

SUPPORTING STATEMENT
U.S. Department of Commerce
National Telecommunications and Information Administration
911 Grant Program Performance Closeout Report
OMB Control No. _____

ABSTRACT

In order to meet the objectives of the 911 Grant Program, the U.S. Department of Commerce (DOC), National Telecommunications and Information Administration (NTIA), requests approval for the 911 Grant Program Closeout Performance Report from the Office of Management and Budget (OMB). This form is for the 911 Grant Program which is jointly administered by NTIA and the U.S. Department of Transportation, National Highway Traffic Safety Administration (NHTSA).

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.**

In 2012, the Next Generation 911 (NG911) Advancement Act of 2012 (Middle Class Tax Relief and Job Creation Act of 2012, Pub. L. 112-96, Title VI, Subtitle E (codified at 47 U.S.C. § 942) (the Act)) enacted changes to the 911 Grant Program. (Please see attached Subtitle E). The Act reauthorized the 911 Implementation Coordination Office (ICO), a joint effort between NHTSA and NTIA (Agencies). It delineated the responsibilities of the ICO to include a joint program to establish and facilitate coordination and communication between federal, state, and local emergency communications systems, emergency personnel, public safety organizations, telecommunications carriers, and telecommunications equipment manufacturers and vendors involved in the implementation of 911 services.

The NG911 Advancement Act also provided funding for grants that support the implementation and operation of 911 services, E911 services, migration to an IP-enabled emergency network, and adoption and operation of NG911 services and applications. These grants fund: the implementation of IP-enabled emergency services and applications enabled by NG911 services, including the establishment of IP backbone networks and the application layer software infrastructure needed to interconnect the multitude of emergency response organizations; and training public safety personnel, including call-takers, first responders, and other individuals and organizations who are part of the emergency response chain in 911 services. In 2016, approximately \$115 million from spectrum auction proceeds were deposited into the Public Safety Trust Fund and made available for the 911 Grant Program. After publishing the final rules for the grant program, the ICO made 36 grant awards on August 9, 2019, totaling \$109,250,000.

After the period of performance for the 911 Grant Program ends on March 31, 2022, state and tribal organization grant recipients will be required to submit a closeout report in accordance with 2 C.F.R. § 200.344, the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (OMB Uniform Guidance). The Closeout Performance Report asks grant recipients to describe their project goals, activities and accomplishments made during the grant period of performance, including a description of key milestones, significant project accomplishments, any delays or challenges, and data for established metrics. State and tribal organization grant recipients will submit the Closeout Performance Report within 90 days after the March 31, 2022 grant end date, no later than June 29, 2022. It is important for the Agencies to have this performance reporting information so that they can effectively account for the programmatic activity completed with the grant funds.

Lastly, state and tribal organization grant recipients will submit a final financial report in accordance with 2 C.F.R. § 200.328. The Agencies submitted a Request for Common Form in ROCIS to use the previously approved information collection instrument SF-425 Federal Financial Report (OMB Control No. 4040-0014), on which the Agencies will calculate and report the burden hours. The Federal Financial Report (SF-425) includes fields to capture cash management and financial status information. The state and tribal grant recipients will submit the Federal Financial Report (SF-425) as part of the closeout package. The SF-425 Federal Financial Report is necessary for the effective financial accounting of the federal grant award.

Under the 911 Grant Program, recipients may purchase equipment that supports the implementation of IP-enabled emergency services and applications enabled by NG911 services, including the establishment of IP backbone networks. To account for any equipment purchases, grantees will be required to submit the previously approved information collection instruments, SF-428 and SF-428B, Tangible Personal Property Report. The Agencies will submit a Request for Common Form in ROCIS to use the previously approved information collection instrument.

The Agencies are seeking OMB approval to collect programmatic closeout performance information from grantees, using the proposed Closeout Performance Report instrument as well as the previously approved information collection instrument, the Tangible Personal Property Report for property reporting. The Agencies will use the standard forms and the collections of information to ensure that grant recipients effectively report programmatic and financial activity for the 911 Grant Program.

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.

The 36 states, territories, and tribal organizations that comprise the grantees for the 911 Grant Program will submit the Closeout Performance Report electronically and the Agencies' staff

will use the information to review the activities accomplished by the grant recipients and ensure that these recipients met the 911 Grant Program requirements.

The Agencies will use this information to produce a publicly-available report that will describe the accomplishments of the program.

- 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.**

Collection of all information will be accomplished through electronic submissions. Grantees are currently submitting grant related reports via email, and the program will continue to accept the closeout report in this way. Analysis and aggregation of information will not be done using technological analysis techniques. The Agencies will analyze all submissions individually.

- 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 Question 2**

The Closeout Performance Report is unique to this program. The information collected is not generally available from other sources and therefore there is not an opportunity to duplicate information.

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

This item does not apply. States, territories, and tribal organizations are the only eligible recipients for this grant program and it does not involve small businesses or other small entities.

- 6. Describe the consequences to the 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 information requested on the Closeout Performance Report, the Agencies will experience difficulties in ensuring that grant recipients spent their grant dollars in a way that is consistent with the purposes of the Act. Together with the SF-425 Federal Financial Report and the Tangible Personal Property Report, the Closeout Performance Report will enable the Agencies to effectively closeout the program with the necessary information on the grant recipients' expenditures and activities. In the absence of collecting the information on the Closeout Performance Report, the Agencies would fail to fully evaluate the grant recipients'

progress achieved in implementing the grant program purpose and program goals and performance objectives as required by the Government Performance and Results Act (GPRA). Moreover, without the Closeout Performance Report, the grants could be the subject of waste, fraud, and abuse of federal funds. All federal funds and associated activities must be accounted for before the grants are closed. Therefore, it is necessary for the Agencies to collect information using the Closeout Performance Report.

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;**
- **requiring respondents to prepare a written response to a collection of information in fewer than 30 days after receipt of it;**
- **requiring respondents to submit more than an original and two copies of any document;**
- **requiring respondents to retain records, other than health, medical, government contract, grant-in-aid, or tax records for more than three years;**
- **in connection with a statistical survey, that is not designed to produce valid and reliable results that can be generalized to the universe of study;**
- **requiring the use of a statistical data classification that has not been reviewed and approved by OMB;**
- **that includes a pledge of confidentiality that is not supported by authority established in statute or regulation, that is not supported by disclosure and data security policies that are consistent with the pledge, or which unnecessarily impedes sharing of data with other agencies for compatible confidential use; or**
- **requiring respondents to submit proprietary trade secret, or other confidential information unless the agency can demonstrate that it has instituted procedures to protect the information's confidentiality to the extent permitted by law.**

The response to this question should include an answer for each of the eight subparts. Please do not indicate "N/A" for any response. Rather, answer appropriately in a full sentence. If the answer to any subpart is "yes", then a full explanation of the circumstances surrounding the collection should be provided.

No special circumstances require the collection of information to be conducted in a manner inconsistent with OMB guidelines as listed above. This information collection is consistent with OMB guidelines and will be conducted one time, at the close-out of the grant. Grantees have the 90 day closeout period to complete the report, and therefore it will not be completed in fewer than 30 days from receipt. The report does not require respondents to submit more than an original and two copies of any document; to retain records, other than health, medical, government contract, grant-in-aid, or tax records for more than three years; and is designed to produce valid and reliable results that can be generalized to the universe of study. The report does not include a pledge of confidentiality that is not supported by authority established in

statute or regulation. The report does not require the use of a statistical data classification that has not been reviewed and approved by OMB, nor the submittal of propriety trade secrets.

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. Describe efforts to consult with persons outside the agency to obtain their views on the availability of data, frequency of collection, the clarity of instructions and recordkeeping, disclosure, or reporting format (if any), and on the data elements to be recorded, disclosed, or reported. Consultation with representatives of those from whom information is to be obtained or those who must compile records should occur at least once every 3 years - even if the collection of information activity is the same as in prior periods. There may be circumstances that may preclude consultation in a specific situation. These circumstances should be explained.**

The Agencies provided the 60-day notice in the Federal Register and did not receive any comments from the public on cost and hour burden. The 60-day notice can be found at: <https://www.federalregister.gov/d/2021-06769>.

As part of NTIA's monitoring efforts, NTIA discussed the grant performance metrics with grantees on the annual grantee calls and during desk reviews. This feedback allowed NTIA to understand the availability of the data elements to be reported in the closeout instrument. In addition, the closeout report was included in the 60-day notice, and was an opportunity to receive additional feedback on the collection of information. NTIA did not receive any comments on the closeout programmatic report, or other documents included in the notice.

9. **Explain any decisions to provide payments or gifts to respondents, other than remuneration of contractors or grantees.**

No payment or gifts will be offered to the respondents.

10. **Describe any assurance of confidentiality provided to respondents and the basis for the assurance in statute, regulation, or agency policy. If the collection requires a systems of records notice (SORN) or privacy impact assessment (PIA), those should be cited and described here.**

No assurance of confidentiality is given by the Agencies. There is no requirement that information be sent to the Agencies. All information submitted by respondents is done so on the basis that it is required to obtain or retain benefits.

The Agencies will protect confidential and proprietary information from public disclosure to the fullest extent authorized by applicable law, including the Freedom of Information Act, as amended (5 U.S.C. § 552 *et seq.*), the Trade Secrets Act, as amended (18 U.S.C. § 1905 *et seq.*), and the Economic Espionage Act of 1996, as amended (18 U.S.C. § 1831 *et seq.*).

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.

The process of submitting the Closeout Performance Report will not contain any questions related to matters that are commonly considered sensitive or private.

12. Provide an estimate in hours of the burden of the collection of information.

The Agencies estimate that the total annual respondent burden for the Closeout Performance Report is 2,160 hours (60 hours per grantee for a total of 36 grantees).

Estimated Annualized Respondent Burden Hours

Information Collection Instrument and OMB Number	Type of Respondent (e.g., Occupational Title)	# of Respondents (a)	Annual # of Responses/ Respondent (b)	Total # of Annual Responses (c) = (a) x (b)	Burden Hours/ Response (d)	Total Annual Burden Hours (e) = (c) x (d)
Closeout Performance Report	Administrative Services Manager	36	1	36	60	2,160

The Agencies estimate that responses to the questions included in the proposed regulations would require an average of 60 hours to complete (Closeout Performance Report - 60 hours). Estimating the maximum number of respondents at 36, this would result in a total burden of 2,160 hours.

The total estimated costs to respondents or record-keepers are based on the following:

- The total hour burden of the collection of information equaling 2,160 hours.
- Respondents will be State, territory, and tribal government management personnel. To estimate reasonable staff expenses to respond to this information collection, the Agencies reviewed the Bureau of Labor Statistics (BLS) Occupational Outlook Handbook and determined that the Administrative Services Manager description closely aligns with the positions of recipient staff responsible for completing this request. BLS lists a median salary of \$96,940 annually, amounting to \$46.61 per hour.
<https://www.bls.gov/ooh/management/administrative-services-managers.htm>
- Total cost based on an hour’s burden equals \$100,677.60 for the Performance Closeout Report.

The estimate in hours of the burden of the collection of information does not include the hours for the Standard Forms associated with this grant program. The burden hour estimates for the Standard Forms will be included on the Agencies’ Request for Common Form to use the previously approved OMB information collection instruments.

13. Provide an estimate of the total annual cost burden to the respondents or recordkeepers resulting from the collection (excluding the value of the burden hours in Question 12 above).

Not applicable. There are no capital, start-up, or annual operation and maintenance costs involved in the collection of information outside of the value of the burden hours in Question 12.

14. Provide estimates of annualized cost to the Federal government. Also, provide a description of the method used to estimate cost, which should include quantification of hours, operational expenses (such as equipment, overhead, printing, and support staff), and any other expense that would not have been incurred without this collection of information.

Annualized Costs to the Federal Government

Staff	Grade/ Step	Salary	Fringe (if applicable	% of Effort	Total Annualized Cost to Gov't
NHTSA and NTIA Program Staff	15	\$50 per hour	Included in hourly estimate	5 hours per respondent, 36	\$50 * 5 hours * 36 respondents=\$9,000

				respondents	
Total Cost to the Government					\$9,000

The estimated one-time annualized cost to the Federal government is based on the amount of time spent on review by program staff within NHTSA and NTIA. The Agencies estimate that at an average cost of \$50 per hour and an estimated level of 5 hours per respondent (5 hours review of the Closeout Performance Report), the total annual cost would be \$9,000 for the Closeout Performance Report). This estimate presumes that 36 states, territories, and tribal organizations will submit the Closeout Performance Report. The estimate of the annualized cost to the Federal government does not include the hours for the Agencies’ review of the Standard Forms associated with the closeout of this grant program. The estimates for the Standard Forms will be included in the Agencies’ Request for Common Form to use the previously approved OMB information collection instruments.

15. Explain the reasons for any program changes or adjustments reported in ROCIS.

The Agencies are asking for approval of a new collection instrument.

16. For collections of information whose results will be published, outline plans for tabulation and publication. Address any complex analytical techniques that will be used. Provide the time schedule for the entire project, including beginning and ending dates of the collection of information, completion of report, publication dates, and other actions.

The information collected will not require complex analytical techniques and will be provided in an external report on the NHTSA website.

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

The Agencies are not seeking approval to not display the OMB expiration date on the form associated with this information collection. The standard PRA information will be displayed on the Closeout Performance Report.

18. Explain each exception to the certification statement.

The agency certifies compliance with 5 C.F.R. § 1320.9 and the related provisions of 5 C.F.R. § 1320.8(b)(3).

COLLECTIONS OF INFORMATION EMPLOYING STATISTICAL METHODS

The proposed regulation will not employ statistical methods to analyze the information collected from respondents.

Attachments - NG911 Advancement Act of 2012 (Pub. L. 112-96, Title VI, Subtitle E)