

*Number of Responses:* 68.

*Total Annual Burden:* 20 hours and \$2,000.

**17. Writing and Submitting Narratives of Social and Economic Disadvantage When Applying for DBE Certification Based on an Individualized Showing of Disadvantage**

The DBE program is intended to be as inclusive as possible while still remaining narrowly tailored. Individuals who are not members of groups whose members are presumed socially and economically disadvantaged may still qualify for DBE certification. Appendix E of the regulation states that to demonstrate their eligibility, these individuals must submit a narrative describing the individual's experiences of social disadvantage and a separate narrative in which the individual describes why the individual is economically disadvantaged. This information collection is critical for ensuring that only fully qualified firms receive DBE certification.

*Respondents:* DBE certification applicants whose owners are not presumed socially and economically disadvantaged under the DBE regulation.

*Number of Respondents:* 264.

*Frequency:* Once.

*Number of Responses:* 264.

*Total Annual Burden:* 90 hours and \$8,000.

*Public Comments Invited:* You are asked to comment on any aspect of this information collection, including (a) Whether the proposed collection of information is necessary for the Department's performance; (b) the accuracy of the estimated burden; (c) ways for the Department to enhance the quality, utility and clarity of the information collection; and (d) ways that the burden could be minimized without reducing the quality of the collected information. The agency will summarize and/or include your comments in the request for OMB's clearance of this information collection.

*Authority:* The Paperwork Reduction Act of 1995; 44 U.S.C. Chapter 35, as amended; and 49 CFR 1.48.

Issued in Washington, DC on September 8, 2021.

**Irene B. Marion,**

*Director, Departmental Office of Civil Rights,  
U.S. Department of Transportation.*

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**DEPARTMENT OF TRANSPORTATION**

**Office of the Secretary**

[Docket No. DOT-OST-2021-0105]

**Agency Request for Renewal of a Previously Approved Information Collection(s): Disadvantaged Business Enterprise (DBE) Program Collections**

**AGENCY:** Office of the Secretary, Department of Transportation.

**ACTION:** Notice and request for comments.

**SUMMARY:** The Department of Transportation (DOT) invites public comments about our intention to request the Office of Management and Budget (OMB) approval to renew information collections associated with DOT's Disadvantaged Business Enterprise (DBE) and Airport Concessions DBE (ACDBE) program. These collections are: Uniform Report of DBE Awards or Commitments and Payments, the Uniform Certification Application (UCA), Annual Affidavit of No Change, DOT Personal Net Worth Form, and Reporting Requirements for Percentages of DBEs in Various Categories.

**DATES:** Written comments should be submitted by October 15, 2021.

**ADDRESSES:** You may submit comments [identified by Docket No. DOT-OST-2021-0105] through one of the following methods:

- *Federal eRulemaking Portal:* <http://www.regulations.gov>. Follow the online instructions for submitting comments.
- *Fax:* 1-202-493-2251.
- *Mail or Hand Delivery:* Docket Management Facility, U.S. Department of Transportation, 1200 New Jersey Avenue SE, West Building, Room W12-140, Washington, DC 20590, between 9 a.m. and 5 p.m., Monday through Friday, except on Federal holidays.

**FOR FURTHER INFORMATION CONTACT:** Marc Pentino, (202)366-6968, [marc.pentino@dot.gov](mailto:marc.pentino@dot.gov), or Aarathi Haig, [aarathi.haig@dot.gov](mailto:aarathi.haig@dot.gov)/Departmental Office of Civil Rights, Office of the Secretary, U.S. Department of Transportation, 1200 New Jersey Avenue SE, Washington, DC, 20590

**SUPPLEMENTARY INFORMATION:** All five collections were previously approved under one OMB Control Number to allow DOT to more efficiently administer the DBE program. The information to be collected is necessary because it helps to ensure that State and local recipients that let federally funded contracts carry out their mandated responsibility to provide a level playing field for small businesses owned and controlled by socially and economically

disadvantaged individuals. We are required to publish this notice in the **Federal Register** by the Paperwork Reduction Act of 1995, 44 U.S.C. Chapter 35, as amended (Pub. L. 104-13).

*OMB Control Number:* 2105-0510.

*Title:* Disadvantaged Business Enterprise Program Collections.

*Form Numbers:* Not applicable.

*Type of Review:* Renewal of an information collection.

*Background:* DOT's DBE program is mandated by statute, including Section 1101(b) of the Fixing America's Surface Transportation Act (FAST Act) (Pub. L. 114-94) and 49 U.S.C. 47113. The Department's final regulations implementing these statutes are 49 CFR parts 23 and 26. The program is implemented by recipients of DOT financial assistance (State highway agencies, transit authorities, and airports).

The "Uniform Report of DBE Awards or Commitments and Payments" is necessary for the Department to be able to carry out its oversight responsibilities. It implements statutory reporting requirements and 49 CFR 26.11 and 26.47.

The "Uniform Certification Application Form" is required under 49 CFR 26.83(c)(2) and is necessary for determining whether a particular firm qualifies for DBE certification.

The "Annual Affidavit of No Change" is mandated under 49 CFR 26.83(j) and is necessary to ensure the integrity of the DBE program that requires DBEs annually state that they remain eligible for the program.

The "Personal Net Worth Form" is necessary to implement the requirement found in 49 CFR 26.67(a)(2) that a firm applying for DBE status must certify that the personal net worth of the disadvantaged owner(s) on whom the firm relies for certification eligibility does not exceed the current limit of \$1.32 million.

The "Percentages of DBEs in Various Categories" collection is necessary to implement a long-standing statutory requirement calling on States to report annually, a list of small businesses certified as DBEs that are owned and controlled by socially and economically disadvantaged individuals, most recently included at section 1101(b)(4)(A) and (B) of the FAST Act. Submission of this information will also satisfy 49 CFR 26.11(e).

The information collections support one of DOT's strategic objectives of mission efficiency and support. The collection also helps ensure that State and local recipients that let federally funded contracts carry out their

mandated responsibility to ensure that only eligible small businesses owned and controlled by socially and economically disadvantaged individuals may compete for such contracts.

#### Uniform Report of DBE Awards/Commitments and Payments

*Respondents:* State and local recipients of DOT funds.

*Number of Respondents:* 1,198 recipients.

*Frequency:* Once/twice a year.

*Number of Responses:* 1,198 (one per recipient).

*Total Annual Burden:* 315 hours and \$61,000.

#### Uniform Certification Application Form

*Respondents:* Firms applying for initial DBE or ACDBE certification.

*Number of Respondents:* 9,500.

*Frequency:* Once during initial certification.

*Number of Responses:* 9,500 (one per respondent).

*Total Annual Burden:* 40 hours and \$2,000.

#### Annual Affidavit of No Change

*Respondents:* Firms that have DBE or ACDBE certification.

*Number of Respondents:* 45,525 (41,800 DBEs and 3,725 ACDBEs).

*Frequency:* Once per year.

*Number of Responses:* 45,525 (one per respondent).

*Total Annual Burden:* 91,050 hours (2 hours/respondent \* 45,525 respondents) and \$4,552,500 (\$100/respondent \* 45,525 respondents).

#### Personal Net Worth Form

*Respondents:* Firms applying for DBE or ACDBE certification.

*Number of Respondents:* 9,500.

*Frequency:* Once.

*Number of Responses:* 9,500.

*Total Annual Burden:* 95,000 hours (10 hours/respondent \* 9,500 respondents) and \$28.5 million (\$150/hour x 10 hours/respondent = \$1,500/respondent; \$1,500/respondent \* 9,500 respondents = \$14.25 million).

#### Percentage of DBEs in Various Categories

*Respondents:* States (through their Unified Certification Programs).

*Number of Respondents:* 53 (50 states, plus the District of Columbia, Puerto Rico, and the Northern Mariana Islands).

*Frequency:* Once per year.

*Number of Responses:* 53.

*Total Annual Burden:* 180 hours and \$10,000.

*Public Comments Invited:* You are asked to comment on any aspect of this

information collection, including (a) Whether the proposed collection of information is necessary for the Department's performance; (b) the accuracy of the estimated burden; (c) ways for the Department to enhance the quality, utility and clarity of the information collection; and (d) ways that the burden could be minimized without reducing the quality of the collected information. The agency will summarize and/or include your comments in the request for OMB's clearance of this information collection.

*Authority:* The Paperwork Reduction Act of 1995; 44 U.S.C. Chapter 35, as amended; and 49 CFR 1.48.

Issued in Washington, DC on September 8, 2021.

**Irene B. Marion,**

*Director, Departmental Office of Civil Rights, U.S. Department of Transportation.*

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### DEPARTMENT OF THE TREASURY

#### Community Development Financial Institutions Fund

#### Notice of Information Collection and Request for Public Comment

**ACTION:** Notice and request for comments.

**SUMMARY:** The U.S. Department of the Treasury, as part of its continuing effort to reduce paperwork and respondent burden, invites the general public and other Federal agencies to take this opportunity to comment on proposed and/or continuing information collections, as required by the Paperwork Reduction Act of 1995. Currently, the Community Development Financial Institutions (CDFI) Fund, a wholly owned government corporation within the Department of the Treasury, is soliciting comments concerning the CDFI Bond Guarantee Program's information collection. The CDFI Bond Guarantee Program proposes minor revisions to the existing approved forms and is seeking approval for a Tertiary Loan Monitoring (TLM) Report.

**DATES:** Written comments should be received on or before November 15, 2021 to be assured of consideration.

**ADDRESSES:** Direct all comments to Susan Suckfiel, CDFI Bond Guarantee Program Manager, at the Community Development Financial Institutions Fund, U.S. Department of the Treasury, at [bgp@cdfi.treas.gov](mailto:bgp@cdfi.treas.gov).

**FOR FURTHER INFORMATION CONTACT:** You may request a copy of the Tertiary Loan

Monitoring Report and current information collection by emailing Susan Suckfiel, CDFI Bond Guarantee Program Manager, at [bgp@cdfi.treas.gov](mailto:bgp@cdfi.treas.gov). Requests for additional information should be directed to Susan Suckfiel, CDFI Bond Guarantee Program Manager, at the Community Development Financial Institutions Fund, U.S. Department of the Treasury, 1500 Pennsylvania Avenue NW, Washington, DC 20220, (202) 653-0421, option 5 (not a toll-free number), or by email to [bgp@cdfi.treas.gov](mailto:bgp@cdfi.treas.gov).

**SUPPLEMENTARY INFORMATION:** The information collection currently includes the following applications and reports: (1) Qualified Issuer Application (including, Appendix QI-2E), (2) Guarantee Application (including, Appendices A-2A, A-2C, and B-ID), (3) Secondary Loan Requirements Certification, (4) Financial Condition Monitoring (FCM) Report, (5) Pledged Loan Monitoring (PLM) Report, (6) Annual Assessment Report, and (7) Secondary Loan Commitment Form. Regarding the minor edits, for the Pledged Loan Monitoring Report, there is an additional field, column (14f) the 'Pledged Loan Date'; also, several unused fields were removed. For the Secondary Loan Commitment Form, the following additional rows were added to the signature line: Bond Identifier, Reviewing Official Name, and Approving Official Name. The Guarantee Application was updated to reflect a new year (2021) application round and new application deadlines. The minor revisions to the Guarantee Application are: the addition of a clarifying paragraph regarding applications which are deferred until a subsequent application round, updated AMIS charts and instructions, a reference to the new sample template to the Term Sheet, and the deletion of references to additional collateral requirements and third party support that are no longer applicable. Lastly, the Qualified Issuer application received the following minor updates: references to a new year (2021) application round, new application deadlines, and AMIS charts and instructions. The proposed Tertiary Loan Report will provide the CDFI Fund with information to monitor this type of collateral for the program that otherwise is not collected.

*The total information collection:* (1) Qualified Issuer Application, (2) Guarantee Application, (3) Secondary Loan Requirements Certification, (4) Financial Condition Monitoring Report, (5) Pledged Loan Monitoring Report, (6) Tertiary Loan Monitoring Report, (7) Annual Assessment Report, and (8)