, reviewing, and closing-out physical/electronic file(s), including all related administrative	2,004	1	2,004	8.68	17,395

**2021 Supporting Statement for OMB 0596-0217**  
**Federal and Non-Federal Financial Assistance Instruments**

actions associated with the project(s)					
<b>Individuals:</b> Creating/developing, maintaining/processing, reviewing, and closing-out physical/electronic file(s), including all related administrative actions associated with the project(s)	50	1	50	8.68	434
<b>Totals:</b>	4,890	---	4,890	--	42,445

\*Includes development of statement of work, project narrative, certification documents, reviewing grant or agreement, and other documents necessary to accept and spend Federal funds. Please see attached Appendix A, Burden Estimate and Form Descriptions for the estimate of public burden.

- Record keeping burden should be addressed separately and should include columns for:
  - a) Description of record keeping activity:
  - b) Number of record keepers:
  - c) Annual hours per record keeper:
  - d) Total annual record keeping hours (columns b x c):

Table 2: Estimated Recording Keeping Activity

DESCRIPTION OF RECORD KEEPING ACTIVITY	NUMBER OF RECORD KEEPERS	NUMBER OF RESPONSES PER RECORD KEEPER	TOTAL NUMBER OF RESPONSES	ANNUAL HOURS PER RECORD KEEPER	TOTAL ANNUAL RECORD KEEPING HOURS
<b>Private Sector:</b> Creating/developing, maintaining/processing, reviewing, and closing-out physical/electronic file(s), including all related administrative actions associated with the project(s).	2,836	1	2,836	1.00	2,836
<b>Government:</b> Creating/developing, maintaining/processing, reviewing, and closing-out physical/electronic file(s), including all related administrative actions associated with the project(s)	2,004	1	2,004	1.00	2,004
<b>Individuals:</b> Creating/developing, maintaining/processing, reviewing, and closing-out physical/electronic file(s), including all related administrative actions associated with the	50	1	50	1.00	50

**2021 Supporting Statement for OMB 0596-0217**  
**Federal and Non-Federal Financial Assistance Instruments**

project(s)					
<b>Totals:</b>	4,890	---	4,890	--	4,890

- **Provide estimates of annualized cost to respondents for the hour burdens for collections of information, identifying and using appropriate wage rate categories.**

Table 3: Estimated Annualized Cost to Respondents

DESCRIPTION OF ACTIVITY	ESTIMATED TOTAL RESPONSES	ESTIMATED TOTAL ANNUAL BURDEN ON RESPONDENTS (HRS)	ESTIMATED AVERAGE INCOME PER HOUR*	ESTIMATED COST TO RESPONDENTS
<b>Private Sector:</b> Creating/developing, maintaining/processing, reviewing, and closing-out physical/electronic file(s), including all related administrative actions associated with the project(s).	2,836	24,603	\$40.53	\$997,159**
<b>Government:</b> Creating/developing, maintaining/processing, reviewing, and closing-out physical/electronic file(s), including all related administrative actions associated with the project(s)	2,004	17,392	\$40.53	\$704,898**
<b>Individuals:</b> Creating/developing, maintaining/processing, reviewing, and closing-out physical/electronic file(s), including all related administrative actions associated with the project(s)	50	424	\$40.53	\$17,185**
<b>Totals:</b>	4,890	42,419	---	\$1,719,242

\* Department of Labor, *Occupational Employment, and Wages, May 2016* (Business Operations Specialist, mean hourly wage- \$40.53). Reference Link: <https://www.bls.gov/oes/current/oes131198.htm>.

\*\* Note that the estimated costs to the recipient are typically allowable cost to the grant or agreement authorized by the applicable cost principle and charged either as an indirect or a direct cost.

- 13. Provide estimates 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 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. There is no capital startup or operational maintenance costs associated with this**

**2021 Supporting Statement for OMB 0596-0217**  
**Federal and Non-Federal Financial Assistance Instruments**

collection.

**14. Provide estimates of annualized cost to the Federal government. Provide a description of the method used to estimate cost and any other expense that would not have been incurred without this collection of information.**

**The response to this question covers the actual costs the agency will incur as a result of implementing the information collection. The estimate should cover the entire life cycle of the collection and include costs, if applicable, for:**

- **Employee labor and materials for developing, printing, storing forms**
- **Employee labor and materials for developing computer systems, screens, or reports to support the collection**
- **Employee travel costs**
- **Cost of contractor services or other reimbursements to individuals or organizations assisting in the collection of information**
- **Employee labor and materials for collecting the information**
- **Employee labor and materials for analyzing, evaluating, summarizing, and/or reporting on the collected information**

Table - 4: Estimates of Annualized Cost to the Federal Government (2021 table)

<b>Cost Category</b>	<b>Estimated Costs</b>	<b>Methodology</b>
Employee labor and materials for developing, printing, storing forms	\$5,285	50 people x \$34.86/hr <sup>2</sup> x 3 hrs work/person x \$5,229 Sub total 1.07% <sup>3</sup> indirect rate= \$5,285
Employee labor and materials for collecting the information	\$354,092	6,700 program managers/grants & agreements specialists (avg. of one person/instrument) x \$34.86/hr <sup>2</sup> x 1.5 hrs/instrument = \$350,343 Sub total x 1.07% <sup>3</sup> burden rate= \$354,092 Total
Employee labor and materials for analyzing, evaluating, summarizing, and/or reporting on the collected information	\$590,153	6,700 program managers/grants & agreements specialists (avg. of one person/instrument) x \$34.86/hr <sup>2</sup> x 2.5 hours/instrument = \$583,905 Subtotal. x 1.07% <sup>3</sup> burden rate= \$590,153 Total
<b>Totals:</b>	<b>\$793,292.1</b>	

**2021 Supporting Statement for OMB 0596-0217**  
**Federal and Non-Federal Financial Assistance Instruments**

	<b>1</b>	
--	----------	--

<sup>1</sup> This amount covers the entire life cycle; however, these costs are the initial start up costs. Other cumulative costs and materials are included in the agency burden rate (2009) of 7% associated with routine employee labor costs.

<sup>2</sup> GS-11, Step 1, average position, based on OPM 2021 GS Pay Scale of \$34.86/per hour ([https://www.opm.gov/policy-data-oversight/pay-leave/salaries-wages/salary-tables/pdf/2021/DCB\\_h.pdf](https://www.opm.gov/policy-data-oversight/pay-leave/salaries-wages/salary-tables/pdf/2021/DCB_h.pdf)).

<sup>3</sup> Forest Service national burden rate of 7% (2013).

<sup>4</sup> The computer system already existed for Federal Financial Assistance. Additional costs and materials are included in the agency burden rate (2013) of 7% associated with routine employee labor costs.

<sup>5</sup> Based on 6700 federal and non-federal financial assistance instruments (Forest Service totals, 2013).

**15. Explain the reasons for any program changes or adjustments reported in items 13 or 14 of OMB form 83-I.**

Forest Service is requesting a total of 42,445 burden hours which hasn't changed from the previous OMB approval; although our Agency has combined and added forms.

**16. For collections of information whose results are planned to be published, outline plans for tabulation and publication.**

Results of this information collection will not be published

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

Paperwork Reduction Act, 44 USC 3512(a)(1), as implemented at 5 CFR 1320.6(a) (1) states that agency-specific forms must be approved by OMB and display the OMB control number to be binding on our partners. Since Forest Service specific agreements may last up to 5 years, and 10 years for Stewardship Agreements, the Forest Service requests that the expiration date not be included on OMB approved templates incorporated under this information collection. Our concern is that our partners may believe that the agreements are no longer binding upon the OMB expiration date. Alternatively, if the OMB expiration date must be included on all of the agency-specific agreements, we suggest that modifying all Agency-specific agreements with our partners upon renewal of this information collection may be excessively burdensome on our partners.

**18. Explain each exception to the certification statement identified in item 19, "Certification Requirement for Paperwork Reduction Act."**

There are no exceptions to the certification statement.

**Appendix A**

Table A: U.S. Forest Service Specific Administration Forms

FORM NUMBER	FORM TITLE	PURPOSE	INFORMATION COLLECTED	FROM WHOM
-------------	------------	---------	-----------------------	-----------

**2021 Supporting Statement for OMB 0596-0217**  
**Federal and Non-Federal Financial Assistance Instruments**

FS-1500-19	Modification Form	Instrument used when the Forest Service and Cooperator mutually agree to modify terms and conditions of an existing agreement between the two parties.	Information related to changes in project description/statement of work, such as activities to be performed, expected outcomes/work products; adding/de-obligating funds; changes to terms and conditions of the award/agreement; other related administrative information such as updates to financial plans.	Non-profits; for-profit; institutions of higher education; federal, state, local, and Native American tribe governments; individuals; foreign governments and organizations.
FS-1500-22	Financial Capability Questionnaire	Instrument used to collect administrative and financial information required for Forest Service to assess a partner's financial capabilities to manage Federal funds.	Collects documents and partner's responses to elements of their financial capabilities, accounting system, and integral policy to be compliant with OMB circulars to expend public funds.	
FS-1500-22A	Financial Capability Checklist	Instrument used to assist partners in verifying that they possess the administrative and financial capabilities to manage Federal funds.	Provides information to the partner stating the minimum financial standards that are necessary to accept and spend federal funds.	
FS-1500-22B	Financial Capability Checklist (States ONLY)	Instrument used to assist partners in verifying that they possess the administrative and financial capabilities to manage Federal funds.	Provides information to the partner stating the minimum financial standards that are necessary to accept and spend federal funds.	
FS-1500-23	Cooperator Performance Report (Optional Template)	Optional instrument to collect performance elements related to the agreement or award. Partner may use their own template and format.	Collects information related to project status, accomplishments, problems encountered, changes to activities, and work to be performed in the future.	
FS-1500-34	Equipment Justification and Certification Statement	This form is completed by cooperator & approved by FS prior to purchase of equipment.	The cooperator provides information regarding purchase of equipment with Federal funds.	
FS-1500-35	Certification Regarding Lobbying (Required for all awards over	Certification Required for all awards over \$100K	Collects signature and date.	

**2021 Supporting Statement for OMB 0596-0217**  
**Federal and Non-Federal Financial Assistance Instruments**

	\$100K)		

Table B: U.S. Forest Service Federal Financial Assistance Programs\*

CFDA NUMBERS	PROGRAM TITLES	AUTHORITIES
10.652	Forestry Research	Forest and Rangeland Renewable Resources Research Act of 1978, Public Law 95-307, 92 Stat. 353, 16 U.S.C. 1643.
10.664	Cooperative Forestry Assistance	1. Cooperative Forestry Assistance Act of 1978, Public Law 95-313; 2. Food, Agriculture, Conservation, and Trade Act of 1990, as amended, Public Law 101-624.
10.665	Schools and Roads - Payments to States	Secure Rural Schools and Community Self Determination Act of 2000, Division C, Section 601(a), 16. U.S.C. 7101-7153; 16 U.S.C. 500.
10.666	Schools and Roads - Payments to Counties	Public Law 75-210, 7 U.S.C. 1010-1012, Bankhead-Jones Farm Tenant Act.
10.674	Forest Products Lab: Technology Marketing Unit (TMU)	Rural Revitalization Through Forestry, Public Law 101-624, Section (d) Rural Revitalization Technologies (1990); P.L. 108-148 title II, Section 202 (2003); P. L. 110- 234, title VII (2008); and P.L. 110-246 title VII (2008) extending the program through 2012.
10.675	Urban and Community Forestry Program	Cooperative Forestry Assistance Act of 1978, Public Law 95-313, 92 Stat.365, 16 U.S.C., 2102 et seq. (As Amended Through Public Law 107-195, June 16, 2002) Section 9 (16 U.S.C. 2105) Urban and Community Forestry Assistance.
10.676	Forest Legacy Program	Cooperative Forestry Assistance Act of 1978, 16 U.S.C. 2101 et. seq., as amended by the 1990 Farm Bill, Section 1217 of Title XII of the Food, Agriculture, Conservation and Trade Act of 1990, Public Law 101-624, 104 Stat. 3359, 16 U.S.C. 2103c; later amended by the 1996 Farm Bill, Federal Agricultural Improvement and Reform Act of 1996; Public Law 104-127; Title III, Conservation; Subtitle G Forestry; Section 374, Optional State Grants for Forest Legacy Program.
10.678	Forest Stewardship Program	Cooperative Forestry Assistance Act of 1978, Public Law 95-313; Food, Agriculture, Conservation and Trade Act of 1990, as amended, Public Law 107-171.
10.679	Collaborative Forest Restoration	Secure Rural Schools and Community Self-Determination Act of 2000, Title VI- Community Forest Restoration, Public Law 106-393, Section 605, Establishment of Program.
10.680	Forest Health Protection	Cooperative Forestry Assistance Act of 1978, Public Law 95-313; Food, Agriculture, Conservation, and Trade Act of 1990, as amended, Public Law 101-624; subsequent appropriation Acts.
10.681	Wood Education and Resource Center (WERC)	Public Law 105-277, Div. A, Section 101(e) Title III, Section 343, 112 Stat. 2681-231, 2681-297; Cooperative Forestry Assistance Act of 1978, as amended, 16 U.S.C. 2101 et. seq.; Forest and



**2021 Supporting Statement for OMB 0596-0217**  
**Federal and Non-Federal Financial Assistance Instruments**

CFDA NUMBERS	PROGRAM TITLES	AUTHORITIES
		Rangeland Renewable Resources Act of 1978, as amended, 6 U.S.C. 1600-1614.
10.682	National Forest Foundation	National Forest Foundation Act, Public Law 101-593-Title IV-Nov. 16, 1990, as amended by Public Law 103-106 Oct. 12, 1993. Omnibus Consolidated and Emergency Supplemental Appropriations Act, Public Law 105-277, Title II, Oct. 21, 1998.
10.683	National Fish and Wildlife Foundation	National Fish and Wildlife Foundation Establishment Act, Public Law 98-244 as amended.
10.684	International Forestry Programs	International Forestry Cooperation Act of 1990, Act of November 4, 1990, Public Law 101-513, Title VI; 104 Stat. 2070; 16 U.S.C. 4501 (note), 4501-4503, 4503a-d, 4504-4505.
10.685	Community Wood Energy Program	Public Law 110-246, Food, Conservation, and Energy Act of 2008, Title IX—ENERGY, Section. 9013.
10.689	Community Forest And Open Space Conservation Program	Food, Conservation, and Energy Act of 2008, which amends the Cooperative Forestry Assistance Act of 1978 (16 USC 2103d), Title IX, Section 8003, Public Law 110-246, 122 Stat. 1651.
10.690	Lake Tahoe Erosion Control Program	Lake Tahoe Resortation Act, Public Law 106-506 as amended, Public Law 108-108, Section 337. NOTE: New legislation has been introduced in Congress for LTRA reauthorization and revision, but has not yet been adopted.
10.691	Good Neighbor Authority	Omnibus Appropriations Act of 2009, Public Law 111-8; FY 2005 Interior and related Agencies Appropriations Act, Public Law 108-447, 118 Stat. 3012, as amended by Consolidated Security, Disaster Assistance and Continuing Appropriations Act of 2009, Public Law 110-329, as amended by PL-111-88, Division A, Title IV, Section 422 of the Department of the Interior, Environment, and Related Agencies Appropriations Act, 2010. Authority extended for 5 years.
10.693	Watershed Restoration & Enhancement	Wyden Amendment, Public Law 105-277, section 323, as amended by P.L. 109-54, and permanently authorized by P.L. 111-11, Section 3001.
10.694	Southwest Forest Health and Wildfire Prevention	Southwest Forest Health and Wildfire Prevention Act
10.672	Rural Development, Forestry, and Communities	Department of the Interior, Environment, and Related Agencies Appropriations Act, Public Law 106-291. Note: Requires Annual Department of the Interior, Environment, and Related Agencies Appropriations direction to implement.
10.686	Forest Biomass for Energy	Public Law 110-246, Food, Conservation, and Energy Act of 2008, Title IX—ENERGY, Section. 9013

• Complete program descriptions can be found on [www.cfda.gov](http://www.cfda.gov).

**2021 Supporting Statement for OMB 0596-0217**  
**Federal and Non-Federal Financial Assistance Instruments**

Table B: U.S. Forest Service Non-Federal Financial Assistance Instruments and Authorities

FORM No.	FORM TITLE	PURPOSE	AUTHORITY
FS-1500-6 Supplemental Provisions to 7600 A	Interagency Agreement Narrative	Interagency Agreement document (i.e. Fed to Fed) which causes no burden on the public.	1. The Economy Act of June 30, 1932 (31 USC 1535, P. L. 97-258 and 98-216). 2. Service First Authority 3. Department of Agriculture Reorganization (7 USC 6915). 4. Cooperation with Federal and State Agencies and Foreign Countries (Act of August 27, 1958, 23 USC 308(a), P. L. 85-767).
FS-1500-7	Cooperative Fire Agreement	Instrument used when the Forest Service and a Cooperator share an interest in working collaboratively on fire protection.	1. Reciprocal Fire Protection Act of May 27, 1955 (42 U.S.C. 1856a). 2. Granger-Thye Act of April 24, 1950 (16 USC 572). 3. Cooperative Funds and Deposits Act of December 12, 1975, Pub.L. 94-148, 16 U.S.C. 565a1 - a3, as amended.
FS-1500-8	Cooperative Law Enforcement Agreement	Instrument used when the Forest Service and a Cooperator share an interest in working collaboratively on law enforcement.	Cooperative Law Enforcement Act of August 10, 1971, (16 U.S.C. 551a, Pub. L. 92-82).
FS-1500-8A	Cooperative Law Enforcement Annual Operating Plan and Financial Plan	Instrument provide stand-alone document to FS-1500-8 for annual operating and financial plans.	Cooperative Law Enforcement Act of August 10, 1971, (16 U.S.C. 551a, Pub. L. 92-82).
FS-1500-9	Cooperative Forest Road Agreement	Instrument used when the Forest Service and a Cooperator share an interest in working collaboratively on roads.	National Forest Roads and Trails Act of October 13, 1964, (16 U.S.C. 532-538, Pub. L. 88-657) and the regulations issued by the Secretary of Agriculture.

**2021 Supporting Statement for OMB 0596-0217**  
**Federal and Non-Federal Financial Assistance Instruments**

<p align="center">FS-1500-9A</p>	<p align="center">Road Project Agreement</p>	<p>Instrument acts as a supplemental, funded agreement for FS-1500-9.</p>	<p>National Forest Roads and Trails Act of October 13, 1964, (16 U.S.C. 532-538, Pub. L. 88-657) and the regulations issued by the Secretary of Agriculture, and Secure Rural Schools and Community Self-Determination Act of 2000, Public Law 106-393, 16 U.S.C. 500, as reauthorized and amended, (When obligating SRC funds).</p>
<p align="center">FS-1500-100</p>	<p>Challenge Cost-Share Agreement, Cost-Reimbursable Agreement; Cooperative Research and Development Agreement; Joint Venture Agreement, Memorandum of Understanding; Participating Agreement</p>	<p>Instrument used when Forest Service and Cooperator share mutual interests and benefit in the same qualitative way from the objective of the agreement.</p>	<p>1. Interior and Related Agencies Appropriations Act of 1992, (Pub. L. 102-154) and as amended. 2. Secure Rural Schools and Community Self-Determination Act of 2000, Public Law 106-393, 16 U.S.C. 500, as reauthorized and amended. National Agricultural Research, Extension, and Teaching Policy Act of 1977, (Pub. L. 95-113), as amended by the Food Security Act of 1985, (7 U.S.C. 3318, and 3319, Pub. L. 99-198) and further amended by Public Law 105-198. Federal Technology Transfer Act of 1986 (15 U.S.C. § 3710a). 1. Cooperative Funds and Deposits Act of December 12, 1975, Pub.L. 94-148, 16 U.S.C. 565a1 - a3, as amended. 2. Wyden Amendment (Public Law 105-277, Section 323 as amended by Public Law 109-54, Section 434, and permanently authorized by Public Law 111-11, Section 3001). 3. Secure Rural Schools and Community Self-Determination Act of 2000, Public Law 106-393, 16 U.S.C. 500, as reauthorized and amended.</p>
<p align="center">FS-1500-11</p>	<p align="center">Collection Agreement</p>	<p>Instrument used to accept money, equipment, property, or products from a non-Federal party to carry out a purpose authorized by law.</p>	<p>1. Cooperative Funds Act of June 30, 1914 (16 U.S.C. 498 as amended by Pub. L. 104-127). 2. Granger-Thye Act of April 24, 1950 (16 USC 572). 3. Forest and Rangeland Renewable Resources Research Act of 1978, as amended. 4. Intergovernmental Cooperation Act of 1968, as amended.</p>

**2021 Supporting Statement for OMB 0596-0217**  
**Federal and Non-Federal Financial Assistance Instruments**

FS-1500-11A	Reimbursable Collection Agreement, Rocky Mountain Elk Foundation	Instrument used to accept money, equipment, property, or products from a non-Federal party to carry out a purpose authorized by law.	1. Cooperative Funds Act of June 30, 1914 (16 U.S.C. 498 as amended by Pub. L. 104-127). 2. Granger-Thye Act of April 24, 1950 (16 USC 572). 3. Forest and Rangeland Renewable Resources Research Act of 1978, as amended. 4. Intergovernmental Cooperation Act of 1968, as amended.
FS-1500-11B	Advance Collection Agreement, Rocky Mountain Elk Foundation	Instrument used to accept money, equipment, property, or products from a non-Federal party to carry out a purpose authorized by law.	1. Cooperative Funds Act of June 30, 1914 (16 U.S.C. 498 as amended by Pub. L. 104-127). 2. Granger-Thye Act of April 24, 1950 (16 USC 572). 3. Forest and Rangeland Renewable Resources Research Act of 1978, as amended. 4. Intergovernmental Cooperation Act of 1968, as amended.
FS-1500-11C	Collection Agreement- FERC	Instrument used to accept money, equipment, property, or products to carry out a purpose authorized by law stemming from Hydropower Projects with Licenses issued by the Federal Energy Regulatory Commission (FERC).	Granger-Thye Act of April 24, 1950, (16 U.S.C. 572).
FS-1500-17A	Agreements Financial Plan (Long)	Used by the Forest Service, for the benefit of both parties, to express the financial terms and conditions of the proposed partnership agreement or modification.	Optional Format.
FS-1500-17B	Agreements Financial Plan (Short)	Used by the Forest Service, for the benefit of both parties, to express the financial terms and conditions of the proposed partnership agreement or modification.	Optional Format.
FS-1500-17C	Agreements Financial Plan (Medium Form)	Development of a medium version of FS-1500-17a and FS-1500-17b.	Optional Format.
FS-1500-18	Collection Agreement Financial Plan	Used by the Forest Service, for the benefit of both parties, to express the financial terms and conditions of the proposed collection agreement or modification.	Optional Format.

**2021 Supporting Statement for OMB 0596-0217**  
**Federal and Non-Federal Financial Assistance Instruments**

FS 1500-21	Master Stewardship Agreement	Instrument that establishes a mutual agreement between parties regarding a stewardship agreement.	Stewardship Authority, section 323 of Public Law 108-7, Consolidated Appropriations Resolution for Fiscal Year 2003, (16 U.S.C. 2140 Note), and as amended.
FS-1500-21A	Stewardship Agreement Supplemental Project Agreement	Instrument that acts as a supplemental, funded agreement to a Master Stewardship Agreement.	Stewardship Authority, section 323 of Public Law 108-7, Consolidated Appropriations Resolution for Fiscal Year 2003, (16 U.S.C. 2140 Note), and as amended.
FS-1500-21B	Stewardship Agreement Financial Plan	Instrument that documents the financial component of a Stewardship Agreement Supplemental Project Agreement.	Optional Format.
FS-1500-21C	Stewardship Agreement	Instrument that provides unique, project specific requirements for a stewardship agreement.	Stewardship Authority, section 323 of Public Law 108-7, Consolidated Appropriations Resolution for Fiscal Year 2003, (16 U.S.C. 2140 Note), and as amended.
FS-1500-21D	Stewardship Agreement (Short Form)	Instrument that establishes a mutual agreement between parties regarding a stewardship agreement.	Stewardship Authority, section 323 of Public Law 108-7, Consolidated Appropriations Resolution for Fiscal Year 2003, (16 U.S.C. 2140 Note), and as amended.