January 13, 2014

Supporting Statement for Paperwork Reduction Act Submissions

OMB Control Number: 1660 – 0128

Title: Federal Emergency Management Agency Individual Assistance Program Effectiveness & Recovery Survey

Form Number(s):

Program Effectiveness & Recovery Survey, FEMA Form 007-0-20

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.

To assist the Federal Emergency Management Agency (FEMA) in meeting its 2011-2014 Strategic Plan Initiative 4: Enhance FEMA's ability to learn and innovate as an organization, and to assist in achieving the Administrator's Intent for 2015-2019 to be Survivor Centric in mission and program delivery, the Customer Satisfaction Analysis Section (CSA) will administer Individual Assistance Program Effectiveness and Recovery Surveys. Through CSA's analysis of results from the functional areas measured in the survey process, FEMA will be able to examine and learn from the program's efforts to improve performance, to identify and solve performance problems, and to set and achieve new performance targets.

The following legal authorities mandate the collection of the information in this request:

The September 11, 1993 Executive Order 12862, “Setting Customer Service Standards,” and its March 23, 1995 Memorandum addendum, “Improving Customer Service,” requires that all Federal agencies ask their customers what is most important to them, and survey their customers to determine the kind and quality of services the customers want and their level of satisfaction with existing services. The 1993 Government Performance and Results Act (GPRA) requires agencies to set missions and goals, and measure performance against them.

The E-Government Act of 2002 includes finding innovative ways to improve the performance of governments in collaborating on the use of information technology to improve the delivery of Government information and services.

Executive Order 13411 mandated an interagency task force develop the Disaster Assistance Improvement Plan (DAIP) to create a single application for citizens to apply for disaster assistance across all programs that receive Federal government funding. The portal went into effect December 31, 2008.

The GPRA Modernization Act of 2010 requires quarterly performance assessments of Government programs for purposes of assessing agency performance and improvement, and to establish agency performance improvement officers and the Performance Improvement Council. Executive Order 13571 “Streamlining Service Delivery and Improving Customer Service” and its June 13, 2011 Memorandum “Implementing Executive Order 13571 on Streamlining Service Delivery and Improving Customer Service” sets out guidelines for establishing customer service plans and activities.

From the Sandy Recovery Improvement Act (SRIA) of 2013 and the response provided by FEMA staff from all divisions during Hurricane Sandy, the Disaster Survivor Assistance (DSA) Program was formed to provide additional in-person customer service during the initial phase of the recovery process.

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.

FEMA’s mission is to support the citizens of the United States and first responders to ensure that as a nation we work together to build, sustain, and improve our capability to prepare for, protect against, respond to, recover from, and mitigate all hazards. FEMA uses the collected information to measure customer satisfaction, to meet objectives, gauge and make improvements to increase customer satisfaction.

When the President declares a major disaster, FEMA provides, coordinates, or partners with State and Local Agencies, Voluntary Agencies, and private industry for direct housing, financial assistance for temporary housing and/or financial assistance to repair primary homes. FEMA coordinates the Individual Assistance Program by registering disaster survivors, processing the Individual Assistance program, meeting disaster survivors in their affected areas, and referring them for other services; such as, loans to repair homes or business or for economic loss, unemployment assistance, crisis counseling, food stamps, and tax assistance. While FEMA does not pay 100% of the personal property losses, FEMA does take the application for the State and in most disasters, FEMA also processes the request for the State.

Disaster survivors apply by phone at 1-800-621-FEMA (1-800-621-3362), for the speech or hearing-impaired (TTY 1-800-462-7585), they apply in person with a Representative, or they apply online at www.DisasterAssistance.gov. During the process of applying for recovery assistance, survivors provide their name and phone number(s) as part of their application

This collection is the Individual Assistance (IA) Program Effectiveness and Recovery Survey, managed by the Recovery Directorate, through the National Processing Service Center Division, Customer Satisfaction Analysis Section (CSA) of the Federal Emergency Management Agency.

The respondents to the collection are individuals and households who are disaster survivors, who registered for federal assistance for a presidentially declared major disaster, either by phone, in person, or on-line. After the contact with FEMA, the individuals are contacted by phone to rate their satisfaction with the customer service and assistance they received. The purpose for the survey follows:

Program Effectiveness & Recovery Survey, FEMA Form 007-0-20, a survey intended to improve the quality of FEMA services that measures satisfaction with FEMA information, support, interactions with FEMA, assistance and timeliness, and help in correlation with expectations and recovery.

FEMA’s mission is to support our citizens and first responders to ensure that as a nation we work together to build, sustain, and improve our capability to prepare for, protect against, respond to, recover from, and mitigate all hazards. FEMA uses the collected information to measure customer satisfaction, to meet objectives, gauge and make improvements to increase customer satisfaction. FEMA uses the results to report to the Department of Homeland Security (DHS) quarterly and annually on the percent of Americans affected by a disaster or other emergency who received assistance and indicate satisfaction with the Individual Assistance.

In the field, the Federal Coordinating Officers, Individual Assistance Officers, Human Services Branch Chief, External Affairs Officer and other Program Managers use results to measure satisfaction with FEMA assistance and processes and to gain an understanding of ways to improve their service through educating and informing the public about FEMA's assistance.

In addition to the survey, in-person focus groups, one-on-one interviews and on-line interviews with disaster survivors will provide feedback about what is most important to them for the development of the survey questionnaire. Sessions will be held in different areas of the country based on disaster activity and will allow for a wide range of discussions about the survey topics in order to hear how the participants think about the topics and the vocabulary they use. Results will provide insights into respondent perceptions, experiences and expectations for the purpose of improving service delivery for Program Managers.

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.

All survey responses are stored in the Customer Satisfaction Analysis System (CSAS) for easy retrieval, statistical analyses and reporting. The collection technique is by phone interviews. All contact for these surveys comes from a FEMA representative calling the number the respondent has provided in the application for assistance. This is a 100% electronic collection. No paper forms are submitted or used. Survivors are asked to rate their satisfaction depending on what type of FEMA recovery service they recently received. They are also asked for suggestions that will help FEMA to improve.

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.

This information is not collected in any form and therefore is not duplicated elsewhere.

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.

There is no impact from this collection of information 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.

If FEMA's surveys were not conducted, the consequences would be the absence of documentation about customer input on the quality and timeliness of disaster survivor centric service. The survey results serve as a vital tool for measuring customer satisfaction and are a requirement of the Executive Orders 12682 and 13571, and resulting Memorandums for “Streamlining Service Delivery and Improving Customer Service.” The surveys also measure the effectiveness of the Administrator’s Strategic Plan and Intent based on the disaster survivor’s perspective.

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 60-day Federal Register Notice inviting public comments was published February 28, 2104, 79 FR 11454. **No comments were received.**

A 30-day Federal Register Notice inviting public comments was published on July 7. 2014, 79 FR 37757. **No comments were received.**

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.

Budget constraints have prevented FEMA from consulting with persons outside the agency. The last time funds were available was 2010 when FEMA's Recovery Directorate contracted with a consultant to review the current collection of information including the sampling methodology and questionnaire provided to OMB and approved in 2007. FEMA's Customer Satisfaction Analysis Section specialists also conducted focus group sessions with disaster survivors in 2010.

Recovery Directorate and Individual Assistance Program Managers were consulted for input about the data collected in the survey questionnaires and the reporting format. Also, research articles have been studied in an attempt to implement industry standard guidelines for the frequency of collection and the reporting format.

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.

Budget constraints have prevented FEMA from consulting with disaster survivors since FY2010 when FEMA's Recovery Directorate contracted with a consultant to perform focus groups with participants who had received FEMA's assistance. FEMA's Customer Satisfaction Analysis Section specialists also conducted focus group sessions with disaster survivors in 2010.

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

Nominal monetary incentives may be offered to potential focus group participants. This is a standard practice in the conduct of such groups. For Focus Groups held in person, a fee of $50-75 may be offered. For On-Line Interviews, a fee of $25 may be offered. For One-on-One Interviews performed by phone, no fee will be offered.

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 on 9/23/2013.

The collection is covered by the existing System of Records Notice (SORN): DHS/FEMA-008 Disaster Recovery Assistance Files of Record dated April 30, 2013.

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 a 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.

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								
Type of Respondent	Form Name / Form No.	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 and Households	Program Effectiveness & Recovery Survey/FEMA Form 007-0-20	8,448	1	8,448	0.20	1690	$ 30.81	$ 52,056.58
Individuals and Households, Partners In Service Staff	Focus Group	240	1	240	2.00	480	$ 30.81	$ 14,788.80
Individuals and Households, Partners In Service Staff	Travel to Focus Group	240	1	240	1.00	240	$ 30.81	$ 7,394.40
Individuals and Households, Partners In Service Staff	One-on-One Interviews	144	1	144	1.00	144	$ 30.81	$ 4,436.64
Individuals and Households, Partners In Service Staff	Online Interviews	144	1	144	1.00	144	$ 30.81	$ 4,436.64
Total		9216		9216		0		$ 83,113.06

* Note: The “Avg. Hourly Wage Rate” for each respondent includes a 1.4 multiplier to reflect a fully-loaded wage rate.

According to the U.S. Department of Labor, Bureau of Labor Statistics website (www.bls.gov) the wage rate category for all occupations is estimated to be a mean hour rate per hour including the wage rate multiplier, therefore, the estimated burden hour cost to respondents All Occupations is estimated to be $83,113.06 annually.

13. Provide an estimate of the total annual cost burden to respondents or record keepers 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.

Annual Cost Burden to Respondents or Record Keepers				
Data Collection Activity/Instrument	*Annual Capital Start-Up Cost (investments in overhead, equipment, and other one-time expenditures)	*Annual Operations and Maintenance Cost (such as recordkeeping, technical/professional services, etc.)	Annual Non-Labor Cost (expenditures on training, travel and other resources)	Total Annual Cost to Respondents
Focus Group Travel			$ 8,064.00	$ 8,064.00
Total	**$ -**	**$ -**	**$ 8,064.00**	**$ 8,064.00**

Annual Non-Labor Cost for travel to Focus Groups is based on US General Services Administration (GSA) mileage rate for Privately Owned Vehicles (POV) effective January 1, 2014 at $0.56 per mile. Maximum travel to the Focus Group not to exceed 30 miles one way or 60 miles round trip. Total number of respondents estimated to be 240 for a total miles per round trip calculated at 60 * 240 = 14,400 miles @ $0.56 per mile = $8,064 annual cost for mileage.

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		
Item	**Cost ($)**	
Contract Costs [Describe]		
Staff Salaries* Gs-14 Step 5, spending 21.25% of time on survey management; 1 GS 6 Step 5, spending 21.25% of time on administration; 1 GS Step 5, spending 56.10% of time on analysis; 1 GS-13 Step 5, spending 21.25% on supervision; 1 GS-12 Step 5, spending 14.45% of time on quality assurance; 1 GS-12 Step 5, spending 14.45% of time on analysis; 2 GS-11 Step 5, spending 14.45% of time on quality assurance; 5 GS-11 Step 5, spending 21.25% of time on survey administration and database management; 1 GS-12 Step 5, spending 14.45% of time on supervision; 1 GS-11 Step 5, spending 14.45% of time on supervision; 1 GS-11 Step 5, spending 14.45% of time on scheduling surveys; 21 GS-9 Step 5, spending 14.45% of time interviewing	$	619,132.95
Facilities [cost for renting, overhead, etc. for data collection activity]	$	13,411.11
Computer Hardware and Software [cost of equipment annual lifecycle]		
Equipment Maintenance [cost of annual maintenance/service agreements for equipment]	$	24,608.28
Travel		
Telephone: Long Distance ($.01958 per minute x 6 minute average x 8,448 calls)	$	843.60
Telephone: Long Distance ($.01958 per minute x 1:16 minute average x 27,540 calls)	$	1,219.21
Other Supplies	$	188.13
Total	$	659,403.28

* = Federal pay table from the following locality: Dallas-Ft Worth, TX

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 c 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
Program Effectiveness & Recovery Survey/FEMA Form 007-0-20			0	2400	1690	-710
Focus Groups in Person	0	480	480			0
Focus Groups in Person Same Respondents Travel to Focus Group	0	240	240			0
One-on-one Interviews	0	144	144			0
Online Interviews	0	144	144			0
Total	0	1008	1008	2400	1690	-710

For the Program Effectiveness & Recovery Survey, the previously approved burden hours were 2,400. The current estimated annual hour burden is 2,698 hours, resulting in an increase of 298 hours due to two reasons: 1) The prior collection activity was based on 30 disasters per year, but the average of 22 disasters in this collection is based on the last three years, or an adjustment decrease from 30 to 22 disasters or -710 burden hours; 2) plus inclusion of a program change to add Focus Groups burden of +1,008 burden hours. The total net burden increase of 298 is overall an increase for the Program Effectiveness & Recovery Survey**.**

Itemized Changes in Annual Cost Burden						
Data Collection Activity/Instrument	Program Change (hours currently on OMB Inventory)	Program Change (New)	Difference	Adjustment (hours currently on OMB Inventory)	Adjustment (New)	Difference
Program Effectiveness & Recovery Survey/FEMA Form 007-0-20			$ -	$ 70,224.00	$ 52,056.58	$ (18,167.42)
Focus Groups in Person	$ -	$ 14,788.80	$ 14,788.80			$ -
Focus Groups in Person Same Respondents Travel to Focus Group	$ -	$ 7,394.40	$ 7,394.40			$ -
One-on-one Interviews	$ -	$ 4,436.64	$ 4,436.64			$ -
Online Interviews	$ -	$ 4,436.64	$ 4,436.64			$ -
Total	$ -	$ 31,056.48	$ 31,056.48	$ 70,224.00	$ 52,056.58	$ (18,167.42)

For the Program Effectiveness & Recovery Survey, the previously approved cost burden was $70,224.00. The current estimated annual cost burden is $83,113.06, resulting in an increase of $12,889.06 due to several reasons: 1) The prior collection activity was based on 30 disasters per year but the average of 22 disasters in this collection is based on the last three years, which is a decrease from 30 to 22 disasters, resulting in a decreased cost of -$18,167.42, 2) plus inclusion of a program change to add Focus Groups burden cost of +$31,056.48, and 3) a wage rate increase. The total net cost increase of $12,889.06 is overall an increase for the Program Effectiveness & Recovery Survey**.**

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.

FEMA does not intend to employee the use of statistics or the publication thereof for this information collection.

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.

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