

From Insight to Impact
– worldwide

**Disaster Housing
Assistance Program
(DHAP) Incremental
Rent Transition (IRT)
Study**

**Contract #
C-CHI-01032, CHI-T0001**

Final OMB Package

Part A: Justification

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Part A. Justification

A1 Circumstances That Make the Collection of Information Necessary

The U.S. Department of the Housing and Urban Development (HUD) is conducting an outcome evaluation of the Disaster Housing Assistance Program incremental rent transition requirement (DHAP IRT Study). This is the only study of the DHAP and the incremental rent transition requirement and represents an important opportunity for HUD to learn about rent-setting strategies and case management services in a post-disaster housing program. The results of this descriptive study will inform decisions about how HUD should operate such programs after future disasters.

An earlier phase of the study was led by Marina L. Myhre, Ph.D., a Social Science Analyst in HUD's Office of Policy Development and Research. Starting in October 2009, HUD contracted with Abt Associates Inc., an independent research company in Cambridge, MA to lead the study under the guidance of Dr. Myhre as HUD's Government Technical Representative (GTR).

The initial data collection led by HUD included the administration of a **baseline survey** approved under OMB control number 2528-0256. An interim enhanced tracking of respondents to the baseline survey was conducted through a brief telephone contact under an emergency reinstatement of the original OMB control number in January-February 2010. This contact was needed so that we could obtain updated contact information for the households targeted for a **follow-up survey** of household outcomes. The subject of the current request is to reinstate the OMB control number to conduct the follow-up survey.

This data collection activity is authorized under [12.U.S.C. 170 1z-1], which reads as follows:

TITLE 12 – BANKS AND BANKING
CHAPTER 13 – NATIONAL HOUSING

Sec. 1701z-1. Research and demonstrations; authorization of appropriations; continuing availability of funds.

The Secretary of Housing and Urban Development is authorized and directed to undertake such programs of research, studies, testing and demonstration relating to the mission and programs of the Department as he determines to be necessary and appropriate.

A2 How and by Whom the Data Will Be Used

A2.1 Project Overview

Beginning in 2007, DHAP provided rental assistance and case management services to eligible households displaced by Hurricanes Katrina or Rita. The program was implemented in phases, and the type and terms of rental assistance varied over time. The type of assistance received depended on when the recipient transitioned from the Federal Emergency Management Agency's (FEMA's) housing assistance programs to HUD's DHAP assistance. DHAP presents a unique opportunity to

track families transitioning from stepped-down rental subsidies (i.e., starting with a full subsidy of rent and then decreasing it by \$50 per month) or a full rental subsidy (i.e., a full subsidy -- \$0 rent) to market rate or alternative housing assistance programs and to measure their outcomes over time. The original DHAP assigned the stepped-down rental subsidy transition to participants in Phase I and the full rental subsidy to participants in Phase II/III. The benefits received by Phase I participants decreased \$50 per month upon program entry, gradually transitioning participants to market rents or alternative housing assistance programs. In contrast, Phase II and Phase III participants received a full rent subsidy through the end of the DHAP program on February 28, 2009. All DHAP participants were required to participate in case management.

The structure of DHAP initially meant that both Phase I and Phase II/III participants would immediately transition to market rent on March 1, 2009. However, HUD announced in late February that both groups were eligible to transition instead to the Transition Closeout Program (TCP) that provided Transitional Rental Payments (TRP) to all eligible DHAP recipients as of February 2009, and applied the incremental rent transition (IRT) step-down of \$100 per month to all DHAP recipients without a hardship exemption until they reached self-sufficiency or transitioned to the Housing Choice Voucher (HCV) program. Under DHAP TCP, the rent contributions of both groups increased by \$100 per month through August 31, 2009, after which TRP ceased except for eligible families who had applied for a HUD Housing Choice Voucher. The families who had applied for a voucher and were awaiting eligibility determination or were determined to be eligible but had not yet received a voucher would continue to receive TRP. The duration was either until September 31, 2009 or October 31, 2009, depending on the household's position in the eligibility process, if the household had not yet received a voucher or been determined ineligible for a voucher.

The overall research questions of the DHAP IRT study are two-fold: (1) What are the outcomes for DHAP participants and what factors such as the type and duration of DHAP assistance, tenant characteristics, and case management services contribute to those outcomes? (2) What case management services or model should accompany future programs like DHAP? Evaluating families' transitions off of DHAP assistance, the DHAP IRT study will help the Department understand how to transition recipients of housing assistance back to paying for market rate housing following a disaster. HUD is interested in the housing employment, income, and savings/debt outcomes of such a transition. The study also will document participants' experiences with the alternative strategies employed by participating public housing authorities (PHAs) for providing case management to help households with the recovery process.

It is important to note that the results of the study will be descriptive and will not indicate that DHAP assistance caused the outcomes that may be observed. DHAP recipients were not randomly assigned to receive particular types of assistance. Further, there is no control or comparison group that did not receive DHAP assistance with which DHAP outcomes can be compared.

The data collection effort initially involved a baseline survey conducted under OMB control number 2528-0256. In consultation with Dr. Myhre, HUD's contractor, Abt Associates Inc., assisted the PHAs with the collection of the baseline surveys and consent forms. Initially, PHA staff gave the surveys and consent forms to DHAP recipients to complete. The PHA staff collected the completed forms and sent them to Abt Associates Inc., for receipt tracking and storage. Toward the end of the data collection period, Abt Associates and HUD staff collected consent forms and administered the

baseline survey to help increase response rates. Active data collection for the baseline survey data collection concluded on October 31, 2009. A few surveys continued to be returned by mail over the following few months. The response rate was lower than had been hoped. In part, this was because the contact information available for the study (extracted in December 2008 from the Disaster Information System) was no longer accurate when the research team attempted to contact respondents in the summer and fall of 2009. DHAP assistance was ending, and we found many respondents were in temporary or transitional living situations during this period. We also expected this might continue to be the case in the following several months. Thus, to further reduce sample attrition due to outdated contact information, the research team conducted a brief (8 minute) telephone follow-up contact to update the respondents' contact information and housing status.

Abt Associates Inc. undertook the data collection to update contact information. The follow-up contact data collection was conducted over a six week period, beginning in January 2010. The data collection ended at the end of February 2010 when the household survey "blackout period" associated with the 2010 Census began. During the brief field period, we were able to confirm contact information for just over half (54 percent) of the respondents to the baseline survey.

This reinstatement request is for Abt to administer the follow-up survey data collection that will collect information related to household outcomes, which is the subject of this submission. The information collected through surveys will be supplemented by **administrative data** on participant characteristics and program services (including rental assistance and case management) collected during program operation. The four administrative data sources are:

- Disaster Information System (DIS) is HUD's program and financial management control information system for DHAP.
- HAP Register is a freestanding data file that documents HUD's procedure and processing of housing assistance payments to DHAP participants during the period of transition from March to October 2009.
- Tracking at a Glance (TAAG) is a client-level data system used by PHAs and service providers that documents the provision of case management services provided during the transition from assisted status to private-market status. TAAG also provides information on demographic and socio-economic status of participants.
- The Office of Public and Indian Housing's Information Center (PIC) is a centralized HUD information system that allows PHAs to submit program, financial, and tenant-characteristics information to HUD.

The compiled database of survey and administrative data will be used to analyze the outcomes realized among DHAP clients and to determine the circumstances that yielded positive outcomes. While the administrative data sources provide important information on DHAP participation, they do not provide the level of detail about participant outcomes and experiences that this study seeks to determine. Exhibit A-1 summarizes the research questions for the study and the sources of data to be drawn on to respond to each question, illustrating the important role of the follow-up survey in addressing the study's research questions.

The assessment of case management services will be informed by survey data on respondents' experiences and satisfaction with case management services, and by survey and administrative data on the extent to which case management appears to contribute to positive outcomes. These data analyses will be supplemented by a review of existing research and semi-structured telephone discussions with up to ten key informants and by discussions with an *expert panel* of program administrators and case managers who were involved in providing services to DHAP clients as well as national experts in disaster recovery.

Exhibit A-1: Research Questions, Outcome Domains, and Data Sources

Research Question	Domain	Data Source					
		DIS	HAP Register	TAAG	PIC	Interim Survey	Follow-up Survey
What are the outcomes of DHAP for participants?							
<i>What are the housing outcomes?</i>	<i>Housing</i>						
Satisfaction with DHAP housing	Satisfaction - DHAP						X
Satisfaction with DHAP neighborhood							X
Satisfaction with post-DHAP housing at follow-up	Satisfaction - Follow-up						X
Satisfaction with post-DHAP neighborhood at follow-up							X
Type of housing, post-DHAP (renting, own home, shared living)	Tenure type						X
Homeownership				X		X	X
Comparisons of housing quality:	Quality						
pre-storm vs. at follow-up							X
just before DHAP entry vs. at follow-up							X
last DHAP housing vs. at follow-up							X
Housing costs, post-DHAP (rent, mortgage, utilities)	Costs						X
Comparison of housing costs: DHAP vs. at follow-up (self-report)							X
Receipt of housing assistance after DHAP					X		
Number of places lived since storm	Stability					X	X
Incidence of homelessness after DHAP							X
Incidence of eviction in past 12 months							X
<i>What are the employment outcomes?</i>	<i>Employment</i>						
Pre-storm employment status (retrospective report at follow-up)	Status over time						X
Employment status at DHAP entry				X			
Employment status at end of DHAP						X	
Employment status at follow-up							X
<i>What are the outcomes in terms of financial security/economic hardship?</i>	<i>Financial Security</i>						
Incidence of late rent or mortgage payment in past 12 months	Late payments						X
Incidence of late utility payment in past 12 months							X
Reported financial insecurity (used savings, borrowed from friend/family, etc.)				X			X
Financial security post-DHAP compared to at DHAP entry	Change over time (self report)						X
Have savings	Savings			X		X	X

Exhibit A-1: Research Questions, Outcome Domains, and Data Sources

Research Question	Domain	Data Source					
		DIS	HAP Register	TAAG	PIC	Interim Survey	Follow-up Survey
Credit status (self-report)	Credit			X		X	X
What factors contribute to outcomes?							
<i>How do tenant characteristics contribute to outcomes?</i>	<i>Tenant Characteristics</i>						
Gender	Demographics	X		X		X	
Race/ethnicity				X		X	
Age		X		X		X	
Marital status						X	X
Disability status				X			
Household size		X				X	X
Language spoken				X			
Income amount	Income			X		X	X
Income sources				X		X	X
Employment status	Employment			X		X	X
Education level	Education			X		X	X
Need level (TAAG tier)	Service needs			X			
<i>How does DHAP participation contribute to outcomes?</i>	<i>DHAP Participation</i>						
DHAP phase of participation (Phase 1 or 2/3)		X					
DHAP duration of participation		X	X				X (confirm)
Rent paid during DHAP		X	X				
Received DHAP TCP assistance			X				
Reason for exit from DHAP							X
Administering PHA		X					
Housing expectations at end of DHAP (location, how to pay for post-DHAP housing)						X	
Experience with requests for hardship exemption (if applicable)							X
<i>How do case management services contribute to outcomes?</i>	<i>Case Management Experience</i>						
Expectations for case management (self report)						X	
Number of contacts with case manager	Frequency						X
Number of case managers							X
Satisfaction:	Satisfaction						
with case management in general							X
with services by case manager							X
with ability to reach case manager							X

Exhibit A-1: Research Questions, Outcome Domains, and Data Sources

Research Question	Domain	Data Source					
		DIS	HAP Register	TAAG	PIC	Interim Survey	Follow-up Survey
with services the case manager connected R to							X
Referrals / services / satisfaction:	Referral types						
Housing search/placement							X
Household goods							X
Homeownership counseling							X
Childcare							X
Transportation							X
Access to benefits							X
Legal assistance							X
Education							X
Employment							X
Financial literacy							X
Family stabilization							X
Health/Mental health							X
Services for elderly/disabled							X
Do DHAP participants report the case management was helpful?	Reported outcomes of case management					X	X
Do DHAP participants report the program helped them get back on their feet after the storm?							X
General Feedback on DHAP							
General satisfaction with DHAP							X
Suggestions for program improvement							X

A2.2 Purpose of the Data Collection

The collection of data through the follow-up survey fulfills an important need of the DHAP IRT study. Analyzing the outcomes of participants in each Phase of DHAP, the study will document the experiences with the transition to market rate or assisted housing and provide updated information on the status of disaster rental assistance recipients including the costs, affordability, quality and stability of their housing situations. Additionally, the study will examine whether different assistance program structures were related to how well program participants fared. Further, the study will document participants' experiences and satisfaction with the case management strategies employed by participating public housing agencies (PHAs). We are particularly interested in gathering information on the importance of case management in participant's overall success or failure post assistance.

As noted in the introduction, the results of the study will be descriptive. DHAP recipients were not randomly assigned to receive particular types of assistance. Further, there is no control or comparison group that did not receive DHAP assistance against which DHAP outcomes can be compared.

A2.3 Who Will Use the Information

The information from the follow-up survey will be used by HUD to shape their future long-term disaster housing assistance programs.

A2.4 Instrument Item-by-Item Justification

Exhibit A-2 describes the content, reason for inclusion, and source for each section of the follow-up survey. In general, the survey questions cover the major outcome domains of interest for the study: housing quality and cost and employment and financial security. In addition, the survey asks questions about respondents' experiences and satisfaction with the case management they received during DHAP. A copy of the complete follow-up survey is provided as a separate attachment.

As noted in the exhibit, many of the questions in the DHAP Follow-Up Survey have been used in previous studies. The sources referenced in the exhibit are:

- Welfare to Work (WTW) Follow-Up Survey – This survey was administered to study participants in a HUD-sponsored study of the effects of housing vouchers on welfare families.
- Alternative Housing Pilot Program (AHPP) Follow-Up Survey – This survey is being administered in a current HUD-administered study of the Alternative Housing Pilot Program. Study participants are recipients of AHPP housing, which was provided to households displaced by Hurricanes Katrina or Rita.
- Moving to Opportunity (MTO) Baseline and Interim Surveys – These surveys were administered as part of the HUD-sponsored Evaluation of the Moving to Opportunity Program.
- DHAP Baseline Survey – This survey was administered DHAP recipients during an earlier phase of this study.

Exhibit A-1. Item-by-Item Justification of Follow-Up Survey – DHAP Recipients

Section	Purpose/Domain	Question	Source & Notes
A: Current Housing			
Current housing	Housing tenure in current unit	1. Which of the following best describes the type of housing you live in? Are you currently (READ LIST, SINGLE RESPONSE)	WTW Follow-up Survey
	Size of current unit	2. Not including bathrooms and hallways, how many rooms are in the place you are currently living?	WTW Follow-up Survey
	Housing stability	3. Is the place where you are living now the same place you lived in while you were receiving DHAP assistance?	New
	Housing stability	4. How many months or years have you lived in this unit?	WTW Follow-up Survey
Housing cost burden	Monthly rent payment for current unit	5. Altogether in the month just past, what did you and your household pay to rent the place you currently live? We are interested only in knowing the amount of the rent payment that you or the other people in your household paid in rent.	WTW Follow-up Survey
Housing insecurity (renters)	Difficulty making rental payments	6. During the past 12 months, were you ever more than 15 days late paying your rent?	AHPP follow-up Survey
		7. During the last 12 months, have you been evicted from a home for any reason?	AHPP follow-up Survey
Housing cost burden (homeowners)	Monthly mortgage payment for current unit	8. Altogether in the month just past, what did you and your household pay for your mortgage?	MTO Interim Survey
Housing insecurity (homeowners)	Difficulty paying mortgage	9. During the past 12 months, were you ever more than 15 days late paying your mortgage?	MTO Interim Survey
Utility costs	Utility payments	10. Did you pay for any utilities that are not included as part of the [RENT/MORTGAGE] that you pay? By utilities, I mean electricity, heat, gas, and water, but NOT telephone and cable services.	Adapted from WTW Follow-up Survey
		11. What is the total amount of all utility payments that you and your household pay in a typical month—that is not a month with unusually high or low heat or air conditioning bills?	Adapted from WTW Follow-up Survey
		12. Would you say that your utility payments last month were [select dollar range]	Adapted from WTW Follow-up Survey
		13. During the past 12 months, were you ever more than 15 days late paying your electric, gas, or water bill? 13a. In the past 12 months, was your gas, water, or electricity ever shut off for nonpayment?	AHPP Follow-up Survey
B: DHAP Housing Assistance and Current Housing			
	Duration of DHAP assistance receipt	1. Our records indicate that you started to receive DHAP assistance in [INSERT MONTH AND YEAR START DATE]. Does that seem right to you? IF NO, ask B1a: When did you start receiving DHAP assistance?	New
		2. Our records indicate that you received DHAP assistance until [INSERT MONTH AND YEAR END DATE]. Does that seem right to you? IF NO, ask B2a: When did you stop receiving DHAP assistance?	New
	Reason DHAP assistance ended	3. Which of the following factors are reasons you stopped receiving DHAP assistance [in ENDDATE MONTH AND YEAR]?	New
		a. The DHAP assistance had decreased to a small amount	
		b. The DHAP program ended or was ending soon	
		c. My house repair was finished and I could move back	
		d. I did not need the financial assistance any more	
		e. I found another program to help pay for my housing	
		f. I wanted to move in with other people	
		g. I was tired of dealing with the program rules	
		h. I was terminated from the program	
		4. Were there any other reasons you stopped receiving DHAP assistance?	
Satisfaction with DHAP		5. Now I would like to ask you a few questions about your experience with DHAP housing assistance you received from [NAME OF PHA]. Thinking back on your experience with DHAP between (MONTH AND YEAR START DATE) and (MONTH AND YEAR END DATE), how satisfied were you with the information you got from the PHA about how much rent you would pay each month? Were you very satisfied, somewhat satisfied, somewhat dissatisfied, or very dissatisfied with the information you received?	New
		6. How satisfied were you with your housing options or choices while you were receiving DHAP? Were you very satisfied, somewhat satisfied, somewhat dissatisfied, or very dissatisfied with your housing?	New

Section	Purpose/Domain	Question	Source & Notes
		7. How satisfied were you with the housing you lived in while you were receiving DHAP? Were you very satisfied, somewhat satisfied, somewhat dissatisfied, or very dissatisfied with your housing?	New
		8. Were you satisfied with how easy it was to contact the PHA when you had questions or concerns about your housing? Were you very satisfied, somewhat satisfied, somewhat dissatisfied, or very dissatisfied with your ability to contact the PHA?	New
		9. As you may recall, under DHAP, the amount of rent you were responsible for paying increased over time, and the amount HUD paid decreased. Thinking back to your experience with DHAP, how difficult was it for you to pay the rent as your payment amount went up? Was it not difficult at all, somewhat difficult, or very difficult?	New
Housing since DHAP	Housing mobility	10. Since you stopped receiving DHAP assistance [in ENDDATE MONTH AND YEAR], how many different apartments or houses have you lived in, including the one you are living in now?	Adapted from WTW Follow-up Survey
	Comparison of housing costs	11. Compared to the amount of rent you were paying at the end of your DHAP assistance, are you now paying more, less, or about the same for your monthly housing costs?	New
	Experience with hardship exemption	12. Some people qualified to apply for a hardship exemption under DHAP. Did you apply for a hardship exemption?	New
		12a. Did you receive a hardship exemption 12b. How satisfied were you with the information you received about how to apply for a hardship exemption? 12c. How satisfied were you with the amount of time it took to get a response to your request for a hardship exemption?	New
	Comparison of housing quality over time	13a. Compared to the place you lived in before Hurricane [Katrina/Rita]—that is the place you lived in August 2005—is the quality of the housing you live in now better, worse, or the same?	Adapted from AHPP Follow-up Survey
		13b. Compared to the place you lived in just before you started receiving DHAP assistance [in MONTH AND YEAR OF START OF DHAP ASSISTANCE], is the quality of the housing you live in now better, worse, or the same?	Adapted from AHPP Follow-up Survey
		13c. Compared to the place you lived in just before you stopped receiving DHAP assistance [in MONTH AND YEAR OF END OF DHAP ASSISTANCE], is the quality of the housing you live in now better, worse, or the same?	Adapted from AHPP Follow-up Survey
	Incidence of Homelessness	14. Was there ever a time during the past 12 months, when you did not have your own place to stay?	WTW Follow-up Survey
	Incidence of Homelessness	15. During the past 12 months when you did not have your own place to stay, we would like to know about any places where you stayed. Did you	WTW Follow-up Survey
	Incidence of Homelessness	15a. Stay with a relative	WTW Follow-up Survey
	Incidence of Homelessness	15b. Stay with a friend	WTW Follow-up Survey
	Incidence of Homelessness	15c. Stay in a shelter [INTERVIEWER: A SHELTER IS A HOMELESS SHELTER, EMERGENCY SHELTER, OR DOMESTIC VIOLENCE SHELTER BUT NOT A GROUP HOME]	WTW Follow-up Survey
	Incidence of Homelessness	15d. Stay on the streets or in some other place that is not generally used for housing	WTW Follow-up Survey
C: Current Neighborhood			
	Housing stability	1. How many months or years have you lived in your current neighborhood?	WTW Follow-up Survey
	Housing stability	2. Do you live in the same neighborhood as you did before Hurricane [Katrina/Rita] in 2005?	Adapted from WTW Follow-up Survey
	Housing stability	3. Do you live in the same neighborhood as you did just before you stopped receiving DHAP assistance [in MONTH AND YEAR DHAP ASSISTANCE ENDED]?	Adapted from WTW Follow-up Survey
	Neighborhood Quality	4. Now we'd like to get a sense of how safe you think the area is where you currently live. How safe do you feel	MTO Baseline
		4a. On the streets near your home during the day?	
		4b. On the streets near your home at night?	
D: Current Household Composition			
	Current Household Size	1. Other than yourself, how many adults, that is, people who are 18 years old or older, in your family are living with you right now?	AHPP Follow-up Survey
	Current Household	2. How many children in your family are living with you right now? By	AHPP Follow-up Survey

Section	Purpose/Domain	Question	Source & Notes
	Size	children I mean people 17 years old or younger.	
	Marital status	3. What is your marital status?	AHPP Follow-up Survey
E: Employment and Income			
Employment status	Current employment status	1. What is your current employment status?	AHPP Follow-up Survey
		2. How many people in your household (including yourself) are employed full time or part time	AHPP Follow-up Survey
Income	Current income sources	3. In the past 30 days, have you or anyone in your household received income from...	AHPP Follow-up Survey
		3a. Income from employment	
		3b. Interest, dividend, or other investment income	
		3c. Child support payments, alimony, or maintenance payments	
		3d. Social Security retirement or disability benefits	
		3e. Other Pensions or retirement income	
		3f. Unemployment benefits	
		3g. Veteran's benefits	
		3h. Temporary Assistance for Needy Families (or use local name)	
		3i. Other sources of income	
		4. [IF E3a-E3i=NO] I just want to confirm that last month, you had no income at all from any of sources I just read. Is that correct	AHPP Follow-up Survey
	Current monthly income	5. What was your household's total monthly income in the last month from all of the sources checked above. Please include income from all family members.	AHPP Follow-up Survey
	Check if last month's income was typical	6. Was your total household income last month what you would receive in a typical month?	AHPP Follow-up Survey
	Typical monthly income	7. [IF E6=NO] What is your typical monthly income?	AHPP Follow-up Survey
Income security	Economic Hardship	8. In the past month have you or anyone in your household had to use one of the following sources to cover your living expenses. Money from your savings (by savings I mean Money that you put aside for use at a later date) A new credit card or other debt (that you did not pay off this month)	AHPP Follow-up Survey
	Financial security	9. Since DHAP ended in [DATE ENDDHAP], have you been able to put some money in savings for unexpected expenses or for things like education?	DHAP baseline, adapted
		9a. About how much money would you say you have in savings?	DHAP baseline, adapted
		10. Have you received a report on your credit recently?	DHAP baseline
		11. Given your credit, how easy or hard do you think it will be for you (and any co-borrowers) to get a loan to purchase a house, a car, or get a college/student loan?	DHAP baseline
		12. Thinking about the last year, please tell me which statement best describes your ability to pay your essential living expenses, such as food, rent or mortgage, and utilities (e.g., heat, electricity, water, telephone)? I am not able to pay any essential living expenses I am able to pay some essential living expenses, but not more than half I am able to pay most essential living expenses, more than half but not all Able to pay all, or almost all essential living expenses,	CWF Participant Survey
	Comparison of financial situation over time.	13. How does your current financial situation compare to when you started receiving DHAP in [MONTH AND YEAR START DATE]? Is it easier to cover household expenses now, harder now, or about the same	New
	Comparison of employment status over time.	14. At the time you started receiving DHAP Assistance, were you...	AHPP Follow-up Survey, adapted
		15. Do you recall what your monthly household income was before the hurricane?	AHPP Follow-up Survey
		16. Before Hurricanes Katrina and Rita in 2005, did you live in a home that you owned or inherited from a relative?	New
F: Education Status			
	Current education level	1. What is the highest degree or level of school you have completed?	AHPP Follow-up Survey
G: Case Management Experience			
	Receipt of and satisfaction with	1. Now I would like you to think back to the time you received your DHAP assistance in [START MONTH AND YEAR OF ASSISTANCE] Do you	New

Section	Purpose/Domain	Question	Source & Notes
	referrals and services provided through DHAP	remember working with a DHAP case manager to help you improve your housing, employment, or financial situation?	
		1a. Did you work with a DHAP case manager at [PHA NAME], a case manager the PHA referred you to at a different organization or agency, or both?	New
		1b. How many DHAP case managers did you have while you were receiving DHAP assistance? Please include the total number of DHAP case managers at the PHA and case managers the PHA referred you to.	New
		Base Question: Did your DHAP case manager refer you for help with... All YES responses are asked: Did you receive that service? All YES responses are asked: How would you rate this service?	New
		2... accessing benefits such as Food Stamps/SNAP, veterans benefits, or social security?	New
		3... searching for housing?	New
		4...getting counseling about buying a home?	New
		5...getting household goods such as furniture, linens, or kitchen equipment?	New
		6...finding or paying for child care?	New
		7...getting transportation?	New
		8...improving your education?	New
		9...finding a job or job training?	New
		10 getting legal assistance?	New
		11...improving your credit, savings, budgeting skills, or other financial skills	New
		12...obtaining medical or mental health care?	New
		13...finding elderly or disability-related services?	New
		14...dealing with marriage or family issues?	New
		15. Are there other services that I did not mention that would have been helpful to you, but you were unable to get?	New
		16. How often were you in touch with your case manager by phone, in person, or by email or text? On average, was it...	New
	Overall satisfaction with case management	17. Were you satisfied with how often you spoke with your DHAP case manager? Would you say you were always, sometimes, or never satisfied with how often you spoke with your case manager?	New
		18. Were you satisfied with how easy it was to reach the DHAP case manager? Would you say you were always, sometimes, or never satisfied with how easy it was to reach your case manager?	New
		19. How satisfied you were overall with your experience working with the DHAP case manager? Overall, were you very satisfied, somewhat satisfied, somewhat dissatisfied, or very dissatisfied with the help you received?	New
		20. Overall, how helpful was DHAP case management in helping you get back on your feet after the 2005 hurricanes? Would you say DHAP case management was very helpful, somewhat helpful, or not helpful at all?	New
	Satisfaction with DHAP rental assistance	21. Overall, how helpful was DHAP rental assistance in helping you get back on your feet after the 2005 hurricanes? Would you say DHAP rental assistance was very helpful, somewhat helpful, or not helpful at all?	New
		22. Is there anything else that you want to say about your case management experiences during DHAP, or any suggestions that you have for HUD to improve case management programs after a hurricane or other disaster?	New
		23. Now thinking about the housing part of DHAP, do you have anything else you want to say about the housing subsidy during DHAP or any suggestions you have for HUD to improve the housing part of DHAP after a hurricane or other disaster?	New
H: Debriefing Module			
	Checks on respondent well-being after interview	1. How do you feel after completing this survey? 2. Are you still upset or do you feel okay now?	New
		3. Would you like me to give you the phone number of an agency that you can call and speak to someone about how you are feeling now?	New

A3Use of Improved Technologies

The follow-up survey will be administered using computer-assisted telephone interviewing (CATI) technology. The CATI questionnaire format is user-friendly and easily guides interviewers through the survey. Abt Associates has successfully used this technology on many past projects for the Federal government.

A4Efforts to Avoid Duplication

This is the only study of DHAP outcomes for recipients, including the housing, employment, income, and savings/debt outcomes of the rent transition. The study will also assess DHAP recipients' experiences and satisfaction with the case management services provided through DHAP. Because DHAP assistance has ended for this set of respondents, this information is not being collected by any other entity.

A5Involvement of Small Entities

No small entities are involved in the implementation of the follow-up survey.

A6Consequences of Less Frequent Data Collection

The follow-up survey will be administered once; a second follow-up survey may be administered approximately one year later, at HUD's discretion. The risk of not conducting the follow-up survey at all is that HUD will not have the opportunity to learn about outcomes of the rent transition and case management provided under DHAP.

A7Special Circumstances

The proposed data collection activities are consistent with the guidelines set forth in 5 CFR 1320.6 (Controlling Paperwork Burden on the Public—General Information Collection Guidelines). There are no special circumstances that require deviation from these guidelines.

A8Consultations Outside the Agency

In accordance with the Paperwork Reduction Act of 1995, the Treasury Department published a notice in the Federal Register on May 6, 2010 announcing the agency's intention to request an OMB review of data collection activities for the follow-up survey. The notice provided a 60-day period for public comments. Two requests for the survey instrument were received by HUD; HUD provided the instrument to the two requestors.

HUD’s contractor, Abt Associates, developed the follow-up survey. The survey instrument was reviewed by methodological experts in their survey research group. HUD staff involved in administering and studying DHAP have also reviewed the instrument to ensure that it is clear, flows well, and is as concise as possible.

A9 Payments to Respondents

Incentive payments are a powerful tool for maximizing response rates in research studies. This is especially true for the sample members in the DHAP IRT Study. After they complete the follow-up survey, respondents will receive \$20 for their time if the respondent completes the interview using a land-line telephone and \$30 if the respondent is using a cell phone. This modest incentive shows survey respondents that we value and appreciate the time they take to respond to our survey request.

The use of incentive payments is included in the design to help ensure a high response rate—which is necessary to ensure unbiased estimates of key study measures. Low response rates increase the danger of differential response rates between the different sites and different phases of DHAP assistance, potentially leading to biased estimates. Incentives are particularly relevant in this study for three additional reasons. First, the sample will be particularly challenging to locate as evidenced by the lower than anticipated response to the baseline survey. Second, the sample was highly mobile during the baseline data collection period, and many were in temporary living situations as they transitioned off of DHAP assistance into the private rental market. This could result in outdated contact information. Third, despite the locating efforts undertaken in early 2010, a minimum of 12 months will have elapsed since the last contact with most families. Given the high mobility of this sample, it is very likely that many sample members will have relocated by the time the data collection starts. Finally, although the survey questions are not particularly sensitive in nature, the survey focus is about housing and other experiences after a traumatic event (Hurricanes Katrina and Rita) about which sample members may continue to feel sensitive.

The combination of potentially stale contact information and the references to Hurricanes Katrina and Rita, make it very important to maximize response rates. With a small sample, spread across 11 different DHAP programs and two different phases of DHAP assistance, maximizing response rates is essential to minimizing response bias.

Our general experience on comparable studies shows that a modest incentive is an effective amount to offer sample members in order to maximize the response rate. It is not so high as to be coercive, but also not so low that sample members would view it as immaterial.¹

A10 Arrangements and Assurances Regarding Confidentiality

HUD’s contractor, Abt Associates, takes seriously the responsibility to protect the subjects they interview. The information requested under this collection is protected and held confidential in

¹ An additional \$10 will be offered to respondents who complete the survey by cell phone, to defray the cost of additional minutes used.

accordance with 42 U.S.C. 1306, 20 CFR 401 and 402, 5 U.S.C.552 (Freedom of Information Act), 5 U.S.C. 552a (Privacy Act of 1974) and OMB Circular No. A-130. Study participants have been informed that the information collected will not be revealed with any personal identifiers to any parties outside of the research team. The data set provided to HUD with individual observations will not include any personal identifiers. The findings from the study will be publicly reported only at the aggregate level; individual clients will not be identified in the study reports. The consent form notes that participants' privacy will be protected to the extent allowed by law. The data collection plan and follow-up survey instruments will be reviewed by Abt Associates' Institutional Review Board (IRB) to help ensure appropriate protection.

A11 Sensitive Questions

This majority of this survey does not ask questions that would be deemed sensitive by the respondents. The questions focus on current housing status and satisfaction, current and recent employment and income, and household composition. Respondents will also be asked to recall their experience and satisfaction with the case management they received from DHAP. It is possible that some respondents may be upset about recalling their experiences after the hurricanes of 2005. The survey will include questions at the end to determine whether participating in the survey was upsetting to the respondent. If the respondent says yes, the interviewer will offer a toll-free number for a local affiliate of an organization such as the National Alliance of Mental Illness or other entity to be determined with HUD.

A12 Estimate of Annualized Burden Hours

Exhibit A-2 provides information on the estimated time to complete the follow-up surveys. A total of 1,425 DHAP recipients will complete a follow-up survey.² The follow-up survey will require 40 minutes to complete. Thus, total burden hours will be 950 hours for all respondents.

Exhibit A-3. Respondent Burden

	A	B	C	E
Type of Respondent	Number of Respondents	Burden per Respondent (Minutes)	Total Respondent Burden (Minutes)	Total Respondent Burden (Hours)
DHAP Recipients	1,425	40	57,000	950

A13 Estimated Record Keeping and Reporting Cost Burden on Respondents

There is no cost to respondents, other than the time required to respond to the survey.

A14 Estimated Cost to the Federal Government

The total contracted cost to the federal government for the follow-up survey and related analysis is \$436,862.

A15 Reasons for Changes in Burden

This submission to OMB is a reinstatement to reflect follow-up data collection under a previously approved OMB control number. The burden estimate for this data collection is reported in Exhibit A-3 above.

A16 Tabulation Plan, Statistical Analysis, and Study Schedule

Data collection preparations will begin upon OMB approval, estimated to be mid-October 2011. The survey field period will be 12 weeks. Assuming the field period begins by November 1, we will complete the field period by mid-February 2012. The survey data will be merged with administrative

² The initial sample was 1,438. When we conducted the brief contact data collection, 8 respondents were reported deceased and 5 respondents refused to participate in the brief contact data collection and asked us not to contact them again. These respondents have been removed from the eligible sample for the follow-up survey.

data from the DIS, TAAG, and the HUD PIC system on housing assistance received through other subsidy programs such as the voucher program and public housing. Here we briefly summarize the analysis approach.

Updating the Non-response Analysis

As described in detail in Part B of our Supporting Statement, we conducted a non-response analysis on the response to the interim survey conducted under a previous phase of the DHAP IRT Study. We used administrative data from DIS and TAAG to compare respondents and non-respondents based on demographic characteristics, income sources, DHAP unit characteristics, and program-use patterns. We also compared characteristics by DHAP Phase. After completing the follow-up survey, we will update the non-response analysis and make adjustments to the weights to ensure the respondents look more like the entire targeted sample. Once the non-response analysis has been updated, we will begin our assessment of outcomes.

Outcomes Analysis

Analysis of the follow-up survey data will consist of tabulations of information on clients, services, and outcomes. The goal of this analysis will be to shed light on the circumstances in which incremental rent transitions and case management services are more likely to result in favorable participant outcomes.

Our analysis approaches for the key outcome domains are described briefly below:

Housing situation: In the followup survey in this phase of the study, we will collect additional information on the number of places survey respondents have lived since the storms. We will tabulate survey responses about the affordability and quality of current housing and the extent to which respondents report having difficulty paying their rent or mortgages. We will also report whether surveyed households experienced homelessness recently (in the previous 12 months). This will help us assess the extent to which households were successful transitioning to stable housing they could afford.

In addition to the rental assistance participants received, DHAP case managers may also have played a role in helping participants transition to stable and affordable post-DHAP housing. Case managers may have helped participants access benefits to repair pre-storm dwellings, apply for subsidized housing through a PHA or other housing provider, or secure employment to help the household afford housing after DHAP ended. We will report the extent to which respondents received assistance or referrals for these services, whether they accessed the services, and whether they found the services helpful.

Housing location and neighborhood characteristics: We will assess how long survey respondents have been living in their current neighborhoods and whether they have moved to a different neighborhood from the neighborhood where their DHAP unit was located. We will also tabulate responses on respondents' perceptions of the safety of their current neighborhoods. If feasible, we may link geocoded respondent addresses to Census data to assess the demographic characteristics of respondents' post-DHAP neighborhoods, such as racial composition, income levels, and poverty rates.

Time and type of assistance received: We will use administrative data to tabulate the number of months respondents received DHAP and DHAP TCP assistance, and the amount of the DHAP and DHAP TCP assistance payment. To supplement the administrative data on amounts and duration of assistance, we will tabulate survey responses on how helpful respondents found the DHAP rental assistance and case management services to be in helping them get back on their feet after the hurricanes.

Self-sufficiency and financial situation: We will tabulate survey respondents' reported income levels and employment status as well as their perceptions of the stability of their financial situations (whether they are able to pay for essential expenses and how their current financial situation compares to their situation when they started receiving DHAP assistance).

Factors that may contribute to outcomes: The study will provide an overall description of post-DHAP outcomes for DHAP participants and compare their current situation to their situation at the time of the interim survey, as their DHAP participation was coming to an end. The study will also compare the outcomes of participants in Phase I versus Phase II/III to understand whether the different rent structures affected the length of participation in the program and subsequent outcomes. However, a simple comparison of means or frequencies alone would mask the effects of the different observable characteristics of Phase I and Phase II/Phase III participants on the outcomes, so we will also conduct multivariate analysis that controls for these observable characteristics. We will conduct multivariate analysis to determine the role of demographic characteristics and case management services in explaining outcomes, both to explore the role of each factor by itself and to control for these factors as we assess the effect of rent structure on outcomes.

Understanding the differences in program use and outcomes under different rent structures and for different uses of case management services are important to the Department for responding to future disasters; however any findings of differences will need to have caveats because the participants were not randomly assigned to the rent structure or case management services and thus there could be unobservable differences between participants in each group that affect their program use and outcomes.

We expect analysis will begin by mid-February 2012, with a first draft report submitted to HUD in April 2012, a second draft in June 2012, and a final report submitted in July 2012.

A17 Expiration Date Display Exemption

All data collection instruments will prominently display the expiration date for OMB approval.

A18 Exceptions to Certification

This submission describing data collection requests no exceptions to the Certificate for Paperwork Reduction Act (5 CFR 1320.9).