March 24, 2021

Supporting Statement for Paperwork Reduction Act Submissions

OMB Control Number: 1660 - 0105

Title: National Household Survey on Disaster Preparedness

Form Number(s): FEMA Form 008-0-FY-21-103 Telephone
FEMA Form 008-0-FY-21-104 Web

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 Department of Homeland Security (DHS) Strategic Plan 2020-2024 includes Goal 5 to "strengthen preparedness and resiliency." The first objective (5.1) of this goal is to “build a national culture of preparedness” with a sub-objective to “improve awareness initiatives to encourage public action to increase preparedness.

Similarly, in the Federal Emergency Management Agency’s (FEMA) Strategic Plan 2018-2022, Strategic Goal 1 is to “build a culture of preparedness” with objective 1.3 to “help people prepare for disaster.” The performance measures for objective 1.3 include increasing the percentage of people with savings set aside for an emergency and increasing the percentage of people who have taken preparedness actions.

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.”

The Post Katrina Emergency Management Reform Act, at 6 U.S.C. §749(a) requires the FEMA Administrator, in coordination with the National Council on Disability and the National Advisory Council, to establish a comprehensive system to assess, on an ongoing basis, the Nation’s prevention capabilities and overall preparedness, including operational readiness.

In response to the charge to FEMA, and to the DHS and FEMA strategic priorities, FEMA manages programs to improve the public’s knowledge and actions for preparedness and resilience. Information from this collection will be used to track changes in knowledge, attitudes, and behaviors related to 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 the two versions of the National Household Survey on Disaster Preparedness, FEMA Form 008-0-FY-21-103 (Telephone) and FEMA Form 008-0-FY-21-104 (Web), to identify progress and gaps in individual and community preparedness to better understand the motivators and barriers to preparedness in general and about specific hazards. The survey measures the public’s knowledge, attitudes, and behaviors relative to preparing for a wide range of hazards including, but not limited to, flood, tornado, earthquake, hurricane, extreme heat, severe winter weather, wildfire, power outages, chemical release, pandemics, nuclear explosions, and terrorism. This information is used by the Individual and Community Preparedness Division and FEMA components to tailor 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.,

Selected data and trends are also used for strategic plan metrics for DHS and FEMA, as well as in preparedness indices from other Federal agencies including:

- Healthy People (https://health.gov/healthypeople) from the U.S. Department of Health and Human Services

- See Something, Say Something Campaign (https://www.dhs.gov/see-something-say-something) by the Department of Homeland Security

- U.S. Census Bureau Economic Programs and Emergency Preparedness and Response Team

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, OpenFEMA (https://www.fema.gov/about/openfema/data-sets/national-household-survey). 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 or web-based data collection 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 and/or web-based surveys are used in order to minimize time and effort to survey participants, and to streamline the administration of the survey.

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. This is one of very few surveys administered by the Federal Government to collect information on disaster preparedness.

Other 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. The National Household Survey on Disaster Preparedness is also dissimilar to other existing surveys in that it is more comprehensive by focusing on a wide range of hazards including, but not limited to: flood, tornado, earthquake, hurricane, extreme heat, severe winter weather, wildfire, power outages, chemical release, pandemics, and urban events. Lastly, the survey is 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 13 year period (from 2007 until the present) and provides sufficient data to inform work at a national, community, and hazard-specific levels.

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 Thursday, November 5, 2020, at 85 FR 70645. **No comments were received.**

A 30-day Federal Register Notice inviting public comments was published on March 24, 2021, at 86 FR 15691. **The comment periods ends on April 23, 2021.**

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.

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, to allow for a more detailed exploration of knowledge, attitudes and behaviors. The survey can also be adjusted based on research for hazard-specific protective actions, 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. In addition, experts in survey data collection were consulted to advise on various collection strategies.

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 on March 11, 2021. A PIA for this collection was determined to be not needed.

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 up to 7,000. To reduce burden hours and increase efficiency and value, the program office aims to transition from a 100 percent telephone survey to a 100 percent web-based survey during this PRA period. Due to the nature of web-based surveys, burden time for individual surveys should be reduced. As such, although the total number of responses has increased, the total burden hours remains roughly the same (minus ten hours-see Question 15 below). Each National Sample response should take seven-to-eight minutes to complete and each Hazard Sample response should take about 15 minutes to complete. The survey will take respondents, on average, approximately 11 minutes to complete.

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.

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 (National Sample)	FEMA Form 008-0-FY-21-103, National Household Survey on Disaster Preparedness (phone)	2,000	1	2,000	0.125	250	$37.55	$9,388
Individuals (National Sample)	FEMA Form 008-0-FY-21-104, National Household	2,000	1	2,000	0.125	250	$37.55	$9,388

	Survey on Disaster Preparedness (web)							
Individuals (Hazard / Regional Samples)	FEMA Form 008-0-FY-21-103, National Household Survey on Disaster Preparedness (phone)	1,500	1	1,500	0.25	375	$37.55	$14,081
Individuals (Hazard / Regional Samples)	FEMA Form 008-0-FY-21-104, National Household Survey on Disaster Preparedness (web)	1,500	1	1,500	0.25	375	$37.55	$14,081
Total		7,000		7,000		1,250		$46,938

Instruction for Wage-rate category multiplier: Take each non-loaded "Avg. Hourly Wage Rate" from the BLS website table and multiply that number by 1.46[1]. For example, a non-loaded BLS table wage rate of $42.51 would be multiplied by 1.46, and the entry for the "Avg. Hourly Wage Rate" would be $62.06.

According to the U.S. Department of Labor, Bureau of Labor Statistics[2], the May 2019 Occupational Employment and Wage Estimates wage rate for All Occupations (SOC 00-0000) is $25.72. Including the wage rate multiplier of 1.46, the fully-loaded wage rate is $37.55 per hour. Therefore, the annual burden hour cost is estimated to be $46,938 ($37.55 x 1,250 hours = $46,938).

13. Provide an estimate of the total annual cost burden to respondents or recordkeepers resulting from the collection of information. The cost of purchasing

[1] Bureau of Labor Statistics, Employer Costs for Employee Compensation, Table 1. "Employer costs per hour worked for employee compensation and costs as a percent of total compensation: Civilian workers, by major occupational and industry group, September 2020." Available at https://www.bls.gov/news.release/archives/ecec_12172020.pdf. Accessed March 16, 2021. The wage multiplier is calculated by dividing total compensation for all workers of $38.26 by wages and salaries for all workers of $26.25 per hour yielding a benefits multiplier of approximately 1.466

[2] Information on the mean wage rate from the U.S. Department of Labor, Bureau of Labor Statistics is available online at: https://www.bls.gov/oes/2019/may/oes_nat.htm. Accessed March 16, 2021.

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 recordkeeping, capital start-up, or maintenance costs associated with this information collection.

Annual Cost Burden to Respondents or Recordkeepers				
Data Collection Activity/Instrument	*Annual Capital Start-Up Cost (investments in overhead, equipment, and other one-time expenditures	*Annual Operations and Maintenance Costs (such as recordkeeping, technical/professional services, etc.)	Annual Non-Labor Cost (expenditures on training, travel, and other resources)	Total Annual Cost to Respondents
Total	$0	$0	$0	$0

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: ($40,000 for DP CATI, List and Sample, Translations, and $227,808 for contract labor)	$267,808
Staff Salaries[1]: One (1) GS 14, step 5 employee in Washington DC spending approximately 1% of their time annually, one (1) GS 13, step 5 employee spending 6% of time annually, and one (1) GS 11, step 5 employee spending approximately 1% of time annually to collect data/survey individuals for this data collection. [$138,866 x 0.01 x 1.46[2] + $117,516 x 0.06 x 1.46 + $82,453 x 0.01 x 1.46 = 13,526]	$13,526
Facilities [cost for renting, overhead, etc. for data collection activity]	$0
Computer Hardware and Software [cost of equipment annual lifecycle]	$0
Equipment Maintenance [cost of annual maintenance/service agreements for equipment]	$0
Travel	$0
Total	$281,334
[1] Office of Personnel Management 2021 Pay and Leave Tables for the Washington-Baltimore-Arlington, DC-MD-VA-WV-PA locality. Available online at https://www.opm.gov/policy-data-oversight/pay-leave/salaries-wages/salary-tables/20Tables/html/DCB.aspx. Accessed March 16, 2021. [2] Wage rate includes a 1.46 multiplier to reflect the 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 a 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
FEMA Form 008-0-15, National Household Survey on Disaster	1,260					

Preparedness						
FEMA Forms 008-0-FY-21-103 (phone), National Household Survey on Disaster Preparedness		625	-5			
FEMA Form 008-0-FY-21-104 (web), National Household Survey on Disaster Preparedness		625	-5			
Total	1,260	1,250	-10	0	0	0

Explain: The total burden estimate for completion of the data collection represents a slight reduction from the current information collection. However, the program office determined to increase the sample size to enable comparative analysis between fielding methodologies (telephone vs web-based approaches) with the goal of transitioning from a 100 percent phone-based survey to a 100 percent web-based survey. The intent is to determine if other methodologies can reduce cost and/or hour burden while maintaining data integrity for longitudinal analysis. If the integrity of longitudinal analysis remains intact, subsequent iterations of the survey will include other hazards. Although the sample size has increased by 2,000, the survey length will be reduced due to the new methodologies and the total burden hours will be decreased by 10 total hours.

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
Total	$0	$0	$0	$0	$0	$0

Explain: The total burden estimate for completion of the data collection represents a slight reduction from the current information collection. The program office determined to increase the sample size to enable comparative analysis between fielding methodologies (telephone vs web-based approaches) with the goal of transitioning from a 100 percent phone-based survey to a 100 percent web-based survey. The intent is to determine if other methodologies can reduce cost and/or hour burden while maintaining data integrity for longitudinal analysis. If the integrity of longitudinal analysis remains intact, subsequent iterations of the survey will be web-based. Although the sample size has increased by 2,000, the survey length will be reduced due to the new methodologies and the total burden hours will be decreased by 10 total hours. The total cost is reflective of this decrease and the wage increase adjustment.

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's Individual and Community Preparedness Division are described briefly below. The collection is administered annually with sufficient time to publish summary results in the same year. Additional analyses will also be published throughout the year.

Calculate means, frequency distributions, and drivers of 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.

In addition, the dataset will be made available to the public using FEMA's data management system and online library, OpenFEMA, approximately one year after the release of the summary results. The National Disaster Preparedness Survey and the data produced contain no personally identifiable information.

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.