

**Supporting Statement for Paperwork Reduction Act Submissions  
Public Housing Agency Plans: OMB Control No. 2577-0226**

**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 511 of the Quality Housing and Work Responsibility Act of 1998 (Public Law 105-276, 112 Stat. 2461), enacted October 21, 1998 (referred to as the "Public Housing Reform Act") added Section 5A to the U.S. Housing Act of 1937 [42 U.S.C. 1437 *et seq*; see 1437c-1] that created a requirement that all public housing agencies (PHAs) develop public housing agency plans, consisting of a 5-Year Plan and an Annual Plan. The 5-Year Plan describes the PHA's mission and long-range goals and objectives for achieving its mission over the subsequent 5 years. The Annual Plan provides details about the PHA's immediate operations, program participants, programs and services, and the agency's strategy for handling operational concerns, residents' concerns and needs, programs, and services for the upcoming fiscal year.

Subsequent implementation of the PHA Plan, in accordance with Section 5A [42 U.S.C. 1437c-1(k)], allowed for submission of streamlined plans by high-performing PHAs, small PHAs with less than 250 public housing units that are not designated as troubled, or PHAs that only administer tenant-based assistance and do not own or operate public housing. This revision integrates the Moving to Work (MTW) Supplement to the Annual PHA Plan process for PHAs that join MTW under the 2016 Appropriations Act (i.e., MTW Expansion).

- 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 from the current collection.**

The PHA Plan ensures that the PHA is accountable to the local community for choices it makes relative to the housing needs of low-income, very low-income, and extremely low-income families. The information is collected from local, regional, or State public housing agencies who receive funds to operate Federal public housing or Section 8 tenant based-assistance (voucher) programs and transmitted to HUD via the Internet for the purpose of providing a comprehensive source document by which the Department, public housing residents, participants in the tenant-based assistance program, and other members of the public, can monitor the basic PHA policies, rules and requirements concerning the PHA's operations, programs and services (24 CFR 903.3).

The Moving to Work (MTW) Supplement will serve as the reporting mechanism to the Department for the 100 new MTW agencies that will be designated as such pursuant to the Appropriations Act of 2016. The 100 new MTW agencies will not be required to submit the Annual MTW Plan and Annual MTW Report (i.e., HUD Form 50900) that is used for the existing 39 MTW agencies. The MTW Supplement to the Annual PHA Plan informs HUD, families served by the PHA, and members of the public, of the MTW activities that the PHA seeks to implement in the coming fiscal year and an update on the status of MTW activities that have been previously approved. Also provided is Agency-specific waiver request information, data to satisfy MTW statutory requirements, public housing Operating Subsidy grant reporting information, and third-party evaluation information.

- 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 information collection requirements covered by this submission require Non-Qualified and Qualified PHAs to download the consolidated 5-Year, Annual Plan template and MTW Supplement form HUD-50075, and related forms from HUD's PHA Plan website, fill out the information (5-Year Plan only for Qualified PHAs and MTW Supplement when applicable), attach additional information and certification forms as required, and transmit the documents by post mail or electronic mail with scanned signatures. Electronic submission is encouraged to their local HUD Field Office for review/approval.

- 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.**

Signature of Senior Officer or Designee:

Date:

X  
Colette Pollard, Departmental Paperwork Reduction Act Officer,  
Office of the Chief Information Officer

The information collected in a 5-Year and Annual PHA Plan and MTW Supplement is not collected elsewhere. The 5-Year PHA Plan is a narrative of a PHA's mission, goals, and objectives for serving the needs of low-income, very low-income, and extremely low-income families and needs of child and adult victims of domestic violence as required by the Violence Against Women Act (VAWA). Annual PHA Plans include an inventory of the PHA's policies and programs set forth in an abbreviated, but comprehensive format.

**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.**

Public and Indian Housing programs typically define small PHAs as those with less than 250 public housing units and any number of Housing Choice Vouchers (HCV) where the total combined units exceeds 550. Section 3 [42 U.S.C. 1437a] defines a PHA to mean any State, county, municipality, or other governmental entity or public body (or agency or instrumentality thereof) which is authorized to engage in or assist in the development or operation of public housing. Sections 2701 and 2702 of the Small PHA Paperwork Reduction Act, Title VII of the Housing and Economic Recovery Act (HERA) of 2008, (Public Law 110-289, H.R. 3221) provide Qualified PHAs an exemption from the requirement in Section 5A of the United States Housing Act of 1937, (the Act) to prepare and submit an Annual PHA Plan, including related statements of capital improvements and supersedes the existing regulations on the PHA Plan, 24 CFR § 903, to the extent those regulations require the submission of an Annual PHA Plan by **all** PHAs. A Qualified PHA is defined by HERA as follows:

A public housing agency meeting the following requirements: (1) the sum of public housing dwelling units administered by the agency and the number of vouchers under Section 8(o) of the Act is 550 or fewer and (2) the agency is not designated as troubled under section 6(j) (2) and does not have a failing score under the Section Eight Management Assessment Program (SEMAP) during the prior 12 months.

With the passage of HERA and the Small PHA Paperwork Reduction Act, for purposes of PHA Plans, the universe of "small" PHAs is expanded to those that manage 550 or fewer such units. This collection significantly reduces administrative and paperwork burdens and associated costs for Qualified PHAs which represent approximately 72% of the PHAs that administer public housing programs. Section 2702 of HERA exempts Qualified PHAs from the preparation and filing requirements for the PHA Annual Plan, requiring only the submission of the 5-Year PHA Plan once every five years, unless there are any interim changes to the goals, objectives, and policies of the PHA. Qualified PHAs submit only the 5-Year PHA Plan, and Civil Rights certification, establish one or more Resident Advisory Boards (RAB) and consider their comments and recommendations, and conduct an annual public hearing to discuss changes to the goals, objectives, and policies of the agency, even if the PHA does not propose any changes. The currently revised HUD-50075 forms have been developed into separate versions to reflect only the submission requirements of various types of PHAs, e.g., standard, troubled, small, high performing, and Section 8 or HCV Only. Notwithstanding HERA, the existing regulations in 24 CFR Parts 903.11 and 903.12 permitting submission of streamlined plans still stand. Therefore, HUD has replaced the previous version of the single form HUD-50075, used by all PHAs, with versions of the form that contain only those elements required for submission by PHA type, and eliminate the need for PHAs to read through all elements and accompanying instructions to find those that are applicable.

Accordingly, the Annual PHA Plan submission requirements can be divided into two groups: 1) Standard plan formats for larger PHAs and PHAs designated as troubled, and 2) Streamlined plans for small PHAs with less than 250 public housing units and any number of vouchers when combined is greater than 550 units (non-HERA eligible).

Standard and Troubled PHAs will complete and submit the 5-Year PHA Plan template (50075-5Y) and submit it every five years unless there are any interim changes to the goals, objectives, and policies of the PHA. Standard and Troubled PHAs will complete the standard Annual PHA Plan template 50075-ST, which includes information on all annual plan components, but retains the feature of the previous template allowing PHAs to identify and submit information only on certain elements that have changed since the last annual plan submission and describe new activities planned for the coming year.

Small PHAs with less than 250 public housing units and any number of vouchers, which when combined exceeds 550 units (non-HERA qualified) will submit the streamlined annual plan template, 50075-SM, which requires reporting of fewer annual plan elements when 5-year PHA Plans are also due and permits PHAs to certify and describe which plan elements changed from the previous annual plan submission for all other submission years.

Section 8 or HCV Only PHAs that administer more than 550 vouchers will complete and submit the 5-Year PHA Plan template (50075-5Y) and submit it every five years unless there are any interim changes to the goals, objectives, and policies of the PHA. Section 8 or HCV Only PHAs complete the Annual PHA Plan template 50075-HCV, which includes submission of only those annual plan components that are applicable to administration of the Housing Choice Voucher program.

Qualified PHAs will complete the 5-Year PHA Plan template (50075-5Y) and submit it every five years unless there are any interim changes to the goals, objectives, and policies of the PHA. Qualified PHAs will also submit each year the Civil Rights Certification (50077-CR) to confirm their compliance with the civil rights and Resident Advisory Board (RAB) consultation requirements.

**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.**

Collection of this information is mandated by statute. The majority of the information collected represents an abbreviated and comprehensive inventory of the policies PHAs employ in their management of public housing and Housing Choice Vouchers that are a routine part of the PHAs day-to-day operations.

**7. Explain any special circumstances that would cause an information to be collected in a manner:**

- requiring respondents to report information to the agency more than quarterly;  
**Not Applicable**
- requiring respondents to prepare a written response to a collection of information in fewer than 30 days after receipt of it;  
**Not Applicable**
- requiring respondents to submit more than an original and two copies of any document;  
**Not Applicable**
- requiring respondents to retain records other than health, medical, government contract, grant-in-aid, or tax records for more than three years;  
**Not Applicable**
- in connection with a statistical survey, that is not designed to produce valid and reliable results than can be generalized to the universe of the study;  
**Not Applicable**
- requiring the use of statistical data classification that has not been reviewed and approved by OMB;  
**Not Applicable**
- 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  
**Not Applicable**
- 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.  
**Not Applicable**

None of the special circumstances above apply to this information collection. The currently proposed form HUD-50075 has been customized into separate versions for use by various types of PHAs, including high performing, small, standard/troubled, and Section 8 or HCV Only PHAs.

**8. Identify the date and page number of the *Federal Register* notice (and provide a copy) soliciting comments on the information. Summarize public comments and describe actions taken by the agency in response to these comments. Describe all efforts to consult with persons outside the agency to obtain them.**

HUD published a Notice of Proposed Information Collection for comments in the [Federal Register](#), Volume 83; No. 195, page 50676-50677, on October 09, 2018. The public was given until December 10, 2018, to submit comments. HUD received Public comments from Seattle Housing Authority, MTW Executive Steering Committee, Center on Budget and Policy Priorities (CBPP) and Public Housing Authorities Directors (PHADA). Copies of the comments and HUD's response to the comments were uploaded in Regulatory Information System Center (RISC).

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

No payment or gifts to respondents is involved.

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

The PHA plans and MTW Supplement submitted to HUD are public information and do not lend themselves to confidentiality.

11. Provide additional justification for any questions of a sensitive nature, such as 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.

The PHA plans and MTW Supplement are not 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.

The estimated burden, based on the number of respondents, frequency of response, and annual burden is summarized in the following table:

	Respondents Annually	Annual responses (Frequency)	Total responses Annually	Burden Hours per Response	Total Burden Hours	Salary	Total Burden Cost
50075-ST Annual Plan TOTALS	435	1	435	7.52	3271.20	\$23.25	\$76,055.40
Form HUD-50075-SM							
50075-SM Annual Plan in Years 1-4 TOTALS	200	1	200	2.16	432.00	\$23.25	\$10,044.00
50075-SM Annual Plan in 5th Year TOTALS	200	1	200	7.02	1404.00	\$23.25	\$32,643.00
Form 50075-SM Annual Plan ANNUAL TOTALS (5th year/5)+yr 1-4 total				3.56	712.80	\$23.25	\$16,572.60
50075-HP Annual Plan TOTALS	147	1	147	7.02	1031.94	\$23.25	\$23,992.61
50075-HCV Annual Plan TOTALS	270	1	270	6.02	1625.40	\$23.25	\$37,790.55
Form 50075-MTW MTW Supplement TOTALS	100	1	100	6.50	650.00	\$23.25	\$15,112.50
Form HUD-50075-5Y							
Form HUD-50075-5Y All Years TOTALS	3780	1	3780	8.20	30996.00	\$23.25	\$720,657.00
5 Year Plan - TOTALS (All Years divided by 5)	3780	1	3780	1.64	6199.20	\$23.25	\$144,131.40
<b>TOTAL ANNUAL BURDEN ALL FORMS</b>	<b>3780</b>	<b>1</b>	<b>3780</b>	<b>37.88</b>	<b>14613.74</b>	<b>\$23.25</b>	<b>\$339,769.46</b>

Total Annual Burden Hours for all PHAs for all PHA Plan Templates: 14,613.74

**Weighted Average Annual Burden Hours all PHAs for Annual Templates only: 6.33** (sum of % of Total PHAs represented by each type of PHA multiplied by annual burden hours for each PHA template type).

Form	Burden Hours by Type of Template	Individual Templates /Total # of Annual Templates	Percent of Total	Applied to Burden Hours	Weighted Average Burden Hours
ST	7.52	435/1152	0.38	.38 x 7.52	2.84
SM	3.56	200/1152	0.17	.17 x 3.56	0.62
HP	7.02	147/1152	0.13	.13 x 7.02	0.90
HCV	6.02	270/1152	0.23	.23 x 6.02	1.41
MTW	6.50	100/1152	0.09	.09 x 6.50	0.56
Total # of Annual Plans		1152	1.00		6.33

Burden hour estimates are based on a total of 3,780 PHAs - 2,728 Qualified PHAs, 435 Standard or Troubled (PHAs with more than 550 public housing units or vouchers combined), 147 High Performers and 200 Small (PHAs with less than 250 public housing units and any number of vouchers that when combined exceeds 550 total units), and 270 Section 8 or HCV Only (PHAs with more than 550 vouchers or with less than 551 vouchers and not SEMAP-Troubled). This data was extracted from HUD’s Inventory Management System/PIH Information Center (IMS-PIC) Data Page on 3-19-2018. The 5-Year Plan is completed once every 5 years by all PHAs. This collection adds 6.5 hours per MTW Supplement which is submitted annually by 100 new MTW agencies that will be designated pursuant to the Appropriations Act of 2016.

The burden hours reflected in the Burden Worksheet and Supporting Statement represent the average annual burden hours for PHAs to prepare and submit Annual and 5-Year PHA Plan templates, and additional certifications and documents as attachments to the PHA Plan based on such factors as the size and designation of the PHA, and the number of programs administered by the PHA. The Qualified PHAs under HERA conduct an annual public meeting and submit the 5-Year PHA Plan once every 5 years. All other PHAs submit the applicable Annual PHA Plan each year, and the 5-Year Plan every 5 years, unless significant interim changes are made, in which case the 5-Year Plan may be submitted with the Annual Plan in the year in which the changes are made.

Revisions are made to this collection to reflect adjustments in calculations based on the total number of current PHAs as of March 19, 2018. The number of active public housing agencies has changed from 3,819 to 3,780 since the last approved information collection. The number of PHAs can fluctuate due to many factors, including but not limited to performance scoring, the merging of two or more PHAs or the termination of the public housing and/or voucher programs due to the Rental Assistance Demonstration (RAD).

**13. Estimate of the annual cost to respondents or recordkeepers (do not include the cost of hour burden shown in Items 12 and 14). Read the complete instructions on the form 83i.**

There is no additional cost to respondents for reporting or recordkeeping for collection of this information for the elements: (a) total capital and start-up cost; and (b) total operation and maintenance and purchase of services.

Respondents’ costs were covered under the OMB approval for the standard PHA Plan at the time it was originally implemented in 1998. No proposed costs are associated with submission of a further streamlined PHA 5-Year/Annual Plan submission. Ongoing respondent costs to file and maintain PHA Plan records, schedule public hearings, make documents available to the public, etc. may be estimated as follows:

<b>Total Estimated Annual Costs to Respondents</b>						
	Number of Plans	Average Annual Hours for Staff Time		Hourly Rate		Average Annualized Cost
<b>Annual PHA Plan Submissions</b>	1,152	2	2,304	\$23.25		\$53,568
<b>Five-Year PHA Plan Submissions</b>	756 (3,780/5)	2	1,512	\$23.25		\$35,154
<b>TOTAL Estimated Staff Time for Filing and Recordkeeping</b>	1,908	2	3,816	\$23.25		\$88,722

\* Hourly cost for response assuming a GS-9, Step 5 (\$48,531), Executive Assistant, hourly rate is \$23.25.

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 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.

The estimated annualized costs to the federal government, based on a GS-12, Step 1 rate are provided below. A GS-12 Step 1 rate is the average salary for a Field Office Analyst/Manager.

<b>Total Estimated Annual Costs to the Federal Government</b>						
	Number of Plans	Average Annual Hours for Staff Time to Review and Process Plans		Hourly Rate	=	Annualized Cost
<b>Annual PHA Plan Submissions</b>	1,152	2	2,304	\$33.72		\$77,690.88
<b>Five-Year PHA Plan submissions</b>	756 (3,780/5)	2	1,512	\$33.72		\$50,984.64
<b>TOTAL Estimated Annualized Cost</b>	1,908	2	3,816	\$33.72		0128,675.52

\* Hourly cost for staff time to review and process annual and 5-Year PHA Plans assuming a GS-12, Step 5 (\$70,381), Analyst or Manager; hourly rate is \$33.72.

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

HUD's most recent action in July of 2016 was to revise this collection, which OMB approved as a full revision, to add a section to accommodate the new requirements of the Affirmatively Furthering Fair Housing (AFFH) Rule, public comments from 2013, and a minor change made in late 2014. Public commenters urged HUD to return to earlier multiple versions of the PHA Plan templates by specific PHA type instead of a "One-Size Fits All" form. The 2016 forms were not made public due to ongoing changes to AFFH policies.

With this current proposed information collection, HUD intends to further modify the 5-Year and Annual PHA Plan Templates as well as the accompanying certifications in the following manner:

- 1) Revise the instructions provided on the Assessment of Fair Housing (AFH) ensuring that program participants continue to conduct the Analysis of Impediments (AI) to fair housing until they are required to submit an AFH.
- 2) Create a new section on all certifications to give program participants the option to add an explanation when they cannot certify to being fully compliant with the stated regulations.
- 3) Specify on related certifications that the signed acknowledgement of the 'authorizing official' must be of the PHA Executive Director (ED) and Board Chairperson.

4) Add the Moving to Work (MTW) Supplement template to the collections which will serve as the reporting mechanism to the Department for the new 100 MTW agencies that will be designated pursuant to the MTW Expansion authorized by the Appropriations Act of 2016 (i.e., MTW Expansion).

The MTW Waivers and Associated MTW Activities, Safe Harbor Waivers, Agency-Specific Waivers, and MTW Statutory Requirements that are presented in the MTW Supplement are detailed in the final MTW Operations Notice. Each MTW Waiver may be implemented if it falls within the safe harbors, or parameters, provided in each activity.

Finally, the burden hours of the collection will increase by 650 hours due to an estimated 6.5 hours needed per MTW Supplement applicable to the 100 new MTW agencies. However, it should be noted that, due to the de-coupling of Capital Fund Program activities from PHA Plan submissions in 2016, (HUD-50075.1 and HUD-50075.2 Capital Fund Annual Statement/ Performance and Evaluation Report and 5-Year Action Plan forms), the associated burden hours (10,070) were removed from the approval for the PHA Plan under OMB no. 2577-0226. Therefore, the added burden of the MTW Supplement is relatively minor.

**16. If the information will be published, outline plans for tabulation and publication.**

Not Applicable.

**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.**

The expiration date will be displayed on the collection instrument.

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

No exceptions.

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

This collection of information will not be used for statistical purposes.