

September 25, 2017

## Supporting Statement for Paperwork Reduction Act Submissions

**OMB Control Number: 1660- 0105**

**Title: Community Preparedness and Participation Survey**

**Form Number(s): FEMA Form 008-0-15**

### 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.**

The Stafford Act, Title VI, Emergency Preparedness (42 U.S.C. 5195-5195(a)) identifies the purpose of emergency preparedness “for the protection of life and property in the United States from hazards.” It directs that the Federal Government “provide necessary direction, coordination, and guidance” as authorized for a comprehensive emergency preparedness system for all hazards. Emergency preparedness is defined as all “activities and measures designed or undertaken to prepare or minimize the effects of a hazard upon the civilian population...” The “conduct of research” is among the measures to be undertaken in preparation for hazards.

The DHS Strategic Plan 2014-2018 includes a Goal 5.1 including the goal for “improving strategies for the mission of empowering individuals and communities to strengthen and sustain their own preparedness.”

The FEMA Strategic Plan 2014-2018 references FEMA priorities for preparing individuals in Priority #1- to achieve a survivor-centric mission where “Individuals and communities know the steps to take, have the tools required, and take appropriate actions, before, during, and after disasters”, and in Priority #3, to better prepare survivors and bystanders.

Presidential Policy Directive-8 (PPD-8) directs the Secretary of Homeland Security to “coordinate a comprehensive campaign to build and sustain national preparedness, including public outreach and community-based and private sector programs to enhance national resilience, the provision of Federal financial assistance, preparedness efforts by the Federal Government, and national research and development efforts.”

In response to the charge to FEMA and to the DHS and FEMA strategic priorities, FEMA conducts programs to improve the public’s knowledge and actions for preparedness and resilience including the [READY.gov](http://READY.gov) program, the Prepareathon program, and related programs such as the Youth Preparedness program that focus on specific populations and hazards. Information from this collection will be used to track changes in knowledge, attitudes and behaviors related to preparedness in the general public, and to track the outcomes of the national campaigns and programs in motivating behavior change for preparedness in the general public.

**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 Individual and Community Preparedness Division analyzes and uses data collected in FEMA Form 008-0-15, Community Preparedness and Participation Survey to identify progress and gaps in individual and community preparedness and participation and to better understand the motivators and barriers to preparedness in general and about specific hazards (e.g., hurricanes, floods, wildfires). The survey measures the public’s knowledge, attitudes, and behaviors relative to preparing for a range of hazards. This information is used by the Individual and Community Preparedness Division and FEMA components to tailor awareness and recruitment campaigns, specifically Prepareathon, messaging and public information efforts, community outreach and strategic planning initiatives to more effectively improve the state of individual preparedness and participation across the country in order to achieve a survivor-centric mission where “Individuals and communities know the steps to take, have the tools required, and take appropriate actions, before, during, and after disasters”, and to better prepare survivors and bystanders. Selected data and trends are also used as a base for strategic plan metrics for DHS and FEMA and by other federal agency preparedness indices including the Health and Human Services sponsored Healthy People objectives. The findings are compiled in a report that is circulated internally to DHS and FEMA officials as well as

made available to the public on the FEMA website. Findings of the survey may be submitted for publication in peer-reviewed journals. This information has been used to provide information to each of the FEMA regions and identified jurisdictions to develop targeted strategies for educating the public in their respective areas of responsibility. Findings will also be used to refine hazard-specific messaging (e.g., messaging specifically about hazards such as hurricanes, floods, and wildfires).

**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 information is collected via electronic means, i.e., via computer-assisted telephone interviewing (CATI) surveys administered by the contractor. The information is entered into an electronic database, and no versions are submitted on paper or recorded on paper. Telephone surveys are used in order to minimize time and effort to survey participants, and to streamline the administration of the survey in the United States.

**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; existing surveys related to preparedness in the United States do not include adequate information on individual attitudes, knowledge and behaviors across a range of relevant hazards and/or are outdated or don't include trending data. FEMA's Individual and Community Preparedness Division has compiled a database of surveys from other organizations on individual, business, and school preparedness since September 11, 2001. Analysis was conducted on this database and the results of this analysis were used in the design of this study series. The Community Preparedness and Participation Survey is dissimilar to many of the other surveys compiled in the database in that it is more comprehensive by focusing on a wide range of hazards (flood, tornado, earthquake, hurricane, extreme heat, severe winter weather, wildfire, power outages, chemical release, pandemics, nuclear, and terrorism) disasters and critical aspects of preparedness (attitudes such as risk perception, and value of preparing, knowledge, and actions such as preparedness plans and supplies), as well as providing sufficient data to inform work at a national, community, and hazard-specific level. This survey is also unique in that it provides a continuous source of consistent information that is tracked for progress trending over many years with data covering more than a 10 year period from 2007 until the present.

**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.**

Relevant FEMA programs and policies will not include or be based on the most current preparedness information and the metrics for key strategic areas will be unavailable unless this survey is administered regularly with tracking maintained. As a result, these programs and policies will lack an inclusive approach that is also evidence-based and comprehensive, to achieve their respective missions.

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

The special circumstances contained in item 7(a) thru 7(h) of the supporting statement are not applicable to this information collection.

**(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.**

## 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.**

Respondents are not required to submit proprietary trade secret, or other confidential information.

A 60-day Federal Register Notice inviting public comments was published on May 19, 2017, 82 FR 23023. No comments were received. See attached copy of the published notice included in this package.

A 30-day Federal Register Notice inviting public comments was published on July 25, 2017, 82 FR 34548. 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.**

The Individual and Community Preparedness Division has consulted with survey methodologists, practitioners, and academic organizations in the design and methodologies for this data collection. 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.

The Individual and Community Preparedness Division has compiled a list of preparedness surveys dating back to September 11, 2001. This database has been updated regularly. Analysis was conducted on this database and the results of this analysis were used in the design of this study and study series.

**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.**

Members of the general public were consulted, through cognitive interviews, by the Individual and Community Preparedness Division in the design of the earlier version of

this survey. Cognitive interviews were conducted with fewer than nine individuals to assess clarity of specific questions. The survey has also been modified slightly since the last collection, partly as a result of the feedback received from respondents in the field and to allow for a more detailed exploration of knowledge, attitudes and behaviors encouraged by Prepareathon, and research on specific hazard protective actions for preparation and knowledge. Although new cognitive interviews are not currently planned, they are included in the estimates to provide the flexibility to use them if advisable to assess clarity of the revised survey.

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

There is no offer of monetary or material value for this information collection.

**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 June 13, 2017. No Privacy Impact Assessment (PIA) is necessary and System of Records Notice (SORN) coverage is not required, as no PII is collected and no information is retrieved by unique identifier.

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 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.**

The total number of respondents for each year will be 5,000 (5,040 including potential cognitive interviews). The survey will be conducted every year, and this approval period will cover 3 years. A maximum of one survey will be conducted every year, with a minimum of two surveys conducted during this clearance period subject to the availability of funding. The survey will take respondents 15 minutes to complete; this estimated hour burden is based on the data from past surveys. Sampling strategies are discussed for each in Part B of this supporting statement.

**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 1.46 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 Burden Hours and Costs								
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	FEMA Form 008-0-15, Community Preparedness and Participation Survey	5,000	1	5,000	15 minutes (.25 hours)	1,250	\$26.00	\$32,500
Individuals/ Cognitive Interviews	FEMA Form 008-0-15, Community Preparedness and Participation Survey	40	1	40	15 minutes (.25 hours)	10	\$26.00	\$260.00
<b>Total</b>		<b>5,040</b>		<b>5,040</b>		<b>1,260</b>		<b>\$32,760</b>

• Note: The “Avg. Hourly Wage Rate” for each respondent includes a 1.46 multiplier to reflect a fully-loaded wage rate.

The median hourly wage rate estimate for all individuals (the “All Occupations” Major Occupational Group designation in the BLS Occupational Employment Statistics)<sup>1</sup> is estimate to be \$17.81 and with the 1.46 multiplier the wage estimate is to be \$26.00 (\$17.81 x 1.46 = \$26.00) per hour. The total cost to respondents for the survey across the three years was estimated to be 1,250 burden hours x the \$26.00 hourly wage estimate=

<sup>1</sup> See U.S. Bureau of Labor Statistics, “Occupational Employment Statistics, May 2016 National Occupational Employment and Wage Estimates,” located at: [https://www.bls.gov/oes/current/oes\\_nat.htm#00-0000](https://www.bls.gov/oes/current/oes_nat.htm#00-0000).

\$32,500 annual burden hour cost. Additionally, a total of 40 cognitive testing interviews on specific survey question may be conducted over the three years for an estimated potential annual burden hours of \$260.00 (10 x \$26.00 = \$260.00) hourly wage estimate. The overall total annual burden hour cost is estimated to be \$32,760.

**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 is no recordkeeping, 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**



Item	Cost (\$)
Staff Salaries* [ 1 of GS 14 , step 5 employee (\$99,888 per OPM 2017 Salary Table, General Schedule Increase) spending approximately 25% of time annually and 1 of GS 13 , step 1 employee (\$74,584) spending approximately 25% of time annually for this data collection] $\$99,888 \times 25\% \times 1.46 = \$36,459.12 + \$27,223.16$ ( $\$74,584 \times 25\% \times 1.46 = \$27,223.16 = \$63,682.28$ )	\$63,682.28
Contractor Labor	\$526,500
Contractor ODCs (DP CATI, List and Sample, Translations)	\$37,250
Equipment Maintenance [cost of annual maintenance/service agreements for equipment]	\$0
Travel	\$0
Printing [number of data collection instruments annually]	\$0
Postage [annual number of data collection instruments x postage]	\$0
Other [Sample Purchase]	\$0
<b>Total</b>	<b>\$627,432.28</b>

\* Note: The "Salary Rate" includes a 1.46 multiplier to reflect a fully-loaded wage rate.  
<https://www.opm.gov/policy-data-oversight/pay-leave/salaries-wages/2016/general-schedule/>.

**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.

<b>Itemized Changes in Annual Burden Hours</b>
--

Data collection Activity/Instrument	Program Change (hours currently on OMB Inventory)	Program Change (New)	Difference	Adjustment (hours currently on OMB Inventory)	Adjustment (New)	Difference
FEMA Form 008-0-15, Community Preparedness and Participation Survey				3,000	1,260	-1,740
<b>Total(s)</b>				<b>3,000</b>	<b>1,260</b>	<b>-1,740</b>

**Explain:** The burden estimate for completion of the data collection instruments has decreased from 6,000 responses to 5,040 a decrease of 960 responses and the response time has decreased from 30 minutes to 15 minutes, a decrease of 15 minutes. Therefore, the total annual burden hours will decrease by 1740. The intent is to apply a new strategy for maintaining a burden of 15 minutes for the total section of questions in the instrument with annual flexibility on the hazard selection from among the hazards and the question selection from the questions provided for each question area. This will provide specific consistent burden hours, transparency for the hazard and questions but flexibility for selection from among the hazards and questions submitted.

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
FEMA Form 008-0-15, Community Preparedness and Participation Survey				\$68,795.60	\$32,760	-\$36,035.60
<b>Total(s)</b>				<b>\$68,795.60</b>	<b>\$32,760</b>	<b>-\$36,035.60</b>

**Explain:**  $\$68,795.60 - \$32,760 = \$36,035.60$ . This decrease is directly related to the decrease in response time from 30 to 15 minutes, as well as the decrease in responses from 6,000 to 5,040.

**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.**

The survey data will be tabulated in ways that will address the principal research purposes outlined in question 2. The planned analyses to be conducted by FEMA Individual and Community Preparedness Division are described briefly below. The

collection is administered annually with sufficient time to provide data for some specific agency level metrics by the beginning quarter of each year. Additional analyses are published during the year following data collection. After initial publication, additional analysis may be included as part of the trending analysis of subsequent collections.

Calculate means, frequency distributions as well as drivers analysis to understand:

- To what extent are individuals prepared for disasters? What motivators/barriers do individuals perceive in preparing for disasters? Are these findings different for hazards where the risks are relevant to the respondent's location?
- What is the perception of risk vulnerability to different types of disasters? How do people perceive the utility of preparedness and their ability to prepare?
- In which stage of the Stages of Change model (Pre-contemplation, Contemplation, Preparation, Action, and Maintenance) are individuals relative to disaster preparedness? Are there trends in the distribution of individuals by stages of change?
- How do preparedness awareness, attitudes such as risk perceptions, barriers/motivators, and actions to prepare differ by hazard?
- What is the relationship between hazard risk awareness, risk efficacy, and actions taken to prepare for a specific hazard?
  - How does disaster preparedness differ by demographic characteristics?
  - Where do individuals learn about emergency preparedness? Is information received from these sources of information useful to individuals and does the information lead to increased disaster preparedness behaviors?
  - Do individuals understand the correct, science validated, protective actions to take during an emergency for specific hazards such as an earthquake or a tornado? Do individuals have a better understanding of the validated protective actions for hazards where the risk is relevant to their location?

Survey results will be presented to Individual and Community Preparedness leadership. Dissemination will also occur through web publication, publication in relevant journals, and presentation to appropriate audiences.

**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.