

April 30, 2013

## **Supporting Statement for Paperwork Reduction Act Submissions**

**OMB Control Number: 1660 – NW80**

**Title: Post Hurricane Sandy Survivor Research**

**Form Number(s): FEMA Form 008-0-9; 008-0-10; 008-0-11**

### **General Instructions**

A Supporting Statement, including the text of the notice to the public required by 5 CFR 1320.5(a)(i)(iv) and its actual or estimated date of publication in the Federal Register, must accompany each request for approval of a collection of information. The Supporting Statement must be prepared in the format described below, and must contain the information specified in Section A below. If an item is not applicable, provide a brief explanation. When Item 17 or the OMB Form 83-I is checked “Yes”, Section B of the Supporting Statement must be completed. OMB reserves the right to require the submission of additional information with respect to any request for approval.

### **Specific Instructions**

#### **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. Provide a detailed description of the nature and source of the information to be collected.**

Under the direction of Executive Order 13254 (Establishing the USA Freedom Corps), which directs Federal Emergency Management Agency’s (FEMA) Individual and Community Preparedness Division (ICPD) to study and track the progress of public service programs, this collection seeks experiential information from survivors of Hurricane Sandy via a telephone survey and a series of focus groups. The size and impact of Superstorm Sandy provide Federal Emergency Management Agency’s (FEMA) Individual and Community Preparedness Division (ICPD) with a powerful and unique opportunity to research individual and community-level preparedness and resilience. In order to improve current and future efforts around preparedness and mitigation, ICPD propose a series of qualitative focus groups and a targeted survey to gain customer and stakeholder feedback on the services offered and received prior to and during the response and recovery of Hurricane Sandy. ICPD will conduct both qualitative and

quantitative research in the designated disaster counties across New York, New Jersey, Connecticut and Rhode Island.

**2. Indicate how, by whom, and for what purpose the information is to be used. Except for a new collection, indicate the actual use the agency has made of the information received from the current collection. Provide a detailed description of: how the information will be shared, if applicable, and for what programmatic purpose.**

The goal of this data collection is to gain insights on the strengths and weaknesses of existing programs and services in order to resolve issues and improve service delivery to reduce the impact of disasters on survivors. Overall this research will probe from many perspectives how best to communicate and improve information to the public about preparedness, mitigation, response and recovery. These perspectives will inform:

- What survivors actually had prior to the disaster and, having experienced the event, what they wished they had in retrospect:
  - Information
  - Skills
  - Services
  - Supplies
  - Community connections
- Ways to educate the general population:
  - Medium
  - Frequency
  - Timing
- Effective channels for communication

**FEMA Form 008-0-10, Sandy Focus Group Recruit / Screener (script)** – A telephone survey script to recruit participants for the Sandy Focus Groups.

**FEMA Form 008-0-9, Focus Group Moderator Guide** - A tool used by the facilitator to moderate the focus group.

**FEMA Form 008-0-11, In-Depth Case Study / Community Specific (Pulse Survey)** – A telephone survey script for the quantitative data collection.

The ICPD will conduct a series of focus groups with survivors across the affected counties. Participants will be survivors living in the New York/New Jersey metropolitan area who were impacted by Hurricane Sandy. For the first round of focus groups, participants will be grouped according to varying degrees of impact the hurricane had on their daily lives. Among the participants are those who evacuated before the hurricane; those who were displaced or forced to leave their homes during or after the hurricane, and those who weathered the hurricane at home. Additionally, in order to gain a deeper understanding of the socio-economic influences on preparedness, mitigation, response

and recovery, groups will be segmented by race/ethnicity, income, age and caregiver status.

In addition to garnering qualitative feedback from survivors, the research includes an in-depth quantitative survey measurement. This survey will allow ICPD to understand individual and community-level attitudes and behavior and the impact of these behaviors and attitudes on preparedness, mitigation, response and recovery. The survey will be conducted by telephone with a sample of individuals living in the designated disaster counties. Specifically, the overall objective of this survey is to define and differentiate community-level approaches to preparedness. The questionnaire for this study will utilize the key concepts and findings derived from the 21 unique focus groups across the affected area. The survey will be administered to approximately 3,000 adults including oversamples for specific population subgroups. These oversamples will allow ICPD to quantify the nuances around community-level differences as it relates to preparedness and resilience overall.

**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.**

ICPD will contract with Gallup (the Contractor) to conduct these data collection efforts. The contractor will use its state-of-the-art Computer-Assisted Telephone Interviewing (CATI) system to conduct the interviews. All interviews will be conducted using a representative sample from the Gallup Recontact list of respondents living the affected/designated counties. The Recontact list will include respondents of the Gallup ongoing daily telephone survey (called the Gallup daily tracks) where 1,000 telephone surveys are completed daily (see part B page 11 for more details). The respondents who complete the daily track surveys and are willing to be recontacted will constitute the Recontact list. For the Gallup daily tracks, both landline and cell phone numbers are included in the sample to minimize coverage bias. The landline sample is drawn from the universe of all listed landlines. The cell phone sample of telephone numbers is drawn separately from telephone exchanges dedicated to cell phones (*See Part B. 1 Below*). The survey will be programmed with filter and skip patterns to ensure that different respondents can be asked about different topics base on impact of the storm and preparedness actions taken. English and Spanish versions of the questionnaires will be available. The CATI scripts will be created from the final English (and Spanish-language) versions of the questionnaire.

**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.**

Comparable data are not currently being collected as this is a targeted effort to understand individual and community preparedness and resilience within a specific geographic area and among individuals who are survivors of a specific disaster. Additionally, ICPD will be coordinating with other agencies and departments within ICPD to compile a comprehensive list of questions to ensure that the findings and data from this study will address current and future research needs.

**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.**

This information collection does not have an impact on small businesses or other small entities.

**6. Describe the consequence to Federal/FEMA program or policy activities if the collection of information is not conducted, or is conducted less frequently as well as any technical or legal obstacles to reducing burden.**

ICPD currently plans for only this data collection effort over the immediate 12 month period following Hurricane Sandy. However, in future, there may be needs for additional data collection to ensure the possibility of data trending, analyzing, and measuring preparedness, tracking recovery efforts and gauging resilience in a longitudinal manner. Any such information collection will be cleared in accordance with PRA requirements.

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

(a) Requiring respondents to report information to the agency more often than quarterly.

(b) Requiring respondents to prepare a written response to a collection of information in fewer than 30 days after receipt of it.

(c) Requiring respondents to submit more than an original and two copies of any document.

(d) Requiring respondents to retain records, other than health, medical, government contract, grant-in-aid, or tax records for more than three years.

(e) 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.

(f) Requiring the use of a statistical data classification that has not been reviewed and approved by OMB.

**(g) 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.**

**(h) 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.**

The special circumstances contained in item 7 of the supporting statement are not applicable to this information collection.

#### **8. Federal Register Notice:**

**a. Provide a copy and identify the date and page number of publication in the Federal Register of the agency's notice 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.**

A 30-day Federal Register Notice inviting public comments was published on April 30, 2013, 78 FR 25288. No comments were received. See attached copy of the published notice included in this package.

**b. 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.**

ICPD has consulted with Gallup on the design and methodologies for this data collection. Gallup has been conducting public opinion surveys for more than 70 years. Recommendations on frequency of collection, the clarity of instructions and recordkeeping, disclosure, or reporting format, and on the data elements to be recorded, disclosed, or reported came from their experience as well as industry best practices.

**c. Describe consultations with representatives of those from whom information is to be obtained or those who must compile records. Consultation should occur at least once every three years, even if the collection of information activities is the same as in prior periods. There may be circumstances that may preclude consultation in a specific situation. These circumstances should be explained.**

Gallup regularly consults with members of the public in designing and delivering research instruments.

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

As customary, only respondents involved in the qualitative focus groups will receive incentive. The target audience for the focus groups is survivors of a natural disaster who are currently recovering from this disruptive life event. These individuals are extremely busy, with many trying to get back to normal their routines, rebuilding their homes and/or adjusting to major life changes. Many studies indicate that during this time of recovery, most individuals believe they do not have enough free time, and specifically do not have as much time as they would like with their families. Focus groups require 90 minutes to explore topics thoroughly, which may seem daunting to many individuals. Consequently, an incentive of \$75 will be offered – the industry standard – for their participation. Respondents of the quantitative surveys will not receive any payment or gifts for completion of surveys.

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

A Privacy Threshold Analysis (PTA) was approved by the DHS Privacy Office on May 17, 2013 for this collection. The final results of the PTA have been adjudicated and the PTA is sufficient at this time. A PIA or a SORN is not required.

There are no assurances of confidentiality provided to the respondents for this information collection.

**11. Provide additional justification for any question 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 sensitive nature.

**12. Provide estimates of the hour burden of the collection of information. The statement should:**

**a. Indicate the number of respondents, frequency of response, annual hour burden, and an explanation of how the burden was estimated for each collection instrument (separately list each instrument and describe information as requested). 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 desired. 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.**

FEMA has estimated that approximately 1,260 respondents will complete the **FEMA Form 008-0-10**. There will be approximately 1 response for a total of 1,260. Each form is estimated to take .05 hours (3 minutes) to complete. The total annual burden is estimated to be 1,260 responses x .05 hours (3 minutes) per response = 63 burden hours.

FEMA has estimated that approximately 210 respondents will complete the **FEMA Form 008-0-9**. There will be approximately 1 response for a total of 210. Each form is estimated to take 1.5 hours (90 minutes) to complete. The total annual burden is estimated to be 210 responses x 1.5 hours per response = 315 burden hours.

FEMA has estimated that approximately 3,000 respondents will complete the **FEMA Form 008-0-11**. There will be approximately 1 response for a total of 3,000. Each form is estimated to take .25 hours (15 minutes) to complete. The total annual burden is estimated to be 3,000 responses x .25 hours (15 minutes) per response = 750 burden hours.

**b. 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.**

**c. Provide an estimate of annualized cost to respondents for the hour burdens for collections of information, identifying and using appropriate wage rate categories. NOTE: The wage-rate category for each respondent must be multiplied by 1.4 and this total should be entered in the cell for “Avg. Hourly Wage Rate”. The cost to the respondents 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
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Type of Respondent	Form Name / Form Number	No. of Respondents	No. of Responses per Respondent	Total No. of Responses	Avg. Burden per Response (in hours)	Total Annual Burden (in hours)	Avg. Hourly Wage Rate	Total Annual Respondent Cost
Individuals or Households	Sandy Focus Group Recruit / Screener / FEMA Form 008-0-10	1,260	1	1,260	.05 (3 mins.)	63	\$22.78	\$1,435.14
Individuals or Households	Focus Group Moderator Guide / FEMA Form 008-0-9	210	1	210	1.5 hrs. (90 mins.)	315	\$22.78	\$7,175.70
Individuals	In-Depth Case Study Pulse Survey/ FEMA Form 008-0-11	40	1	40	.25 (15 mins)	10	\$22.78	\$227.80
Individuals or Households	In-Depth Case Study Pulse Survey/ FEMA Form 008-0-11	3,000	1	3,000	.25 (15 mins.)	750	\$22.78	\$17,085.00
<b>Total</b>		<b>4,510</b>		<b>4,510</b>		<b>1,138</b>		<b>\$25,923.64</b>

- Note: The "Avg. Hourly Wage Rate" for each respondent includes a 1.4 multiplier to reflect a fully-loaded wage rate.
- "Type of Respondent" should be entered exactly as chosen in Question 3 of the OMB Form 83-I

According to the U.S. Department of Labor, Bureau of Labor Statistics website ([www.bls.gov](http://www.bls.gov)) the median hourly wage estimate for all occupations combined is \$16.27. For the purposes of calculating the burden, a 1.4 multiplier was added to reflect a fully-loaded wage rate (\$22.78). The total estimated burden hour cost to respondents is estimated to be \$25,923.64 annually.

**13. Provide an estimate of the total annual cost burden to respondents or recordkeepers resulting from the collection of information. The cost of purchasing or contracting out information collection services should be a part of this cost burden estimate. (Do not include the cost of any hour burden shown in Items 12 and 14.)**

**The cost estimates should be split into two components:**

**a. Operation and Maintenance and purchase of services component. These estimates should take into account cost associated with generating, maintaining, and disclosing or providing information. Include descriptions of methods used to estimate major cost factors including system and technology acquisition, expected useful life of capital equipment, the discount rate(s), and the time period over which costs will be incurred.**



**b. Capital and Start-up-Cost should include, among other items, preparations for collecting information such as purchasing computers and software, monitoring sampling, drilling and testing equipment, and record storage facilities.**

There are no record keeping, capital, start-up or maintenance costs associated with this information collection.

**14. Provide estimates of annualized cost to the federal government. Also, provide a description of the method used to estimate cost, which should include quantification of hours, operational expenses (such as equipment, overhead, printing and support staff), and any other expense that would have been incurred without this collection of information. You may also aggregate cost estimates for Items 12, 13, and 14 in a single table.**

**Annual Cost to the Federal Government**

<b>Item</b>	<b>Cost (\$)</b>
Contract Costs [This is a contract to support Individual and Community Preparedness Division with Building and Sustaining National Preparedness. The contract involves collection, analysis and reporting on qualitative and quantitative data collections.] Contract Number: GS23F9806H Order Number: HSFE20-12-F-0418 Cost: \$465,000	\$465,000
Staff Salaries* [(25% of GS 14, step 5 annually (= \$119,238 x .25 = \$29,809.50) + 25% of GS 13, step 1 annually (= \$89,033 x .25 = \$22,258.25) x 1.4 fully loaded employee multiplier]	\$73,000
Facilities [cost for renting, overhead, etc. for data collection activity]	
Computer Hardware and Software [cost of equipment annual lifecycle]	
Equipment Maintenance [cost of annual maintenance/service agreements for equipment]	
Travel	\$25,000
Printing [number of data collection instruments annually]	
Postage [annual number of data collection instruments x postage]	
Other	
<b>Total</b>	<b>\$563,000</b>

\* Note: The "Salary Rate" includes a 1.4 multiplier to reflect a fully-loaded wage rate.

**15. Explain the reasons for any program changes or adjustments reported in Items 13 or 14 of the OMB Form 83-I in a narrative form. Present the itemized changes in hour burden and cost burden according to program changes or adjustments in Table 5. Denote a program increase as a positive number, and a program decrease as a negative number.**

*A "Program increase" is an additional burden resulting from an federal government regulatory action or directive. (e.g., an increase in sample size or coverage, amount of information, reporting frequency, or expanded use of an existing form). This also includes previously in-use and unapproved information collections discovered during the ICB process, or during the fiscal year, which will be in use during the next fiscal year.*

A **"Program decrease"**, is a reduction in burden because of: (1) the discontinuation of an information collection; or (2) a change in an existing information collection by a Federal agency (e.g., the use of sampling (or smaller samples), a decrease in the amount of information requested (fewer questions), or a decrease in reporting frequency).

**"Adjustment"** denotes a change in burden hours due to factors over which the government has no control, such as population growth, or in factors which do not affect what information the government collects or changes in the methods used to estimate burden or correction of errors in burden estimates.

Itemized Changes in Annual Burden Hours						
Data collection Activity/Instrument	Program Change (hours currently on OMB Inventory)	Program Change (New)	Difference	Adjustment (hours currently on OMB Inventory)	Adjustment (New)	Difference
Sandy Focus Group Recruit / Screener / FEMA Form 008-0-10	0	63	+ 63			
Focus Group Moderator Guide / FEMA Form 008-0-9	0	315	+ 315			
Cognitive Testing for In-Depth Case Study Pulse Survey / FEMA Form 008-0-11	0	10	+10			
In-Depth Case Study Pulse Survey / FEMA Form 008-0-11	0	750	+ 750			
<b>Total(s)</b>	<b>0</b>	<b>1,138</b>	<b>+ 1,138</b>			

**Explain:**

The previously approved burden hours were 0 as this is a new collection and the current estimated annual hour burden is 1,138 hours. Therefore, the burden hours are positive program changes.

Itemized Changes in Annual Cost Burden						
Data collection Activity/Instrument	Program Change (cost currently on OMB Inventory)	Program Change (New)	Difference	Adjustment (cost currently on OMB Inventory)	Adjustment (New)	Difference
Sandy Focus Group Recruit / Screener / FEMA Form 008-0-10	0	\$1,435.14	+\$1,435.14			
Focus Group Moderator	0	\$7,175.70	+\$7,175.70			

Guide / FEMA Form 008-0-9						
Cognitive Testing In- Depth Case Study Pulse Survey / FEMA Form 008-0-11	0	\$227.80	+\$227.80			
In-Depth Case Study Pulse Survey / FEMA Form 008-0-11	0	\$17,085.0 0	+\$17,085.00			
<b>Total(s)</b>	<b>0</b>	<b>\$25,923.6 4</b>	<b>+\$25,923.64</b>			

***Explain:***

This collection has not previously been approved for use by OMB and there was no previous annual cost burden.

**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.**

Current plans are to publish findings from this study. Additional discussions will determine if the results will be submitted for publications in journals. In any event, it is expected that this research will produce groundbreaking data and will lead to numerous follow-on research articles.

**17. If seeking approval not to display the expiration date for OMB approval of the information collection, explain reasons that display would be inappropriate.**

FEMA 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.**

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