

Paperwork Reduction Act Submission

Please read the instruction before completing this form. For additional forms or assistance in completing this forms, contact your agency's Paperwork Reduction Officer. Send two copies of this form, the collection instrument to be reviewed, the Supporting Statement, and any additional documentation to: Office of Information and Regulatory Affairs, Office of Management and Budget, Docket Library, Room 10102, 725 Seventeenth St. NW, Washington, DC 20503.

1. Agency/Subagency Originating Request: U.S. Department of Housing and Urban Development Office of Public and Indian Housing, Office of Field Operations	2. OMB Control Number: a. 2577-0237 b.
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3. Type of information collection: (check one) a. <input type="checkbox"/> New Collection b. <input type="checkbox"/> Revision of a currently approved collection c. <input checked="" type="checkbox"/> Extension of a currently approved collection d. <input type="checkbox"/> Reinstatement, without change , of previously approved collection for which approval has expired e. <input type="checkbox"/> Reinstatement, with change , of previously approved collection for which approval has expired f. <input type="checkbox"/> Existing collection in use without an OMB control number For b-f, note item A2 of Supporting Statement instructions.	4. Type of review requested: (check one) a. <input checked="" type="checkbox"/> Regular b. <input type="checkbox"/> Emergency - Approval requested by c. <input type="checkbox"/> Delegated 5. Small entities: Will this information collection have a significant economic impact on a substantial number of small entities? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No 6. Requested expiration date: a. <input checked="" type="checkbox"/> Three years form approval date b. <input type="checkbox"/> Other (specify)
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7. Title: Public Housing Assessment System (PHAS) Memorandum of Agreement (MOA), MOA Monthly Report, and Improvement Plan (IP)

8. Agency form number(s): (if applicable)
Forms HUD-53336-A, 53336-Bi, 53336-B, 53337, 53337i and 53338

9. Keywords:
'Housing, public housing, housing management'

10. Abstract: A Public Housing Agency (PHA) which is designated Troubled or substandard under the Public Housing Assessment System (PHAS) must enter into a Memorandum of Agreement (MOA) with HUD to outline its planned improvements. Similarly, a PHA which is a standard performer, but receives a total PHAS score of less than 70% but not less than 60% is required to submit an Improvement Plan (IP). These plans are designed to address deficiencies in a PHA's operations found through the PHAS assessment process (management, financial, physical, or resident related) and any other deficiencies identified by HUD through independent assessments or other methods.

11. Affected public: (mark primary with "P" and all others that apply with "X") a. Individuals or households e. Farms b. Business or other for-profit f. Federal Government c. Not-for-profit institutions g. <input checked="" type="checkbox"/> State, Local or Tribal Government	12. Obligation to respond: (mark primary with "P" and all others that apply with "X") a. Voluntary b. <input checked="" type="checkbox"/> Required to obtain or retain benefits c. Mandatory
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13. Annual reporting and recordkeeping hour burden: a. Number of respondents 354 b. Total annual responses 2,184 Percentage of these responses collected electronically 0 c. Total annual hours requested 25,134 d. Current OMB inventory 34,026 e. Difference (+,-) -8,892 f. Explanation of difference: 1. Program change: 2. Adjustment: -8.892	14. Annual reporting and recordkeeping cost burden: (in thousands of dollars) a. Total annualized capital/startup costs 0 b. Total annual costs (O&M) 0 c. Total annualized cost requested 0 d. Total annual cost requested 0 e. Current OMB inventory 0 f. Explanation of difference: 1. Program change: 2. Adjustment:
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15. Purpose of Information collection: (mark primary with "P" and all others that apply with "X") a. Application for benefits e. <input checked="" type="checkbox"/> Program planning or management b. <input checked="" type="checkbox"/> Program evaluation f. Research c. General purpose statistics g. <input checked="" type="checkbox"/> Regulatory or compliance d. Audit	16. Frequency of recordkeeping or reporting: (check all that apply) a. <input type="checkbox"/> Recordkeeping b. <input type="checkbox"/> Third party disclosure b. <input checked="" type="checkbox"/> Reporting: 1. <input type="checkbox"/> On occasion 2. <input type="checkbox"/> Weekly 3. <input checked="" type="checkbox"/> Monthly 4. <input checked="" type="checkbox"/> Quarterly 5. <input type="checkbox"/> Semi-annually 6. <input type="checkbox"/> Annually 7. <input type="checkbox"/> Biennially 8. <input checked="" type="checkbox"/> Other (describe) When designated troubled.
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17. Statistical methods: Does this information collection employ statistical methods? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	18. Agency contact: (person who can best answer questions regarding the content of this submission) Name: Patricia A. Knight, Director, Recovery and Prevention Corps. Phone: (216) 357-7780
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19. Certification for Paperwork Reduction Act Submissions

On behalf of this Federal Agency, I certify that the collection of information encompassed by this request complies with 5 CFR 1320.9.

Note: The text of 5 CFR 1320.9, and the related provisions of 5 CFR 1320/8(b)(3). Appear at the end of the instructions. The certification is to be made with reference to those regulatory provisions as set forth in the instructions.

The following is a summary of the topics, regarding the proposed collections of information, that the certification covers:

- (a) It is necessary for the proper performance of agency functions;
- (b) It avoids unnecessary duplication;
- (c) It reduces burden on small entities;
- (d) It uses plain, coherent, and unambiguous terminology that is understandable to respondents;
- (e) Its implementation will be consistent and compatible with current reporting and recordkeeping practices;
- (f) It indicates the retention periods for recordkeeping requirements;
- (g) It informs respondents of the information called for under 5 CFR 1320.8(b)(3):
 - (i) Why the information is being collected;
 - (ii) Use of the information;
 - (iii) burden estimate;
 - (iv) Nature of response (voluntary, required for a benefit, or mandatory);
 - (v) Nature and extent of confidentiality; and
 - (vi) Need to display currently valid OMB control number;
- (h) It was developed by an office that has planned and allocated resources for the efficient and effective management and use of the information to collected (see note in item 19 of the instructions);
- (i) It uses effective and efficient statistical survey methodology; and
- (j) It makes appropriate use of information technology.

If you are unable to certify compliance with any of these provisions, identify the item below and explain the reason in item 18 of the Supporting Statement.

Signature of Program Official: X Donald J. LaVoy, Deputy Assistant Secretary, Office of Field Operations, Public and Indian Housing	Date:
Signature of Senior Officer or Designee: X Colette Pollard, Departmental Reports Management Officer Office of the Chief Information Officer	Date:

Supporting Statement for Paperwork Reduction Act Submissions

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.

Section 502 of the National Affordable Housing Act of 1990 (the 1990 Act) implemented section 6(j) of the United States Housing Act of 1937 and established seven specific indicators and directs the Secretary to develop no more than five other factors (indicators) deemed appropriate to assess the management performance of public housing agencies (PHAs) in all major areas of management operations. The 1990 Act further states that such indicators shall be used to designate troubled PHAs and PHAs that are troubled with respect to the program for assistance from the Capital Fund under Section 9. HUD shall enter into a Memorandum of Agreement (MOA), forms HUD-53336-A and 53336-B, which will address failed indicators, with troubled PHAs and PHAs troubled with respect to the program for assistance from the Capital Fund (Capital Fund Troubled). In addition, the Secretary is required by the 1990 Act to annually report on the status of troubled PHAs and PHAs troubled with respect to the program for assistance from the Capital Fund.

The program originally developed by the Department was the Public Housing Management Assessment Program (PHMAP) and included a total of 12 indicators; this program was revised to have 8 indicators in later years. In response to HUD's 2020 Management Reform Plan and the Quality Housing Work Responsibility Act of 1998 (Public Housing Reform Act (PHRA)), the Department has developed the Public Housing Assessment System (PHAS). The purpose of PHAS is to enhance public trust by creating a comprehensive management tool that effectively and fairly measures a PHA's performance based on standards that are objective, uniform, and verifiable. The total number of indicators has been reduced to four (4) in PHAs, with sub-indicators and components as follows: #1-physical condition, #2-financial condition, #3-management operations, #4-resident services and satisfaction.

A troubled PHA is one which has received an overall PHAS score of less than 60% of the total points available, or achieves a score of less than 60% of the total points available under PHAS indicators #1, #2, or #3. A PHA is troubled with respect to the program for assistance from the Capital Fund if it receives less than 60 percent of the maximum calculation for the modernization sub-indicator under PHAS indicator #3.

In accordance with 24 CFR 902.1(b) of the final rule, the Real Estate Assessment Center (REAC) is the responsible office for the PHAS assessment. These four indicators will be used by the REAC to annually assess all PHAs at the end of a PHA's fiscal year to allow the Department to fulfill the mandate of the 1990 Act in a fair and efficient manner.

HUD is required by Section 6(j)(2)(C) of the 1937 Act and 24 CFR 902.75 to enter into an agreement (MOA), which will set forth a plan to address the deficient indicators as a result of the assessment. The MOA shall establish targets for improving performance as measured by the performance indicators within a specified period of time; strategies for meeting such targets, including a description of the technical assistance that HUD will make available to a troubled PHA; and incentives or sanctions for effective implementation of such strategies, which may include any constraints on the use of funds that HUD determines are appropriate. HUD and the PHA shall, to the maximum extent practicable, seek the assistance of local and private entities in carrying out the MOA.

Under the Quality Housing and Work Responsibility Act of 1998 (Public Housing Reform Act - PHRA), Section 6(k)(3)(B)(ii)(I) and (ii), a specific timetable was implemented with serious consequences for failure to achieve improvement. PHRA requires a troubled PHA to 1) improve its assessment score by a minimum of 50% of the

points necessary to remove that agency's designation as troubled within 1 year of designation, and 2) achieve a standard assessment within a maximum of two years. Failure to achieve these benchmarks requires the Secretary to petition for receivership for large PHAs of 1250 units or more or, for those with less than 1250 units, either petition for receivership or take possession of the authority and appoint an administrative receiver (see Section 6(j)(3)(B)(ii) of the 1937 Housing Act, as amended). These statutorily limited timetables require that HUD concentrate additional effort toward assuring that troubled PHAs are acting in accordance with their MOA and that the MOA is sufficient to achieve standard performer status in a limited timeframe. In order for HUD to remotely monitor the progress of troubled and/or mod-troubled PHAs, PHAs will now be required to submit periodic MOA performance progress reports to HUD (form HUD-53337). The purpose of the MOA progress report is to enable HUD to ascertain whether a troubled PHA is meeting the performance targets within the specified period of time; whether strategies for meeting the targets need to be revised; whether additional technical assistance from HUD is required to assist a troubled PHA in improving performance; whether it is appropriate to impose sanctions on a troubled PHA for failing to meet performance targets within the specified period of time.

It is clearly the intent of Section 502 of the 1990 Act to assess the performance capabilities of PHAs, identify deficiencies, provide for the improvement of deficiencies, and finally improve the management performance of PHAs. With this intent, 24 CFR Section 902.73 states that a standard performer that receives a total score of less than 70 percent but not less than 60 percent shall be required to submit an Improvement Plan (IP) form HUD-53338, to eliminate deficiencies in the PHA's performance. A standard performer that receives a score of not less than 70 percent may be required, at the discretion of the appropriate HUB/PC, to submit an IP to address specific deficiencies. An IP shall identify baseline data for each PHA's indicator or sub-indicator that was identified as a deficiency, identify any other performance and/or compliance deficiencies identified as a result of an on-site review, describe the procedures that will be followed to correct each deficiency, and provide for or facilitate technical assistance to the PHA.

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 information provided by PHAs will be used by HUD to ascertain whether a troubled and/or capital fund troubled PHA, or a PHA that is required to submit an IP, is meeting the performance targets within the specified period of time; whether strategies for meeting the targets within the specified period of time need to be revised; whether additional technical assistance from HUD is required to assist the PHA in improving performance; whether it is appropriate to require further improvement efforts or impose sanctions on a PHA for failing to meet performance targets within the specified period of time.

In addition, HUD will use this information to practice accountability monitoring and risk management as well as to determine the type, scope, and frequency of HUD reviews of such PHAs and subsequent areas of required technical assistance to such PHAs. If the information were not required to be collected, HUD would not be able to fulfill the statutory requirements of the PHRA and the regulatory requirements of 24 CFR Section 902.73 and 902.75.

Similar collections were performed under HUD's previous assessment system (PHMAP). These collections (forms HUD 53332, MOA; 53333, MOA Quarterly Performance Target Progress Report; 53334, IP; and 53335, IP Quarterly Performance Target Progress Report, under OMB approval 2577-0179) contributed to improved risk management monitoring processes at HUD and revisions to the assessment system to be used by HUD under the PHRA changes. Under PHAS, the documents that have been developed to set forth performance targets and monitor progress include the MOA and instructions, Parts A and B (forms HUD-53336-A and B), which include the agreement between the PHA and HUD, and the accompanying performance targets and strategies tailored for each PHA's needs; the MOA performance progress report and instructions (form HUD-53337), and the IP (form HUD-53338). HUD staff will work in collaboration with each individual PHA to develop PHA-specific performance targets and strategies to address the specific weaknesses and deficiencies identified by PHAS.

Included with the MOA – Part B instructions are a comprehensive (but not all inclusive) list of possible performance targets and strategies (without timeframes). This list will assist the PHA to incorporate appropriate initiatives in its MOA or IP. This list is a planning tool, which contains key legislative, regulatory, and program-specific references.

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.

PHAs may access the MOA and IP documents from a web site and return them to HUD via electronic mail. As part of HUD's GPEA transactions report, inclusion of the MOA and IP are budgeted as part of the '05 capital planning process for expanding the automated PIH Information Center (PIC) system to include a module to collect MOA and IP information.

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.

There will be no duplication of information.

5. If the collection of information impacts small businesses or other small entities (Item 5 of OMB Form 83-I) describe any methods used to minimize burden.

The collection of information will not impact on small businesses or small entities.

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.

This information cannot be collected less frequently due to the statutory requirement for the Secretary to report to Congress annually on the status of troubled PHAs and Capital Fund Troubled PHAs. Further, with the statutory recovery requirements imposed by PHRA, periodic MOA reporting is necessary in order to assure that PHAs are on track with their recovery efforts and that the efforts are having the desired effect in order to prevent HUD take-over of failing PHAs within one year of designation as troubled. It is expected that field offices will require PHAs to report progress at least quarterly.

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 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 than 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.

This information cannot be collected less frequently due to the statutory requirement for the Secretary to report to Congress annually on the status of troubled PHAs and Capital Fund Troubled PHAs. Further, with the statutory recovery requirements imposed by PHRA, regular periodic MOA reporting is necessary in order to assure that PHAs are on track with their recovery efforts and that the efforts are having the desired effect in order to prevent HUD take-over of failing PHAs within one year of designation as troubled.

8. The information collection was announced in the *Federal Register*, Volume 76, page 5394, on January 31, 2011. No comments were received.
9. Explain any decision to provide any payment or gift to respondents, other than remuneration of contractors or grantees.

There are no provisions to provide any payment or gifts to respondents, other than remuneration of contractors or grantees.

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

The information collection is public information; therefore, there is no assurance of confidentiality provided to PHAs.

11. 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 included in the information to be collected.

12. Provide estimates of the hour burden of the collection of information. The statement should:
 - indicate the number of respondents, frequency of response, annual hour burden, and an explanation of how the burden was estimated. Unless directed to do so, agencies should not conduct special surveys to obtain information on which to base hour burden estimates. Consultation with a sample (fewer than 10) of potential respondents is desirable. If the hour burden on respondents is expected to vary widely because of differences in activity, size, or complexity, show the range of estimated hour burden, and explain the reasons for the variance. Generally estimates should not include burden hours for customary and usual business practices;
 - if this request covers more than one form, provide separate hour burden estimates for each form and aggregate the hour burdens in Item 13 of OMB Form 83-I; and
 - provide estimates of annualized cost to respondents for the hour burdens for collections of information, identifying and using appropriate wage rate categories. The cost of contracting out or paying outside parties for information collection activities should not be included here. Instead this cost should be included in Item 13.

Annualized Burden Hour Costs equal 25,134 hours x \$30/hour for professional staff to research and prepare MOA and IP documents for a total of \$754,020.

13. Provide an estimate 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 estimate 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 purchase of services component. The estimates should take into account costs associated with generating, maintaining, and

disclosing or providing the information. Include descriptions of methods used to estimate major cost factors including system and technology acquisition, expected useful life of capital equipment, the discount rate(s) and the time period over which costs will be incurred. Capital and start-up costs include, among other items, preparations for collecting information such as purchasing computers and software; monitoring, sampling, drilling and testing equipment; and record storage facilities;

- If cost estimates are expected to vary widely, agencies should present ranges of cost burdens and explain the reasons for the variance. The cost of purchasing or contracting out information collection services should be a part of this cost burden estimate. In developing cost burden estimates, agencies may consult with a sample of respondents (fewer than 10) utilize the 60-day pre-OMB submission public comment process and use existing economic or regulatory impact analysis associated with the rulemaking containing the information collection, as appropriate.
- generally, estimates should not include purchases of equipment or services, or portions thereof made: (1) prior to October 1, 1995, (2) to achieve regulatory compliance with requirements not associated with the information collection, (3) for reasons other than to provide information or keep records for the government, or (4) as part of customary and usual business or private practices.

There are no additional capital or start-up or operational costs associated with this collection of information that a PHA would not ordinarily incur in conducting its business. All reporting which is required, would be required of any agency that was effectively managing its resources.

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. Agencies also may aggregate cost estimates from Items 12, 13, and 14 in a single table.

PHA Unit Size	Number of MOA Respondents	Number of MOA Progress Report Respondents	Number of IP Respondents	Annual Responses	Hours Per Response	Burden Hours
	HUD- 53336 –A Part A of MOA HUD- 53336 –Bi Instructions for Part B of MOA HUD- 53336 –B Part B of MOA	HUD- 53337i – Instructions for Progress Report HUD- 53337 – Progress Report	HUD- 53338 – Improvement Plan			
1-249	111			1	10	1,110
250-1,249	50			1	16	800
1,250+	11			1	40	440
1-249		111		4	24	10,656
250-1,249		50		4	40	8,000
1,250+		11		4	80	3,520
1-249			6	4	8	192
250-1,249			2	4	12	96
1,250+			2	4	40	320
Total Reporting Burden						25,134

Annualized Burden Hour Costs equal 25,134 hours x \$34.34/hour for professional staff to research and prepare MOA and IP documents for a total of \$863,101. This cost was based on the salary of GS-13 step 1 staff creating, monitoring and responding to these collection documents.

15. Explain the reasons for any program changes or adjustments reported in Items 13 and 14 of the OMB Form 83-I.

The reduction in burden hours reflects a fewer number of PHAs with current PHAS scores below the thresholds prompting the requirements for MOAs and IPs. The decrease in the burden hours used in this renewal resulted from the decrease in troubled PHAs from the 2008 renewal. In 2008, the Department used 201 troubled PHAs in calculating the burden hours for this collections tool. However, preparing for this renewal actual data from 2008 through 2010 demonstrated that the average number of troubled PHAs is 172. Therefore, since the number of inputs (troubled PHAs) was reduced, the burden hours and costs for this collection tool reduced. No other aspects of this form or tool have been altered. The average number of troubled PHAs being reduced during the period of 2008 and 2010 can be attributed transition year one and two scoring as the Department moves toward a new scoring model reflective of asset management.

16. For collection 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 collection of this information will not be published for statistical use, but will be used to comply with the statutory requirements in the 1990 Act and PHRA that the Secretary designate troubled PHAs and Capital Fund Troubled PHAs, work with PHAs to resolve identified deficiencies, and annually report on their status.

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.

HUD does not seek approval not to display the expiration date for OMB approval for this collection.

18. Explain each exception to the certification statement identified in item 19.

There are no exceptions to the certification statement identified in item 19.

B. Collections of Information Employing Statistical Methods

This collection does not employ statistical methods.