

# Departmental Clearance & Approval Record

U.S. Department of Housing and Urban Development  
Office of Administration

Note to Clearing Offices: If your response has not been received by the Deadline Date, the Originating Office may proceed without it.

1. Job Control Number(s) 2502-0496	2. Classification Number	3. Type of Action <input checked="" type="checkbox"/> Clearance <input type="checkbox"/> Final Clearance <input type="checkbox"/> Reclearance <input type="checkbox"/> Approval	4. Deadline Date 6/25/2018
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5. Complete Title

## Builder's Certification of Plans, Specifications, and Site

6. Principal Audience or User <input checked="" type="checkbox"/> HUD Staff <input checked="" type="checkbox"/> Program Participants	6a. Proposed Distribution (spell-out, do not use codes)
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7. Person most familiar with the Document Gary Long	7a. Organization Code / Office HUP	7b. Telephone Number 202-402-2527	7c. Room Number 9241
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8. Type of Document

New Handbook     Handbook Revision     New Form     Federal Register Notice     Regulation     Other (specify)

Handbook Change     Notice     Form Revision     Publication     Special Directive     OMB Info Collection

9. Mark the boxes for the organization(s) reviewing this document. (specify under "other" the HQ/Field staff components within the reviewing offices, e.g., admin officers)

ADM     GNMA     PIH     Chief Proc. Ofcr.     S/Departmental EEO     CIR     Public Affairs     Enf. Ctr.

CPD     H     OGC     CFO     S/Labor Relations     S/SDBU     Chief Information Officer

ADSFM     IG     PD&R     FHEO     S/Lead Hazard Control     REAC     PECO     Other

10. Front-End Risk Analysis <input type="checkbox"/> Completed <input type="checkbox"/> In Process <input checked="" type="checkbox"/> Not Needed	11. Information Collection Requirements (Paperwork Reduction Act) <input type="checkbox"/> Completed <input checked="" type="checkbox"/> In Process <input type="checkbox"/> Not Needed	12. Impact on Small Entities (Regulatory Flexibility Act) <input type="checkbox"/> Completed <input type="checkbox"/> In Process <input checked="" type="checkbox"/> Not Needed	13. Finding of No Significant Impact (FONSI) / Environmental Impact Statement (EIS) (National Environmental Policy Act) <input type="checkbox"/> EIS Required <input type="checkbox"/> FONSI Required <input checked="" type="checkbox"/> FONSI Not Needed
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14. Organization	Signature & Title of Clearing/Approving Official	Date	Concur (no comments)	Concur (comments attached)	Non-Concur (comments attached)
ADMIN	John Bravacos, Senior Agency Official for Privacy	6/14/18	✓		

15. List HQ/Field components involved in developing the document (drafts, discussions, etc.)

16. Comments:

17. Return this record to Kim N. Sanders	17a. Telephone Number 202-402-3343	17b. Room Number 9120
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# Supporting Statement for Paperwork Reduction Act Submissions

## Builder's Certification of Plans, Specifications, & Site OMB Control Number 2502-0496 (Form HUD-92541)

### PART A. Justification

1. Executive Order 11988 (Flood Plain Management) and HUD environmental regulations at 24 CFR 51 and 24 CFR 55 require builders of newly constructed properties to assure that the property is not affected by flood hazards, and newly constructed single-family housing is not affected by (1) noise; (2) runway clear zones; (3) explosive/flammable materials storage hazards; (4) toxic waste hazards; and (5) other foreseeable hazards that may affect the site (i.e., ground water level, surface drainage, sinkholes, excessive slopes, expansive/collapsible/erosional soils and inadequate fill materials).
2. The builder or the builder's agent completes the site analysis and submits it to the lender using the pdf fillable form. The site analysis includes noting the proximity of the property to sites that might affect the value or marketability of the property. The builder also must indicate that the dwelling was constructed according to certain building codes and indicate which building code the builder adhered to in a different section. The information must be collected on each case submitted for mortgage insurance that involves new construction, so HUD is assured that no site/location factors will adversely affect the dwelling or homeowner. The information will be shared with the appraiser in order to ensure the appraiser has adequate information regarding the site to perform a proper appraisal analysis. For condominiums, the form will be used to determine the eligibility of the project. HUD may review the information on the builder certification on a sampling of cases to assure that the lender has properly considered the siting/location factors during the underwriting of the loan. Borrower and their attorneys who have complaints against builders for not properly mitigating the problems of a site can also use the form.
3. The collection of the requested information is 95% automated through the use of the fillable form.

Builders submit a pdf fillable to an approved FHA Direct Endorsement (DE) lender. Under FHA-Single Family's current insurance endorsement policy, a (DE) lender may apply for FHA insurance based upon its internal underwriting of the loan. During the closing process, most lenders log on to a Web-based application, FHA Connection (FHAC), to establish and update a case, log the appraisal, and complete the Insurance Application. The data entered are subsequently transferred to the Computerized Homes Underwriting Management System (CHUMS), the system of record for the endorsement process.

Direct Endorsement Mortgage Lenders who elect to participate in Business-to-Government (B2G) electronically submit the data to HUD using the Electronic Case Binder. Large lenders with Loan Origination Systems (LOS) transmit data from their LOS or use third party software to send data to CHUMS via a telecommunications method known as B2G (Business to Government). CHUMS is subsequently updated with the same data elements that other lenders enter into FHAC.

The collected information is reviewed by the builder and lender. After lender endorsement, it is provided to HUD either electronically or in a paper format for HUD Endorsement and electronically preserved in the lender's loan file.

For addition information or questions please call Cheryl Walker, Director, Home Valuation Policy Division, 202-402-6880.

14. There are no capital/start-up costs or ongoing operation/maintenance costs associated with this information collection. To submit forms, lenders utilize existing systems to communicate with HUD systems based on other requirements, particularly those of collection 2502-0059.
15. The costs to the Federal government are minimal. The primary cost is with ensuring the document is in the loan file, but HUD only reviews the document in a random sampling of cases (approximately 2.5% of those received.)

Information Collection	Number of Respondents	Frequency of Response	Responses Per Annum	Burden Hour Per Response	Annual Burden Hours	Hourly Cost	Annual Cost
<b>HUD-92541</b>							
HUD check	N/A		100,000	.05	5,000	\$26.94	\$134,700
HUD review	N/A		3,000	.10	300	\$39.07	\$11,721
<b>Totals</b>	<b>N/A</b>		<b>103,000</b>		<b>5,300</b>		<b>\$146,421</b>

The hourly cost to check that the form is in the package is based on the OPM 2017 pay scale of a GS-9 equivalent contractor and the cost of a review is based on the OPM 2017 pay scale of a GS-12 HUD staff reviewer.

16. This is a revision of a currently approved collection. There are approximately 35,000 builders and 2,579 lenders involved in this information collection. The builder will take about 6 minutes to complete the Builder's Certification (form HUD-92541) based on information and data the builder gets from its engineers prior to the property being developed.

The lender should be able to review the builder's entries in about 3 minutes. Accordingly, HUD estimates that the entire information collection burden will be 9 minutes per case. Based upon an average of approximately 90,000 new construction cases per year, the total burden hours will be 7,500. While the information collected regarding floodplains may (at the option of the builder) be different, there are no expected changes in the burden hours. The decrease in the number burden hours results from fewer new construction loans being insured and expected to be insured during the collection period.

Although most lenders now submit the case file electronically after the builders and lenders reviews the collected information to HUD, when requested, other lenders are on test case bases and mail case file to the Homeownership Centers, the burden hours for the lenders remains the same.

17. The results from this collection will not be published.
18. HUD does not request approval not to display the expiration date.
19. The agency is able to certify compliance with all provisions under item 19 of OMB Form 83-I

## **B. Collections of Information Employing Statistical Methods**

This information collection does not employ statistical methods.

**U.S. DEPARTMENT OF  
HOUSING AND URBAN DEVELOPMENT**

**PRIVACY THRESHOLD ANALYSIS (PTA)**

**Builder's Certification of Plans,  
Specifications, and Site**

**Single Family Housing  
2502-0496**

**Instruction & Template**

**February 01, 2018**

**PRIVACY THRESHOLD ANALYSIS (PTA)**

**SUMMARY INFORMATION**

<b>Project or Program Name:</b>	2502-0496 Form HUD 92541		
<b>Program:</b>	Office of Housing		
<b>CSAM Name (if applicable):</b>	Click here to enter text.	<b>CSAM Number (if applicable):</b>	Click here to enter text.
<b>Type of Project or Program:</b>	<b>Form or other Information Collection</b>	<b>Project or program status:</b>	<b>Update</b>
<b>Date first developed:</b>	July 20, 1993	<b>Pilot launch date:</b>	Click here to enter a date.
<b>Date of last PTA update:</b>	August 12, 2015	<b>Pilot end date:</b>	Click here to enter a date.
<b>ATO Status (if applicable)</b>	Choose an item.	<b>ATO expiration date (if applicable):</b>	Click here to enter a date.

**PROJECT OR PROGRAM MANAGER**

<b>Name:</b>	Cheryl Walker		
<b>Office:</b>	Single Family Housing	<b>Title:</b>	Director, Home Valuation Policy Division
<b>Phone:</b>	202-402-6880	<b>Email:</b>	Cheryl.B.Walker@hud.gov

**INFORMATION SYSTEM SECURITY OFFICER (ISSO) (IF APPLICABLE)**

<b>Name:</b>	Click here to enter text.		
<b>Phone:</b>	Click here to enter text.	<b>Email:</b>	Click here to enter text.

<b>4. What specific information about individuals is collected, generated or retained?</b>	
<i>Specific information regarding the site on which a dwelling is located, is collected and the building code which was required or adhered to when the builder built the house.</i>	
<b>4(a) Does the project, program, or system retrieve information from the system about a U.S. Citizen or lawfully admitted permanent resident aliens by a personal identifier?</b>	<input checked="" type="checkbox"/> No. Please continue to next question. <input type="checkbox"/> Yes. If yes, please list all personal identifiers used:
<b>4(b) Does the project, program, or system have an existing System of Records Notice (SORN) that has already been published in the Federal Register that covers the information collected?</b>	<input checked="" type="checkbox"/> No. Please continue to next question. <input type="checkbox"/> Yes. If yes, provide the system name and number, and the Federal Register citation(s) for the most recent complete notice and any subsequent notices reflecting amendment to the system
<b>4(c) Has the project, program, or system undergone any significant changes since the SORN?</b>	<input checked="" type="checkbox"/> No. Please continue to next question. <input type="checkbox"/> Yes. If yes, please describe.
<b>4(d) Does the project, program, or system use Social Security Numbers (SSN)?</b>	<input checked="" type="checkbox"/> No. <input type="checkbox"/> Yes.
<b>4(e) If yes, please provide the specific legal authority and purpose for the collection of SSNs:</b>	Click here to enter text.
<b>4(f) If yes, please describe the uses of the SSNs within the project, program, or system:</b>	Click here to enter text.
<b>4(g) If this project, program, or system is an information technology/system, does it relate solely to infrastructure?</b>  <i>For example, is the system a Local Area Network (LAN) or Wide Area Network (WAN)?</i>	<input checked="" type="checkbox"/> No. Please continue to next question. <input type="checkbox"/> Yes. If a log kept of communication traffic, please answer this question.

<b>9. Is there a FIPS 199 determination?<sup>4</sup></b>	<input type="checkbox"/> Unknown.
	<input checked="" type="checkbox"/> No.
	<input type="checkbox"/> Yes. Please indicate the determinations for each of the following:
	Confidentiality: <input type="checkbox"/> Low <input type="checkbox"/> Moderate <input type="checkbox"/> High
	Integrity: <input type="checkbox"/> Low <input type="checkbox"/> Moderate <input type="checkbox"/> High
Availability: <input type="checkbox"/> Low <input type="checkbox"/> Moderate <input type="checkbox"/> High	

**PRIVACY THRESHOLD ANALYSIS REVIEW  
(TO BE COMPLETED BY PROGRAM PLO)**

<b>Program Privacy Liaison Reviewer:</b>	
<b>Date submitted to Program Privacy Office:</b>	
<b>Date submitted to HUD Privacy Branch:</b>	
<b>Program Privacy Liaison Officer Recommendation:</b>	
<i>Please include recommendation below, including what new privacy compliance documentation is needed.</i>	
Click here to enter text.	

**(TO BE COMPLETED BY THE HUD PRIVACY BRANCH)**

<b>HUD Privacy Branch Reviewer:</b>	Cindy Etheridge
<b>Date approved by HUD Privacy Branch:</b>	June 8, 2018
<b>PTA Expiration Date:</b>	This PTA will suffice, however; if there are any changes an update will be required.

**DESIGNATION**

<b>Privacy Sensitive System:</b>	Choose an item. If "no" PTA adjudication is complete.
<b>Category of System:</b>	Choose an item.

<sup>4</sup> FIPS 199 is the Federal Information Processing Standard Publication 199, Standards for Security Categorization of Federal Information and Information Systems and is used to establish security categories of information systems.

**DOCUMENT ENDORSMENT**

DATE REVIEWED:
PRIVACY REVIEWING OFFICIALS NAME:

By signing below, you attest that the content captured in this document is accurate and complete and meet the requirements of applicable federal regulations and HUD internal policies.



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6/11/18  
Date

**SYSTEM OWNER**

For Cheryl B. Walker, Director  
Home Valuation Policy Division



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6/14/18  
Date

**John Bravacos**  
**Senior Official Privacy Officer**  
**Privacy Branch**  
**OFFICE OF ADMINISTRATION**