

- Assess the management and financial capability of HCAs to carry out their missions relative to the HUD Housing Counseling Program;
- Assist HUD staff in detecting any conflicts of interest or activities that may not be permissible;
- Assist HUD staff in assessing whether participating organizations are meeting basic programmatic and grant administrative requirements and maintaining staff with the appropriate experience;
- Periodically, as determined by HUD, ensure that participating organizations have performed according to their housing counseling work plans and provide HUD with any information on changes that may impact the participating organization's performance;
- Ensure compliance and monitor activity to keep the risk to the federal government at a minimum by reviewing quarterly form HUD-9902, *Housing Counseling Agency Activity Report* (OMB Control No. 2502-0261); and
- Give HUD the opportunity to provide technical assistance to participating housing counseling agencies.

The majority of the information required under this information collection is maintained by the affected organizations in the normal course of business with HUD, and HUD ascribes

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.

The arrangement of the questions on the form HUD-9910 allows for an electronic ease of completion. HUD staff and HUD agencies will be able to complete the electronic form regardless if the review is an on-site or desk/remote monitoring review. Staff will provide

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.

HUD makes every effort to minimize the burden of information collection on participating organizations. HUD makes every effort to assure no duplication of information is collected elsewhere. HUD makes every effort to assure no duplication of information is collected elsewhere.

5. If the collection of information impacts small businesses or other small entities (Item 5 of OMB Form 83-1), describe any methods used to minimize burden.

HUD makes every effort to minimize the burden of information collection on participating organizations. HUD makes every effort to assure no duplication of information is collected elsewhere. HUD makes every effort to assure no duplication of information is collected elsewhere.

Additionally, the use of the electronic file data that will be captured through client management systems will also further reduce the burden.

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.

The data collected within form HUD-9910 is not shared with any external entities. The only internal program office that would have access to the form would be the Office of the Inspector General when an internal audit for OHC would be scheduled.

Ascertaining the professional, financial, and management capacity of HUD Housing Counseling Program participating organizations to provide adequate housing counseling services is necessary to comply with the requirements of the Housing and Urban Development Act and to ensure that grant funded organizations comply with HUD and OMB administrative and financial regulations. If this information is not collected, HUD would be unable to effectively monitor the Housing Counseling Program to guard against waste, fraud, abuse, or inappropriate program practices that may pose a risk to the program. This collection provides the means to meet that obligation. HUD publishes a web list of HUD approved Housing Counseling Agencies located at <https://apps.hud.gov/offices/hsg/sfh/hcc/hcs.cfm> and maintains a toll-free housing counseling hotline ((800) 569-4287). Performance reviews help HUD ensure that individuals seeking assistance from these participating agencies can have confidence in the quality of services that they will receive.

7. Explain any special circumstances that would cause an information collection to be conducted in a manner: (PLEASE ANSWER EACH BULLET SEPARATELY)

- * requiring respondents to report information to the agency more often than quarterly;
 - **There are no special circumstances requiring this type of action.**

- * requiring respondents to prepare a written response to a collection of information in fewer than 30 days after receipt;
 - * **There are no special circumstances requiring this type of action.**

- * requiring respondents to submit more than an original and two copies of any document;
 - * **There are no special circumstances requiring this type of action.**

- * requiring respondents to retain records, other than health, medical, government contract, grant-in-aid, or tax records, for more than three years;
 - There are no special circumstances requiring this type of action.**

- * 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;
 - * **Statistical surveys are not associated with this collection.**

- * requiring the use of a statistical data classification that has not been reviewed and approved by OMB;
 - ***Statistical data classifications are not associated with this collection.**

- * 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
 - This circumstance does not apply to this collection.**

- * requiring respondents to submit proprietary trade secrets, 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 circumstance does not apply to this collection.**

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.

OHC requested their view on the availability of data, frequency of collection, the clarity of instructions and

In accordance with 5 CFR 1320.8(d), a 60-day Federal Register Notice soliciting public comments was announced in the Federal Register on December 17, 2020, Volume 85, Page 81945. No comments were received.

A 30-day Federal Register Notice inviting public comments was published on February 23, 2021 Volume 86 Page 10993. No comments were received.

OHC has consulted with the following three (3) not-for-profit HCA representatives listed below:

- Mr. Clifford Beckford, Executive Director, Lydia's House, Washington, DC cbeckford@lhndc.org
- Ms. Vicki Bender, Director, Hagerstown Neighborhood Development Partnership, Hagerstown, MD ybender@hagerstownmd.org
- Ms. Shavaugn Jackson, Executive Director, Diversified Housing Development, Inc., Windsor Mill, MD sjackson@diversifiedhousing.org

recordkeeping, disclosure and reporting format, and the data elements to be recorded, disclosed, or reported. This is a new requirement for #8 and was not required in the Supporting Statement that was submitted in 2017. Going forward, OHC will consult with representatives of those from whom information is to be obtained or those who must compile records at least once every 3 years, even if the collection of information activity is the same as in prior periods.

HCA's can provide feedback to any of OHC's forms using several methods. Throughout the year, HCA's provide feedback on forms, offer suggestions, or ask questions via the OHC email address housing.counseling@hud.gov. HUD also provides external webinar training on the Housing Counseling Program which includes webinar training on OHC HUD forms the office uses. Feedback, comments, and suggestions are always received during the external webinar trainings and attendees are encouraged to use the OHC email address following training as well. The most common feedback received from the Housing Counseling Community at-large is the need for OHC to automate this form via a system. As a result of the feedback and as part of OHC's Business Process Improvement efforts, HCAMS has been developed (see #15 for more information).

9. Explain any decision to provide any payment or gift to respondents, other than remuneration of contractors or grantees.

HUD does not provide payments or gifts to respondents in exchange for a benefit sought.

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

HUD employees have access to client-level information while collecting information to complete this form. Housing Counseling Program Handbook 7610.1 REV-5, Sections 5-6 and 6-3H require HUD staff not to disclose to anyone, except authorized HUD personnel, the information contained in individual case files that may be sampled as part of the monitoring. Derogatory findings indicating the possibility of falsified records or fraud may be reported by the reviewing HUD office to the appropriate Office of the Inspector General. HUD will secure and protect the electronic transfer of sensitive information, such as client level data, by using firewall protection, encryptions, and restricted access security. The protections to be implemented will be fully compliant with all federal requirements and National Institute of Standards and Technology (NIST) guidance.

HUD has completed the new Privacy Impact Assessment (PIA) form. The Privacy Act Statement has been added to form HUD-9910 so that it now comports with the Privacy Act.

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.

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 for approval 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.

* 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.

Estimated Annualized Burden Hours and Costs

Information Collection / Type of Respondent	Form Name / Form Number	Number of Respondents*	Frequency of Response	Responses Per Year*	Average Burden Hours Per Response	Annual Burden Hours	Hourly Cost per Response (Hourly Wage Rate)	Total Annual Respondent Cost*
Not-for-Profit Institutions (Intermediaries, Regional, Multi-State Organizations and Local HUD-approved HCAs)	Office of Housing Counseling-Agency Performance Review / HUD-9910	278	1	278	1 hour	278	\$47.98	\$13,338.44
State Housing Finance Agencies or Local Government HCAs	Office of Housing Counseling-Agency Performance Review / HUD-9910	75	1	75	1 hour	75	\$47.98	\$3,598.50
TOTALS		353		353		353		\$16,936.94

Note: According to the U.S. Department of Labor, Bureau of Labor Statistics website (https://www.bls.gov/oes/current/oes_nat.htm) the median wage rate category for Business and Financial Operations Occupations (13-0000) is estimated to be \$32.86 (hourly wage rate) x 1.46 (the wage rate multiplier) = \$47.98 (fully loaded wage rate).

- HUD currently has 1,701 HCAs. HCAs are reviewed based upon the expiration date of their current HUD approval. Again, form HUD-9910 is used to help OHC staff determine the potential risk the HCA is to HUD. Based upon the calculated risk, HCAs may be recertified for 1, 2, or 3 years as being HUD-approved. OHC has historical data indicating that its staff averages completing 353 performance reviews annually.

13. Provide an estimate for the total annual cost burden to respondents or recordkeepers resulting from the collection of information. (Do not include the cost of any hour burden shown in Items 12 and 14).

**Annual Cost
to the
Federal
Government**

* 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, maintenance, and purchase of services component. The estimates should consider costs associated with

Item	Cost (\$)
Contract Costs [Describe] There are no contract costs associated with this collection. 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.	\$0.00
Staff Salaries* [# of GS __, step __ employees spending approximately __% of time annually(description)..... for this data collection.] Show calculations for this below. 5 FTE (GS-15, Step 3) x \$152,215.00 = \$761,075.00 x 1.46 (wage rate multiplier) = \$1,111,169.50 *(fully loaded) x .25 (25% of time spent) = \$277,792.37	\$277,783.37
* 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. 10 FTE (GS-14, Step 3) x \$125,404.00 = \$1,254,040.00 x 1.46 (wage rate multiplier) = \$1,830,900.00 (fully loaded) x .25 (25% of time spent) = \$457,725.00	\$457,725.00
1 FTE (GS-12, Step 3) x \$92,091.00 x 1.46 (wage rate multiplier) = \$134,452.86 (fully loaded) x .25 (25% of time spent) = \$33,613.22	\$33,613.22
* 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 records for the government, or (4) as part of customary and usual business practices. 1 FTE (GS-11, Step 3) x \$76,832.00 x 1.46 (wage rate multiplier) = \$112,174.72 (fully loaded) x .25 (25% of time spent) = \$28,043.68	\$28,043.68
3 FTE (GS-11, Step 3) x \$22,845.00 x 1.46 (wage rate multiplier) = \$37,718.70 (fully loaded) x .25 (25% of time spent) = \$9,429.68	\$9,429.68
There are no record keeping, capital, start-up, or maintenance costs associated with this information collection. None. Calculations were based upon the Office of Personnel Management's website for Salary Table 2020-GS https://www.opm.gov/policy-data-oversight/pay-leave/salaries-wages/salary-tables/pdf/2020/DCB.pdf	\$69,535.79
14. Provide estimates of annualized costs 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 may also aggregate cost estimates from Items 12, 13, and 14 in a single table.	
TOTAL	\$3,279,655.86
Facilities [cost for renting, overhead, etc. for data collection activity]	0.00
Computer Hardware and Software [cost of equipment annual lifecycle]	0.00
Equipment Maintenance [cost of annual maintenance/service agreements for equipment]	0.00
Travel (See Note)	0.00
Printing [number of data collection instruments annually]	0.00
Postage [annual number of data collection instruments x postage]	0.00
Other	0.00

Total	\$3,279,655.86
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***Note:** As of March 13, 2020, OHC staff has been prohibited from business travel due to the pandemic. Typically, OHC spends approximately \$150,000 annually for staff to conduct on-site performance reviews at housing counseling agencies. As part of this renewal, it is not known when it will be permissible for staff to travel again due to concerns about social distancing and safety concerns resulting from the pandemic.

15. Explain the reasons for any program changes or adjustments reported in Items 13 or 14 of OMB Form 83-I. All revisions or changes to the collection should be described here.

This is a revision of a currently approved collection, however, OHC requests renaming this collection to “Office of Housing Counseling - Agency Performance Review.” The removal of the word “biennial” from the title is because the timing of an agency’s performance review is based on a risk rating model. As such, the lower the risk, the longer the HCA’s HUD approval is in effect. For example, a housing counseling agency that was determined to be a low risk to HUD, or Tier A, would have their HUD approval for 3 years. Certifications can be for one, two, or up to three years maximum. The term Biennial is, therefore, not representative of the approval timeframes. Form HUD-9910 received a rearrangement and approval without change on September 11, 2013 to improve the quality and scope of the performance reviews conducted to better monitor the financial and administrative controls that agencies should have in place to effectively manage their programs, deter and discover conflicts of interest, and establish improved procedures to monitor the expenditure of HUD grant funds.

HUD OIG Audit 2018-NY-0001 identified inconsistent and inadequate OHC performance review and grant management procedures. Form HUD-9910 is the primary tool for conducting and documenting performance reviews and contains a dedicated section for grantees. As such, the tool required adjustments to implement the planned action in OHC’s management decision. Changes to form HUD-9910 are limited to two parts of section A. Part A of form HUD-9910 is completed by the HUD reviewer.

First, OHC revised the “Grant Management” section to include questions required under 2 CFR Part 200, Subpart E and to eliminate redundancies, outdated references, questions irrelevant to grant analysis, or where verification was impractical. The revisions reduced the number of questions in the “Grant Management” section by half—from twelve to six, while simultaneously strengthening analysis of grant expenses and ensuring proper and consistent application of uniform grant procedures.

Second, OHC revised form HUD-9910 “Maintaining Approval Criteria” section in Part A to include a question that addresses the agency’s ongoing regulatory duty to screen for ineligible participants. The new question asks the reviewer to verify whether the agency maintains policies to screen for ineligible participants. Including this question resolves a key OIG recommendation to clarify the documentation to be produced during a performance review to demonstrate compliance with 24 CFR 214.103(c).

For the present renewal, OHC has made a correction to form HUD-9910. Line item #82 used to give the respondent the option of replying Yes, No, or N/A. Underneath line item #82, however, were items a-d where the respondent answered line item #82. Thus, the Yes, No, and N/A boxes were “blacked out” specifically online item #82, which is now line item #77 on the revised form HUD-9910.

Upon review of the documents submitted in the previous PRA package for OMB 2502-0574 submission (2017), it was determined that sections #12 and #14 did not have accurate calculations due to the interpretation of the questions being asked by the specialist who prepared that PRA package. This collection has rectified those inaccuracies by obtaining the most current data and computing the tables accurately so they comport with OMB's Supporting Statement requirements. The previous responses were 455, which has been decreased to 353 respondents. The decrease of 102 responses is the result of two factors: first, there has been a decrease in the total number of HCAs since the last collection, and secondly, the most current data has been utilized to complete the table. There has also been a significant decrease in the burden hours per response. In the last collection, 4,323 burden hours were reported. The new collection reports 353 burden hours since the annual reporting hours per response has changed from 9.5 hours to 1 hour for a respondent to complete and return form HUD-9910. OHC believes that the misunderstanding of the last preparer contributed to this difference.

As previously mentioned in Sections 3 and 8, plans are underway to further streamline form HUD-9910 and fully automate it in a new HUD system called HCAMS, HUD system P301, which has been in development for several years. A new module has been created that will replace the paper form HUD-9910 and enable HCAs to complete the form on-line, thus further reducing the reporting burden. The module has just completed the final testing phase. Once OMB 2502-0574 (this collection) has been approved by OMB, then a new PRA collection will be submitted for the agency performance review module which will be the first module to be activated in the HCAMS system.

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.

There is no anticipated publication of the information gathered through this collection.

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 will display the expiration date for OMB approval of this information collection.

18. Explain each exception to the certification statement identified in Item 19, "Certification for Paperwork Reduction Act Submissions," of OMB Form 83-I.

HUD does not request an exception to the certification of this information collection.

B. Collections of Information Employing Statistical Methods

There is no statistical methodology involved in this collection.