

DEPARTMENT OF TRANSPORTATION

SUPPORTING STATEMENT

Small Business Transportation Technical Assistance Center (SBTTAC)

Intake Form

(DOT F 4500).

OMB Control Number: 2105-0554

INTRODUCTION

This is to request the Office of Management and Budget's (OMB) renewed three-year approved clearance for the information collection entitled, **Counseling Information Form; Regional Center Intake Form and Quarterly Report of Operations**.

Part A. Justification

1. Circumstances that make the collection of information necessary. EXPLAIN THE CIRCUMSTANCES THAT MAKE THE COLLECTION OF INFORMATION NECESSARY. IDENTIFY ANY LEGAL OR ADMINISTRATIVE REQUIREMENTS THAT NECESSITATE THE COLLECTION. ATTACH A COPY OF THE APPROPRIATE SECTION OF EACH STATUTE AND REGULATION MANDATING OR AUTHORIZING THE COLLECTION OF INFORMATION.

In accordance with (P.L. 95-507), an amendment to the Small Business Act and Small Business Investment Act of 1953, the Department of Transportation's (DOT) Office of Small and Disadvantaged Utilization (OSDBU) is responsible for the implementation and execution of DOT activities on behalf of small businesses, in accordance with Sections 8, 15, and 31 of the Small Business Act (SBA), as amended.

The Office of Small and Disadvantaged Business Utilization also administers the provisions of Title 49, of the United States Code, Section 332, the Minority Resource Center (MRC) which includes the duties of advocacy, outreach, and financial services on behalf of small businesses and those certified under 49 CFR parts 23 and/or 26. The cumulative data collected will be analyzed by the OSDBU to determine the effectiveness in assisting small businesses to enhance their opportunities to participate in DOT contracts and subcontracts.

2. How, by whom, and for what purpose the information is to be used. 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.

Small Business Transportation Resource Centers (SBTTACs) will collect information on small businesses and the types of technical assistance and services they seek. Services and responsibilities of the Centers include areas such as business analysis, general management and

technical assistance, training, business counseling, and outreach services/conference participation. Also, Centers will be able to refer small businesses to participate in the Bonding Education Program. The cumulative data will be analyzed by the OSDBU to determine the effectiveness of services provided in assisting small businesses to enhance their opportunities to participate in government contracts and subcontracts.

3. Extent of automated information collection. DESCRIBE WHETHER, AND TO WHAT EXTENT, THE COLLECTION OF INFORMATION INVOLVES THE USE OF AUTOMATED, ELECTRONIC, MECHANICAL, OR OTHER TECHNOLOGICAL COLLECTION TECHNIQUES OR OTHER FORMS OF INFORMATION TECHNOLOGY, E.G. PERMITTING ELECTRONIC SUBMISSION OF RESPONSES, AND THE BASIS FOR THE DECISION FOR ADOPTING THIS MEANS OF COLLECTION. ALSO DESCRIBE ANY CONSIDERATION OF USING INFORMATION TECHNOLOGY TO REDUCE BURDEN.

The SBTTAC Intake Form (DOT F 4500) is used to enroll small business clients into the program in order to create a viable database of firms that are interested in and can participate in government contracts and subcontracts, especially those projects that are transportation-related. Each area on the fillable PDF form must be filled in electronically by the Field Offices and submitted on a monthly basis to OSDBU (or when requested).

The collection of such information involves the use of electronic submission by the Centers as a means of reducing costs and increasing efficiency. In addition, each enrolled small business will be assigned a client number that allows OSDBU to track the firm's involvement in the services offered by the SBTTACs. Each area on the form must be filled in electronically by the SBTTACs and retained in secured files for the client.

4. Describe efforts to identify duplication. DESCRIBE EFFORTS TO IDENTIFY DUPLICATION. SHOW SPECIFICALLY WHY ANY SIMILAR INFORMATION ALREADY AVAILABLE CANNOT BE USED OR MODIFIED FOR USE FOR THE PURPOSES DESCRIBED IN ITEM 2 ABOVE.

The Office of Small and Disadvantaged Business Utilization (OSDBU) utilizes a centralized Customer Relationship Management (CRM) system to identify and prevent duplication. Prospective clients enter their data directly into the CRM system, which serves as the single source of truth for the program.

SBTTAC staff review these entries for completeness and accuracy to ensure the data is valid. OSDBU then retrieves this data electronically on a monthly basis for program evaluation. This workflow eliminates the need for Centers to manually aggregate and transmit separate reports; instead, they simply validate the data already in the system. This monthly cadence ensures that

any missing information is identified and corrected immediately, rather than accumulating errors that would require significant burden to reconcile on a quarterly basis.

5. Efforts to minimize the burden on small businesses. IF THE COLLECTION OF INFORMATION IMPACTS SMALL BUSINESSES OR OTHER SMALL ENTITIES, DESCRIBE ANY METHODS USED TO MINIMIZE BURDEN.

Collection of information will not have a significant economic impact on a substantial number of small entities because the Intake Form (DOT F 4500) is completed only once for each small business that seeks assistance.

Each company is assigned a unique Client Number within the centralized CRM system. This system indexes their application and ensures that once a business is enrolled, they do not need to re-submit information for subsequent assistance. All data is captured electronically to facilitate immediate validation and retrieval, minimizing the time spent on data entry.

6. Impact of less frequent collection of information. DESCRIBE THE CONSEQUENCE TO FEDERAL PROGRAM OR POLICY ACTIVITIES IF THE COLLECTION IS NOT CONDUCTED OR IS CONDUCTED LESS FREQUENTLY, AS WELL AS ANY TECHNICAL OR LEGAL OBSTACLES TO REDUCING BURDEN.

The Department of Transportation (DOT) requires current information to effectively assist small businesses in finding and competing for contract opportunities. If this data is not collected or is collected less frequently, the information becomes outdated, which prevents the Office of Small and Disadvantaged Business Utilization (OSDBU) from providing accurate outreach, training, and technical assistance.

Furthermore, reducing the frequency of collection would limit the effectiveness of the digital systems designed to store and retrieve data efficiently. Real-time data is essential for monitoring program performance and ensuring that the Department can actively help small businesses participate in DOT-funded projects.

7. Special Circumstances. EXPLAIN ANY SPECIAL CIRCUMSTANCES THAT WOULD CAUSE AN INFORMATION COLLECTION TO BE CONDUCTED IN A MANNER:

These collections are consistent with the guidelines in 5 CFR 1320.6.

8. Compliance with 5 CFR 1320.8(d). IF APPLICABLE, PROVIDE A COPY AND IDENTIFY THE DATE AND PAGE NUMBER OF PUBLICATION IN THE FEDERAL REGISTER OF THE AGENCY'S NOTICE, REQUIRED BY 5 CFR 1320.8(d), SOLICITING COMMENTS ON THE INFORMATION COLLECTION PRIOR TO SUBMISSION TO OMB. SUMMARIZE PUBLIC COMMENTS RECEIVED IN RESPONSE TO THAT NOTICE AND DESCRIBE ACTIONS TAKEN BY THE AGENCY IN RESPONSE TO THOSE COMMENTS. SPECIFICALLY ADDRESS COMMENTS RECEIVED ON COST AND HOUR BURDEN.

DESCRIBE EFFORTS TO CONSULT WITH PERSONS OUTSIDE THE AGENCY TO OBTAIN THEIR VIEWS ON THE AVAILABILITY OF DATA, FREQUENCY OF COLLECTION, THE CLARITY OF INSTRUCTIONS AND RECORDKEEPING, DISCLOSURE, OR REPORTING FORMAT (IF ANY), AND ON THE DATA ELEMENTS TO BE RECORDED, DISCLOSED, OR REPORTED.

CONSULTATION WITH REPRESENTATIVES OF THOSE FROM WHOM INFORMATION IS TO BE OBTAINED OR THOSE WHO MUST COMPILE RECORDS SHOULD OCCUR AT LEAST ONCE EVERY 3 YEARS--EVEN IF THE COLLECTION OF INFORMATION ACTIVITY IS THE SAME AS IN PRIOR PERIODS. THERE MAY BE CIRCUMSTANCES THAT MAY PRECLUDE CONSULTATION IN A SPECIFIC SITUATION. THESE CIRCUMSTANCES SHOULD BE EXPLAINED.

A notice (copy attached), pursuant to 5 CFR 1320.8(d), soliciting comments on the proposed approval of the information collection on, April 2, 2026, [FR Vol. 91, Page 16810. No comments were received.

9. Payment or gifts to respondents. EXPLAIN ANY DECISION TO PROVIDE ANY PAYMENT OR GIFT TO RESPONDENTS, OTHER THAN REMUNERATION OF CONTRACTORS OR GRANTEEES.

No payments or gifts are provided to respondents.

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

If an applicant desires that any information submitted in its application or any supplementary material not be released by the Department upon request from a member of the public or otherwise made publicly available, the applicant is directed to state so and directed to provide reasons why such information is confidential and should not be released, including particulars as to any competitive harm which would potentially result from the release of such information. The Department will handle requests from the public for release of information under its standard Freedom of Information Act procedures.

11. Justification for collection of sensitive information. PROVIDE ADDITIONAL JUSTIFICATION FOR ANY QUESTIONS OF A SENSITIVE NATURE, SUCH AS SEXUAL BEHAVIOR AND ATTITUDES, RELIGIOUS BELIEFS, AND OTHER MATTERS THAT ARE COMMONLY CONSIDERED PRIVATE. THIS JUSTIFICATION SHOULD INCLUDE THE REASONS WHY THE AGENCY CONSIDERS THE QUESTIONS NECESSARY, THE SPECIFIC USES TO BE MADE OF THE INFORMATION, THE EXPLANATION TO BE GIVEN TO PERSONS FROM WHOM THE INFORMATION IS REQUESTED, AND ANY STEPS TO BE TAKEN TO OBTAIN THEIR CONSENT.

There are no questions of a sensitive nature, such as those areas identified above.

12. Estimate of burden hours for information requested. PROVIDE ESTIMATES OF THE HOUR BURDEN OF THE COLLECTION OF INFORMATION. THE STATEMENT SHOULD:

Number of Annual Respondents: 2,527 (2,521 Clients + 6 Centers) Frequency of Response: On occasion (Intake) and Monthly (Reporting) Estimated Total Annual Burden: 3,853.5 Hours

Explanation of Burden Estimate:

The total burden is calculated based on two distinct groups of respondents:

1. Small Business Intake (Client Burden)
 - Respondents: 2,521 (Small Business Owners)
 - Frequency: One-time
 - Burden: 90 minutes (1.5 hours) to review instructions, retrieve documents (Tax returns, UEI/EIN, Bond history), and complete Parts A through E.
 - Calculation: 2,521 respondents x 1.5 hours = 3,781.5 hours.
2. SBTTAC Reporting (Center Burden)
 - Respondents: 6 (Center Directors/Staff)
 - Frequency: Monthly (12 times per year)

- Burden: 1 hour to validate data in the CRM.
- Calculation: 6 Centers x 12 months x 1 hour = 72 hours.

Justification for Monthly Reporting: The Department requires monthly data maintenance to ensure strict fiscal oversight and real-time performance monitoring. This frequency allows the 6 Centers to perform small, routine validations (approx. 60 minutes) of the data already entered into the CRM, rather than a significant quarterly reconciliation. This approach keeps information current for outreach and technical assistance activities without overwhelming Center staff.

Total Annual Burden Calculation: 3,781.5 hours (Clients) + 72 hours (Centers) = 3,853.5 Total Annual Burden Hours.

13. Estimate of the total annual costs burden. PROVIDE AN ESTIMATE OF THE TOTAL ANNUAL COST BURDEN TO RESPONDENTS OR RECORDKEEPERS RESULTING FROM THE COLLECTION OF INFORMATION. (DO NOT INCLUDE THE COSTS OF ANY HOUR BURDEN SHOWN IN ITEMS 12 AND 14).

- (a) Total capital/start-up costs: None
- (b) Total operation and maintenance: None

There are no capital or start-up costs associated with the SBTTAC Intake Form (DOT F 4500).

The information requested consists of data and records that are kept as part of customary and usual business practices. The burden extends no further than retrieving these existing materials. Additionally, the Center staff who assist in processing the DOT F 4500 are paid with grant money from the Federal Government, ensuring that the administration of the form does not impose an operational cost on the program participants.

14. Estimates of costs to the Federal Government. PROVIDE ESTIMATES OF ANNUALIZED COST TO THE FEDERAL GOVERNMENT. ALSO, PROVIDE A DESCRIPTION OF THE METHOD USED TO ESTIMATE COSTS, WHICH SHOULD INCLUDE QUANTIFICATION OF HOURS, OPERATIONAL EXPENSES SUCH AS EQUIPMENT, OVERHEAD, PRINTING, AND SUPPORT STAFF, AND ANY OTHER EXPENSE THAT WOULD NOT HAVE BEEN INCURRED WITHOUT THIS COLLECTION OF INFORMATION. AGENCIES ALSO MAY AGGREGATE COST ESTIMATES FROM ITEMS 12, 13, AND 14 IN A SINGLE TABLE.

The estimated annual cost to the Federal Government is \$12,137.

Method of Estimation: This cost is based on the salary of one General Schedule (GS) employee at the GS-14, Step 1 level in the Washington-Baltimore-Arlington locality (Projected FY2026 rates).

We estimate that a Program Manager spends approximately 176 hours per year (approx. 8-10% of one Full-Time Equivalent) administering this collection. Specific tasks include:

- Reviewing monthly submissions from the 6 Centers.
- Analyzing aggregate data for program effectiveness.
- Providing technical assistance to Centers regarding data entry.
- Preparing internal agency reports based on the collected data.

Calculation:

- Hourly Rate: \$68.96 (Estimated FY26 rate for GS-14, Step 1).
- Hours: 176 hours.
- Total: \$68.96 x 176 = \$12,136.96 (Rounded to \$12,137).

15. Explanation of the program change or adjustments. EXPLAIN THE REASONS FOR ANY PROGRAM CHANGES OR ADJUSTMENTS REPORTED IN ITEMS 13 OR

The program change reflects a revision to the Intake Form (DOT F 4500) designed to streamline the collection process while improving data quality. Specifically, the previous "Part D - Access to Capital (Additional Information)" has been eliminated, removing the significant burden on respondents to calculate and narrate complex financial data such as "Gross Profit Margin," "Market Position," and "3-Year Revenue Projections". Additionally, the requirement for historical business data (employees and revenue) has been reduced from three years to two years, further decreasing the time required to complete the form.

To replace these narrative sections with more actionable data, the form now includes targeted questions that allow for precise outcome tracking. A new "Part D - Baseline Metrics" collects a simplified current employment snapshot (Full Time vs. Part Time) to accurately measure job creation. Furthermore, Part C has been expanded to allow clients to check specific boxes for distinct goals (e.g., Working Capital, Growth Capital), and a new Question 17 identifies primary capital sources (e.g., Owner funded, Bank loan) via checkbox, streamlining the intake interview.

Finally, the reporting frequency for SBTACs has been adjusted from quarterly to monthly. This shift allows OSDU to track grantee performance and economic impact in real-time, ensuring federal funds are utilized effectively throughout the fiscal year. Monthly reporting facilitates immediate technical assistance for underperforming Centers and prevents the administrative burden and error rates associated with reconciling large volumes of data at the end of each quarter.

16. Publication of results of data collection. FOR COLLECTIONS OF INFORMATION WHOSE RESULTS WILL BE PUBLISHED, OUTLINE PLANS FOR TABULATION, AND PUBLICATION. ADDRESS ANY COMPLEX ANALYTICAL TECHNIQUES THAT WILL BE USED. PROVIDE THE TIME SCHEDULE FOR THE ENTIRE PROJECT, INCLUDING BEGINNING AND ENDING DATES OF THE COLLECTION OF INFORMATION, COMPLETION OF REPORT, PUBLICATION DATES, AND

OTHER ACTIONS.

Not Applicable.

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

Expiration dates should be displayed.

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

Not Applicable.

Part B. Collections of Information Employing Statistical Methods.

Not Applicable.