SUPPORTING STATEMENT - PART A

Defense Community Infrastructure Program – 0704-DCIP

1. Need for the Information Collection

Section 2391(d) of Title 10, United States Code (10 U.S.C. 2391), authorizes the Secretary of Defense to, “make grants, conclude cooperative agreements, and supplement funds available under Federal programs administered by agencies other than the Department of Defense, for projects owned by a State or local government, or a not-for-profit, member-owned utility service to address deficiencies in community infrastructure supportive of a military installation.”

The Consolidated Appropriations Act for Fiscal Year 2021 (PL 116-260) provides $60 million to the Office of Local Defense Community Cooperation (OLDCC) for the Defense Community Infrastructure Program (DCIP), and these funds expire if they are not obligated prior to September 30, 2021. This information collection supports the awarding of grants under DCIP, including the initial grant proposal package, final grant application, and required post-award performance reports.

The criteria established for the selection of community infrastructure projects will likely reflect projects consisting of some combination of attributes that will enhance: (i) military value; (ii) military installation resilience; and/or, (iii) military family quality of life (including whether the impact of the community infrastructure on alleviating installation commuter workforce issues and the benefit of schools or other local infrastructure located off of a military installation that will support members of the armed forces and their dependents residing in the community) at a military installation.

1. Use of the Information

Respondents will be State or local governments and not-for-profit, member-owned utility services owning infrastructure outside of, but supporting, a military installation.

The first collection instrument will be a proposal package prepared in accordance to a Federal Funding Opportunity Announcement posted on the Grants.gov website. Grants.gov requires all proposers to complete the SF-424, Application for Federal Assistance (OMB Number 4040-0004).

A proposal may not exceed 20 pages (single-sided, single-spaced with 1-inch margins, 11 point Times New Roman font, and including all maps, drawings and attachments—excepting the SF-424, the independent cost estimate to validate the proposed project budget, and documents evidencing the project is construction-ready, the pages for which do not count towards this 20-page total) and shall include the following information:

1. Point of Contact: Name, phone number, e-mail address, and organization address of the respondent’s primary point of contact;
2. Installation Need: A summary of the installation need, including which enhancement the proposal primarily addresses—military value, military installation resilience, or military family quality of life—and how the installation need degrades military value, military installation resilience, or military family quality of life at the local installation. Information on this need must also include an assessment of the likely beneficiaries from the project.
3. Installation Endorsement: A letter of endorsement from the Commander of the local installation that includes (i) the existing conditions at the local installation to be impacted by development of the proposed project (and the extent to which the proposed project enhances the existing conditions), (ii) assessment of impact to the local installation should the proposed project not proceed, and (iii) a comparison of how those existing conditions rank against other military value, military installation resilience, or military family quality of life infrastructure issues impacting the local installation.
4. Project Description: A description of the proposed Defense Community Infrastructure Program project, including an explanation how the project addresses the installation need;
5. Project Engineering Information: A demonstration of the technical feasibility of the construction project;
6. Project Parties: Identification of other parties involved in the project to include contemplated grant sub-recipients as defined by 2 C.F.R. 200.1;
7. Grant Funds and other Sources of Funds: An overview and commitment of all funding sources;
8. Uses of Construction Project Funds: The uses of project funding, including a total project cost estimate with major cost elements broken out for project administration, inspection, construction, utilities, and contingency costs. Soft planning costs required for the planning, design and execution of the proposed project are allowable as a source for non-federal match;
9. Project Development Schedule: A sufficiently detailed project schedule demonstrating that the project can commence within 12 months upon receipt of a grant and that the grant funds will be spent steadily and expeditiously once the project commences, and completed no later than 5 years following the obligation of Federal funds;
10. Environmental Approvals: Indicate the status of all environmental approvals necessary for the construction project to proceed to construction on the timeline specified the Project Development Schedule and completion of an appropriate environmental impact analysis in accordance with the National Environmental Policy Act;
11. State and Local Planning: If applicable, the inclusion of the construction project in the relevant State, metropolitan, and local planning documents, or a certification from the appropriate agency (e.g., Metropolitan Planning Organization) that the project will be included in the relevant planning document.
12. Grants Management: Evidence of the intended recipient’s ability and authority to manage grants;
13. Submitting Official: Documentation that the Submitting Official is authorized by the proposer to submit a proposal and subsequently apply for assistance;
14. National Security Waiver Attestation (if appropriate): In instances where a waiver from local match is being requested due to national security needs/importance, a signed statement from the cognizant Military Department Secretary attesting to the national security need/importance of the proposed project; and
15. Attachments: In compliance with the overall application page limit.

Expanded descriptions of each section of the proposal can be found in the DCIP FFO as well as in the Grant Proposal collection instrument submitted with this package. Proposals will be scored by a Defense Community Infrastructure Program review panel against the selection criteria. The Office of Local Defense Community Cooperation will invite successful respondents, on the basis of their proposal’s ranking by a Defense Community Infrastructure Program review panel, to complete a grant application (second collection instrument). Respondents will receive an e-mail from OLDCC with a link to the EADS system that will allow them to log-in and initiate the application process. The EADS system consists of a series of Tabs which lead respondents through the application process.

1. Tab 1 is the SF-424, Application for Federal Assistance (OMB Number 4040-0004) consisting of 15 blocks of information and the ability to upload (electronically) all supporting information specified by OLDCC.
2. Tab 2 is the Application Narrative. Respondents input information to describe the proposed project and justify the need for financial assistance. The Application Narrative includes the following sections: Application Abstract; Introduction/Background; Need for Assistance; Project Goals and Objectives Related to OLDCC Mission; Results or Benefits Expected; Approach & Timeline; and Deliverables/Products. Each section is limited to 1,000 words. Supporting information such as Appendices, charts, maps and other illustrative materials may be uploaded to further describe the proposal.
3. Tab 3 is the Budget Narrative. Respondents input grant budget information based upon the following object class categories: (1) Salary and Fringe; (2) Travel; (3) Equipment; (4) Supplies; (5) Other Costs; (6) Contractual; (7) Indirect Costs. Respondents also have capability provide a brief explanation of costs and methodology in a text box for each object class category. Respondents will also complete the SF-424A, Budget Information for Non-Construction Programs (OMB Form 4040-0006), or the SF-424C, Budget Information for Construction Programs (OMB Form 4040-0008).
4. Tab 4 is the Assurances and Certifications Tab. Respondents will complete the SF-4244B, Assurances for Non-Construction Programs (OMB Form 4040-0007), or the SF-424D, Assurances for Construction Programs (OMB Form 4040-0009), as appropriate. Respondents will also complete the SF-LLL, Disclosure of Lobbying Activities (OMB Form 4040-0013).

Once the application has been submitted, the assigned OLDCC Project Manager will review and consult with the respondent to address any questions or issues with the grant application package. Depending upon the specific issue or concern, this engagement will be either by telephone, e-mail, or both. Once the application has been reviewed by the OLDCC Program Director and OLDCC Grants Management Specialist, the Project Manager briefs the OLDCC Technical Review Committee chaired by the OLDCC Director (Grants Officer) for approval. The Technical Review Committee consists of OLDCC Staff such as Deputy Directors, Program Directors, Project Managers and Grants Management Specialists. Any Technical Review Committee-directed changes needed to the application package will be transmitted electronically inside EADS to the respondent. Once the respondent completes those changes, they will sign the application electronically and return to OLDCC via EADS. The Project Manager will review to confirm all changes have been made and will then staff the Notice of Award electronically inside EADS for Director (Grants Officer) signature. Once the OLDCC Director signs as the Grants Officer, the grant is considered awarded.

Once awarded, the respondents will be required to submit (third collection instrument) recurring Performance Reports (quarterly or semi-annual) via EADS, and SF-425, Federal Financial Report (OMB Form 4040-0014) annually via EADS. Respondents will submit electronic payment requests (at their discretion) through the U.S. Department of Health and Human Services’ Payment Management System. This action consists of loading 11 data elements into the web-based system. Additionally, DoD FMR requires respondents to submit to OLDCC either SF-270, Request for Advance or Reimbursement (OMB Form 4040-0012), or SF-271, Outlay Report and Request for Reimbursement for Construction Programs (OMB Form 4040-0011). Respondents complete the electronic pdf form and submits to OLDCC via e-mail.

3. Use of Information Technology

100% of responses will be submitted electronically via Grants.gov or the Economic Adjustment Data System (EADS).

4. Non-duplication

The information obtained through this collection is unique and is not already available for use or adaptation from another cleared source.

5. Burden on Small Businesses

This information collection does not impose a significant economic impact on a substantial number of small businesses or entities.

6. Less Frequent Collection

This collection is annually and is driven by annual Congressional appropriations processes.

7. Paperwork Reduction Act Guidelines

This collection of information does not require collection to be conducted in a manner inconsistent with the guidelines delineated in 5 CFR 1320.5(d)(2).

8. Consultation and Public Comments

Part A: PUBLIC NOTICE

This information collection is being processed on an emergency basis. An emergency 15-Day Federal Register Notice (FRN) for the collection published on Thursday, May 27, 2021. The 15-Day FRN citation is 86 FR 28586.

Part B: CONSULTATION

No additional consultation apart from soliciting public comments through the Federal Register was conducted for this submission.

9. Gifts or Payment

No payments or gifts are being offered to respondents as an incentive to participate in the collection.

10. Confidentiality

A Privacy Act Statement is not required for this collection because we are not requesting individuals to furnish personal information for a system of records.

A System of Record Notice (SORN) is not required for this collection because records are not retrievable by PII.

A Privacy Impact Assessment (PIA) is not required for this collection because PII is not being collected electronically.

At this time, there are no file numbers within the OSD General Records Schedule (GRS) or the National Archives and Records Administration (NARA) GRS that account for records through the execution of the DCIP program. OLDCC is working on a submission to update the organization’s assigned records category (1208) within the OSD GRS. We are proposing that these documents have the following retention schedule:

(a) Funded projects and supporting documents are permanent. Cut off after the closeout of the project. Retire to NARA after 25 years.

(b) Non-funded project documents are temporary. Cut off after the project is no longer being considered for funding. Destroy after 20 years.

Until the approval or disapproval of the mentioned submission, DCIP program execution records will be treated as ‘Unscheduled’ as defined in 36 CFR 1220.18. This means the records will be handled as permanent records until the final disposition is approved by NARA.

11. Sensitive Questions

No questions considered sensitive are being asked in this collection.

12. Respondent Burden and its Labor Costs

Part A: ESTIMATION OF RESPONDENT BURDEN

1. Collection Instruments

DCIP (Proposal)

a) Number of Respondents: 150

b) Number of Responses Per Respondent: 1

c) Number of Total Annual Responses: 150

d) Response Time: 15 hours

e) Respondent Burden Hours: 2,250 hours

DCIP (Grant Application)

1. Number of Respondents: 15
2. Number of Responses Per Respondent: 1
3. Number of Total Annual Responses: 15
4. Response Time: 3 hours
5. Respondent Burden Hours: 45 hours

DCIP (Post-Grant Award Implementation)

1. Number of Respondents: 15
2. Number of Responses Per Respondent: 5
3. Number of Total Annual Responses: 75
4. Response Time: 2 hours
5. Respondent Burden Hours: 150 hours
6. Total Submission Burden
   1. Total Number of Respondents: 150
   2. Total Number of Annual Responses: 240
   3. Total Respondent Burden Hours: 2,445 hours

Part B: LABOR COST OF RESPONDENT BURDEN

1. Collection Instruments

DCIP (Proposal)

1. Number of Total Annual Responses: 150
2. Response Time: 15 hours
3. Respondent Hourly Wage: $43.41
4. Labor Burden per Response: $651.15
5. Total Labor Burden: $97,672.50

DCIP (Grant Application)

1. Number of Total Annual Responses: 15
2. Response Time: 3 hours
3. Respondent Hourly Wage: $46.91
4. Labor Burden per Response: $140.73
5. Total Labor Burden: $2,110.95

DCIP (Post Grant Award Implementation)

a) Number of Total Annual Responses: 75

b) Response Time: 2 hours

c) Respondent Hourly Wage: $46.91

d) Labor Burden per Response: $93.82

e) Total Labor Burden: $7,036.50

1. Overall Labor Burden
   1. Total Number of Annual Responses: 240
   2. Total Labor Burden: $106,819.95

The Respondent hourly wage was determined by using the Department of Labor Wage Website (<https://www.bls.gov/oes/current/oes_nat.htm> ): 17-0000 Architecture and Engineer Occupations, and 13-1111 Management Analysts

13. Respondent Costs Other Than Burden Hour Costs

There are no annualized costs to respondents other than the labor burden costs addressed in Section 12 of this document to complete this collection.

14. Cost to the Federal Government

Part A: LABOR COST TO THE FEDERAL GOVERNMENT

1. Collection Instruments

DCIP (Proposal)

* 1. Number of Total Annual Responses: 150
  2. Processing Time per Response: 0 hours
  3. Hourly Wage of Worker(s) Processing Responses: $0
  4. Cost to Process Each Response: $0
  5. Total Cost to Process Responses: $0

Based on discussions with WHS, scoring of submitted Grant Proposals by the Defense Community Infrastructure Program review panel was not considered part of processing.

DCIP (Grant Application)

1. Number of Total Annual Responses: 15
2. Processing Time per Response: 3 hours
3. Hourly Wage of Worker(s) Processing Responses: $60.87 (GS-14/6)
4. Cost to Process Each Response: $182.61
5. Total Cost to Process Responses: $2,739.15

DCIP (Post Grant Award Implementation)

a) Number of Total Annual Responses: 75

b) Response Time: 1 hours

c) Hourly Wage of Worker(s) Processing Responses: $60.87 (GS-14/6)

d) Labor Burden per Response: $60.87

e) Total Labor Burden: $4,565.25

1. Overall Labor Burden to the Federal Government
   1. Total Number of Annual Responses: 240
   2. Total Labor Burden*:* $7,304.40

Part B: OPERATIONAL AND MAINTENANCE COSTS

1. Cost Categories
   1. Equipment: $0
   2. Printing: $0
   3. Postage: $0
   4. Software Purchases: $0
   5. Licensing Costs: $0
   6. Other: $0
2. Total Operational and Maintenance Cost: $0

Part C: TOTAL COST TO THE FEDERAL GOVERNMENT

1. Total Labor Cost to the Federal Government: $7,304.40
2. Total Operational and Maintenance Costs: $0
3. Total Cost to the Federal Government: $7,304.40

15. Reasons for Change in Burden

This is a new collection with a new associated burden.

16. Publication of Results

The results of this information collection will not be published.

17. Non-Display of OMB Expiration Date

We are not seeking approval to omit the display of the expiration date of the OMB approval on the collection instrument.

18. Exceptions to “Certification for Paperwork Reduction Submissions”

We are not requesting any exemptions to the provisions stated in 5 CFR 1320.9.