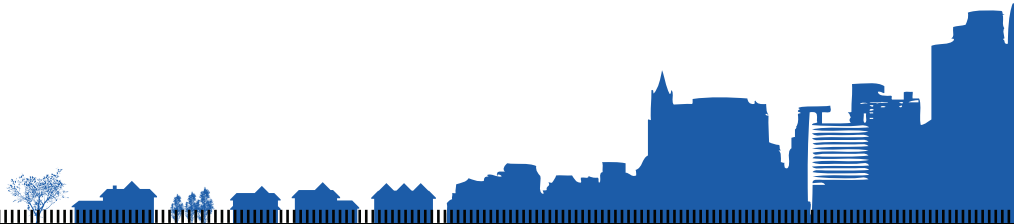


Research Design / Data Collection and Analysis Plan

Evaluation of Cohort 1 of the Moving to Work Demonstration Program Expansion



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Executive Summary	iv
1. Introduction.....	1
1.1 Core Components of MTW	1
1.2 Research to Date on MTW Outcomes.....	4
1.3 Cohort 1 of the MTW Expansion.....	5
1.4 Overview of the Cohort 1 Evaluation.....	7
1.5 Roadmap for the RD/DCAP	9
2. Research Sample.....	11
2.1 Cohort 1 Initial Application.....	11
2.2 Random Assignment via Regional Lotteries	12
2.3 Moving from Random Assignment to MTW Designation	14
2.4 Characteristics of the RCT Sample	15
2.5 Matched Comparison Group to Supplement the RCT Sample	16
2.6 Selecting the Matched Comparison Group.....	18
3. Process Study.....	22
3.1 Study Research Questions	23
3.2 Secondary Data Sources and Data Collection Methods	30
3.3 Primary Data Collection	33
3.4 Strategies for Maintaining PHA Engagement with the Evaluation.....	36
3.5 Process Study Data Analysis Plan.....	39
4. Impact Study.....	42
4.1 Research Questions and Conceptual Framework.....	42
4.2 Detailed Discussion of Outcome Measures	45
4.3 Analysis Methods.....	55
4.4 Data Sources and Data Collection Methods	57
5. Reports and Data Deliverables.....	62
5.1 Baseline Report.....	62
5.2 Annual Reports	63
5.3 Data Documentation.....	66
Appendix A. Additional Detail on Secondary Data Sources	68
Intentions for Shifts in Allocation of Resources	82
Administrative Costs \ Tasks That Could Be Targeted for Reduction.....	82
Importance of Type of Administrative Cost Targeted for Reductions	82

Appendix B. Data Collection Instruments.....	95
Instrument 1. Baseline Telephone Interview with MTW PHAs.....	95
Instrument 2. Annual Telephone Interview with MTW PHAs	101
Instrument 3. Baseline Online Survey for Non-MTW PHAs.....	106
Instrument 4. Semi-Annual Online Survey for Non-MTW PHAs	108
Instrument 5. Baseline Telephone Interview with Non-MTW PHAs.....	111
Instrument 6. Semi-Annual Telephone Interview with Non-MTW PHAs.....	116
Appendix C. Compendium of Outcome Measures for MTW Statutory Objectives.....	122
Appendix D. Specifications for Confirmatory Outcome Measures	138
Appendix E. Analytic Details for Estimating Treatment Impacts.....	141
Appendix F. Pass-through Variables for NDNH Data Analysis	144
References	148

List of Exhibits

Exhibit 1-1. MTW Statutory Objectives..... 1

Exhibit 1-2. MTW Statutory Requirements..... 2

Exhibit 1-3. Cohort 1 Implementation 6

Exhibit 1-4. Cohort 1 Evaluation Timeline 9

Exhibit 2-1. Geographic Regions Used in Random Assignment and Targets in 2018 Notice 13

Exhibit 2-2. Random Assignment Targets and Probabilities by Region..... 13

Exhibit 2-3. Comparison of Treatment and Control Group in RCT Sample 15

Exhibit 2-4. How Minimum Detectable Effects Change as a Result of Variation in Sample Size..... 17

Exhibit 2-5. Characteristics on Which to Match Cohort 1–Eligible PHAs to the Treatment Group ... 19

Exhibit 2-6. Comparison of Treatment and Comparison Groups in QED Sample 20

Exhibit 3-1. Research Questions Related to PHA Motivations for Applying to MTW 23

Exhibit 3-2. Research Questions Related to How PHAs Use MTW Flexibility..... 25

Exhibit 3-3. Research Questions for Non-MTW PHAs 28

Exhibit 3-4. Process Study Research Questions and Data Sources..... 29

Exhibit 3-5. Secondary Data Sources for Process Study..... 30

Exhibit 3-6. Primary Data Sources for Process Study..... 34

Exhibit 3-7. Schedule for Webinars with Study PHAs 38

Exhibit 3-8. Research Topics/Questions and Sample Coding Domains..... 41

Exhibit 4-1. MTW Statutory Objectives and Related Research Questions for Impact Study 42

Exhibit 4-2. Confirmatory and Exploratory Outcome Measures for Impact Analysis..... 44

Exhibit 4-3. Outcome Measures for Statutory Objective 1: Cost Effectiveness 45

Exhibit 4-4. Outcome Measures for Statutory Objective 2: Self-Sufficiency 47

Exhibit 4-5. Outcome Measures for Statutory Objective 3: Housing Choice–Access to Opportunity
Neighborhoods 50

Exhibit 4-6. Outcome Measures for Statutory Objective 3: Housing Choice–Supply of Quality,
Affordable Housing 52

Exhibit 4-7. Outcome Measures for Statutory Objective 3: Housing Choice–Hard-to-House
Populations..... 53

Exhibit 4-8. Outcome Measures for Other PHA and Tenant Outcomes 54

Exhibit 4-9. Example Impacts on Self-Sufficiency on Nonelderly, Nondisabled Households..... 55

Exhibit 4-10. NDNH Data Files..... 60

Exhibit 4-11. Expected Schedule for NDNH Wage Data Requests..... 61

Exhibit 5-1. Baseline Report Topics 62

Exhibit 5-2. Annual Report 1 Topics 63

Exhibit 5-3. Annual Report 2 Topics 64

Exhibit 5-4. Annual Report 3 Topics 65

Exhibit 5-5. Annual Report 4 Topics 66

Exhibit 5-6. Data Documentation 67

Executive Summary

This document presents the Research Design and Data Collection and Analysis Plan (RD/DCAP) for the *Evaluation of Cohort 1 of the Moving to Work (MTW) Demonstration Program Expansion: Understanding the Effects of MTW Flexibility for Small PHAs* (Cohort 1 Evaluation).

What Is MTW?

Moving to Work (MTW) is a demonstration program that encourages public housing agencies (PHAs) to test ways to achieve three objectives: increase the cost effectiveness of federal housing programs, encourage greater self-sufficiency of households receiving housing assistance, and increase housing choices for low-income families. Section 204 of the Omnibus Consolidated Rescissions and Appropriations Act of 1996 (1996 Act) enacted the MTW demonstration. Currently, 39 “legacy” PHAs participate. MTW designation gives PHAs relief from many of the regulations and statutory provisions that apply to the public housing and Housing Choice Voucher (HCV) programs. A central feature of MTW is funding flexibility, or “fungibility,” which allows MTW agencies to use funds appropriated for public housing and HCV programs for any allowable form of housing assistance under either program.

What Is the MTW Expansion?

Section 239 of the Consolidated Appropriations Act of 2016 (2016 Act) authorized the U.S. Department of Housing and Urban Development (HUD) to expand the MTW program by 100 high-performing PHAs. The 2016 Act, also referred to as “the MTW expansion,” retained the core provisions of the 1996 program but provided specific instructions regarding the size of the new PHAs admitted to the program. The 2016 Act required 50 of the 100 new PHAs to be small PHAs, with 1,000 or fewer units. The 2016 Act also directed HUD to designate the new MTW PHAs in cohorts (groups of PHAs) that would implement a specific policy change.

What Is Cohort 1 of the MTW Expansion?

Cohort 1 is the first cohort HUD identified for the MTW expansion. Cohort 1 is limited to PHAs administering no more than 1,000 housing units across their HCV and public housing programs. For Cohort 1, HUD determined that the one policy change could be any permissible use of MTW flexibility.

What Is the Cohort 1 Evaluation?

In September 2018, HUD’s Office of Policy Development and Research (PD&R) contracted with Abt Associates Inc. to conduct a rigorous, five-year evaluation of Cohort 1. The evaluation features a randomized control trial design, in which PHAs that applied for Cohort 1 were randomly assigned to a treatment group or a control group. The PHAs randomized to the treatment group were provided the opportunity to complete the application process and receive MTW designation under Cohort 1. The PHAs assigned to the control group were not, but they will be eligible to apply under future cohorts.

With this design, the evaluation can make definitive statements about the impact of MTW if the PHAs in the treatment group experience different outcomes from those in the control group. HUD received eligible applications from 43 PHAs and has randomly selected 33 PHAs for the treatment group and 10 for the control group.

Two overarching research questions guide the evaluation:

- How do small PHAs use their MTW flexibility?
- What are the consequences of MTW flexibility for small PHAs and their tenants?

To answer the first question, Abt will conduct a **process study**. The process study will be a descriptive analysis of how treatment group PHAs use their MTW flexibility to meet the MTW program's goals of increasing cost efficiency, self-sufficiency, and housing choice. The process study will include careful review of administrative data sources that provide information on the programs and policies implemented by the PHAs in the study's treatment and control groups. The study team will also conduct annual telephone interviews with key staff from the PHAs in the study's treatment and control groups. The interviews with staff from the treatment group PHAs will focus on their experiences with MTW, and the interviews with staff from the control group PHAs will investigate any program or policy changes they may be making within the regular program rules.

To answer the second question, Abt will conduct an **impact study**, looking at the effect of MTW on PHA and tenant outcomes. (This report uses the term "tenant" to refer to the individuals and families participating in the public housing and HCV programs.) The main analysis will compare outcomes achieved by the 33 PHAs assigned to the treatment group in the areas of cost efficiency, self-sufficiency, and housing choice versus the outcomes achieved by the 10 PHAs assigned to the control group. The random assignment design of the Cohort 1 applicants to treatment and control groups allows the study to conduct experimental analyses to produce unbiased estimates of the impact of MTW flexibility. However, the small size of the control group limits the study's ability to analyze the effect of MTW on certain types of PHAs or for subgroups of PHAs implementing the same type of program and policy changes. To supplement the main study findings based on the random assignment sample, the Abt study team selected a matched comparison group of 99 PHAs similar in characteristics to the 33 PHAs in the treatment group. (The comparison group does not include the 10 PHAs in the control group.) With this larger comparison group, Abt can conduct quasi-experimental analyses of MTW outcomes and subgroup differences.

To document the characteristics, costs, and outcomes of the PHAs in the study's treatment, control, and comparison groups, the study team will gather and analyze administrative and financial data from HUD, as well as neighborhood poverty data from the American Community Survey and employment and earnings data from the National Directory of New Hires. Annual interviews with treatment and control group PHAs will provide context for interpreting the analyses of outcomes and impact based on the administrative data.

The evaluation will produce five reports. The **Baseline Report** (2021) will document the characteristics of the PHAs and their tenants at the time of MTW designation and explore PHAs' motivations for applying to Cohort 1. **Annual Reports 1, 2, 3, and 4** (2022-2025) will document how treatment group PHAs used their MTW flexibility in the years after receiving MTW designation and estimate the impact of MTW on PHA and tenant outcomes over time.

1. Introduction

This chapter provides background information as context for the Moving to Work (MTW) Expansion Cohort 1 evaluation. Section 1.1 describes the core components of MTW. Section 1.2 reviews the research literature on MTW. Section 1.3 discusses Cohort 1 of the MTW expansion, and Section 1.4 provides an overview of the Cohort 1 evaluation. Section 1.5 provides a roadmap for the remainder of the Research Design / Data Collection and Analysis Plan (RD/DCAP).

1.1 Core Components of MTW

Moving to Work is a demonstration program that gives public housing agencies (PHAs) regulatory and statutory flexibility to test ways to increase the cost effectiveness of federal housing programs, increase housing choices for low-income families, and encourage greater self-sufficiency of households receiving housing assistance. In addition to statutory and regulatory flexibility, MTW agencies can combine their funding for the Housing Choice Voucher (HCV) and public housing programs. Section 204 of the Omnibus Consolidated Rescissions and Appropriations Act of 1996 (1996 Act) enacted the current MTW demonstration, in which 39 PHAs participate. Section 239 of the Consolidated Appropriations Act of 2016 (2016 Act) authorized the U.S. Department Housing and Urban Development (HUD) to expand the MTW program by 100 high-performing PHAs. Cohort 1 of the MTW Expansion will be the first set of PHAs to receive MTW designation under the 2016 Act.

All MTW agencies are expected to pursue the program’s statutory objectives and meet its statutory requirements. We describe the objectives and requirements below, as well as key provisions related to funding flexibility and statutory and regulatory waivers.

1.1.1 Statutory Objectives

The MTW program has three statutory objectives that reflect what Congress sought to accomplish by giving PHAs statutory and regulatory flexibility. Exhibit 1-1 shows the statutory objectives, with the shorthand term used in the RD/DCAP on the right-hand side.

Exhibit 1-1. MTW Statutory Objectives

Statutory Objective	Shorthand Term
1. To reduce cost and achieve greater cost effectiveness in Federal expenditures	Cost effectiveness
2. To give incentives to families with children where the head of household is working, seeking work, or is preparing for work by participating in job training, educational programs, or programs that assist people to obtain employment and become economically self-sufficient	Self-sufficiency
3. To increase housing choices for low-income families	Housing choice

Source: Section 204 of the Omnibus Consolidated Rescissions and Appropriations Act of 1996.

The statutory objectives provide a key organizing principle for the Cohort 1 evaluation. The evaluation will focus on the policy changes that PHAs implement in pursuit of the statutory objectives and the outcomes of those changes for the PHAs and their tenants. (This report uses the term “tenant” to refer to the individuals and families participating in the public housing and HCV programs.) The evaluation will document policy changes made in pursuit of other goals, but the evaluation’s main outcome measures relate to the statutory objectives.

1.1.2 Statutory Requirements

The MTW program has five statutory requirements, shown in Exhibit 1-2. The statutory requirements are standards that all MTW PHAs have to meet, regardless of which policy and program changes they implement. The requirements serve as guardrails to ensure policies implemented in pursuit of the statutory objectives do not have major adverse impacts on low-income families—for example, by making it harder for the lowest-income households to access the program, by reducing the number of families that can access housing assistance, or by reducing the quality of the housing available to assisted households. HUD’s Office of Public and Indian Housing will monitor MTW PHAs’ compliance with the statutory requirements for all expansion cohorts. The statutory requirements are not a focus of the Cohort 1 evaluation.

Exhibit 1-2. MTW Statutory Requirements

Statutory Requirement
4. MTW agencies must ensure that at least 75 percent of the families assisted are very low-income families, in each fiscal year, as defined in Section 3(b)(2) of the 1937 Act.
5. MTW agencies must establish a reasonable rent policy, which shall be designed to encourage employment and self-sufficiency by participating families, consistent with the purpose of this demonstration, such as by excluding some or all of a family’s earned income for purposes of determining rent.
6. MTW agencies must continue to assist substantially the same total number of eligible low-income families as they would have assisted absent MTW flexibility.
7. MTW agencies must serve a mix of families (by family size) under MTW that is comparable to what they would have served absent MTW flexibility.
8. MTW agencies must ensure that housing assisted under the demonstration program meets housing quality standards established or approved by the Secretary.

Source: Section 204 of the Omnibus Consolidated Rescissions and Appropriations Act of 1996.

1.1.3 Funding Flexibility

MTW agencies are able to apply “fungibility” across the four funding streams for the public housing and HCV programs that are subject to MTW.¹ Fungibility means that PHAs can combine their funding sources into a single MTW fund and deploy it to meet any of the eligible uses of any of the funding streams. MTW agencies can also use their pooled MTW funds for local, non-traditional (LNT) activities.² Funding flexibility is one of the mechanisms—along with statutory and regulatory

¹ The four funding streams are (1) public housing Operating Fund Program grants; (2) public housing Capital Fund Program grants; (3) HCV Housing Assistance Payment funds; and (4) HCV Administrative Fee assistance. The programs subject to MTW are public housing, tenant-based HCV assistance, project-based HCV assistance, and HCV homeownership assistance. Mainstream Vouchers, Moderate Rehabilitation Renewals, HUD-Veterans Affairs Supportive Housing (HUD-VASH) Vouchers, Non-Elderly Disabled (NED) Vouchers, and Family Unification Program (FUP) Vouchers are not part of the MTW demonstration program. Under the Rental Assistance Demonstration (RAD) program, PHAs may convert public housing to Project-Based Vouchers (PBVs) or Project-Based Rental Assistance (PBRA). RAD PBVs are subject to MTW but RAD PBRA units are not.

² Local, non-traditional activities refer to allowable uses of funds that are outside of the HCV and public housing programs. Examples of local, non-traditional activities include rental subsidy programs, self-sufficiency programs, and housing development programs. We refer to the households served through local, non-traditional activities as “local, non-traditional households.”

waivers (discussed next)—that PHAs use to implement innovative policies and practices to meet the statutory objectives. In particular, funding flexibility is a critical tool for implementing local, non-traditional activities and for funding housing development.

1.1.4 Statutory and Regulatory Waivers

MTW agencies receive waivers that exempt them from many of the statutory and regulatory requirements of their HCV and public housing programs. These waivers allow PHAs to implement program and policy changes to meet the MTW demonstration’s statutory objectives.

How PHAs access the waivers will be somewhat different for the expansion PHAs than for the 39 “legacy” PHAs authorized under the 1996 Act. Each of the legacy PHAs has an MTW Agreement with HUD that outlines the administrative structure of that PHA’s MTW program. Under these agreements, PHAs request HUD’s permission for agency-specific statutory and regulatory waivers through an MTW Plan that they prepare and submit to HUD annually. All PHAs that receive MTW designation pursuant to the 2016 Act will be subject to the *Operations Notice for the Expansion of the Moving to Work Demonstration Program* (Operations Notice).³

The Operations Notice offers the expansion PHAs a menu of common waivers to choose from and instructions for the development of written impact analyses and hardship policies, where applicable. Appendix I of the Operations Notice provides the full menu of MTW waivers and activities. Examples of waivers that MTW agencies might apply to their public housing and HCV programs are:

- Alternative rent policies, such as rents set by income band, stepped rents, and alternative minimum rents
- Alternative ways of calculating total tenant payment as a percentage of income
- Alternative income inclusions/exclusions for purposes of calculating total tenant payment
- Voucher payment standards outside the basic range
- Alternative rent reasonableness procedures
- Alternative reexamination schedules for households
- Short-term assistance (less than one year)
- Term-limited assistance
- Work requirements
- Alternative policies for addressing increases in family income in the Family Self-Sufficiency program

Examples of local, non-traditional activities MTW agencies might implement are:

³ HUD published the first draft *Operations Notice* in January 2017, made three technical revisions to it and reopened the public comment period in May 2017, and then published a substantially revised draft *Operations Notice* in October 2018. The final *Operations Notice* was published on August 28, 2020.(Docket No. FR-5994-N-05).

- *Rental subsidy programs* that use a third-party entity to implement supportive housing programs and services, homeless/transitional housing programs, or other programs that address special needs populations.
- *Self-sufficiency or supportive service programs* that are not otherwise permitted in public housing or HCV or provided to people outside the PHA's public housing and HCV programs.
- *Housing development programs* that use MTW funds to acquire, renovate, and/or build units that are not public housing or PHA-owned PBV units.

The MTW Expansion PHAs will complete and submit annually an MTW Supplement that will replace the MTW Plan that the legacy PHAs complete. The MTW Supplement will identify the waivers the PHA plans to implement and indicate how the PHA will use each waiver to make program and policy changes. HUD will have 75 days to review the Supplement; but after that 75-day period, PHAs can implement the waivers without any additional HUD approval.

1.2 Research to Date on MTW Outcomes

A limited body of research exists about how PHAs use MTW flexibility to pursue the program's statutory objectives of cost effectiveness, self-sufficiency, and housing choice.

Several research studies document the scope of program and policy changes undertaken by existing MTW agencies and draw on interviews with PHA staff to describe agencies' motivations for pursuing these changes. The studies include a 2004 assessment of how PHAs used MTW flexibility in the first few years of the program (Abravanel et al., 2004) and two more recent reports cataloging MTW innovations across the three statutory objectives (Khadduri et al., 2014; Webb et al., 2015). These studies find that most MTW agencies implement changes designed to reduce costs or improve cost effectiveness. These types of changes are relatively easy to implement and generally involve reducing the complexity of rent calculations, reducing the frequency of client recertifications, or reducing the number of housing inspections the PHA conducts. Efforts to promote family self-sufficiency were less common in the early days of the MTW program but now are more prevalent, including changes to rent rules to promote employment, new self-sufficiency services for tenants, and (in a few places) work requirements as a condition of receiving assistance or time-limited assistance.

Though the reports describing the uses of MTW flexibility have tended not to address PHA and tenant outcomes in detail, some include qualitative information on culture shifts within PHAs related to MTW. Khadduri et al. (2014) profiled five PHAs and found that staff from all five reported that MTW had fostered a "culture of innovation" that included more creative thinking about policies and procedures, more emphasis on services for clients, and the ability to attract more talented staff. Abravanel et al. (2004) noted that local priorities, including local attitudes toward who deserves assistance and how scarce resources should be allocated, played a much bigger role under MTW than they had before, when federal program requirements limited PHAs' freedom in responding to local conditions.

A few studies have sought to analyze outcomes associated with MTW policy changes. These studies often focus on a single PHA, as is the case with the series of studies by William Rohe, Michael Webb, and Kristin Frescoln at the University of North Carolina of the Charlotte Housing Authority's

MTW program (Webb et al., 2016; Frescoln et al., 2018).⁴ In contrast, a study conducted for the Housing Authority Industry Group in 2017 sought to analyze MTW performance across all agencies participating in the program and to evaluate PHA and tenant outcomes related to the three statutory objectives using a matched comparison group of non-MTW PHAs (Buron et al., 2017). This study found that MTW agencies tend to achieve better outcomes than their peers on activities related to the goals of housing choice and self-sufficiency and are able to serve a significant number of individuals not reached by traditional housing assistance. However, on average, MTW agencies do not appear to be more cost-efficient than their peers.

The United States Government Accountability Office (GAO) has published several reports over the years criticizing the lack of detailed and comparative analysis on MTW outcomes related to the statutory objectives and HUD’s limited ability to monitor PHA adherence to the statutory requirements (GAO, 2012, 2018). The evaluations HUD is sponsoring for the MTW expansion cohorts—including the Cohort 1 evaluation—will provide rigorous analysis of the impact of particular policy interventions made possible by MTW flexibility. The Cohort 1 evaluation, in particular, will fill an important gap in our knowledge about how small PHAs use MTW. Only three of the 39 existing MTW agencies had fewer than 1,000 units at the time of receiving designation; and of those three, only one remains small. Most of the research on the program to date has focused on the experiences of much larger PHAs, which tend to have more staff, more sophisticated program management systems, and a larger funding base with which to experiment.

1.3 Cohort 1 of the MTW Expansion

Cohort 1 is the first set of PHAs that will receive MTW designation under the 2016 expansion. The 2016 Act directed HUD to identify one specific policy change to be implemented by the agencies in each cohort. For Cohort 1, HUD determined that the one policy change could be any permissible use of MTW flexibility. Thus, Cohort 1 tests the overall impact of MTW flexibility.

1.3.1 Cohort 1 Eligibility and Requirements

Eligibility for Cohort 1 is limited to PHAs administering 1,000 or fewer combined HCV and public housing units at the time of application (small PHAs). PHAs may administer only HCV units, only public housing units, or both, and there is no minimum program size. Cohort 1 PHAs must also be “high performers” under either the Public Housing Assessment System (PHAS) or Section Eight Management Assessment Program (SEMAP) at the time of applying for the program (and not “troubled” under either).

Like all other PHAs receiving MTW designation as part of the 2016 expansion, the Cohort 1 PHAs must implement their MTW programs in accordance with the forthcoming *Operations Notice*. However, HUD is not requiring the PHAs to implement any particular waiver or

Cohort 1 Eligibility

- Limited to PHAs administering 1,000 or fewer combined HCV and public housing units.
- Limited to high performers under PHAS or SEMAP.
- Certify to being willing to participate in the Cohort 1 evaluation even if assigned to the control group.

⁴ Other single-site studies of MTW outcomes include a report on the Housing Authority of Champaign County’s MTW program (McNamara et al., 2019); a case study on work requirements at the Chicago Housing Authority (Levy et al., 2019); and a study of housing mobility efforts in Seattle and King County (Bergman et al., 2019).

program and policy change. It is completely up to each PHA how it uses its MTW flexibility, within the parameters of the *Operations Notice*. Thus, what HUD will learn from Cohort 1 is how small PHAs elect to use MTW flexibility and how that affects PHA and tenant outcomes.

By focusing on small PHAs, Cohort 1 fills a gap in the knowledge base on the effects of regulatory and funding flexibility on PHAs and their tenants. Small PHAs account for about 80 percent of the agencies that administer the HCV and public housing programs. A common perspective of the industry holds that HUD overregulates small PHAs. Only one of the legacy MTW PHAs is small, so there is limited evidence in the body of MTW research for how MTW flexibility could benefit small PHAs.

1.3.2 Implementation of Cohort 1 to Date

Exhibit 1-3 provides a timeline for the implementation of the Cohort 1 demonstration as of January 2021.

Exhibit 1-3. Cohort 1 Implementation



The application period to determine the interested and eligible PHA pool for Cohort 1 opened in October 2018 and closed in May 2019. Forty-three (43) PHAs completed the initial application process (Step 1) and met the eligibility requirements for Cohort 1. In November 2019, HUD randomly assigned the 43 PHAs into a treatment group (33 PHAs) and a control group (10 PHAs).

In August 2020, immediately following the publication of the final *MTW Expansion Operations Notice*, HUD invited the 33 PHAs assigned to the treatment group to complete the application for MTW designation. The remaining 10 PHAs were not offered the opportunity to continue the application process for MTW designation under Cohort 1 but may apply to future cohorts.

The PHAs in the treatment group were provided approximately four months to complete their applications, and by the close of the application period, 31 of the 33 PHAs had submitted an application. HUD announced the list of PHAs selected to receive MTW designation under Cohort 1 (the Cohort 1 PHAs) in January 2021. After the HUD announcement, there will be an onboarding period in which the Cohort 1 PHAs sign their MTW Annual Contributions Contracts (ACCs). We expect the majority of Cohort 1 PHAs to have executed MTW ACCs by April 2021. The Cohort 1 PHAs will then prepare their MTW Supplements describing their proposed use of MTW authority. HUD must approve each PHA’s MTW Supplement before the PHA can begin implementing policies and activities that use MTW waivers.

1.4 Overview of the Cohort 1 Evaluation

In September 2020, HUD’s Office of Policy Development and Research (PD&R) contracted with Abt Associates Inc. (the “study team”) to conduct a five-year evaluation of Cohort 1. The evaluation has two overarching research questions:

- How do small PHAs use their MTW flexibility?
- What are the consequences of MTW flexibility for small PHAs and their tenants?

1.4.1 Process and Impact Studies

To answer the first question, Abt will conduct a **process study**, a descriptive analysis of how PHAs use their MTW flexibility to meet the MTW program’s goals of increasing cost efficiency, self-sufficiency, and housing choice. The process study will document the programs and policies implemented by the MTW PHAs. The study team will also interview staff from the MTW PHAs to learn more about their MTW experiences and staff from the control group PHAs to learn about policy changes they may be making within the regular program rules.

To answer the second question, Abt will conduct an **impact study** of MTW designation on the program’s statutory objectives. We will conduct two main types of analysis:

- **Experimental analysis** comparing the average outcomes of the 33 PHAs assigned to the treatment group versus average outcomes of the 10 PHAs assigned to the control group related to the statutory objectives of cost effectiveness, self-sufficiency, and housing choice— For each statutory objective, we will identify one primary measure of MTW impact, but also analyze numerous other outcomes of interest. The experimental analysis will always compare the full set of 33 PHAs assigned to the treatment group to the 10 PHAs assigned to the control group, even though two of the treatment group PHAs did not complete the application process, and thus did not receive MTW designation under Cohort 1. In addition, some of the control group PHAs may receive MTW designation in the future under a different cohort.
- **Quasi-experimental analysis** comparing the average outcomes of the 33 PHAs assigned to the treatment group versus average outcomes of a matched comparison group of the 99 PHAs selected by the study team. This quasi-experimental analysis will analyze the same outcomes as the experimental analysis related to MTW statutory objectives, but the larger sample size will permit analysis by subgroups of PHAs within the treatment and comparison groups.

1.4.2 Data Sources

To document the characteristics, costs, and outcomes of the PHAs in the study’s treatment, control, and comparison groups, the study team will gather and analyze administrative and financial data from HUD, as well as data from the American Community Survey related to housing market characteristics and data on employment and earnings from the National Directory of New Hires. The data collected from HUD will include tenant-level records maintained in HUD’s Inventory Management System / PIH Information Center (PIC); PHA-level financial and cost data reported to HUD’s Financial Data Schedule (FDS); program-level data collected through HUD’s Voucher Management System (VMS) and HUDCAPS; and public housing physical inspection scores.

Careful review of PHA-produced documents, as well as annual interviews with PHA staff, will provide context for interpreting the analyses of outcomes and impact based on the administrative data.

Those documents will include the MTW Supplement (for MTW PHAs) and the HCV Administrative Plan and the Admissions and Continued Occupancy Policy (for all PHAs, as available).

1.4.3 Reporting

The evaluation will produce up to five annual reports. The Baseline Report will serve as the first annual report and will document the characteristics of the PHAs and their tenants at the time of MTW designation and explore PHAs' motivations for applying to Cohort 1. Subsequent annual reports will document how the PHAs used their MTW flexibility and estimate the impact of MTW designation on PHA and tenant outcomes in the years following MTW designation.

1.4.4 Timeline

Exhibit 1-4 provides an expected timeline for the evaluation. The study team is in the process of seeking approval from the Office of Management and Budget (OMB) for data collection activities. In November 2020, the team began assembling and analyzing secondary data (administrative and financial) for the Baseline Report. In February 2021, the study team will host a webinar with the study PHAs to introduce the evaluation and its data collection activities. Assuming OMB approval, the team then will begin conducting PHA interviews for the Baseline Report. The team will produce the draft Baseline Report in June 2021 and review the findings with the study PHAs via a second webinar in August 2021.

This data collection, analysis, and reporting cycle will repeat for several years (Annual Report 1, preview webinar, findings webinar), pending funding availability, culminating in four additional Annual Reports expected in June 2022, June 2023, June 2024, and June 2025.

The relatively short timeframe for evaluating MTW outcomes is a limitation of the study. Based on HUD's expected implementation schedule for Cohort 1, the study team expects to have a maximum of four years to observe the effects of programs and policies implemented under MTW. However, the evaluation will provide a platform for longer-term research as well as rich qualitative data on how small PHAs use MTW flexibilities.

Exhibit 1-4. Cohort 1 Evaluation Timeline

Month	Evaluation Activity
Dec 2020–Feb 2021	Assembly and analysis of administrative data for Baseline Report
Feb 2021	Office of Management and Budget approval received for PHA data collection
Feb 2021	PHA Webinar #1 – Introduction to the evaluation
Feb–April 2021	PHA survey and interviews for Baseline Report
Aug 2021	Final Baseline Report
Aug 2021	PHA Webinar #2 – Baseline Report findings
Dec 2021–Feb 2022	Assembly and analysis of administrative data for Annual Report 1
Jan 2022	PHA Webinar #3 – Preview of Year 1 data collection
Jan–Feb 2022	PHA survey and interviews for Annual Report 1
Aug 2022	Final Annual Report 1
Aug 2022	PHA Webinar #4 – Annual Report 1 findings
Dec 2022–Feb 2023	Assembly and analysis of administrative data for Annual Report 2
Jan 2023	PHA Webinar #5 – Preview of Year 2 data collection
Jan–Feb 2023	PHA survey and interviews for Annual Report 2
Aug 2023	Final Annual Report 2
Aug 2023	PHA Webinar #6 – Annual Report 2 findings
Dec 2023–Feb 2024	Assembly and analysis of administrative data for Annual Report 3
Jan 2024	PHA Webinar #7 – Preview of Year 3 data collection
Jan–Feb 2024	PHA survey and interviews for Annual Report 3
Aug 2024	Final Annual Report 3
Aug 2024	PHA Webinar #8 – Annual Report 3 findings
Dec 2024–Feb 2025	Assembly and analysis of administrative data for Annual Report 2
Jan 2025	PHA Webinar #9 – Preview of Year 4 data collection
Jan–Feb 2025	PHA survey and interviews for Annual Report 4
Aug 2025	Final Annual Report 4
Aug 2025	PHA Webinar #10 – Annual Report 4 findings

1.5 Roadmap for the RD/DCAP

The remainder of this document describes the research design, data collection approach, and analysis plan for the evaluation:

- **Chapter 2** describes the research sample, including the treatment, control, and comparison groups.
- **Chapter 3** presents the research questions, data sources, and analysis plan for the *process study* of how PHAs use MTW flexibility.
- **Chapter 4** presents the research questions, data sources, and analysis plan for the *impact study* of how MTW flexibility affects PHAs and tenants.
- **Chapter 5** describes the study’s plans for reports and data documentation.

It also includes a list of references for the research literature cited and six appendices providing supplementary information:

- **Appendix A**—additional detail on secondary data sources.
- **Appendix B**— primary data collection instruments.
- **Appendix C**—a compendium of outcome measures the study team reviewed before developing the outcome measures for the impact analysis.
- **Appendix D**—detailed specifications for the key outcome measures in the impact analysis.
- **Appendix E**—analytic details for estimating MTW impacts.
- **Appendix F**—a draft list of the variables we intend to use to analyze changes in earned income among study participants using data from the National Directory of New Hires.

2. Research Sample

This chapter explains the research sample for the Cohort 1 evaluation. Sections 2.1 and 2.2 discuss how PHAs applied to the cohort and how HUD randomly assigned eligible applicants to treatment and control groups. Section 2.3 covers MTW designation. Section 2.4 then provides an overview of the characteristics of the PHAs in the treatment and control groups. Section 2.5 discusses the study team's recommendation to supplement the control group with a matched group of comparison PHAs. Section 2.6 describes that comparison group's selection.

2.1 Cohort 1 Initial Application

The application process for Cohort 1 began in October 2018 when HUD published a Request for Letters of Interest and Applications⁵ (the "Notice") from PHAs interested in seeking MTW designation under the MTW expansion. The Notice described the two-step application by which HUD would select PHAs for the expansion's first cohort. The original deadline for submitting an application was January 2019, but HUD extended the deadline to May 2019 to accommodate delays resulting from the December 2018 to January 2019 federal government shutdown.

The Notice provided a list of eligibility criteria for Cohort 1. In addition to administering no more than 1,000 units and being a high performer, PHAs needed to be up to date in their reporting to HUD; not have outstanding findings from audits, reviews, or litigation; and be in compliance with repayment agreements. Applicants also had to:

- Complete the online PHA Baseline Research Survey for Cohort 1 (in Appendix A)
- Submit a letter of interest in obtaining MTW designation, signed by the PHA's Executive Director (or equivalent)
- Submit a signed Board Resolution approving the PHA's desire to receive MTW designation
- Certify to being willing to participate in the Cohort 1 evaluation even if assigned to the control group

Fifty-one PHAs submitted a letter of interest package and completed the Application Survey⁶ by the May 2019 deadline.⁷ HUD reviewed each application and determined that 43 PHAs met the eligibility requirements for Cohort 1.

⁵ PIH Notice 2018-17, available at <https://www.hud.gov/sites/dfiles/PIH/documents/PIH-2018-17MTWDemonstrationProgram.pdf>.

⁶ This survey was called the *MTW Expansion Cohort 1 Baseline Survey* when it was fielded in 2018. We use the term *Application Survey* to minimize confusion between this survey and the baseline data collection the study team will conduct around the time HUD notifies the Cohort 1 PHAs of their MTW status.

⁷ HUD published the list of applicants here: <https://www.hud.gov/sites/dfiles/PIH/documents/Cohort1ApplicantList051419.pdf>.

The 43 eligible PHAs represent a diverse pool of agencies, located across 30 states and, at the time of application, ranging in size from 57 units to 952 units, with a median of 506 units. Twenty-one of the 43 PHAs (49 percent) operated both HCV and public housing, whereas 17 of 43 (40 percent) operated only HCV, and five of 43 (12 percent) operated only public housing.⁸

2.2 Random Assignment via Regional Lotteries

HUD determined that in order to evaluate the impact of MTW designation on small PHAs, those PHAs that met the initial eligibility criteria for Cohort 1 would be separated at random into a treatment and control group. PHAs in the treatment group would have the opportunity to complete the application process for MTW designation, and PHAs in the control group would not. The assignment of PHAs to the two groups at random allows the evaluation to measure the effect of MTW without having to worry about potential differences in motivation—we assume that PHAs in the treatment and control group are equally motivated to pursue outcomes related to the MTW statutory objectives. While maintaining the random selection, HUD took into account the geographic location of the PHAs to ensure that the final group of MTW PHAs were geographically diverse.

The remainder of this section describes how HUD conducted the random assignment via a geographically-based lottery. The process had three steps:

1. Determining how many PHAs altogether to assign to the treatment group
2. Determining how many PHAs within each region to assign to the treatment group
3. Conducting random assignment

2.2.1 Determining How Many PHAs to Assign to the Treatment Group

The first step was to determine how many eligible Cohort 1 applicants altogether to assign to the treatment group. The October 2018 Notice anticipated that HUD would receive approximately 100 eligible applicants. Based on this assumption, HUD initially planned to assign 30 PHAs to the treatment group, with the remaining PHAs assigned to a control group or to a waitlist group that would serve as backups to the treatment group. The Notice stated that HUD would assign PHAs to those three groups using geographically based lotteries. The Notice specified the five geographic regions and provided targets for how many PHAs were expected to receive MTW designation from each region. Exhibit 2-1 shows the regions and the target number of treatment group PHAs in each region. The targets were proportional to the number of PHAs with 1,000 combined units or fewer in each region.

⁸ According to data assembled by HUD during application review.

Exhibit 2-1. Geographic Regions Used in Random Assignment and Targets in 2018 Notice

Region	States and Territories	Target Number for Treatment Group
Northeast	CT, DC, DE, MA, MD, ME, NH, NJ, NY, PA, RI, VA, VT, WV	5
Southeast	AL, FL, GA, KY, MS, NC, PR, SC, TN, U.S. Virgin Islands	7
Midwest	IL, IN, MI, MN, OH, WI	5
Southwest	AR, IA, KS, LA, MO, NE, NM, OK, TX	10
West	AK, AZ, CA, CO, HI, ID, MT, ND, NV, OR, SD, UT, WY, WA, American Samoa, Guam, Northern Mariana Islands	3
Total	All	30

Source: PIH Notice 2018-17, available at <https://www.hud.gov/sites/dfiles/PIH/documents/PIH-2018-17MTWDemonstrationProgram.pdf>.

Because HUD received letter of interest packages from fewer eligible PHAs than expected, it had to modify the random assignment approach outlined in the Notice. In consultation with the Abt study team, HUD determined that the primary goal of a revised approach would be to preserve random assignment and geographic diversity while maximizing the number of PHAs assigned to the treatment group. The study team determined that 10 was the minimum size for a viable control group, so HUD opted to assign 33 PHAs to the treatment group and 10 PHAs to the control group.⁹

HUD also determined that it would need to modify the geographic targets to better reflect the number of eligible applicants from each region. Step 2 describes how HUD modified the geographic targets.

2.2.2 Determine How Many PHAs Within Each Region to Assign to the Treatment Group

To maximize the statistical power of the study, it was important to ensure that the PHAs in one region had approximately the same chance of assignment to the treatment group as the PHAs in another region. In other words, the probabilities of being selected to the treatment group should be as similar as possible across the geographic regions. To accomplish this, HUD established a target allocation to the treatment and control groups for each region proportional to the number of eligible applicants in each region. Exhibit 2-2 shows the regional targets and probability of assignment to the treatment groups. The targets in Exhibit 2-2 are somewhat different from those in the October 2018 Notice, because the locations of the actual applicant pool were not the same as anticipated in the Notice. The probability of selection to the treatment group ranges from 71 percent (West) to 82 percent (Southeast).

Exhibit 2-2. Random Assignment Targets and Probabilities by Region

Geographic Region	Eligible Applicants	Treatment Group Target Allocation	Control Group Target Allocation	Probability of Assignment to Treatment Group
Northeast	12	9	3	75%
Southeast	11	9	2	82%
Midwest	5	4	1	80%
Southwest	8	6	2	75%
West	7	5	2	71%
Total	43	33	10	77%

⁹ HUD and the study team determined that the waitlist group was not needed given the number of applicants.

2.2.3 Conduct Random Assignment via Regional Lotteries

Staff from PD&R used random assignment statistical software to assign the 43 PHAs to the treatment and control group by region. The software was set up to give the same probability of assignment to the treatment group to each PHA within a region (the probability shown in the last column of Exhibit 2-2) and then randomly select the target number of treatment PHAs in the region. (The PHAs not selected to the treatment group within a region default to the control group.) This procedure resulted in 33 PHAs assigned to the treatment group and 10 PHAs assigned to the control group, with the allocations by group and geography achieving the target allocations shown in Exhibit 2-2. We refer to this group of 43 PHAs as the randomized control trial (RCT) sample.

2.3 Moving from Random Assignment to MTW Designation

In late August 2020, immediately after publishing the Operations Notice, HUD invited the 33 PHAs assigned to the treatment group to complete the second step of the application process for MTW designation under Cohort 1. This second step of the application requires PHAs to submit the following:

- A brief narrative application and MTW Plan
- Supporting documentation, including documentation that the PHA’s MTW Plan underwent a public process, with at least two tenant meetings, a public hearing, and Board approval¹⁰

Simultaneous to inviting the PHAs assigned to the treatment group to complete the application for MTW designation, HUD notified the PHAs in the control group that they would not be invited to proceed with the application process under Cohort 1 but may be eligible to apply for MTW designation under future cohorts.

By the application close date, 31 of the 33 PHAs had submitted an application and two PHAs had chosen not to submit applications. These two PHAs that were randomly assigned to the treatment group, but chose not to apply, are termed “no shows,” meaning they do not end up receiving MTW designation under Cohort 1. Similarly, some PHAs assigned to the control group could receive MTW designation under a different cohort.¹¹ If this happened during the term of the Cohort 1 evaluation, the PHAs receiving MTW designation under a different cohort would be control group “crossovers.”

For any analyses of MTW impact that use the RCT sample—the experimental analyses described further in Chapter 4—the PHAs will remain in their assigned groups. That is, PHAs assigned to the treatment group will remain in the treatment group even if they do not receive MTW designation, and PHAs assigned to the control group will remain in the control group even if they receive MTW designation under a future cohort. Keeping the PHAs in their assigned groups is necessary to preserve the integrity of the experimental analysis (which allows us to interpret impacts unequivocally as

¹⁰ For more detail, see Section 5 of PIH 2018-17.

¹¹ The 2016 Act stipulates that HUD award at least 50 of the 100 MTW expansion slots to PHAs administering 1,000 or fewer units. This means an additional 19 small PHAs will become part of the expansion by 2022.

caused by MTW), as we cannot predict which PHAs in the control group would have been treatment group no shows and which PHAs in the treatment group would have been control group crossovers.

2.4 Characteristics of the RCT Sample

Exhibit 2-3 compares average PHA and household characteristics for the PHAs in the two groups using 2019 data. As expected from an evaluation design that uses random assignment, there are few statistically significant differences between the treatment and control group. Only one test found a statistically significant difference: at baseline, fewer households are in special voucher programs in the treatment group than in the control group (5.3 percent compared to 13.7 percent).

Exhibit 2-3. Comparison of Treatment and Control Group in RCT Sample

Characteristics	Treatment Group (33 PHAs)	Control Group (10 PHAs)	Difference (T-C)	p-Value
PHA Characteristics				
Percentage (number) of PHAs with HCV and public housing	51.5 (17)	50.0 (5)	1.5 p.p.	.615 ^a
Percentage (number) of PHAs with only HCV	39.4 (13)	30.0 (3)	9.4 p.p.	
Percentage (number) of PHAs with only public housing	9.2 (3)	20.0 (2)	-10.9 p.p.	
Number of public housing units (excluding PHAs with no public housing units)	241	261	-20	.763
Number of HCV units (excluding PHAs with no HCV units)	397	499	-102	.277
Number of units (HCV and/or public housing)	507	582	-75	.389
Occupancy rate (all programs) ^b	88.9	93.0	-4.1 p.p.	.190
Months since move-in (all programs)	87.9	82.3	5.6	.496
Average HUD expenditure per unit per month	\$689	\$552	\$138	.101 ^c
PHA headquarters is located in a metropolitan area	72.7	60.0	12.7 p.p.	.455
Fair Market Rent (FMR) for 2-bedroom unit	\$1,041	\$899	\$143	.246
80% of Area Median Income (AMI) for 4-person household	\$59,329	\$54,570	\$4,759	.256
Ratio of 2-bedroom FMR to 80% of AMI for 4-person household	0.206	0.197	0.010	.449
Average weekly wage for local government workers in the county where the PHA is located	\$886	\$676	\$210	.053
Characteristics of Assisted Households (All Programs)				
Months on the waiting list	19.8	22.1	-2.3	.686
Months since move-in	87.9	82.3	5.6	.496
Percentage of households where head or co-head is aged 62 or older OR has a disability	56.7	59.3	-2.6 p.p.	.548
Average earnings of nondisabled adults aged 18-61	\$18,004	\$16,968	\$1,036	.493
Percentage of HCV households living in low-poverty census tracts	19.3	21.3	-2.0 p.p.	.497
Percentage of households in special voucher programs	5.3	13.7	-8.5 p.p.	.026

Source: HUD 2018 and 2019 Picture of Subsidized Households (POSH), HUD December 2019 Inventory Management System/PIH Information Center (PIC), HUD FY20 Fair Market Rents, HUD December 2019 Voucher Management System (VMS), HUD FY2019 Section 8 administrative data, BLS 2019 Q3 local government wages for all industries, counties, and establishment sizes.

Notes: Two PHAs in the RCT sample were missing data for all 2019 POSH metrics except for public housing and HCV unit counts; 2018 POSH data were substituted for these metrics for these two PHAs. The abbreviation "p.p." indicates "percentage points."

^a Indicates that the p -value is from a Chi-square test. Unless indicated otherwise, p -values come from t tests of simple comparison of means, using a pooled variance estimate.

^b Occupancy rate is the number of occupied units divided by the number of units available.

^c t test uses Satterthwaite variance estimate due to unequal variance.

2.5 Matched Comparison Group to Supplement the RCT Sample

The RCT sample permits unbiased, experimental analysis of the impact of MTW by comparing outcomes for the treatment and control groups. However, the statistical power of the RCT sample to detect the impact is limited due to its size. With only 10 PHAs in the control group, we will be able to generate estimates for the impact of MTW on the PHAs in the RCT sample as a whole but not for subgroups of PHAs within the RCT sample—for example, PHAs with more than 500 units or PHAs with HCV-only programs.

To address the limitations associated with the small size of the RCT control group, we selected a matched comparison group of 99 PHAs, providing up to three non-MTW PHAs matched to each PHA in the treatment group on observable characteristics. (Section 2.6 below describes the approach to selecting the comparison group PHAs.) The addition of the comparison group substantially improves the impact study's ability to detect statistically significant differences in outcomes between MTW and non-MTW PHAs. With a large sample, the difference in outcomes between the treatment and control group does not need to be as large in order to be statistically significant.

However, the interpretation of findings is not the same. The fact that the comparison PHAs did not elect to apply for Cohort 1 and were selected for rather than randomly assigned to the comparison group makes them likely to be systematically different on unobservable characteristics from the PHAs in the treatment group and thus potentially introduces bias into the estimates. This potential bias makes it impossible to conclude that MTW designation *caused* the impact estimates. Thus, we refer to the analyses based on the RCT sample as *experimental*, connoting a higher degree of confidence in the impact estimates, and those based on the comparison group as *quasi-experimental*, to be interpreted with more caution. We refer to the sample that consists of the 33 treatment group PHAs and the 99 comparison group PHAs as the quasi-experimental design (QED) sample.

Exhibit 2-4 provides estimates of minimum detectable effects in three outcome areas for the RCT sample and the QED sample. Minimum detectable effects (MDEs) are the smallest true effects of an intervention that researchers can be confident of detecting as statistically significant when analyzing samples of a given size. The exhibit shows how the minimum detectable effects change as a result of increasing the sample size from 10 PHAs in the control group to 99 in the comparison group.

The minimum detectable effects are roughly half as large for the QED sample as for the RCT sample. Using the QED sample, for example, the impact study has an 80 percent chance of detecting a statistically significant impact if the true average impact on HUD expenditures is plus or minus \$70. (As a point of comparison, \$70 per month represents a 17 percent change from the average per month expenditures across all small PHAs.) By contrast, the true average impact on HUD expenditures would have to be plus or minus \$129 for the RCT to have an 80 percent chance of detecting a statistically significant difference between the 33 treatment PHAs and the 10 control PHAs. (That \$129 per month represents a 31 percent change from the average per month expenditures across all small PHAs.)

Similarly, using the RCT sample, the average percentage of households with wages for the treatment group PHAs would need to be 2.6 percentage points higher (or lower) than the average for the control group PHAs for the difference to be statistically significant. Using the QED sample, the MDE is lower: 1.4 percentage points.

Exhibit 2-4. How Minimum Detectable Effects Change as a Result of Variation in Sample Size

	RCT	QED
Number of PHAs in treatment group	33	33
Number of PHAs in control/comparison group	10	99
Minimum Detectable Effects on Three Sample Outcomes		
Treatment-control/comparison difference in average HUD expenditure per month	\$129	\$70
Treatment-control/comparison difference in average percentage of households with wages as major source of income	2.6 p.p.	1.4 p.p.
Treatment-control/comparison difference in average poverty rate in census tracts where PHA households reside	3.8 p.p.	2.1 p.p.

Notes: The abbreviation “p.p.” indicates “percentage points.” For the power analysis, we consider a two-tailed test with 80 percent power, 0.10 alpha. Means and standard deviations are from data in the POSH dataset, looking only at PHAs with fewer than 1,000 combined HCV and public housing units. We assume an average PHA expenditure per unit per month of \$415, with a standard deviation of \$279 (after excluding the top 5 percent from the Picture of Subsidized Housing data). Average proportion of households with wages as a major source of income and average poverty rate are 27 percent and 26 percent, respectively. We assume that these two binary outcomes are measured at the tenant level and have an intraclass correlation (ICC) of 0.05 and 0.2. To calculate the MDEs for these last two outcomes, we use the harmonic mean number of tenants per PHA (69). (The harmonic mean of n numbers is n divided by the sum of their reciprocals. Outliers do not affect the harmonic mean as much as the arithmetic mean.) We assume that covariates explain 75 percent of the variation in the per-unit-per-month expenditure and 20 percent of the variation in tenant-level outcomes.

In addition to making it easier to detect impacts overall, the larger sample size in the QED sample may permit subgroup analysis. We will not produce impact estimates for subgroups of PHAs within the RCT sample, defined either by PHA characteristic or by the type of MTW waivers pursued. With a large comparison group, subgroup analysis is more likely to be sufficiently powered. For example, the study’s analysis of self-sufficiency outcomes achieved by MTW PHAs relative to their peers may be more compelling if we can restrict the comparison to those PHAs in the treatment group that actually implemented policy or program changes related to self-sufficiency and a matched group of PHAs.

Given the additional analytic flexibility that a matched comparison group provides, we run both RCT and QED analyses. The QED analysis will supplement, but not replace, the RCT analysis. One challenge with running concurrent RCT and QED analyses is that results may conflict and, therefore, be difficult to interpret. For example, the RCT and QED analyses could both find an impact on costs but in different directions, with the RCT finding that MTW lowers PHA costs and the QED finding that MTW increases PHA costs. More likely, the QED will detect impact on an outcome but the RCT will not, because of the small RCT sample size. We will report both sets of findings but consider the RCT findings the strongest evidence. If the QED sample generally agrees with the RCT sample on the direction of impacts, that result will strengthen our confidence in using the QED sample for subgroup analysis. Chapter 4 provides more detail on our planned methods for examining the complementarity of the RCT and QED results.

2.6 Selecting the Matched Comparison Group

We selected 99 PHAs for the comparison group, providing three matched non-MTW PHAs for every PHA in the treatment group. Small PHAs not in the RCT sample may differ from the 43 PHAs in the RCT sample, because they did not apply to be part of the first cohort of the MTW expansion. Unobservable characteristics that led one PHA to apply for Cohort 1 MTW status and another not to apply may correlate with outcomes, which is why there is potential for the QED analysis to be biased. Although we cannot control for unobservable characteristics about a PHA that might correlate with both the decision to apply for MTW designation and the outcomes of interest, we can mitigate the risk of bias by ensuring that the 99 comparison group PHAs closely match the treatment group on important, observable characteristics as measured in HUD administrative data.

We selected 99 comparison PHAs that meet the eligibility criteria for inclusion in the first cohort of the MTW expansion and that match (to the extent possible) the 33 treatment group PHAs on baseline variables related to the study's outcome measures. The matching routine matched without replacement (after we selected a comparison PHA for one treatment PHA, we did not select that comparison PHA for another treatment PHA).

Ideally, the matching criteria would be characteristics correlated with whether a PHA applied to participate in Cohort 1 and also characteristics correlated with tenant outcomes. Exhibit 2-5 presents the matching criteria we used. We matched on the characteristics shown in Exhibit 2-5 either because they represent an outcome related to one of the MTW statutory objectives or because they explain salient features of the socioeconomic and housing market conditions that tenants face and that could affect outcomes.¹² The bolded characteristics are those for which we aimed to require an exact match. The underlined variables are those that relate to the study's three confirmatory outcome measures (as defined in Chapter 4). Many additional characteristics could be included (for example, all of the outcome measures in Chapter 4). However, most of those additional characteristics would correlate with those already chosen, and the matching exercise becomes difficult to satisfy if the number of characteristics on which to match is too high.

Before matching on the characteristics in Exhibit 2-5, we excluded from the potential comparison group any PHAs that did not meet the basic eligibility criteria for Cohort 1—that is, we excluded PHAs administering more than 1,000 units combined, PHAs that are troubled under either PHAS or SEMAP, and PHAs that are both not a high performer in PHAS and not a high performer in SEMAP. A small number of PHAs with less than 1,000 units combined serve more than 1,000 households because they are serving households that ported into their jurisdiction from another PHA. The small PHA administers the vouchers for these households on behalf of the sending PHA under a billing arrangement. No PHAs serving more than 1,000 households applied to Cohort 1, therefore we also excluded these PHAs from the potential comparison group. We also excluded any PHAs outside the continental United States. PHAs located outside the continental United States face substantially different market conditions, and no such PHAs applied to Cohort 1.

¹² A preliminary analysis failed to identify any characteristic weakly or strongly associated with application to Cohort 1.

Exhibit 2-5. Characteristics on Which to Match Cohort 1–Eligible PHAs to the Treatment Group

Characteristics of the PHA and local housing market	Characteristics that describe the households served
<ul style="list-style-type: none"> • Region of the country used in random assignment (Northeast, Southeast, Midwest, Southwest, and West)^a • PHA’s program types (public housing only, HCV only, combined) • Size category (fewer than 250, 250-499, 500-749, 750-1,000) • <u>Average HUD expenditure per month</u> • Metro/non-metro jurisdiction • 2-bedroom Fair Market Rent (FMR) • 80% of Area Median Income (AMI) for 4-person household • Ratio of 2-bedroom FMR to 4-person low-income limit • Average wage for local government workers for the county where the PHA is located 	<ul style="list-style-type: none"> • Percentage of households where head or co-head is aged 62 or over OR has a disability • <u>Average earnings of nondisabled adults aged 18-61</u> • <u>Average poverty rate of tracts where HCV households live</u> • Percentage of households in special voucher programs

Notes: The bolded characteristics are those for which we aimed to require an exact match. The underlined variables are those that relate to the three confirmatory outcomes.

^a See Exhibit 2-1 for the states in each region.

To select the comparison group, we used a matching method called coarsened exact matching (CEM). CEM is a proven method that yields high-quality matches with respect to selected covariates and often succeeds where other methods, such as propensity score and nearest-neighbor, do not (Iacus et al., 2012).

Before settling on CEM as the optimal method, we tested several alternatives. First, we estimated a propensity score model explaining PHAs’ likelihood to apply for Cohort 1. The propensity score model was weak: there were no strong, linear patterns in the exploratory variables that strongly correlated with a PHA’s decision to apply for Cohort 1. We determined that propensity scores would not work as a matching method because the number of PHAs in the treatment group is relatively small compared to the number of eligible PHAs, and the variation in PHA characteristics in the treatment group is not different enough from the variation across all eligible PHAs. We also considered Mahalanobis distance matching using principal components.¹³ We found that Mahalanobis distance matching was similar to CEM in achieving balance on baseline characteristics but was less able to meet “exact matching” requirements.

CEM works as follows. For each treatment group PHA, we used CEM to select three comparison PHAs with similar values on selected covariates. To be successful, CEM handles continuous covariates (for example, FMR) by “coarsening” them, or converting them into categories (for example, high FMR, medium FMR, and low FMR). CEM finds the optimal level of “coarsening” for

¹³ McLachlan (1999) provides an accessible, interesting article about the Mahalanobis distance metric. Brereton (2015) describes the relationship between the Mahalanobis distance metric and principal components.

each covariate and then selects one or more comparison PHAs in the same category as a treatment PHA. We tailored the matching procedure by:

- **Requiring** each comparison group PHA to exactly match the associated treatment group PHA on two variables: region, program type. All 99 comparison PHAs satisfy these exact matching criteria
- **Establishing a strong priority** for a comparison group PHA to match the associated treatment group PHA on PHA size and state. After matching exactly on region and program type, program size and state were the next two most important factors. Altogether, 81 of the 99 comparison PHAs were an exact match on PHA size, and 76 of the 99 comparison PHAs were an exact match on state
- **Giving priority to** comparison group PHA matches that matched the associated treatment group PHA on the three confirmatory measures relative to the other variables for which we did not require an exact match
- **Resolving ties** by choosing comparison PHAs that were best matches on the other characteristics listed in Exhibit 2-5

The selected 99 comparison PHAs are a good match to the treatment PHAs. There are no statistically significant differences between the groups on average characteristics named in Exhibit 2-5. Exhibit 2-6 summarizes the equivalence of the treatment and comparison PHAs.

Exhibit 2-6. Comparison of Treatment and Comparison Groups in QED Sample

Characteristic	Treatment Group (33 PHAs)	Comparison Group (99 PHAs)	Difference (T-C)	p-Value
PHA Region				
Percentage (number) in Northeast	27.3 (9)	27.3 (27)	0.0 p.p.	1.000 ^a
Percentage (number) in Southeast	27.3 (9)	27.3 (27)	0.0 p.p.	
Percentage (number) in Midwest	12.1 (4)	12.1 (12)	0.0 p.p.	
Percentage (number) in Southwest	18.2 (6)	18.2 (18)	0.0 p.p.	
Percentage (number) in West	15.2 (5)	15.2 (15)	0.0 p.p.	
Program Type				
Percentage (number) of PHAs with HCV and public housing	51.5 (17)	51.5 (51)	0.0 p.p.	1.000 ^a
Percentage (number) of PHAs with only HCV	39.4 (13)	39.4 (39)	0.0 p.p.	
Percentage (number) of PHAs with only public housing	9.1 (3)	9.1 (9)	0.0 p.p.	
Other Characteristics				
Number of units (HCV and/or public housing)	507	461	47	0.286
PHA headquarters is located in a metropolitan area	72.7	66.7	6.1 p.p.	0.521
Average earnings of nondisabled adults aged 18-61	\$18,004	\$17,323	\$681	0.418
Percentage of HCV households living in low-poverty census tracts	19.3	17.6	1.6 p.p.	0.227
Average HUD expenditure per unit per month ^b	\$689	\$620	\$69	0.257
Percentage of households where head or co-head is aged 62 or over OR has a disability	56.7	60.7	-4.0 p.p.	0.155

Characteristic	Treatment Group (33 PHAs)	Comparison Group (99 PHAs)	Difference (T-C)	p-Value
Fair Market Rent (FMR) for 2-bedroom unit	\$1,041	\$1,075	-\$32	0.681
80% of Area Median Income (AMI) for 4-person household	\$59,329	\$60,354	-\$1,025	0.698
Ratio of 2-bedroom FMR to 80% of AMI for 4-person household	0.206	0.209	-0.003	0.719
Average weekly wage for local government workers in the county where the PHA is located	\$886	\$894	-\$7	0.889
Percentage of households in special voucher programs	5.3	3.7	1.5 p.p.	0.373

Source: HUD 2018 and 2019 Picture of Subsidized Households (POSH), HUD December 2019 Inventory Management System/PIH Information Center (PIC), HUD FY20 Fair Market Rents, HUD December 2019 Voucher Management System (VMS), HUD FY2019 Section 8 administrative data, BLS 2019 Q3 local government wages for all industries, counties, and establishment sizes.

Notes: Two PHAs in the RCT sample were missing data for all 2019 POSH metrics except for public housing and HCV unit counts. 2018 POSH data were substituted for these metrics for these two PHAs. The abbreviation “p.p.” indicates “percentage points.”

^a Indicates that the *p*-value is from a Chi-square test. Unless indicated otherwise, *p*-values come from *t* tests of simple comparison of means, using a pooled variance estimate.

^b *t* test uses Satterthwaite variance estimate due to unequal variance.

3. Process Study

The Cohort 1 evaluation offers an important opportunity to learn about how PHAs with 1,000 or fewer units will use the flexibility that MTW offers. Most of the existing MTW PHAs are larger agencies, which have staffing and cost structures, and possibly a way of working with their tenants, that are different from those at smaller agencies. The goal of the process study is to understand in detail how the Cohort 1 PHAs use their MTW flexibility to address the MTW statutory objectives and local goals, what factors influence their program design choices, what challenges they face in implementing new program and policy changes, and how these program and policy changes affect PHA operations. To answer these and the more detailed research questions described in Section 3.1, we will draw on administrative records and supplementary data collected by the study team directly from PHAs.

The process study has three components:

- ***Investigation into what motivated small PHAs to apply for MTW designation under Cohort 1*** → Useful for HUD’s future efforts to encourage small PHAs to apply for MTW status
- ***In-depth analysis of how the Cohort 1 MTW PHAs used their flexibility*** → Critical for answering the study’s overarching research questions and for supporting the impact analysis
- ***Documentation of how PHAs that did not receive MTW designation pursued similar objectives*** → Provides important context for the interpretation of the impact study findings

We limit data collection for the process study to the 43 PHAs in the RCT sample. These 43 PHAs agreed to participate in evaluation activities at the time of applying to Cohort 1 and shared a common motivation in applying for MTW. The evaluation is not budgeted to conduct primary data collection at the 99 matched comparison group PHAs, particularly at the level of effort needed to achieve high response rates. However, we will use what we learn from the 10 PHAs in the control group to help understand how well the comparison PHAs match the RCT sample and to inform the interpretation of the QED impact analysis.

We designed the data collection approach for the process study to minimize PHA burden and maximize use of the extensive data that PHAs already compile for HUD or for their internal management. The study team will mine available secondary sources for information on program activities and will conduct primary data collection only to fill gaps, clarify the information, or collect qualitative data on PHA experiences that are not included in what they report to HUD.

This chapter describes our understanding of and approach to the research questions for the process study. We begin by discussing the main research questions for each component of the process study (Section 3.1), followed by a detailed discussion of data sources and data collection methods for the secondary and primary data collection (Sections 3.2 and 3.3, respectively). We also discuss strategies for ensuring that PHAs remain engaged with the evaluation (Section 3.4), and conclude with a description of the process study’s analytic methods (Section 3.5). Appendix A contains more detail on the secondary data sources, and Appendix B contains the draft primary data collection instruments.

3.1 Study Research Questions

We have identified 18 research questions across the three process study components, many of which have sub-questions. Sections 3.1.1 through 3.1.3 discuss the research questions by study component, noting the main data sources for each. Section 3.1.4 provides a summary table that shows all of the process study research questions and their associated data sources. We then provide more information on each data source in Sections 3.2 and 3.3.

3.1.1 Motivations for Applying to MTW

Exhibit 3-1 presents the research questions that will guide our study of what motivated PHAs to apply for MTW designation under Cohort 1. Most of the questions refer to PHA motivations at the time of the initial application—that is, in late 2018 or early 2019—and apply to PHAs in both the treatment and control groups. We are interested to learn the internal and external factors that made the PHAs interested in applying and what (at that time) they hoped to accomplish with MTW designation. The main data source for the first five questions will be the Application Survey, supplemented by MTW Plans and baseline telephone interviews (for MTW PHAs), and baseline online surveys (for non-MTW PHAs).

Exhibit 3-1. Research Questions Related to PHA Motivations for Applying to MTW

Research Questions
1. What motivated the PHAs to apply for MTW designation?
2. What programmatic or operational goals were they seeking to meet?
3. What role did the Board and other community stakeholders play in the decision to apply?
4. Which statutory objectives and MTW waivers were most important to PHAs at time of initial application?
5. What programmatic or operational changes did the PHAs intend to make?
6. How did the PHAs expect to use MTW funding flexibility?
7. Did PHAs' motivations for applying change between the first and second step of the application?
8. Did PHAs' expected use of MTW flexibilities change between the first and second step of the application?

In August 2020, HUD announced the results of random assignment and invited the 33 PHAs assigned to the treatment group to complete the application for MTW designation. In this second step of the application, PHAs completed a MTW Plan that restates their goals and plans for MTW. Because the PHAs will be completing their MTW Plans more than a year after completing the Application Survey, we anticipate their motivations may have changed somewhat. The PHAs' leadership or Board members could have changed, or the PHAs may be facing new challenges related to internal PHA or market factors. Another key change that could influence PHA motivations at this step of the application is the publication of the final *Operations Notice* for the MTW expansion. The final *Operations Notice*, published in August 2020, differs in meaningful ways from the draft *Operations Notice* that was available during the first step of the application process. Finally, it is possible that the ongoing global pandemic may have influenced the treatment group PHAs in their desire to seek MTW designation and/or the various MTW activities they might choose to implement.

For all PHAs assigned to the treatment group, we will compare the information provided in the Application Survey and MTW Plan to identify whether PHAs' goals, motivations, or intended uses of MTW flexibilities changed and use telephone interviews to explore further how and why. For the two

treatment group PHAs that elected not to pursue MTW designation and therefore did not produce an MTW Plan, we will conduct a brief telephone interview (with HUD's permission) to learn about their reasons for not completing the application.

The information that we collect on PHAs' goals in applying for MTW may be useful for assessing the quality of the matched comparison group. If the MTW Plans and telephone interviews provide definitive information on PHA motivations to participate in the study and apply for MTW designation, or even which of the three MTW statutory objectives the PHAs are most interested in, then we might be able to identify more distinctive observable characteristics that are predictive of a PHA's interest in particular objectives. We would then use these characteristics to assess the match of the comparison group on what is unobservable for those PHAs—their relative interest in cost effectiveness, self-sufficiency, housing choice, and (potentially) other objectives.

3.1.2 Uses of MTW Flexibility

Exhibit 3-2 presents the research questions for investigating how the PHAs in Cohort1 used their MTW flexibility. Given the large number of questions, we present main questions and sub-questions. The questions in Exhibit 3-2 apply to PHAs in the treatment group that receive MTW designation. If during the course of the evaluation some PHAs in the control group receive MTW designation through another cohort, we will coordinate with the evaluation from that cohort to collect similar information on how they use their flexibility.

Exhibit 3-2. Research Questions Related to How PHAs Use MTW Flexibility

Main Questions ^a	Sub-questions
9. Which waivers and activities did the MTW PHAs implement?	<ul style="list-style-type: none"> • Which activities (i.e., programs, policies, or procedures) did the PHAs implement?^b • Which waiver(s) did the PHAs use to implement each activity? • Which local, non-traditional activities did the PHAs implement?
10. What were PHAs' objectives in implementing those activities?	<ul style="list-style-type: none"> • Which statutory objective(s) did the PHAs associate with each activity? • How did they interpret the statutory objectives of cost effectiveness, self-sufficiency, and housing choice? • Were the PHAs seeking to meet other, local goals with their MTW activities?
11. What role did the Board and other stakeholders play in the choice of activities? ^c	<ul style="list-style-type: none"> • From the PHAs' perspective, what were the expectations of their Board and other stakeholders for what MTW would accomplish?
12. How did the MTW PHAs use their funding flexibility?	<ul style="list-style-type: none"> • How did the PHAs make use of single-fund flexibility? • Were the PHAs able to leverage new sources of funding with their MTW authority? • Did the PHAs use their funding flexibility to fund local, non-traditional activities?
13. How did PHAs' use of MTW flexibilities change over time?	<ul style="list-style-type: none"> • How did the activities implemented by the PHAs compare to what they intended to implement at different points in time? • What accounts for differences between what the PHAs planned to implement and what they actually implemented? • What challenges did PHAs face in using MTW flexibilities?
14. How did the PHAs' MTW activities affect PHA operations and staffing?	<ul style="list-style-type: none"> • Did the MTW activities implemented affect PHA procedures? • Did the MTW activities implemented affect program costs? • Did the PHAs realize administrative cost savings in one area and invest the savings in another area? • Did the MTW activities implemented affect PHA staffing levels? • Did the MTW activities affect staff morale? • Did MTW affect the PHAs' organizational cultures?
15. How did the PHAs' participation in MTW affect their relations with tenants or the broader community? ^d	<ul style="list-style-type: none"> • Did participation in MTW affect how the PHAs interact with tenants or other stakeholders? • Did participation in MTW affect public or stakeholder support for the PHAs or for affordable housing in the community? • Did the PHAs develop or expand any community partnerships or initiatives as a result of MTW?
16. How do PHAs describe their experiences with MTW?	<ul style="list-style-type: none"> • What do PHAs report to be the greatest benefits of MTW for their agencies? • Which MTW flexibilities do PHAs view as most critical to achieving the program's statutory objectives and why? • What challenges did PHAs face in developing or implementing their MTW programs? • What "lessons learned" or advice do the PHAs have for other agencies seeking MTW or for new MTW PHAs? • What recommendations do PHAs have for how the MTW program could better meet its statutory objectives or requirements?

Notes:

^a The numbering of these questions continues from Exhibit 3-1.

^b This question includes details such as which populations the activity applies to, the specifics of the policy, whether the PHA has a hardship policy, etc.

^c We will not be interviewing Board members or other stakeholders, and so will answer these questions from the PHA perspective.

^d We will not be interviewing tenants or community members, and so will answer these questions from the PHA perspective.

MTW Waivers and Activities Implemented

The PHAs that receive MTW designation in Cohort 1 will report detailed information about which waivers and activities they have implemented or plan to implement in their annual MTW Supplements. We will collect and analyze the information submitted through the MTW Supplement data by activity type, by statutory objective (as the MTW Plans and Supplements ask PHAs to relate each waiver activity to one or more of those objectives), and at the PHA level. We will also review the PHAs' Administrative Plan (Admin Plan) and Admissions and Continued Occupancy Policy (ACOP) as potential sources for more detail on the PHA policies related to MTW activities.

The study team will also conduct annual telephone interviews with MTW PHAs to review the activities completed in the previous year and to discuss the next year's plans. Most of the questions in the interview guides are qualitative and meant to capture information that is not available through other data sources. These include the PHAs' motivations, intentions, reasoning behind the planned activities, and opinions and perceptions of staff on implementation challenges and early outcomes. (See Appendix B for the interview guides.)

Changes in MTW Flexibility Over Time

The process study will examine how and why the PHAs' use of MTW flexibility changed over time, from their original plans at the time of initial application (as documented in the Application Survey), in the second step of the application about a year later (as documented in the MTW Plan), and across each year of implementation (as documented in PHAs' annual MTW Supplements). We will investigate changes in use of MTW flexibilities by tracking each MTW PHA's activity annually. The MTW Supplement will collect information from PHAs about any discontinued MTW activities and waivers. In the interviews, the study team will ask about any such changes in order to learn more about why the PHAs discontinued or postponed a particular activity. However, we may not observe any changed or discontinued activities during the scope of the evaluation, which will cover only the first three to four years of MTW implementation.

Use of MTW Funding Flexibility

The process study will also collect contextual information, primarily via interviews with PHA staff, on PHAs' use of MTW funding flexibility. The impact study will measure how PHAs use their public housing operations, public housing capital, and HCV funding. The interviews conducted for the process study will also ask whether the PHAs have identified or pursued any new sources of funding since obtaining MTW status and how MTW status may or may not have played a part in obtaining new funding sources.

Influence of MTW on PHA Operations and Staff

The process study will investigate the influence on the PHAs themselves of the each of the MTW activities implemented, focusing on questions not covered by the impact study. We will learn about how the MTW activities pursued affected PHA operations and staffing, which will provide important context for interpreting changes in per-unit costs measured in the impact study.

Some information on PHA operations and staff (for example, the number of full-time staff and contractors and their work areas) is available through the Application Survey. The MTW Supplement also provides basic information on how PHAs' expect their MTW activities to affect PHA costs. The telephone interviews will provide important supplementary information, giving the PHAs an opportunity to discuss whether and how they are measuring changes in operations and staffing and to

provide responses to questions about less quantifiable changes in staffing and operations, including employee work burden and morale.

Effect on PHA Relations with Tenants and Community

The process study will also explore other ways that MTW status could affect how PHAs administer their programs, including changing how PHA staff interact with tenants and how stakeholders perceive the PHAs and affordable housing in the community more broadly. The general public has an opportunity to comment on PHA policies and procedures during the annual PHA Plan process, and we will ask PHAs how public comment influenced their MTW activities. Some PHAs might also use other outreach strategies, such as advisory groups, to solicit input from key stakeholders on policy changes. In addition to asking how stakeholder input affected the policies, the interviews will also ask PHAs about how the PHAs' MTW status and policies have affected stakeholder perceptions of them.

PHA Experiences with MTW

The study team will obtain PHAs' perspectives of their agency's experiences with MTW: which MTW flexibilities they view as most critical, what challenges they faced in using MTW flexibilities, what they learned along the way, and what aspects of the program present obstacles to achieving the statutory objectives. We'll gather this information through the phone interviews completed with MTWs each year.

3.1.3 Documentation of MTW-like Activities by Control Group PHAs

Exhibit 3-3 presents the research questions guiding our study of the PHAs in the RCT sample that do not receive MTW designation; that is, those assigned to the control group and any PHAs assigned to the treatment group that do not receive MTW designation. The purpose of these questions is to learn about any activities the non-MTW PHAs may have implemented during the evaluation period in pursuit of any of the three MTW statutory objectives. If a PHA made policy or program changes with the goal of increasing cost efficiency, self-sufficiency, or housing choice, we want to understand the nature and scope of those changes and why the PHA chose to make them. It will be interesting to learn whether the process of applying for MTW resulted in the control group PHAs pursuing the MTW objectives within the regular program rules. Knowing whether the PHAs in the control group were actively working toward these goals will also be useful for interpreting the results of the impact study.

To be able to compare the program and policy changes that non-MTW PHAs may make versus those made by the MTW PHAs, the study team will need to collect similar information from the control group as will be collected from the treatment group through the MTW Supplement. We intend to collect this information from control group PHAs through a review of their Admin Plan and ACOP, and primary data collection. Each year, we will collect and review the PHAs' Admin Plan and/or ACOP to identify any program or policy changes that related to any of the three MTW statutory objectives.

In addition to this review, we also will send PHAs a simple online survey that asks them to identify and briefly describe any new programs or policies they have implemented in pursuit of reducing costs, increasing self-sufficiency, or increasing housing choice. We will also give the PHAs the option to complete the survey by telephone if they prefer. If we learn through the survey that a PHA has made any policy or program changes related to an MTW objectives, we will follow up by telephone to review that PHA's answers and discuss the initiative in more detail. We will ask about

the effect that any of the new programs or policies pursued had on PHA operations, staffing, or perceptions of the agency or affordable housing in general. We will repeat the process of identifying policy and program changes each year and will continue to follow up by telephone with those PHAs undertaking activities related to the statutory objectives.

Exhibit 3-3. Research Questions for Non-MTW PHAs

Main Questions ^a	Sub-questions
17. Which activities did the non-MTW PHAs implement related to the statutory objectives?	<ul style="list-style-type: none"> • Which activities (i.e., programs, policies, or procedures) did the PHAs implement?^b • Did the PHAs obtain waivers from HUD to implement the activities? Would the PHAs have made a different program or policy change had they received MTW designation? • Which statutory objective(s) did the activities relate to? • Were the PHAs seeking to meet other, local goals with their activities? • To what extent did tenant or other stakeholder input affect the choice of activities?
18. How did the activities affect PHA operations and staffing?	<ul style="list-style-type: none"> • Did the activities implemented affect PHA procedures? • Did the activities implemented affect program costs? • Did the PHA realize administrative cost savings? • Did the activities implemented affect PHA staffing levels? • Did the activities implemented affect program budgets?

Notes:

^a The numbering of these questions continues from Exhibit 3-2.

^b This question includes details such as which populations the activity applies to, the specifics of the policy, and whether the PHA has a hardship policy, etc.

3.1.4 Summary of Research Questions and Data Sources

Exhibit 3-4 summarizes the main questions for the process study and their associated data sources. We call the first four data sources shown in Exhibit 3-4 (Application Survey, MTW Plan, MTW Supplement, and Admin Plan/ACOP) *secondary data sources*, because they are data that HUD collects or that PHAs maintain for their own program administration. The last two data sources in Exhibit 3-4 (telephone interviews and online survey) are the study’s *primary data sources*, data the study team collects from PHAs directly. Sections 3.2 and 3.3, respectively, describe the secondary and primary data sources for the study and their data collection plans.

Exhibit 3-4. Process Study Research Questions and Data Sources

	Application Survey	MTW Plan	MTW Supplement	PHA Plan, Admin Plan/ACOP, etc.	Phone Interviews	Online Surveys
Questions for MTW PHAs						
1. What motivated PHAs to apply for MTW designation?	•				•	
2. What programmatic or operational goals were they seeking to meet?					•	
3. What role did the Board and other community stakeholders play in the decision to apply?					•	
4. Which statutory objectives and MTW waivers were most important to PHAs at time of initial application?	•					
5. What programmatic or operational changes did the PHAs intend to make?						
6. How did the PHAs expect to use MTW funding flexibility?	•					
7. Did PHAs' motivations for applying change between the first and second step of the application?	•	•			•	
8. Did PHAs' expected use of MTW flexibilities change between the first and second step of the application?	•	•			•	
9. Which waivers and activities did the MTW PHAs implement?			•	•		
10. What were PHAs' objectives in implementing those activities?			•	•	•	
11. (From the PHAs' perspective) What role did the Board and other stakeholders play in the choice of activities? ^a					•	
12. How did the MTW PHAs use their funding flexibility?			•		•	
13. How did PHAs' use of MTW flexibilities change over time?			•	•	•	
14. How did the PHAs' MTW activities affect PHA operations and staffing?					•	
15. (From the PHAs' perspective) How did the PHAs' participation in MTW affect their relations with tenants or the broader community? ^a					•	
16. How do PHAs describe their experiences with MTW?					•	
Questions for Non-MTW PHAs						
17. Which activities did the non-MTW PHAs implement related to the statutory objectives?				•	•	•
18. How did the activities affect PHA operations and staffing?					•	•

Notes:

^aWe will not be interviewing Board members, tenants, or other stakeholders, and so will answer these questions from the perspective of the PHA.

3.2 Secondary Data Sources and Data Collection Methods

The data and documents that PHAs submit to HUD and maintain for their own program administration are critical sources for the process study. PHAs already provide a lot of information in written form, and we don't want them to have to duplicate that work for the evaluation.

Exhibit 3-5 summarizes the secondary data sources, including when we expect to obtain them from HUD or the PHAs and which evaluation report they will inform. A description of each data source follows the exhibit.

Exhibit 3-5. Secondary Data Sources for Process Study

Data Source	Purpose in Study	Approximate Timing	Used For
MTW Application Survey (all PHAs)	Provides information on PHAs' motivations for applying for Cohort 1 and the objectives and waivers they intended to pursue	May 2019	Baseline Report
MTW Plan (MTW PHAs only)	Provides updated narrative information on how PHAs planned to use MTW authority, including a timeline for the first two years of implementation	December 2020	Baseline Report
MTW Supplement (MTW PHAs only)	Provides detailed description of the MTW waivers that the PHA plans to implement, as well as key information on local, non-traditional activities	January 2022, 2023, 2024, 2025	Annual Reports
Admin Plan, ACOP, PHA Plan, other PHA documents (all PHAs in the RCT sample)	Used for supplemental information on the program and policy changes that PHAs implement	January 2021-2025	Annual Reports

3.2.1 MTW Application Survey

HUD required all PHAs applying to Cohort 1 to complete the Application Survey (at that time known as the Baseline Survey) in the first step of the application process, accompanied by the letter of interest package. The Application Survey was an online survey with about 20 questions that collected information on PHAs' motivations for applying for MTW and plans for how they intended to use MTW flexibility in their HCV and public housing programs. HUD required Cohort 1 applicants to complete the Application Survey so that the study team would be able to describe the characteristics of the applicant PHAs at the time of application and assess the balance in PHA characteristics between the PHAs assigned to the treatment and control groups. HUD did not use the data from the PHA Application Survey in the random assignment process.

The study team will mainly use the Application Survey data to help answer the following process study research questions:

- What motivated PHAs to apply for MTW designation?
- Which statutory objectives and MTW waivers were most important to PHAs at time of initial application?
- How did the PHAs expect to use MTW funding flexibility?

Appendix A provides a copy of the Application Survey. HUD produced the Application Survey before the start of the Cohort 1 evaluation and the study team already has the Application Survey data in hand. HUD provided the data to the team in May 2019 after the close of the initial Cohort 1 application period. The Application Survey is a key data source for the Baseline Report.

3.2.2 MTW Plan

After HUD randomly assigned PHAs to the treatment group, those PHAs were required to develop and submit an MTW Plan to complete the MTW application process. Only PHAs assigned to the treatment group and that choose to complete the application process completed the MTW Plan. The MTW Plans provide basic information about PHAs' HCV and public housing programs, including data on their housing stock and tenants, and document the PHAs' intended use of MTW flexibility, the results they expect to see, and the timeframe for achieving these results. We will use this information in the Plans to answer the following process study research questions for those PHAs assigned to the treatment group:

- Did PHAs' motivations change between the first and second phase of the application?
- Did PHAs' expected use of MTW flexibilities change between the first and second phase of the application?

We will also use the MTW Plans as a starting point against which to measure PHAs' progress in the first year of MTW implementation. For example, an MTW Plan identifies timeframes for implementation and information on expected partnerships that the study team can refer to in the second round of data collection. Appendix A summarizes the information to be collected through the MTW Plans, as described in the *Notice*.

The study team will access the MTW Plans from HUD. The MTW Plans will only be available for those PHAs assigned to the treatment group that complete the MTW application process; PHAs assigned to the control group and those that choose not to pursue MTW designation will not complete Plans. The MTW Plan is a key data source for the Baseline Report.

3.2.3 MTW Supplement

The MTW Supplement provides a detailed description of the MTW waivers that PHAs plan to implement in the coming year, as well as key information on their local, non-traditional activities. MTW PHAs must have an approved MTW Supplement before they can begin implementing MTW activities or waivers and must complete an MTW Supplement annually. Appendix A summarizes the

information expected to be collected through the MTW Supplement.¹⁴ We will use the MTW Supplement to answer the following process study research questions:

- Which waivers and activities did the MTW PHAs implement?
- How did the MTW PHAs use their funding flexibility for local, non-traditional activities?
- How did PHAs' use of MTW flexibilities change over time?

We will use the annual telephone interviews with MTW PHAs to clarify the information provided through the MTW Supplement.

Because MTW PHAs must have an approved MTW Supplement in order to implement any activities using MTW waivers, we assume that the PHAs that receive MTW designation in Cohort 1 will want to complete their first Supplement as soon as possible. Assuming that PHAs submit their MTW Supplements within six months of signing their MTW ACCs, and that the review and approval process takes another three months, we expect most (if not all) PHAs to have an approved MTW Supplement by the end of their first year of MTW designation.

PHAs will submit their MTW Supplements to HUD electronically on a rolling basis. After the first Supplement, which we assume will happen “off cycle,” PHAs will submit their Supplements annually, no later than 75 days prior to the start of the PHAs' fiscal year. The PHAs in the treatment group all have different fiscal year end (FYE) dates,¹⁵ but the study team will analyze secondary data sources at roughly the same time each year and will use the most recently approved MTW Supplement available at that time.¹⁶

3.2.4 PHA Plan, Admin Plan, ACOP, and Other PHA Documents

The PHA Plan includes basic information and policies on a PHA's public housing, HCV, and other programs. There are two parts to the PHA Plan: the Five-Year Plan, submitted to HUD every five years, and the Annual Plan, submitted to HUD annually. PHAs that administer fewer than 550 public housing units and vouchers and that are in good standing with PHAS and SEMAP are exempt from the Annual Plan requirement, so we may not be able to obtain Annual Plans for all the PHAs in the RCT sample. However, we will attempt to collect an Annual Plan for all PHAs that submit it, along with their Admin Plan and ACOP.

The Admin Plan and ACOP document a PHA's policies and procedures for the HCV program and public housing programs, respectively. They contain policies that PHAs are required to follow as well as policies the PHA has discretion to adopt. PHAs update their Admin Plan and ACOP annually. The Admin Plan and ACOP include the following components:

- Overview of the PHA and its portfolio

¹⁴ At the writing of this RD/DCAP, HUD has not yet published the final MTW Supplement requirements.

¹⁵ Of the 33 PHAs assigned to the treatment group, seven have a March 31 FYE, 14 have a June 30 FYE, seven have a September 30 FYE, and five have a December 31 FYE.

¹⁶ The study team will work with each PHA within our data collection window to make sure that we do not miss an update to the MTW Supplement, but we want to make sure that the study team can review these documents before conducting the telephone interviews so that we are efficient with PHA staff's time.

- Summary of changes or updates to the plans
- Policies regarding tenant eligibility, waiting list, tenant selection, income and subsidy determinations, rent payments, recertifications, inspections, terminations, and other aspects of HCV and public housing program operations

We plan to use the PHA Annual Plan, Admin Plan, and ACOP to supplement the information on program and policy changes provided through the MTW Supplement (for MTW agencies) and the online survey (for non-MTW agencies).¹⁷ Data collected through the PHA Annual Plan, Admin Plan, and ACOP may help inform the following process study research questions:

- Which waivers and activities did the MTW PHAs implement?
- How did the MTW PHAs use their funding flexibility?
- Which activities did non-MTW PHAs implement related to the statutory objectives?

Depending on what policy and program changes the PHAs in the study implement, we might also request additional documents from the PHAs during the course of the evaluation. These will be documents that PHAs already produce for their operations or maintain for other reasons, not new documents they would need to generate. For example, Board Reports may have information on performance metrics such as work orders and rent collection that could be useful for the cost efficiency analysis.

3.3 Primary Data Collection

To the extent possible, this evaluation relies on secondary data that PHAs are already preparing and submitting to HUD. We will use the primary data collection to clarify and expand on information provided in the secondary data sources described above and to capture qualitative information about both the experiences of MTW PHAs and the experiences of non-MTW PHAs implementing activities related to cost effectiveness, self-sufficiency, or housing choice without MTW flexibility.

The study team plans to conduct somewhat different primary data collection with MTW and non-MTW PHAs. The data collection from non-MTW PHAs is less intensive, because we have more to learn about the experiences of MTW PHAs. Also, we particularly want to minimize burden on the non-MTW PHAs that in first applying for MTW agreed to be part of the evaluation but likely will be less motivated to engage with the study team than the PHAs that received MTW designation.

Exhibit 3-6 summarizes the approach to primary data collection from the study PHAs. For the MTW PHAs, we will conduct five rounds of telephone interviews: one at baseline and one in each year of

What Is Baseline?

We assume that MTW designation could begin to have an impact as soon as PHAs receive notification of their MTW status.

Thus, the MTW *implementation period* began as soon as HUD notified PHAs that they were approved for MTW in January 2021. The study *baseline period* is the year preceding the notification (January – December 2020).

Year 1 of MTW implementation is January – December 2021, Year 2 is January – December 2022, and so on.

¹⁷ Our assumption is that Cohort 1 PHAs will include their MTW policies and procedures in their Admin Plan and ACOP, but it is possible that they will report on MTW activities only in their MTW Supplement.

MTW implementation. (See text box for the study’s definition of the baseline and implementation periods.)

For the non-MTW PHAs, we will send out three rounds online surveys: at baseline and in the second and fourth year of MTW implementation. If we learn through the survey that a non-MTW PHA is implementing program and policy changes related to one of the three MTW statutory objectives, we will interview PHA staff by telephone to collect more information on those activities.

Exhibit 3-6. Primary Data Sources for Process Study

Data Source	Purpose in Study	Timing	Used For
Baseline telephone interviews with MTW PHAs	Provides additional information on PHAs’ motivations for applying for MTW and plans for MTW	Feb - Apr 2021	Baseline Report
Annual telephone interviews with MTW PHAs	Supplements the information provided through the MTW Supplement and collects qualitative information on PHAs’ experiences with MTW	Feb – Apr 2022-2025	Annual Reports
Baseline online survey with non-MTW PHAs	Collects information on policy and program changes related to the goals of increasing cost efficiency, self-sufficiency, and housing choice	Feb - Apr 2021	Baseline Report
Baseline telephone interviews with non-MTW PHAs	As needed to supplement the information collected through the online survey (or in lieu of the survey at the PHA’s request)	Feb - Apr 2021	Baseline Report
Semi-annual online survey with non-MTW PHAs	Collects information on policy and program changes related to the goals of increasing cost efficiency, self-sufficiency, and housing choice	Feb – Apr 2023 and 2025	Annual Reports
Semi-annual telephone interviews with non-MTW PHAs	As needed to supplement the information collected through the online survey (or in lieu of the survey at the PHA’s request)	Feb – Apr 2023 and 2025	Annual Reports

The data collected through the telephone interviews and online surveys will inform most of the study’s research questions to some extent, as the data supplement the secondary data sources. However, there are a few research questions for which the primary data are the main data source:

- What programmatic or operational challenges were (MTW) PHAs seeking to address in applying for MTW? What other factors played a role in the decision to apply?
- How did the (MTW) PHAs’ activities affect PHA operations and staffing?
- How did the (MTW) PHAs’ participation in MTW affect its relations with tenants or the broader community?
- How do (MTW) PHAs describe their experiences with MTW?
- What “lessons learned” or advice do the PHAs have for other agencies seeking MTW or for new MTW PHAs?
- Which activities did non-MTW PHAs implement related to the statutory objectives?
- How did the (non-MTW) PHAs’ activities affect PHA operations and staffing?

Study team members experienced in working with PHAs will serve as PHA liaisons and conduct the telephone interviews and field the surveys for the process study. Each PHA will have a dedicated liaison for the duration of the evaluation (ideally the same Abt staff person throughout). The liaison will be the primary point of contact between the PHA and the study team and will be responsible for conducting the telephone interviews with MTW and non-MTW PHAs and ensuring a high response rate on the surveys with non-MTW PHAs.¹⁸

In addition to the telephone interviews and surveys, we expect to do a limited amount of ad hoc primary data collection in the form of telephone calls or email exchanges to help us understand the financial data that the PHAs submit to HUD. We know from past research experience working with PHA and HUD financial data that the information that PHAs report to HUD's Financial Data Schedule can be difficult to interpret. As described in Chapter 4, we will collect PHAs' financial data from HUD each year and analyze them to assess the impact of MTW on cost effectiveness. We anticipate needing to contact some PHAs with questions when we review their financial data. We do not intend to collect new financial data through these calls, but rather to understand any nuances of the data that could affect the interpretation of the cost data analysis for the impact study. Although this data collection is not technically part of the process study, the PHA liaisons will also do this ad hoc data collection, because they will have established relationships with the PHAs.

Following is a brief description of each primary data collection activity. Appendix B includes the draft interview and survey instruments.

3.3.1 Baseline Telephone Interviews with MTW PHAs

We will conduct a baseline telephone interview with each PHA in the study that receives MTW designation. We expect this to be 31 PHAs, assuming all 31 applicant PHAs in the treatment group execute the MTW ACC. We will interview each PHA's Executive Director (or designee) and up to two other staff between February and April 2021.

Instrument 1 in Appendix B presents the interview guide for the baseline interview with MTW PHAs. The baseline interview will collect more in-depth information on a PHA's motivation for applying for Cohort 1 and how its motivations may have changed between the first and second phase of the application. The interview will also ask about what the PHA plans to do with its MTW flexibility and the expected timeframe for implementation, building off the information in the PHA's MTW Plan.

3.3.2 Annual Telephone Interviews with MTW PHAs

The study team will conduct annual telephone interviews with all MTW PHAs at the start of Year 1 of MTW implementation (February-March 2022) and at the start of each subsequent year through Year 4 (February-March 2025). Before conducting the interviews, the study team will review all available secondary data sources for each PHA.

The interviews will focus on the activities and waivers reported by each PHA in the most recent MTW Supplement and its plans for the upcoming year, as well as outcomes and overall PHA

¹⁸ We will work toward a 100 percent response given that there are only 10 PHAs in the control group and that they agreed to be part of the evaluation (even if not selected) at the time of applying for Cohort 1.

experiences with MTW. We will use the same guide for both interviews, with minor adaptations (see Instrument 2 in Appendix B).

3.3.3 Online Surveys for Non-MTW PHAs

We will field a very simple online survey with all non-MTW PHAs at baseline and in years 2 and 4 of MTW implementation. We expect field the survey in approximately February 2021, 2023, and 2025. The main purpose of the survey will be to identify any program or policy changes a PHA has implemented related to cost effectiveness, self-sufficiency, or housing choice. In advance of sending out the survey, we will review the PHA's Admin Plan and ACOP (as available) for any program or policy changes. If we find such changes, we will identify them in the cover email with the survey so the PHA is aware of our interest in those areas.

Instrument 3 in Appendix B presents the baseline survey and Instrument 4 presents the semi-annual survey. We expect that PHAs will be able to complete the surveys in 30 minutes or less. We will program the survey into SurveyGizmo for maximum simplicity and user-friendliness. We will also give the PHAs the option to complete the survey on paper or by telephone if they prefer.

3.3.4 Telephone Interviews for Non-MTW PHAs

If a non-MTW PHA indicates on the online survey that it has implemented (or plans to implement) any activities related to cost effectiveness, self-sufficiency, or housing choice, we will interview the PHA by telephone to learn more about those activities. We expect to conduct the interviews shortly after the surveys, in approximately March 2021, March 2023, and March 2025. We will ask a set of questions about each activity similar to the core questions in the MTW Supplement. Notably, we will ask for:

- Which objectives (including the MTW objectives) the activity serves
- Which program(s) the activity applies to
- Which type(s) of households the activity applies to
- Whether the PHA has a hardship policy associated with the activity and data on hardship policy usage (if applicable)
- The timeframe for implementing the activity
- How the PHA implemented the activity absent MTW authority
- Expected outcomes from the activity for tenants, expected cost implications, expected effects on PHA operations and staffing, and any other expected outcomes

We will pre-populate the interview guides with information collected through the survey to minimize burden on PHA staff. Instrument 5 in Appendix B presents the telephone interview guide for the baseline interview with non-MTW PHAs and Instrument 6 presents the guide for the semi-annual interviews.

3.4 Strategies for Maintaining PHA Engagement with the Evaluation

Although all PHAs applying to Cohort 1 agreed to participate in the evaluation, PHAs will have varying levels of interest in completing the study's surveys and telephone interviews and submitting requested documents. The non-MTW PHAs may be less inclined to participate—knowing that they

did not receive MTW designation and perhaps thinking they have nothing to offer the evaluation. We could also face challenges engaging the MTW PHAs, as small PHAs tend to face a high administrative burden running their programs relative to the size of their staff, and the MTW PHAs may already feel burdened by the reporting they have to do for HUD through the MTW Supplement.

Anticipating some reluctance on the part of PHAs, we have tried to minimize the burden of the primary data collection by asking PHAs only for data that are not reported to HUD elsewhere and using the least time intensive approach—simple online surveys and telephone interviews. We also hope to incentivize PHAs’ participation by being very clear up front about what the study team will need from the PHAs and by offering something meaningful to PHAs in return: data visualizations, opportunities to comment on draft study findings, and peer learning opportunities. We will use semi-annual webinars to communicate with PHAs about the evaluation activities and to provide opportunities for PHA input and peer learning.

Strategies for PHA Engagement

- Clear communication of expectations for PHA participation
- Data visualizations
- Opportunities to comment on study findings
- Peer learning opportunities
- Semi-annual webinars

3.4.1 Clear Communication of Expectations for PHA Involvement in Evaluation Activities

As soon as the Cohort 1 application process is complete and HUD has announced the PHAs receiving MTW designation, the study team will send detailed emails to the PHAs in the treatment and control groups providing information on the overarching research design, the timeline for data collection, and what will be required of PHAs. We will provide this information in writing but also invite PHAs to join a webinar covering the same topics. We will hold separate webinars for the MTW and non-MTW PHAs, as the data collection activities are somewhat different.

These initial webinars will give PHAs an opportunity to comment on the overall research design as well as the data collection approach. The study team will use this feedback to modify the approach if needed. We will also use the initial webinars as an opportunity to ask PHAs about data visualizations they might be interested in having the study team provide and for input regarding peer learning activities that they would find useful to include in future webinars.

3.4.2 Data Visualizations

Data visualizations are creative ways of presenting data—through charts, graphs, maps, and infographics. The study team has the ability to create a variety of these to capture what the Cohort 1 PHAs are working on and what outcomes they achieve in the areas of cost effectiveness, self-sufficiency, and housing choice. We think that some type of visualizations that reflect PHAs’ progress in implementing their MTW programs could be of interest to the Cohort 1 PHAs and could help motivate their participation in the evaluation. What we show in the visualizations—and how sophisticated they are—will depend on what the PHAs would find useful as well as how far the PHAs are able to get in program implementation over the evaluation period.

At the start of data collection and annually thereafter, we will ask the PHAs what aspects of their programs or activities they would be interested in seeing visualizations for. The study team has the ability to produce visualizations using any of the data collected through the study—including data on what activities and waivers PHAs use and PIC data on tenant characteristics and outcomes. We expect PHAs to be mainly interested in charts and infographics documenting their MTW activities, but they may also be interested in other types of visualizations, such as maps showing the destinations

of port-out families or charts showing voucher success rates over time. We can create visualizations for any data collected through the study provided the sample sizes are large enough¹⁹ to preserve tenant anonymity, so we expect to be able to produce visualizations that PHAs will find valuable and that will incentivize them to participate in primary data collection.

3.4.3 Input into Draft Reports

In addition to providing visualizations that reflect PHAs’ interests, we will offer the PHAs in the study the opportunity to comment on study findings in draft form. Each year, after HUD has reviewed the initial draft of each study report but before we finalize the report, we will hold a webinar with PHAs to review and invite comment on the main study findings. We will review the content of the webinar with HUD in advance to ensure that HUD is comfortable with the material. Our expectation is that these webinars will give PHAs an opportunity to provide feedback that could influence how the study team frames the findings, which we assume that the PHAs as well as the study team would find beneficial. The webinars will be optional for PHAs in the study, as we want PHAs to view them as a benefit and not an additional burden.

3.4.4 Peer Learning Opportunities

We plan to host annual optional peer learning webinars designed to address topics of interest to small PHAs. When we ask PHAs about data visualizations they might be interested in, we will also ask about peer learning topics. From those responses, we will determine the topics for the webinars and the audience (for example, limited to MTW or non-MTW PHAs or open to both). We will develop the content for the webinars leveraging the expertise within the study team and more broadly across Abt. Depending on how the implementation goes, we could ask single PHAs or groups of PHAs to present on their policy changes. We can poll PHAs at the start of each year to learn about which topic(s) they would most be interested in and how they would like us to deliver the material.

3.4.5 Semi-Annual Webinars

Our plan for PHA engagement includes 13 webinars. We expect to conduct most of the webinars separately for treatment group and control group PHAs, but some of the webinar topics might be appropriate for both groups together. Exhibit 3-7 provides a schedule and topics for the webinars.

Exhibit 3-7. Schedule for Webinars with Study PHAs

#	Title / Study Group / Estimated Timing	Topics Covered
1	Introduction to the Evaluation and Baseline Data Collection <ul style="list-style-type: none"> Treatment Group PHAs Feb. 2021 	<ul style="list-style-type: none"> Overview of evaluation research questions, data collection activities, and schedule Introduction to the Abt study team and site liaisons Discussion of what the PHAs would like to receive regarding visualizations and peer learning
2	Introduction to the Evaluation and Baseline Data Collection <ul style="list-style-type: none"> Control Group PHAs Feb. 2021 	<ul style="list-style-type: none"> Similar content as webinar #1 but tailored to PHAs in the control group

¹⁹ We cannot release HUD PIC data describing 10 or fewer households to outside parties. We will need to discuss with HUD the extent to which we could use individual PHAs’ National Directory of New Hires data for visualizations.

#	Title / Study Group / Estimated Timing	Topics Covered
3	Review of Baseline Report <ul style="list-style-type: none"> Treatment and Control Group PHAs Aug. 2021 	<ul style="list-style-type: none"> Discussion of key findings of Baseline Report Presentation of baseline visualizations
4	Preview of Year 1 Data Collection <ul style="list-style-type: none"> Treatment Group PHAs Jan. 2022 	<ul style="list-style-type: none"> Discussion of data collection planned to document Year 1 activities and outcomes Peer learning discussion
5	Review of Year 1 Report <ul style="list-style-type: none"> Treatment and Control Group PHAs Aug. 2022 	<ul style="list-style-type: none"> Discussion of key findings of Annual Report 1 Presentation of Year 1 visualizations
6	Preview of Year 2 Data Collection <ul style="list-style-type: none"> Treatment Group PHAs Jan. 2023 	<ul style="list-style-type: none"> Discussion of data collection planned to document Year 2 activities and outcomes Peer learning discussion
7	Preview of Year 2 Data Collection <ul style="list-style-type: none"> Control Group PHAs Jan. 2023 	<ul style="list-style-type: none"> Similar content as webinar #6 but tailored to PHAs in the control group
8	Review of Year 2 Report <ul style="list-style-type: none"> Treatment and Control Group PHAs Aug. 2023 	<ul style="list-style-type: none"> Discussion of key findings of Annual Report 2 Presentation of Year 2 visualizations
9	Preview of Year 3 Data Collection <ul style="list-style-type: none"> Treatment Group PHAs Jan. 2024 	<ul style="list-style-type: none"> Discussion of data collection planned to document Year 3 activities and outcomes Peer learning discussion
10	Review of Year 3 Report <ul style="list-style-type: none"> Treatment and Control Group PHAs Aug. 2024 	<ul style="list-style-type: none"> Discussion of key findings of Annual Report 3 Presentation of Year 3 visualizations
11	Preview of Year 4 Data Collection <ul style="list-style-type: none"> Treatment Group PHAs Jan. 2025 	<ul style="list-style-type: none"> Discussion of data collection planned to document Year 4 activities and outcomes Peer learning discussion
12	Preview of Year 4 Data Collection <ul style="list-style-type: none"> Control Group PHAs Jan. 2025 	<ul style="list-style-type: none"> Similar content as webinar #11 but tailored to PHAs in the control group
13	Review of Year 4 Report <ul style="list-style-type: none"> Treatment and Control Group PHAs Aug. 2025 	<ul style="list-style-type: none"> Discussion of key findings of Annual Report 4 Presentation of Year 4 visualizations

3.5 Process Study Data Analysis Plan

The process study is a critical component of the evaluation. The policy changes and uses of funding flexibility by the MTW PHAs are likely to be diverse and nuanced. The study team needs to understand how the MTW PHAs used their MTW flexibility (and how that use compares to actions taken by non-MTW PHAs) to put impact estimates into context. The process study also provides descriptive information that may help inform policies for future MTW expansion or broader regulatory changes to the public housing and HCV programs.

3.5.1 Analysis Plan for Closed-Ended Data

Abt will capture relevant data from the Application Survey, MTW Plan, and annual MTW Supplements and record them in an Excel database for analysis. The study team will use summary

statistics and descriptive analysis to report closed-ended data on MTW activities and waivers. We will also use this information to populate the data visualizations discussed above.

Because most of the information in the Application Survey, MTW Plan, and MTW Supplements is numeric or short-answer, it will be relatively straightforward to summarize the responses across PHAs. Abt has the results of the Application Survey in Excel and has cleaned and prepared the data for analysis. Abt expects to receive copies of all MTW Plans and Supplements in electronic format and to extract the key data items into Excel for analysis.

Once we have built the analytic files, we will summarize MTW activities by:

- Primary statutory objective
- Secondary statutory objectives
- Additional PHA objectives other than the MTW statutory objectives
- PHA prioritization of MTW activities
- Year of implementation
- Status of activity (planned, ongoing, ended, discontinued)
- Type of MTW waiver
- Local, non-traditional activities
- Use of funding flexibility
- Expected impact on PHA costs or revenue
- PHA program (public housing; HCV; both; local, non-traditional)
- Household type (new admissions only, current tenants only, both)
- Special population (elderly, nonelderly disabled, homeless, other as defined by PHA)
- Hardship policies (Y/N)

Where relevant, we will present similar findings for non-MTW PHAs after analysis of the online survey and interview responses.

3.5.2 Descriptive Analysis of Qualitative Data

We will use qualitative analysis to present findings from narrative interview responses and discussions with both types of study PHAs about the policy changes they pursue (with and without MTW authority) and, for MTW-designated PHAs, how they use funding flexibility. We will draw from a structured analysis of open-ended interview and survey questions to identify patterns or themes.

We will use NVivo software to support the qualitative analysis. NVivo assists with analysis of free-form text, providing structure, objectivity, and reproducibility of findings from open-ended data collection efforts. The study team will use NVivo to analyze the open-ended interview responses and

the text responses in the MTW Plans and Supplements. We will also use NVivo to capture the relevant changes in policies and procedures as identified in PHAs’ ACOPs and Admin Plans.

The team’s qualitative analysts will start with a list of potential themes, based on our understanding of the MTW programs from the primary and secondary data collection. From past experience, we have found that too many themes within an initial coding structure can overly complicate the analysis. Starting simply, we can expand the coding structure as new themes emerge.

Exhibit 3-8 presents an initial coding scheme. The areas for NVivo analysis mirror the research questions presented in Section 3.1 but focus on aspects of the questions that are best answered qualitatively. The reports produced for the evaluation will integrate the findings from the process study and the impact study to the extent possible. Within the process study, we will also integrate the information collected from the secondary data sources on the activities and waivers implemented with the qualitative data analyzed using NVivo.

Exhibit 3-8. Research Topics/Questions and Sample Coding Domains

Topic/Question	Sample Coding Domains
What motivated PHAs to apply for MTW designation?	<ol style="list-style-type: none"> 1. Internal factors motivating application (PHA leadership interests, operational challenges facing PHA, etc.) 2. External factors motivating application (housing market changes, needs assessment, community pressure, etc.) 3. Role of tenant input 4. Expected use of waivers and funding flexibility at time of application 5. Changes in motivations over time 6. PHA concerns about applying for MTW 7. Challenges facing small PHAs
How did the MTW PHAs use their flexibility?	<ol style="list-style-type: none"> 8. PHA interpretations of statutory objectives 9. PHA objectives by activity 10. Use of funding flexibility 11. Effects on PHA 12. Effects on tenants 13. Implementation challenges 14. Use of hardship policies 15. Change in activities over time 16. Most critical aspects of MTW for meeting statutory objectives 17. Opinions of MTW / Program features perceived as challenging
Experience of non-MTW PHAs	<ol style="list-style-type: none"> 18. HUD waivers sought 19. PHA interpretation of statutory objectives 20. Effects on PHA 21. Effects on tenants 22. Implementation challenges 23. Use of hardship policies 24. Change in activities over time 25. Opinions of MTW / Interest in future cohorts

4. Impact Study

The overarching research question for the impact study is: What are the consequences of MTW flexibility for small PHAs and their tenants? Within this broad question, HUD has directed the study team to focus the analysis of MTW impact on PHAs and tenants on outcomes related to the MTW program’s statutory objectives. Thus, the main question is: **What impact does MTW designation at small PHAs have on the MTW statutory objectives of improving cost efficiency, self-sufficiency, and housing choice?** A secondary question is: How does MTW designation affect other PHA and tenant outcomes? To answer these questions, we will use experimental and quasi-experimental analysis methods, comparing the outcomes achieved by the 33 PHAs in the evaluation’s treatment group to outcomes achieved by the 10 PHAs in the control group and the 99 PHAs in the comparison group.

This chapter describes the approach to the impact study. We begin by identifying the research questions and conceptual framework guiding the impact analysis (Section 4.1), followed by a discussion of specific outcome measures for each research question (Section 4.2). We then present the analysis methods (Section 4.3). The chapter ends with a discussion of the data sources and data collection methods for the impact study (Section 4.4).

4.1 Research Questions and Conceptual Framework

The primary analysis will answer the overall question: What impact does MTW designation at small PHAs have on the MTW statutory objectives?²⁰ Within this question are three embedded questions relating to each of the three statutory objectives, as shown in Exhibit 4-1.

Exhibit 4-1. MTW Statutory Objectives and Related Research Questions for Impact Study

Statutory Objective	Research Question
1. To reduce cost and achieve greater cost effectiveness in Federal expenditures	<ul style="list-style-type: none"> What is the impact of MTW designation on PHA costs and cost effectiveness?
2. To give incentives to families with children where the head of household is working, seeking work, or is preparing for work by participating in job training, educational programs, or programs that assist people to obtain employment and become economically self-sufficient	<ul style="list-style-type: none"> What is the impact of MTW designation on households’ self-sufficiency?
3. To increase housing choices for low-income families	<ul style="list-style-type: none"> What is the impact of MTW designation on households’ housing choices?

The three statutory objectives are broad enough to lend themselves to multiple interpretations. For example, the first objective contains the distinct concepts of cost and cost efficiency. The second objective includes various ways that households could achieve self-sufficiency within the objective

²⁰ As discussed previously in the document, we already know that two PHAs assigned to the treatment group will not receive MTW designation. For these PHAs, the research question answered will be about the impact of being offered MTW designation rather than receiving MTW designation.

itself. And “housing choices” could refer to choices regarding different types of housing, housing at different levels of affordability, or housing in different locations.

Given the range of possible interpretations of the statutory objectives, the evaluation must consider multiple outcome measures. However, estimating the impact of an intervention on more than one potential outcome introduces an issue commonly referred to as the multiple comparisons problem. If enough hypotheses are tested, then it is likely that some statistically significant estimated impacts will arise only by chance.²¹

To avoid the appearance of “cherry-picking” the evaluation’s results, we will pre-specify one “confirmatory” hypothesis test for each statutory objective.²² All other hypothesis tests are “exploratory.” The confirmatory hypothesis tests provide *the best single measure* of whether MTW PHAs have achieved the statutory objective. A statistically significant finding from the confirmatory hypothesis test provides definitive evidence that MTW has a nonzero impact on that objective.

The exploratory tests provide *a more complete picture* of the potential impact of MTW on the objective. Outcomes for the exploratory hypotheses can be alternative measures of the confirmatory outcome, outcomes measured for portions of PHAs’ programs or participants served, or components of a multi-part confirmatory outcome measure. A statistically significant finding from an exploratory hypothesis test provides suggestive, but not definitive, evidence that MTW has a nonzero impact on that objective.

Exhibit 4-2 summarizes the confirmatory and exploratory outcomes for the three statutory objectives.²³ The confirmatory outcomes are the first outcome listed under each objective and are bolded in Exhibit 4-2. Following the exhibit, in Sections 4.2.1 through 4.2.3, we divide up Exhibit 4-2 and discuss how we arrived at the confirmatory and exploratory measures for each statutory objective. In Section 4.2.4, we introduce an additional set of exploratory measures for PHA and tenant outcomes not directly related to the statutory objectives but important to round out the picture of MTW impacts.

²¹ For example, if we analyze 20 outcomes and use a 5 percent statistical test, then we would expect one of those outcomes would be statistically significant by chance alone (although we would not know which one).

²² The reason for selecting just one confirmatory outcome for each set of outcomes is that testing more than one confirmatory outcome would require that we adjust our statistical tests accordingly. Adjusting for these multiple comparisons is punishing in terms of statistical power: the more outcomes, the higher the statistical bar, and therefore the larger the sample size needed to detect an effect. Given the small sample size for this study, we recommend just one confirmatory outcome per outcome domain to maximize statistical power. We do not correct exploratory hypothesis tests for multiple comparisons bias, so we can examine multiple exploratory outcomes. We use “confirmatory outcome” and “exploratory outcome” as shorthand for identifying which impact estimates we will test using a confirmatory hypothesis test and which we will be test using an exploratory hypothesis test. For each outcome, we are testing this hypothesis: What is the average impact of the offer of MTW designation on [outcome]?”

²³ In developing the measures for the impact analysis, we reviewed outcome measures used or recommended in the research literature on MTW, in Government Accountability Office reports, and in HUD reporting documents for MTW agencies. Appendix C provides a summary of the measures reviewed.

Exhibit 4-2. Confirmatory and Exploratory Outcome Measures for Impact Analysis

Statutory Objective	Outcome Measures Testing the Hypothesis “What Is the Average Impact of the Offer of MTW Designation on...?”
1. Cost effectiveness	<p>1a. Total operating and administrative expenditures per household per month</p> <p>1b. HCV and local, non-traditional programs’ administrative and tenant services expenditures per household per month</p> <p>1c. Public housing operating expenses minus utilities per household per month</p> <p>1d. HCV Housing Assistance Payment (HAP) expenditures per household per month</p> <p>1e. Local, non-traditional HAP expenditures per household per month</p>
2. Self-sufficiency	<p>2a. Average earnings of adults (aged 18-61) in nonelderly, nondisabled households over the last four quarters</p> <p>2b. Average earnings of adults in nonelderly, nondisabled households in last quarter</p> <p>2c. Average earnings of heads of nonelderly, nondisabled households in last four quarters</p> <p>2d. Percentage of adults in nonelderly, nondisabled households with any earnings in last quarter</p> <p>2e. Percentage of adults in nonelderly, nondisabled households with earnings >30% of AMI for the household size in last quarter</p> <p>2f. Percentage of adults in nonelderly, nondisabled households with zero earnings at baseline with any earnings in last quarter</p> <p>2g. Percentage of adults in nonelderly, nondisabled households with earnings at baseline and higher earnings in last quarter</p> <p>2h. Average earnings of adults in nonelderly, nondisabled households exiting housing, in most recent quarter after exit</p> <p>2i. Percentage of heads of nonelderly, nondisabled households exiting housing with earnings >30% of AMI in most recent quarter after exit</p> <p>2j. Percentage of heads of nonelderly, nondisabled households exiting housing with earnings greater than or equal to 2.5 times the local FMR in most recent quarter after exit</p>
3. Housing choice	<p>3a. Percentage of HCV households living in low-poverty census tracts</p> <p>3b. Percentage of HCV households living in a census tract with a poverty rate below the median for the PHA’s jurisdiction</p> <p>3c. Percentage of HCV households with children living in low-poverty census tracts</p> <p>3d. Percentage of HCV households with children living in a census tract with a poverty rate below the median for the PHA’s jurisdiction</p> <p>3e. Percentage of HCV households exercising portability that lease in low-poverty census tracts (relative to the original PHA)</p> <p>3f. Percentage of public housing households living in low-poverty census tracts</p> <p>3g. Percentage of public housing households with children living in low-poverty census tracts</p> <p>3h. Total number of households served through the PHA’s HCV and public housing programs in average month compared to baseline</p> <p>3i. Total number of households served through the PHA’s HCV, public housing, and (for MTW) local, non-traditional programs in average month compared to baseline</p> <p>3j. HCV unit utilization rate</p> <p>3k. HCV budget utilization rate</p> <p>3l. Public housing occupancy rate</p> <p>3m. HCV success rate (if available)</p> <p>3n. Average days between voucher issuance and lease-up (if available)</p> <p>3o. Number of unique HCV landlords per 100 vouchers</p> <p>3p. Public housing units scoring 90 or above on most recent physical inspection</p> <p>3q. Economic useful life of public housing units</p> <p>3r. Percentage of households served with a nonelderly family member with a disability</p> <p>3s. Percentage of households served with three or more minors</p> <p>3t. Percentage of households served that were homeless at the time of admission</p>

Note: Confirmatory measures appear first in each panel and are bolded.

4.2 Detailed Discussion of Outcome Measures

This section provides a detailed discussion of the confirmatory and exploratory outcome measures summarized in Exhibit 4-2 above corresponding to each statutory objective. Appendix D provides the detailed specifications for the three confirmatory outcome measures.

4.2.1 What Is the Impact of MTW Designation on PHA Cost and Cost Effectiveness?

The MTW statutory objective related to cost effectiveness is “to reduce cost and achieve greater cost effectiveness in Federal expenditures” (1996 Act). For purposes of this evaluation, we use PHA expenditures on the housing programs included in MTW—public housing; HCV (excluding special voucher programs); and local, non-traditional (LNT) programs—to capture “Federal expenditures.” We focus on PHA expenditures per unit per month, rather than annual funding provided by HUD, because MTW gives PHAs flexibility in how and when they spend the funding they receive. What matters most for the cost effectiveness objective is whether MTW PHAs are able to provide a similar level of housing assistance at a lower cost than non-MTW PHAs are—a question best evaluated by comparing PHA expenditures per month and per household assisted.

Exhibit 4-3 (same as the top panel of Exhibit 4-2) presents the confirmatory and exploratory outcome measures for testing the impact of MTW on cost effectiveness. The confirmatory measure is the *total operating and administrative expenditures per household per month* (measure 1a). The numerator for this measure is the PHA’s annual expenditures on HCV administrative services and HAP, plus the PHA’s annual public housing operating expenses. The denominator is the total number of unit months leased for the PHA’s HCV and public housing programs. The data source for both the numerator and the denominator is the annual PHA income statement in HUD’s FDS.²⁴ When MTW PHAs report to the FDS, they report expenditures for their MTW HCV programs and LNT programs (if they have them) in the same column, so it is not possible to separate HCV and LNT expenditures when using FDS data. Despite this shortcoming, we selected the FDS as the data source for the confirmatory measure because it is the only dataset that provides consistent data on PHA expenditures and unit months leased across HUD programs.

Exhibit 4-3. Outcome Measures for Statutory Objective 1: Cost Effectiveness

Category	Measure
Confirmatory	1a. Total operating and administrative expenditures per household per month
Exploratory	1b. HCV and local, non-traditional programs’ administrative and tenant services expenditures per household per month
	1c. Public housing operating expenses minus utilities per household per month
	1d. HCV Housing Assistance Payment (HAP) expenditures per household per month
	1e. Local, non-traditional HAP expenditures per household per month

We identified four exploratory outcome measures for the cost effectiveness objective. These exploratory measures capture the component parts of the confirmatory measure. Exploratory measures 1b and 1c use data from the FDS, whereas measures 1d and 1e use data from HUD’s VMS. HUD instructs MTW PHAs to report HAP expenses for HCV and LNT programs separately in VMS,

²⁴ See Appendix D for more specification detail. We plan to compare the counts of unit months leased reported in the FDS to those reported in HUD’s VMS and PIC. In the event that the counts in the different data sources are inconsistent, we will ask the PHA for clarification.

so we hope to be able to compare (in our exploratory analyses) the per unit per month HCV and LNT HAP expenses across MTW PHAs, as well as the per unit per month HCV HAP expenses between MTW and non-MTW PHAs.

For any MTW PHA that implements an LNT program, we will review the MTW Supplement and interview PHA staff to understand the type and level of subsidy provided through the LNT program. LNT activities could include shallow subsidies that do not compare to the assistance provided in the traditional programs, which could bias the cost per household downward relative to traditional PHAs if the PHA is providing shallow subsidies to a large number of households. LNT activities could also include housing assistance plus services, which could bias the cost estimate upwards. We don't know at this point in the study the extent to which small MTW PHAs will undertake LNT activities or what form the activities will take. The process study will answer these questions, and we will use this information to help interpret the cost measures that include LNT activities.

All the cost measures will need to control for differences in rental housing costs and labor costs that affect a PHA's cost structure but are largely outside its control. We will control for differences in local rental costs by calculating the median rent in the PHA's service area using data from the American Community Survey (ACS). We will control for differences in local labor costs by calculating the average wage rate of local government employees in the PHA's county using data from the Bureau of Labor Statistics (BLS). We will report unadjusted cost estimates in the appendix to our report.

4.2.2 What Is the Impact of MTW Designation on Households' Self-Sufficiency?

The MTW statutory objective related to self-sufficiency is: "to give incentives to families with children where the head of household is working, seeking work, or is preparing for work by participating in job training, educational programs, or programs that assist people to obtain employment and become economically self-sufficient" (1996 Act). For purposes of this evaluation, in keeping with our understanding of the MTW waivers designed to encourage employment and earnings, our analysis will focus on self-sufficiency outcomes among adults in nonelderly, nondisabled households. We define adults as individuals aged 18-61. Nonelderly nondisabled households are households where neither the head of household nor the spouse or co-head is aged 62 or older or has a disability.

Exhibit 4-4 presents the confirmatory and exploratory outcome measures for testing the impact of MTW on self-sufficiency. All of the measures focus on *earnings*, not income, assets, or human capital measures. We chose to limit the analysis to earnings because work is the main goal of the statutory objective, and earnings growth is the main pathway for nonelderly, nondisabled adults to become economically self-sufficient. In addition, reliable administrative data do not exist for capturing the extent to which households living in HUD-assisted households are searching for work or participating in job training or education.²⁵

²⁵ The HUD Form 50058 collects some information on education and training needs of families participating in the Family Self-Sufficiency (FSS) program, but not all assisted households will be in the FSS program and the data collected do not provide information on the type or intensity of the training provided.

The data source for earnings is the National Directory of New Hires (NDNH), which provides quarterly wage information on individual employees from state workforce agency and federal agency records. HUD will request person-level NDNH data for all nonelderly, nondisabled adults served by the PHAs in the study’s treatment, control, and comparison groups.

Exhibit 4-4. Outcome Measures for Statutory Objective 2: Self-Sufficiency

Category	Measure
Confirmatory	2a. Average earnings of adults (aged 18-61) in nonelderly, nondisabled households over the last four quarters
Exploratory	2b. Average earnings of adults in nonelderly, nondisabled households in last quarter 2c. Average earnings of heads of nonelderly, nondisabled households in last four quarters 2d. Percentage of adults in nonelderly, nondisabled households with any earnings in last quarter 2e. Percentage of adults in nonelderly, nondisabled households with earnings >30% of AMI for the household size in last quarter 2f. Percentage of adults in nonelderly, nondisabled households with zero earnings at baseline with any earnings in last quarter 2g. Percentage of adults in nonelderly, nondisabled households with earnings at baseline and higher earnings in last quarter 2h. Average earnings of adults in nonelderly, nondisabled households exiting housing, in most recent quarter after exit 2i. Percentage of heads of nonelderly, nondisabled households exiting housing with earnings >30% of AMI in most recent quarter after exit 2j. Percentage of heads of nonelderly, nondisabled households exiting housing with earnings greater than or equal to 2.5 times the local FMR in most recent quarter after exit

Assuming that we will not be able to combine the person-level NDNH data into households,²⁶ the confirmatory outcome measure for the self-sufficiency objective (measure 2a) is the *average earnings of adults in nonelderly, nondisabled households over the last four quarters*, defined as all individuals aged 18-61 and not flagged in households flagged in HUD’s PIC data as an elderly or disabled household.²⁷ The primary route to self-sufficiency for nonelderly, nondisabled households is through increased earnings among adults in the household, and this measure summarizes the changes in earnings across all households whether they started with zero earnings or substantial earnings. Examining the earnings of all adults (as opposed to just the head of household) allows us to capture the earnings of other household members beyond the household head, which could be important if the person designated as the head of household is not the main breadwinner or if a PHA’s policies encourage another adult member of the household (other than the head) to seek employment.

The timeframe for the confirmatory measure is the last four quarters of earnings. We will use the last four quarters of NDNH available at the start of the analysis period for each report. Capturing average earnings across the last four quarters (i.e., a full year) rather than in the most recent quarter shortens the window for observing change between baseline and the point of analysis, but mitigates against any volatility in earnings over the course of the year. However, as an exploratory measure we will

²⁶ HUD will request permission to include a household identifier in the NDNH data request that allows us to combine the person-level NDNH data into households. If we are able to combine individual data into households, we will amend Exhibit 4-4 to make all of the measures at the household level.

²⁷ See Appendix D for a description of the calculation.

also examine average earnings of adults over the last quarter, which provides the most recent earnings data, if only for one quarter (measure 2b). We will also explore the average earnings of heads of household over the last four quarters (measure 2c).

We also chose two exploratory measures that use thresholds for earnings: the percentage of adults with any earnings (measure 2d) and the percentage of adults with earnings greater than 30 percent of AMI (measure 2e). We chose any earnings to capture employment regardless of amount of work, and we chose earnings and 30 percent of AMI to determine whether any adult's earnings moved them above the income level that HUD requires non-MTW PHAs to target for assistance.

We will also explore the percentage of adults with zero earnings at baseline but positive earnings in the last quarter (measure 2f) and the percentage of nonelderly, nondisabled adults with positive (nonzero) earnings at baseline but higher earnings in the last quarter (measure 2g). These measures will help us understand whether MTW is affecting unemployed or employed people more and distinguish whether one of these groups is driving impacts.

The last three exploratory measures (measures 2h through 2j) apply to people who have exited assistance by the year covered by the report. The first measure (2h) is simply the average earnings of adults in the most recent quarter after they exited housing assistance. One might expect that a self-sufficiency initiative would result in a higher share of adults exiting housing with earnings. For the final two “exiter” measures (2i and 2j), the unit of analysis is heads of household, not all individual adults. The reason is that these two measures compare the tenant's earnings at the time of exit to a threshold—30 percent of AMI for measure 2i and 2.5 times the local FMR for measure 2j. These thresholds are most appropriate to compare to the earnings of the household as a whole, not earnings of each individual in the household. However, if household-level data are not available, the earnings of the household head (who, in most cases we assume, is the main breadwinner of the household) is the next best option.

Ideally, we would calculate measures 2i and 2j using total income, not just income from earnings. The 2.5 times the local FMR measure is based on the idea that a household with this level of income would be able to rent housing at the FMR without paying more than 40 percent of their income for rent.²⁸ To be consistent with the way the tenant share of rent is calculated in housing assistance programs, we would prefer to evaluate the affordability of private market housing using total household income rather than the earnings of the head of household. However, we anticipate that the quarterly earnings data we obtain from NDNH will provide a much better indicator of the income of those exiting housing than PIC data on total income will, as PHAs may not have collected information on the household's income at or near the time of exit. In conducting these analyses, we will conduct sensitivity analyses estimating total household income relative to earnings of the

²⁸ For example, if the local FMR is \$750 per month, a person earning 2.5 times the FMR earns \$1,875 per month. The monthly rent of \$750 is equal to 40 percent of \$1,875.

household head.²⁹ We may also explore alternative thresholds against which to compare earnings at exit.

4.2.3 What Is the Impact of MTW Designation on Households' Housing Choice?

The next set of outcome measures are for the statutory objective to “increase housing choices for low-income families” (1996 Act). The statutory language does not define housing choices further, and our review of the literature indicates that MTW PHAs have interpreted the objective very broadly. Khadduri et al. (2014) found that MTW PHAs have implemented three main types of activities under the objective of increasing housing choice: activities to increase access to opportunity neighborhoods; activities to increase the supply of quality affordable housing; and activities to assist hard-to-house or underserved households. Because these are quite different goals with different associated outcome measures, we will examine outcomes within three different facets of housing choice, as follows, asking:

- What is the impact of MTW designation on households' access to opportunity neighborhoods?
- What is the impact of MTW designation on the supply of quality affordable housing?
- What is the impact of MTW designation on housing assistance for hard-to-house populations?

Because each of these facets of housing choice is distinct and covers its own aspect of housing choice, we designate a separate exploratory outcome for each. However, we only designate one *confirmatory* outcome for the housing choice statutory objective. The confirmatory outcome is in the “access to opportunity neighborhoods” area, which we judged was the primary focus of this MTW objective.

Below we discuss the outcome measures separately for each of the three areas of housing choice.

Access to Opportunity Neighborhoods

In reviewing potential measures related to increasing access to opportunity neighborhoods, we took into consideration (a) the extent to which variables and indices are grounded in empirical evidence, (b) the ability to measure variables on a uniform basis, given the unit of geography we are examining and the geographic diversity of MTW agencies, and (c) the policy purpose of assessing PHAs' use of MTW waivers to increase access to opportunity neighborhoods.

Among the many indicators and indices of neighborhood opportunity identified in our review, measures based on neighborhood poverty rate are the most promising because of their demonstrated causal links with opportunity and the ready availability of poverty data. Neighborhood poverty rates are linked to adult economic outcomes (Chetty et al., 2016) as well as physical and mental health outcomes (Sanbonmatsu et al., 2011; Moulton et al., 2014). In addition to poverty rate, we considered measures related to school proficiency, because there is causal evidence that school quality affects

²⁹ For example, we could use PIC data to estimate a prediction model for the proportion of household income that is from the household head's earnings, and then use this proportion along with household head earnings to impute household income.

children’s developmental outcomes (Angrist et al., 2012; Cheng et al., 2015; Chetty et al., 2011). Because poverty rate is readily accessible, updated frequently, and correlated with school proficiency, it is a better measure than school proficiency for this evaluation.³⁰ We also considered composite neighborhood quality indices such as those created for Abt’s Small Area Fair Market Rent (SAFMR) Demonstration Evaluation *Final Report* (Dastrup et al., 2018) and the Center for Budget and Policy Priorities’s paper on family housing voucher use (Mazzara & Knudsen, 2019). However, these composite measures have not yet been well evaluated, and they are less transparent than single-indicator measures.

The confirmatory measure for the access to opportunity sub-domain (and the only confirmatory measure for the housing choice objective) is the *percentage of HCV households living in low-poverty census tracts* (Exhibit 4-5, measure 3a). For this study, we define a low-poverty census tract as a census tract where the poverty rate is in the lowest quartile of poverty rates within the PHA’s jurisdiction or where the poverty rate is in the lowest quartile of poverty rates for the United States as a whole.³¹

Exhibit 4-5. Outcome Measures for Statutory Objective 3: Housing Choice–Access to Opportunity Neighborhoods

Category	Measure
Confirmatory	3a. Percentage of HCV households living in low-poverty census tracts^a
Exploratory	3b. Percentage of HCV households living in a census tract with a poverty rate below the median for the PHA’s jurisdiction 3c. Percentage of HCV households with children living in low-poverty census tracts 3d. Percentage of HCV households with children living in a census tract with a poverty rate below the median for the PHA’s jurisdiction 3e. Percentage of HCV households exercising portability that lease in low-poverty census tracts (relative to the original PHA) 3f. Percentage of public housing households living in low-poverty census tracts 3g. Percentage of public housing households with children living in low-poverty census tracts

Notes:

^a low-poverty census tract is one that is either in the lowest quartile of poverty rates for the PHA’s jurisdiction or in the lowest quartile of poverty rates for the United States as a whole.

The portion of the confirmatory measure that relates to the poverty distribution in the PHA’s jurisdiction reflects that PHAs primarily can influence where voucher holders locate within their jurisdiction. The relative component of the measure views as a desirable outcome shifting the distribution of households toward living in lower-poverty neighborhoods within the PHA’s jurisdiction, even if those lower-poverty neighborhoods have higher poverty rates than other parts of the country. The component of the confirmatory measure that relates to the poverty distribution in the United States as a whole reflects that some PHA jurisdictions consist mainly of low-poverty neighborhoods, and movement to the areas of lowest quartile of poverty in that jurisdiction would not produce meaningful differences in opportunity from other low-poverty neighborhoods in the

³⁰ The main data source for school proficiency is HUD’s School Proficiency Index, last updated in 2013-14.

³¹ See Appendix D for more detail on how the measure is calculated. Appendix D also proposes a method for defining PHA jurisdictions using PIC data, as there is no administrative data source that contains the geographic boundaries of PHA service areas.

jurisdiction. We also have an exploratory measure that covers a broader range of neighborhoods but still indicates that the HCV households are living in a relatively low poverty neighborhood: percentage of HCV households living in census tracts with poverty rate below the median of poverty rates for the PHA's jurisdiction (measure 3b).

Although the confirmatory analysis is for all HCV households, exploratory measures 3c and 3d focus on households with children. The research literature suggests that children are the main beneficiaries of moves to higher-opportunity neighborhoods, so it is important to consider whether households with children are more or less likely than households overall to move to low-poverty census tracts.

One limitation with the confirmatory measure is that households who port out of the PHA's jurisdiction are not part of the calculation, so this measure may understate access to opportunity for PHAs with high port-out rates to higher opportunity neighborhoods. Thus, we will examine, as an exploratory measure (measure 3e), the percentage of HCV households porting out to low-poverty census tracts relative to the sending PHA's jurisdiction.³² We will also examine the percentage of public housing households (overall and with children) living in low-poverty neighborhoods (measures 3f and 3g). Although public housing locations are immobile, PHAs can influence the income mix of their public housing developments and manage their development to make living in the neighborhood more desirable, both of which could affect the neighborhood poverty rate. PHAs also could indirectly influence neighborhood poverty rates through neighborhood revitalization activities with partners and by encouraging local government investments.

Supply of Quality Affordable Housing

A second way of expanding housing choice is by increasing the number of housing units available and affordable for the population served by the PHA. This could include MTW agencies being able to provide assistance to more households, preventing decreases in supply through preservation of units at risk of becoming unaffordable, development activities that help create new affordable units, or efforts to increase the number of landlords accepting vouchers. In identifying primary measures related to the supply of housing, we prioritized those that can be calculated from HUD administrative data and that we could apply across multiple types of activities MTW agencies may undertake to increase the supply of quality, affordable housing.

Exhibit 4-6 shows the outcome measures, all of which are exploratory, for testing the impact of MTW on the supply of quality, affordable housing. They are a combination of counts of the number of households served in the voucher and public housing programs compared to baseline and utilization or occupancy rates that measure the number of households served by program type against the PHA's normal (non-MTW) capacity for that program.

³² For this measure, a low-poverty census tract is one that is either in the lowest quartile of poverty rates for the original (sending) PHA's jurisdiction or in the lowest quartile of poverty rates for the United States as a whole.

Exhibit 4-6. Outcome Measures for Statutory Objective 3: Housing Choice—Supply of Quality, Affordable Housing

Category	Measure
Exploratory	3h. Total number of households served through the PHA’s HCV and public housing programs in average month compared to baseline 3i. Total number of households served through the PHA’s HCV, public housing, and (for MTW) local, non-traditional programs in average month compared to baseline 3j. HCV unit utilization rate 3k. HCV budget utilization rate 3l. Public housing occupancy rate 3m. HCV success rate (if available) 3n. Average days between voucher issuance and lease-up (if available) 3o. Number of unique HCV landlords per 100 vouchers 3p. Public housing units scoring 90 or above on most recent physical inspection 3q. Economic useful life of public housing units

The first measure in Exhibit 4-6 (measure 3h) is the combined number of HCV and public housing households served in an average month. When assessed on a trend basis, percentage growth in the number of households served would reflect the overall change in housing supply provided directly by PHA programs net of the movement between the programs allowed by MTW flexibility.

Measure 3i is the total households served by public housing and HCV programs as well as by LNT programs compared to baseline. A limitation of the measure is that no standard method currently exists for calculating LNT households served using a unit-months method comparable to the measure used for HCV and public housing on the basis of administrative data. We will use the information from the process study to convert the LNT households served to unit-month measures and document the calculations. We will also examine HCV unit utilization, HCV budget utilization, and public housing occupancy rates (measures 3j, 3k, 3l). They are commonly used performance measures (Buron et al., 2017; GAO, 2018) and provide a standardized, cross-PHA comparable measure of the quantity of households served relative to capacity—that is, the resources (units or budget) available.

We will also analyze three measures that capture how readily voucher households can lease housing—the HCV success rate (measure 3m), the average number of days between voucher issuance and lease-up (measure 3n), and the number of unique HCV landlords per household (measure 3o). The landlord measure is reliably available from PIC, but it is not clear that administrative data are available for the other two measures. The Family 50058 form and HUD-50058-MTW Expansion Family Report that non-MTW and MTW PHAs use to report data to HUD contain the fields needed to calculate the voucher success rate and the days between voucher issuance and lease-up, but the study team needs to consult further with HUD to determine whether these data elements are well populated.

The last two exploratory measures in Exhibit 4-6 relate to public housing. Measure 3p is the percentage of public housing units in developments scoring 90 or above on their most recent HUD inspection, which captures the quality of a PHA’s public housing. Measure 3q measures PHAs’ investment in public housing using the concept of economic useful life and data from HUD’s FDS. The economic useful life of a public housing development is 100 percent minus the accumulated

depreciation for the development divided by the gross cost of assets for the development.³³ The result of the ratio is a percentage. The higher the percentage the greater the economic useful life is remaining at the development. If a PHA’s investments extend the economic useful life of its public housing, it could be evidence of preserving the supply of affordable housing. One limitation is that economic useful life is not the same as actual useful life. That is, a household could continue to live in a unit deemed to have no economic useful life. Also, if assessed over time, we may need to adjust this indicator to take into consideration public housing repositioning activity, such as Rental Assistance Demonstration conversions. Disposal or demolition of old public housing units would be reflected as an improvement in this indicator, so we may need to make adjustments to reduce the sensitivity of this measure to large-scale disposal or demolition activities where new investment is not involved.

Housing Assistance for Hard-to-House Populations

We identified three exploratory measures for assessing how MTW agencies are using their flexibility to assist hard-to-house households (Exhibit 4-7). The first two measures track the percentage of households served that have a nonelderly family member with a disability (measure 3r) and the percentage of households served that have three or more minors (measure 3s). The third exploratory measure (3t) is the percentage of households served that were homeless at entry, based on question 4c in the Family 50058 form (the “homeless at admission” field). This data source is not ideal, as a survey of PHAs conducted by Abt (described in Khadduri et al., 2014) found that the homeless at admission field is often not verified or well maintained. It is possible this field may be better maintained if PHAs have implemented a homelessness preference or provide coordination for local homelessness services.

Exhibit 4-7. Outcome Measures for Statutory Objective 3: Housing Choice–Hard-to-House Populations

Category	Measure
Exploratory	3r. Percentage of households served that have a nonelderly family member with a disability 3s. Percentage of households served that have three or more minors 3t. Percentage of households served that were homeless at the time of admission

³³ PHAs report the accumulated depreciation and gross cost of assets, by public housing development, in the FDS.

4.2.4 What Is the Impact of MTW Designation on Other PHA and Tenant Outcomes?

To round out the picture of how PHAs used their MTW designation, we will analyze whether and how MTW designation affects aspects of PHA programs and operations not directly related to the statutory objectives. The analysis will be exploratory, focusing on the following topics:

- Income level of admitted households
- Number and type of households served
- Rent burden of assisted households
- Length of stay in assisted housing

Exhibit 4-8 lists the outcome measures. Measure 1 captures the impact of MTW designation on the percentage of extremely low-income households admitted to the PHA’s HCV and public housing programs. Measures 2 through 5 relate to how MTW designation could affect the number or type of households served in the PHA’s HCV and public housing programs. Measures 6 through 8 capture different dimensions of the potential impact of MTW designation on the rent burden of assisted households. Measures 9 and 10 capture the length of stay in and rate of exits from assisted housing, and measure 11 captures the potential impact of MTW on portability. Measure 12 (reasons for ending participation over the past 12 months) is available only for MTW PHAs. Thus, our analysis of measure 12 is restricted to the MTW PHAs only and will not have an impact component.

Exhibit 4-8. Outcome Measures for Other PHA and Tenant Outcomes

Category	Measure
Exploratory	<ol style="list-style-type: none"> 1. Proportion of newly admitted households with income at or below the greater of 30% of Area Median Income or the federal poverty level (overall and by program^a) 2. Number of households served in MTW-eligible programs (overall and by program) 3. Percentage of households with at least one child aged <18 (overall and by program) 4. Percentage of households whose head of household, spouse, or co-head is aged 62+ (overall and by program) 5. Percentage of households whose head of household, spouse, or co-head is aged <62 and has a disability (overall and by program) 6. Average rent burden of assisted households (overall, by program, by household type^b) 7. Percentage of assisted households with rent burden above 30% (overall, by program, by household type) 8. Percentage of assisted households with rent burden above 40% (overall, by program, by household type) 9. Average number of months since date of admission (overall, by program, by household type) 10. Percentage of households ending participation in past 12 months (overall and by program) 11. Percentage of port outs (absorbed and not absorbed) in past 12 months 12. Reasons for ending participation in past 12 months (overall and by program)^c

Notes:

^a “By program” means separate analysis by HCV, public housing, and LNT program.

^b “By household type” means separate analysis by households with children, households headed by a person aged 62+, and households headed by a person aged <62 with a disability.

^c For the MTW PHAs, HUD will collect data on the reasons for ending participation via the HUD-50058-MTW Expansion Family Report (item 2w). HUD does not currently collect reasons for ending participation for non-MTW PHAs.

4.3 Analysis Methods

Our analysis measures the impact of MTW by comparing average outcomes for MTW PHAs (treatment group) to non-MTW PHAs in the study’s control and comparison groups, using experimental and quasi-experimental methods.

4.3.1 RCT Analysis—Treatment versus Control Group

The primary analysis focuses on the RCT sample, comparing outcomes for PHAs assigned to the treatment group to those for PHAs assigned to the control group. Instead of simply comparing average outcomes in the treatment and control groups, we will use linear regression to increase statistical power by controlling for baseline characteristics and to account for the stratification in the random assignment design. Appendix E describes the linear regression equations we will use to estimate outcomes at the PHA level (for cost effectiveness) and at the household level (for self-sufficiency and housing choice).

With estimates obtained from the linear regression, we will report average treatment effects and regression-adjusted means for the treatment and control groups for each outcome. Exhibit 4-9 illustrates how we will report these treatment effects, by providing a sample table shell for the impacts on one outcome domain.

Exhibit 4-9. Example Impacts on Self-Sufficiency on Nonelderly, Nondisabled Households

Outcome	Treatment Group Mean	Control Group Mean	Difference (Impact)	(Standard Error)	p-Value
Confirmatory					
Earnings in the last four quarters	NN.N	NN.N	NN.N***/**/*	(NN.N)	.NNN
Exploratory					
Earnings of heads of household in last quarter	\$N,NNN	\$N,NNN	\$N,NNN***/**/*	(N,NNN)	.NNN
Employed (has earnings) in last quarter	NN.N	NN.N	NN.N***/**/*	(NN.N)	.NNN
Exiters from housing assistance with earnings equivalent to 2.5 times the local FMR	NN.N	NN.N	NN.N***/**/*	(NN.N)	.NNN

Source: National Directory of New Hires wage data [date of extracts], HUD administrative data.

Notes: Treatment group sample size is 33 PHAs with [###] households. Control group sample size is 10 PHAs with [###] households. Means are regression-adjusted for baseline covariates. ***/**/* indicates a p-value for a two-tailed hypothesis test of less than .01, .05, and .10, respectively.

The analysis of average treatment effects illustrated in Exhibit 4-9 has 33 PHAs in the treatment group and 10 PHAs in the control group, reflecting the random assignment of PHAs done in November 2019. At the time of the finalization of the research design, we already know that two of the PHAs offered to apply for MTW designation chose not to submit an application to HUD. It is also possible that additional PHAs among the 31 applicants may not complete the full process required for MTW designation. While we do not know the total number of PHAs that will be in this no show category, we will keep all 33 PHAs offered MTW designation in the treatment group for the main experimental analysis because we will not know which control PHAs would have followed this path

had they been offered MTW designation. It is also possible that some of the PHAs assigned to the control group will seek MTW designation under one of the other cohorts of the MTW expansion. These crossover PHAs also will remain in the control group for our analysis to maintain the integrity (i.e., ability to make causal inferences) of the evaluation design.³⁴

In an experimental impact analysis, when there are treatment group no shows or control group crossovers, comparing the mean outcomes of the treatment and control groups is labeled an “intention-to-treat” (ITT) analysis. Statistically significant differences in average outcomes between the two groups provide causal evidence of the impact of *being offered* MTW designation in Cohort 1, not necessarily *receiving* MTW designation. Because we anticipate some no show or crossover, we expect the main experimental analysis for the study to be an ITT analysis.

Examining the “treatment-on-the-treated” (TOT) impact—that is, the impact of actually *receiving* MTW designation—is possible, given some assumptions, but really only feasible with sufficient sample size. For this study, we only have 10 PHAs in the control and no way of predicting which PHAs would have been no shows had they been assigned to the treatment group. Thus, any statements that we make regarding the impact of receiving MTW designation (TOT impact) will need caveats. Essentially, we would have to say that we cannot say with certainty that the observed differences are the result of MTW, because other factors (outside of random assignment) affected whether PHAs received MTW designation. For this reason, we will conduct TOT analysis with the RCT sample (for example, by estimating the local average treatment effect—that is, dividing the impact estimates by the proportion of the treatment group that received MTW designation).

4.3.2 QED Analysis—Treatment versus Matched Comparison Group

Chapter 2 described the motivation for the supplemental quasi-experimental design sample and described how we matched each treatment PHA to three comparison PHAs based on observable baseline characteristics. To analyze impacts on the full QED sample or within subgroups of the QED sample, we will include the treatment PHAs (as identified by the subgroup of interest) and their corresponding comparison PHAs. We will use linear regressions similar to those presented in Appendix E for estimating PHA-level and household-level outcomes, except that for the QED we will include one additional set of covariates: fixed effects for each matched set of PHAs. We will report impact estimates and regression-adjusted treatment and comparison group means as illustrated in Exhibit 4-9 above.

One of the main purposes of including the QED in the evaluation design is to permit analysis for subgroups of PHAs—for example, comparing self-sufficiency outcomes for the subset of treatment group PHAs that implement self-sufficiency initiatives versus those of their peers in the matched comparison group. We will consider all subgroup analyses to be exploratory, so we will not correct for the increased chance of false positive results arising from the multiple hypothesis tests. Given the exploratory nature of the subgroup analysis, and that we know so little at this stage about how PHAs

³⁴ The strength of the experimental research design comes from the assurance that the PHAs in the treatment and control groups are similar to one another in all respects except for their access to MTW designation. This assurance comes from random assignment and disappears when other factors influence the composition of the two groups.

will use their MTW flexibility, we will not formally pre-specify the subgroups to explore. However, we expect to analyze outcomes for the following subgroups:

- PHAs that receive MTW designation (assuming that not all PHAs in the treatment group receive designation)
- PHAs operating HCV-only programs
- PHAs that conduct a common set of activities related to one or more MTW objective

When using subgroup analysis to test for significant differences in impact estimates between two groups, we will estimate a regression similar to the equation for full sample effects, but with the inclusion of the subgroup indicator, as detailed in Appendix E.

4.3.3 Comparing RCT and QED Findings

Our reports will present the RCT estimates as the strongest evidence of MTW impact because the RCT design provides the greatest assurance that treatment and control group differences are attributable to MTW. However, the control group sample of 10 PHAs is small, limiting the extent to which evaluation results are applicable to PHAs outside those in the study. With 99 PHAs, the QED sample provides broader applicability and a greater likelihood of detecting impact.

We can use the QED findings to assess the robustness of the RCT results. If the QED and RCT results are similar³⁵ for at least two out of the three confirmatory hypothesis tests of impacts corresponding to the statutory objectives, then we will conclude that the RCT estimate is generalizable despite the failure to find statistically significant impacts for the RCT estimates. In addition, we will conclude that the QED comparison sample is a valid comparison group to use for conducting subgroup analyses for the two (or more) research questions for which the QED and RCT had similar impact estimates on confirmatory outcomes.³⁶

4.4 Data Sources and Data Collection Methods

The impact study will rely exclusively on administrative data sources and mainly on data available for both MTW and non-MTW PHAs. The main data sources are:

- Inventory Management System/PIH Information Center (PIC)
- Financial Data Schedule (FDS)
- Voucher Management System (VMS) and HUDCAPS
- MTW Supplements

³⁵ One test of similarity is whether 80 percent of the confidence interval for a QED impact estimate is contained in the confidence interval for the corresponding RCT impact estimate. For more discussion of comparing RCT and QED estimates, see Lalonde (1986), Dehejia and Wahba (1999), and Smith and Todd (2005).

³⁶ Cook et al. (2008) examine 12 situations where experiments and observational studies produce comparable causal estimates, which inspire our methods for evaluating the comparability of the RCT and QED groups.

- Real Estate Assessment Center (REAC) public housing physical inspection scores
- National Directory of New Hires (NDNH)
- American Community Survey (ACS)
- Bureau of Labor Statistics (BLS) Quarterly Census of Employment and Wages

In this section, we describe each data source, how we intend to use it in the evaluation, and our plan for requesting and collecting the data.

4.4.1 Inventory Management System/PIH Information Center (PIC)

HUD's PIC system stores the tenant-level data that PHAs submit through the form HUD-50058. PIC data are the key data source for individual- and household-level data, including tenant demographics, type and level of assistance, geographic location, and entry and exit from housing assistance. HUD PD&R maintains quarterly extracts of PIC data. We will request from HUD a full extract of PIC data (all variables) at the end of each calendar year, 2020-2024, to coincide with the analysis period for the Baseline and Annual Reports. We will also request quarterly extracts of tenant identifiers for the purpose of reserving and obtaining NDNH data (discussed further below).

4.4.2 Financial Data Schedule (FDS) and Other Financial Data

HUD's FDS dataset provides balance sheet and income statement information for PHAs on a PHA fiscal year basis. We will request FDS data annually at the start of the data collection period. We will convert the data from PHA fiscal year to calendar year using a weighted average of the two fiscal years that overlap each calendar year.

We expect that the FDS dataset will be our main data source for the analysis of HUD funding and PHA costs, but we may request data from HUD's Energy and Performance Information Center (EPIC) system and eLOCCS (drawdown/obligations of Capital Funds) for additional information on PHAs' use of Capital Fund Program (CFP) funds. We may also request PHA operating subsidy data that HUD collects outside of the FDS. We will evaluate the need for these additional data sources as we review PHAs' financial data for the Baseline Report.

4.4.3 Voucher Management System (VMS) and HUDCAPS

VMS provides monthly data on HCV leasing, HAP expenses, administrative expenses, HAP and administrative fee reserves, and portability. HUDCAPS data provides the number of authorized vouchers that the PHA may lease in any given year and provides the PHA's HAP budget authority, as well as the administrative fees provided. VMS and HUDCAPS will be our main data sources for measures related to HCV budget and unit utilization and for tracking changes over time in HCV HAP and administrative costs. VMS data are publicly available, posted to HUD's website on a quarterly basis,³⁷ so we will download those data each quarter. We will work with HUD PD&R to obtain HUDCAPS data annually at the start of the data collection period for each report.

4.4.4 MTW Supplements

We will request that HUD provide us with approved MTW Supplements on a rolling basis for the MTW PHAs. We will use the MTW Supplement to identify and categorize each PHA's MTW activities, which will allow us to define subgroups of PHAs based on their MTW activities. We will

³⁷ Available at https://www.hud.gov/program_offices/public_indian_housing/programs/hcv/psd.

also use the MTW Supplements to help define subgroups of MTW PHAs that implement particular activities and for counts of local, non-traditional households served.³⁸

4.4.5 REAC Public Housing Physical Inspection Scores

HUD's REAC conducts physical property inspections of public housing developments on a risk-adjusted schedule, with frequency ranging from annually to once every three years. REAC publishes property-level inspection scores on an annual basis on its website,³⁹ so we will download those data each year. We understand that REAC may also produce average physical inspection scores for a PHA as a whole. We will work with HUD PD&R to obtain those PHA-level scores (if available) on an annual basis.

4.4.6 National Directory of New Hires (NDNH)

We will use NDNH data as the primary source of information on tenants' employment and earnings. NDNH data has several advantages over the wage information that PHAs report to PIC for the purposes of this evaluation. The major advantage is that NDNH data contain actual earnings for all workers as reported by employers and updated on a quarterly basis, whereas the income data in PIC are projected earnings for a 12-month period and (depending on PHA policy) may not be updated every year. Another important advantage is that we can continue to track the earnings of tenants after they leave HUD assistance, allowing us to assess whether those exiting the PHA's programs have sufficient income to afford housing on the private market.

The Office of Child Support Enforcement (OCSE) of the U.S. Department at Health and Human Services maintains the NDNH data and makes de-identified data available for research purposes. For this study, HUD will enter into a Memorandum of Understanding (MOU) with OCSE to obtain quarterly, de-identified wage files for all nonelderly, nondisabled adult tenants served by the PHAs in the study. We will request three NDNH data files with employment and wage data—the New Hire File, the Quarterly Wage File, and the Unemployment Insurance File. Exhibit 4-10 summarizes the data provided in those files.

³⁸ We also expect counts of LNT households to be available in the PIC data, but the MTW Supplements will be a point of comparison for whether PHAs are using the LNT flag in the PIC.

³⁹ Available at https://www.hud.gov/program_offices/public_indian_housing/reac/products/prodpass/phscores.

Exhibit 4-10. NDNH Data Files

Data File	Description	Data Elements
New Hire File	Contains information on all newly hired employees, as reported by employers	<ul style="list-style-type: none"> Employee date of hire State where employee lives State where employer is located
Quarterly Wage File	Contains quarterly wage information on individual employees from state workforce agency and federal agency records	<ul style="list-style-type: none"> State where employer is located Employee wage amount Calendar quarter when wages were paid
Unemployment Insurance (UI) File	Contains UI information on individuals who received or applied for unemployment benefits, as reported by state workforce agencies	<ul style="list-style-type: none"> State where UI claimant is located UI benefit amount Calendar quarter when the UI claim was filed

Once a final MOU is in place, HUD (with Abt’s assistance) will send match files to OCSE twice a year in March and June. These match files will contain the name and Social Security number of every adult in the NDNH study sample. From quarter to quarter, we will add to the match files all adults admitted to the study PHAs’ programs and also retain those “ever served,” as we will continue to track their earnings even if they stop receiving housing assistance.

We will submit the first file to OCSE in March 2020. The file will contain all adults served as of December 2020. OCSE retains earnings records for the eight most recent quarters. If we submit the first match file by March 2020, we will have access to two years of baseline earnings data, which gives us a solid history of earnings data from which to analyze the employment history of the research sample.

Following the submission of each match file, OCSE will return wage files to HUD with pseudo-identifiers replacing the identifiers in the match file. Then, in advance of each of the study’s reports, Abt will prepare pass-through files that include key characteristics for each person in the NDNH study sample, such as their PHA, program type, household size, and age. The pass-through files will be submitted to OCSE in February each year to allow time for approval so it can be used for analysis in late March. The characteristics we include in the pass-through file dictate how we will be able to analyze the wage data, as we can link the wage data to the pass-through file (using the pseudo-identifiers OCSE provides) but cannot link the wage data to the original PIC data or any other files that might allow the wage data to be re-identified. It is therefore critical to have an exhaustive list of pass-through variables to permit all potential analyses. Appendix F provides the list of variables we expect to include in the pass-through file.

Exhibit 4-11 presents the expected schedule for requesting wage files from OCSE to analyze for the study’s reports. The study team will time the NDNH requests to permit analysis of as much NDNH data as possible for each report, understanding that the NDNH data are available only on a quarterly basis and there is about a five-month lag between the end of a given quarter and when the data become available for analysis. Because of this lag, we are doing two extracts per year: the March extract will have three-quarters of NDNH data from the prior year and will be reported in the draft report and the June extract will be used to update the final report to cover the entire prior calendar year.

Exhibit 4-11. Expected Schedule for NDNH Wage Data Requests

NDNH Data Requested	Latest Earnings Data Available	Used For
March 2020	Quarter ending September 30, 2020	Baseline Report
June 2020	Quarter ending December 31, 2020	Baseline Report
March 2021	Quarter ending September 30, 2021	Annual Report 1
June 2021	Quarter ending December 31, 2021	Annual Report 1
March 2022	Quarter ending September 30, 2022	Annual Report 2
June 2022	Quarter ending December 31, 2022	Annual Report 2
March 2023	Quarter ending September 30, 2023	Annual Report 3
June 2023	Quarter ending December 31, 2023	Annual Report 3
March 2024	Quarter ending September 30, 2024	Annual Report 4
June 2024	Quarter ending December 31, 2024	Annual Report 4

4.4.7 American Community Survey (ACS) and Bureau of Labor Statistics (BLS)

We expect to use the most recent available ACS five-year estimates (currently 2013-2017) to characterize the jurisdictions of the PHAs in the study as well as the poverty rate of the census tracts where tenants live. We will also use ACS data and data from the BLS Quarterly Census of Employment and Wages to control for local housing and labor market characteristics that affect PHA costs and are largely outside the PHA's control. From the ACS, we will calculate a population-weighted median rent for each PHA's jurisdiction that we will use to control for the difference in local housing rental costs. From the BLS, we will use the average wage of local government employees in the county where the PHA's headquarters is located to control for the difference in local labor costs.

5. Reports and Data Deliverables

The Cohort 1 evaluation will produce five reports—a Baseline Report and Annual Reports covering the first four years of MTW implementation. Data documentation produced as part of this study will allow HUD to continue or reproduce the evaluation’s analyses in the future.

5.1 Baseline Report

The Baseline Report covers the period from when the Cohort 1 PHAs began applying for MTW status in October 2018 through when the 31 treatment PHAs submitted the second part of their MTW application in December 2020. The Baseline Report will:

- Analyze the motivations of PHAs in applying for Cohort 1
- Describe the PHA, tenant, and community characteristics of the treatment, control, and comparison group PHAs at baseline
- Assess the balance between treatment and control/comparison groups
- Describe how the PHAs awarded MTW designation expect to use their flexibility

Exhibit 5-1 summarizes the topics we expect to address in the Baseline Report.

Exhibit 5-1. Baseline Report Topics

<p>Motivations for Applying for Cohort 1</p> <ul style="list-style-type: none"> • Statutory objectives most important to PHAs at time of initial application • MTW waivers PHAs intended to pursue at time of initial application (to extent specified) • How PHAs expected to use MTW funding flexibility (to extent specified) • How PHA motivations changed and plans became more specific between the Application Survey and the second step of the application
<p>Baseline Characteristics of Study PHAs and Tenants</p> <ul style="list-style-type: none"> • Tenant characteristics (age, household size, disability, income, sources of income, race/ethnicity, etc.) • PHA program characteristics (program types offered and size of each program, characteristics of public housing developments, voucher payment standards, program utilization and occupancy rates, size of PHA jurisdiction, etc.) • PHA costs per unit (from administrative data) • PHA staffing (from Application Survey) • Characteristics of the communities where PHAs are located (e.g., rent level, poverty rate, homeownership rate, unemployment rate, etc.)
<p>Research Sample Balance and External Validity</p> <ul style="list-style-type: none"> • Description of how study team selected the comparison group • Assessment of balance in PHA, tenant, and community characteristics: treatment group compared to the control group, and treatment group compared to the comparison group • Comparison of PHA, tenant, and community characteristics of the study PHAs (treatment, control, and comparison groups) versus the characteristics of all small PHAs
<p>How MTW PHAs Plan to Use MTW Flexibility</p> <ul style="list-style-type: none"> • PHA vision and goals for MTW • Challenges PHAs seek to address

- Intended use of MTW waiver flexibility
- Plans for local, non-traditional activities
- Plans for using funding flexibility
- Expected timeline for implementation
- Plans for partnerships or new funding sources

The data sources for the Baseline Report are the Application Survey, the MTW Plans, telephone interviews with MTW PHAs, online surveys and telephone interviews with non-MTW PHAs, HUD administrative data, and (if possible) NDNH data. The main data collection and analysis for the Baseline Report will take place between February and April 2021. We expect to submit the draft report to HUD in June 2021.

5.2 Annual Reports

The evaluation will produce four Annual Reports. The reports will draw on all the primary and secondary data collected for the evaluation, including MTW Supplements, HUD administrative data, NDNH data, telephone interviews with MTW PHAs, and online surveys and telephone interviews with non-MTW PHAs.

5.2.1 Annual Report 1

Annual Report 1 will focus mainly on start-up and early implementation of MTW activities. It will cover the first year after MTW designation (January to December 2021). We do not expect MTW activities to have been in place long enough to have affected PHA or tenant outcomes in the first year after a PHA receives MTW designation, so Annual Report 1 will focus on program start-up and implementation activities. However, the report will provide updated data related to the process study’s PHA and tenant outcomes, being clear that readers should not draw conclusions about the success or lack of success of MTW from these data. Exhibit 5-2 presents the expected topics for Annual Report 1.

Exhibit 5-2. Annual Report 1 Topics

Activities and Waivers Implemented
<ul style="list-style-type: none"> • MTW activities and waivers implemented to date • Local, non-traditional activities to date • Uses of funding MTW flexibility • Activities undertaken by non-MTW PHAs
Implementation Experiences
<ul style="list-style-type: none"> • Factors affecting PHA decisions on how to use MTW flexibility • Experiences and challenges with program implementation • Effects of MTW activities on PHA operations, staffing, and relations with tenants and stakeholders
Outcomes in First 12 Months Since Baseline^a
<ul style="list-style-type: none"> • Outcomes related to PHA cost efficiency • Outcomes related to self-sufficiency • Outcomes related to housing choice • Other PHA and tenant outcomes (e.g., mix of households served and rent burden)

Notes:

^a This section may become an appendix to the report if few PHAs have implemented MTW activities.

Annual Report 1 will draw on all secondary data sources available as of January 2022 and PHA interviews and surveys conducted in approximately February and March 2022. We expect to submit the draft report to HUD in approximately June 2022.

5.2.2 Annual Report 2

Annual Report 2 will cover the second year of MTW implementation period (January to December 2022). The report will analyze the activities implemented to date and PHA and tenant outcomes and impacts. Depending where the PHAs are in program implementation, Annual Report 2 may also include preliminary impact estimates, focusing on the study’s confirmatory outcomes. Exhibit 5-3 lists the expected topics for Annual Report 2.

Exhibit 5-3. Annual Report 2 Topics

Activities and Waivers Implemented
<ul style="list-style-type: none"> • MTW activities and waivers implemented to date • Local, non-traditional activities to date • Uses of funding MTW flexibility • Activities undertaken by non-MTW PHAs • Identification of subgroups pursuing similar MTW objectives
Implementation Experiences and Lessons Learned
<ul style="list-style-type: none"> • Factors affecting PHA decisions on how to use MTW flexibility • Experiences and challenges with program implementation • Effects of MTW activities on PHA operations, staffing, and relations with tenants and stakeholders • PHA perceptions on the value of MTW • Lessons for other small PHAs or PHAs applying for MTW
Outcomes in Past 12 Months and Cumulative From Baseline
<ul style="list-style-type: none"> • Confirmatory outcomes related PHA cost efficiency; self-sufficiency; and housing choice • Other PHA and tenant outcomes (e.g., mix of households served and rent burden) • Assessment of outcomes in the context of process study findings on MTW implementation to date
Impact of MTW Designation on PHA and Tenant Outcomes to Date
<ul style="list-style-type: none"> • Impact on PHA cost efficiency, self-sufficiency, and housing choice (treatment group vs. control and comparison group) • Assessment of impacts in context of process study findings contrast between activities undertaken by MTW PHAs versus PHAs in the control group

Annual Report 2 will draw on all secondary data sources available as of January 2023 and PHA interviews and surveys conducted in approximately February and March 2023. We expect to submit the draft report to HUD in approximately June 2023.

5.2.3 Annual Report 3

Annual Report 3 will cover the third year of MTW implementation period (January to December 2023). Annual Report 3 will cover all the same topics as Annual Report 2, but will also include analysis of the study’s exploratory outcome measures and subgroup analysis. These additions are shown in bold in Exhibit 5-4.

Exhibit 5-4. Annual Report 3 Topics

<p>Activities and Waivers Implemented</p> <ul style="list-style-type: none"> • MTW activities and waivers implemented to date • Local, non-traditional activities to date • Uses of funding MTW flexibility • Activities undertaken by non-MTW PHAs • Identification of subgroups pursuing similar MTW objectives
<p>Implementation Experiences and Lessons Learned</p> <ul style="list-style-type: none"> • Factors affecting PHA decisions on how to use MTW flexibility • Experiences and challenges with program implementation • Effects of MTW activities on PHA operations, staffing, and relations with tenants and stakeholders • PHA perceptions on the value of MTW • Lessons for other small PHAs or PHAs applying for MTW
<p>Outcomes in Past 12 Months and Cumulative From Baseline</p> <ul style="list-style-type: none"> • Confirmatory outcomes related PHA cost efficiency; self-sufficiency; and housing choice • Exploratory outcomes related PHA cost efficiency; self-sufficiency; and housing choice • Subgroup and subsample analyses of outcomes • Assessment of outcomes in the context of process study findings on MTW implementation to date
<p>Impact of MTW Designation on PHA and Tenant Outcomes to Date</p> <ul style="list-style-type: none"> • Impact on PHA cost efficiency, self-sufficiency, and housing choice (treatment group vs. control and comparison group) • Subgroup and subsample impacts • Assessment of impacts in context of process study findings contrast between activities undertaken by MTW PHAs versus PHAs in the control group
<p>Conclusions and Policy Implications</p> <ul style="list-style-type: none"> • What did we learn about how small PHAs use their MTW flexibility? • What did we learn about the consequences of MTW flexibility for small PHAs and their tenants? • What are the key benefits of MTW for small PHAs? • Is there any evidence that MTW negatively affects housing supply, affordability, or choice? • Are there flexibilities from MTW that HUD should consider offering to all PHAs?

Annual Report 3 will draw on all secondary data sources available as of January 2024 and PHA interviews and surveys conducted in approximately February and March 2024. We expect to submit the draft report to HUD in approximately June 2024.

5.2.4 Annual Report 4

Annual Report 4 will cover the fourth year of MTW implementation period (January to December 2024). Annual Report 4 will cover all the same topics as Annual Report 3, but will include a final section on policy implications, as shown in bold in Exhibit 5-5.

Exhibit 5-5. Annual Report 4 Topics

Activities and Waivers Implemented
<ul style="list-style-type: none"> • MTW activities and waivers implemented to date • Local, non-traditional activities to date • Uses of funding MTW flexibility • Activities undertaken by non-MTW PHAs • Identification of subgroups pursuing similar MTW objectives
Implementation Experiences and Lessons Learned
<ul style="list-style-type: none"> • Factors affecting PHA decisions on how to use MTW flexibility • Experiences and challenges with program implementation • Effects of MTW activities on PHA operations, staffing, and relations with tenants and stakeholders • PHA perceptions on the value of MTW • Lessons for other small PHAs or PHAs applying for MTW
Outcomes in Past 12 Months and Cumulative From Baseline
<ul style="list-style-type: none"> • Confirmatory outcomes related PHA cost efficiency; self-sufficiency; and housing choice • Exploratory outcomes related PHA cost efficiency; self-sufficiency; and housing choice • Subgroup and subsample analyses of outcomes • Assessment of outcomes in the context of process study findings on MTW implementation to date
Impact of MTW Designation on PHA and Tenant Outcomes to Date
<ul style="list-style-type: none"> • Impact on PHA cost efficiency, self-sufficiency, and housing choice (treatment group vs. control and comparison group) • Subgroup and subsample impacts • Assessment of impacts in context of process study findings contrast between activities undertaken by MTW PHAs versus PHAs in the control group
Conclusions and Policy Implications
<ul style="list-style-type: none"> • What did we learn about how small PHAs use their MTW flexibility? • What did we learn about the consequences of MTW flexibility for small PHAs and their tenants? • What are the key benefits of MTW for small PHAs? • Is there any evidence that MTW negatively affects housing supply, affordability, or choice? • Are there flexibilities from MTW that HUD should consider offering to all PHAs?

Annual Report 4 will draw on all secondary data sources available as of January 2025 and PHA interviews and surveys conducted in approximately February and March 2025. We expect to submit the draft report to HUD in approximately June 2025.

5.3 Data Documentation

At the end of the evaluation contract, we will provide HUD with the analytic datasets and programs used to develop the Baseline Report and the Annual Reports. Exhibit 5-6 summarizes the datasets and programs that we will provide to HUD. We will also create a narrative summary to accompany the data documentation that explains each data file and associated documents. Absent from Exhibit 5-4 are the files created from the primary data collection with PHAs—telephone interviews and online surveys. In our experience, respondents are more candid if we can assure them that we will not be

sharing their individual responses with HUD, so it is our preference not to do so. However, if HUD would like to have the qualitative dataset to be able to replicate our qualitative analyses, we can discuss how we might accomplish that while ensuring that PHAs provide high-quality information. For example, after analysis is complete, we can purge the interview data of identifiers.

Exhibit 5-6. Data Documentation

Study Deliverable	Datasets	Programming Code	Documentation
Baseline Report			
Application Survey	Analysis dataset (SAS)	SAS code for creating analysis file; SAS code for analyses in report	Data dictionary
MTW Plans	Workbook with information extracted from MTW Plans (Excel)	N/A	Narrative of data extraction process
HUD administrative data (PIC, VMS, FDS, REAC)	Analysis dataset(s) (SAS)	SAS code for creating analysis files; SAS code for analyses in report	Data dictionaries
ACS and BLS data	Analysis dataset (SAS)	SAS code for analyses in report	Data dictionary
Annual Reports			
MTW Supplements	Workbook with information extracted from the MTW Supplements (Excel)	N/A	Narrative of data extraction process
HUD administrative data (PIC, VMS, FDS, REAC)	Analysis dataset(s) (SAS)	SAS code for creating analysis files; SAS code for analyses in report	Data dictionaries
ACS and BLS data	Analysis dataset (SAS)	SAS code for analyses in report	Data dictionary
NDNH data^a	Quarterly match files (Excel); Annual pass-through files (Excel)	SAS code for creating match files; SAS code for creating pass-through files; SAS code for analyses in report	Data dictionary

Notes:

^a We have not listed the NDNH wage files, as HUD receives those directly from OCSE and Abt staff work with those files on HUD's servers.

Appendix A. Additional Detail on Secondary Data Sources

MTW Application Survey (also known as Baseline Survey)

This is the Moving to Work (MTW) Expansion Cohort 1 Baseline Survey. This survey must be completed as part of the PHA's application to participate in cohort 1 of the MTW Expansion. After you complete the survey and submit your responses, the system will notify you and confirm to HUD that the survey was completed. The survey should take about 45 minutes to complete.

Responses to the baseline survey will be used in the evaluation of the MTW expansion.

The Moving to Work (MTW) demonstration was established under Section 204 of the Omnibus Consolidated Rescissions and Appropriations Act of 1996 to provide statutory and regulatory flexibility to participating public housing agencies (PHAs) under three statutory objectives:

1. To reduce cost and achieve greater cost effectiveness in Federal expenditures
2. To give incentives to families with children whose heads of household are either working, seeking work, or are participating in job training, educational or other programs that assist in obtaining employment and becoming economically self-sufficient
3. To increase housing choices for low-income families.

The 2016 MTW Expansion Statute (Section 239 of the Fiscal Year 2016 Appropriations Act, P.L. 114-113) requires that the MTW Expansion PHAs be added to the MTW Demonstration Program in cohorts that will test specific policy changes. The statute further requires that each cohort must be rigorously evaluated. The Baseline Survey will help us complete the rigorous evaluation of cohort 1. For more information about the MTW Expansion, go to this webpage:

https://www.hud.gov/program_offices/public_indian_housing/programs/ph/mtw/expansion

The information gathered in the survey will not be used in the determination of whether or not a PHA is awarded MTW status. The Baseline Survey will allow HUD to collect consistent data from all applicant PHAs that will establish basic information about the current operations of each applicant PHA and gather information about the PHA's motivation to join the MTW demonstration. As explained in the Selection Notice (available at <https://www.hud.gov/mtw>), PHAs applying to participate in cohort 1 of the MTW Expansion will be screened for eligibility by the U.S. Department of Housing & Urban Development (HUD). All eligible applicant PHAs will have an equal chance to be selected into the MTW demonstration.

The survey allows you to exit and return to complete the survey later without losing your work. After submitting the survey (which is only possible to do from the last page), however, you will not be able to return to it to view responses or to make changes. If you erroneously submit a survey, contact mtw-info@hud.gov to get the problem fixed.

When you have completed the survey fully and are ready to submit your responses, click on the "SUBMIT RESPONSES NOW" button. Your survey responses will be captured and the fact that you have completed the survey will be recorded automatically by the computer system. You should receive an email confirming that you have completed the survey. Completing the survey is a required part of your application to participate in the MTW expansion, so please make sure that you have received your survey completion confirmation well in advance of the application deadline. Any questions regarding the survey should be directed to mtw-info@hud.gov.

INSTRUCTIONS TO APPLICANTS: Please provide the best information that you can in response to each question. Please consult other members of your organization as needed to provide the most accurate information possible. *Responses to the survey are not binding; the survey is designed simply to capture the perspectives of the PHA in regard to the motivation to apply to be a part of cohort 1 of the MTW Expansion.*

PART 1: Respondent Information

This part of the survey collects some basic information about your PHA, so that we can follow-up to resolve inconsistencies if necessary.

PHA Identification

Please fill in your PHA code. The system will then find the PHA name and acronym. Please make sure the PHA name is correct before continuing with the survey. If you are not sure what your PHA Code is, you can look for it here:

https://www.hud.gov/program_offices/public_indian_housing/pha/contacts. You may also send an inquiry to mtw-info@hud.gov.

1. What is your PHA Code?
PHA Code: _____

PART 2: PHA Motivation for MTW Participation

This section of the survey seeks information about the motivations for applying for MTW status and the kinds of things that [PHA] might do if granted MTW status. *Responses to the survey are not binding; the survey is designed simply to capture the perspectives of the PHA in regard to the motivation to apply to be a part of cohort 1 of the MTW Expansion.*

PHA Programs

1. Please indicate which programs [PHA] has.
 - [PHA] has a HOUSING CHOICE VOUCHER program
 - [PHA] has a PUBLIC HOUSING program

Importance of Each Statutory Objective

MTW's three statutory objectives are:

- (1) To reduce cost and achieve greater cost effectiveness in Federal expenditures
- (2) To give incentives to families with children whose heads of household are either working, seeking work, or are participating in job training, educational or other programs that assist in obtaining employment and becoming economically self-sufficient
- (3) To increase housing choices for low-income families.

2. Please assess how important each of these objectives is as a motivation for [PHA] to participate in the MTW Expansion. Please indicate importance along the following scale: Very Important, Important, Moderately Important, Slightly Important, or Not Important.

Cost effectiveness	<input type="radio"/> Very important	<input type="radio"/> Important	<input type="radio"/> Moderately important	<input type="radio"/> Slightly important	<input type="radio"/> Not important
Promoting self-sufficiency	<input type="radio"/> Very important	<input type="radio"/> Important	<input type="radio"/> Moderately important	<input type="radio"/> Slightly important	<input type="radio"/> Not important
Increasing housing choice	<input type="radio"/> Very important	<input type="radio"/> Important	<input type="radio"/> Moderately important	<input type="radio"/> Slightly important	<input type="radio"/> Not important

Waivers for the HOUSING CHOICE VOUCHER Program

We would like to know which waivers [PHA] intends to use in the HOUSING CHOICE VOUCHER (HCV) program if selected to join the MTW expansion. The waivers and associated activities allowed for MTW expansion agencies are detailed in Appendix A of the MTW Expansion Operations Notice, which can be found [here](#). Please note that the waivers and activities listed in this survey are from the version of the Operations Notice published for 30-day comment and are subject to change upon the final publication of the Operations Notice.

The first set of questions addresses [PHA’s] intention to use each waiver in the HCV program, and the second set of questions asks you to rank the identified waivers in order of importance to [PHA].

3. For the HCV program, please check the box which best [PHA’s] intent to use each waiver. If the housing authority plans to use the waiver, choose “Yes.” If it does NOT plan to use the waiver, choose “No.” If it is considering using the waiver but has not decided, please choose “Maybe.”

You must indicate a current intention for each waiver listed before you can advance to the next screen.

Please remember, YOUR RESPONSES ARE NOT BINDING IN ANY WAY—The survey is just trying to measure motives for applying to participate in the MTW expansion.

Waiver	Does the PHA plan to use the waiver?		
Tenant Rent Policies	<input type="radio"/> Yes	<input type="radio"/> No	<input type="radio"/> Maybe
Payment Standards and Rent Reasonableness	<input type="radio"/> Yes	<input type="radio"/> No	<input type="radio"/> Maybe
Increase Rent to Owner	<input type="radio"/> Yes	<input type="radio"/> No	<input type="radio"/> Maybe
Reexaminations	<input type="radio"/> Yes	<input type="radio"/> No	<input type="radio"/> Maybe
Tenant Rent Policies	<input type="radio"/> Yes	<input type="radio"/> No	<input type="radio"/> Maybe
Payment Standards and Rent Reasonableness	<input type="radio"/> Yes	<input type="radio"/> No	<input type="radio"/> Maybe
Increase Rent to Owner	<input type="radio"/> Yes	<input type="radio"/> No	<input type="radio"/> Maybe
Reexaminations	<input type="radio"/> Yes	<input type="radio"/> No	<input type="radio"/> Maybe
Voucher Leasing Incentives	<input type="radio"/> Yes	<input type="radio"/> No	<input type="radio"/> Maybe
Short-Term Assistance	<input type="radio"/> Yes	<input type="radio"/> No	<input type="radio"/> Maybe
Term-Limited Assistance	<input type="radio"/> Yes	<input type="radio"/> No	<input type="radio"/> Maybe
Work Requirements	<input type="radio"/> Yes	<input type="radio"/> No	<input type="radio"/> Maybe
Increase Elderly Age	<input type="radio"/> Yes	<input type="radio"/> No	<input type="radio"/> Maybe
Increase Total PBV Cap	<input type="radio"/> Yes	<input type="radio"/> No	<input type="radio"/> Maybe

Waiver	Does the PHA plan to use the waiver?		
Increase PBV Development Cap	<input type="radio"/> Yes	<input type="radio"/> No	<input type="radio"/> Maybe
PBV – Elimination of Competitive Process	<input type="radio"/> Yes	<input type="radio"/> No	<input type="radio"/> Maybe
PBV – Alternate Competitive Process	<input type="radio"/> Yes	<input type="radio"/> No	<input type="radio"/> Maybe
PBV – Unit Types – Shared Housing	<input type="radio"/> Yes	<input type="radio"/> No	<input type="radio"/> Maybe
MTW Self-Sufficiency Program	<input type="radio"/> Yes	<input type="radio"/> No	<input type="radio"/> Maybe

Intent to Request Other Waivers for the HOUSING CHOICE VOUCHER program

4. Does [PHA] intend to request one or more waivers for its HCV program that is not included in the above list (which is the same as the list found in Appendix A of the Operations Notice)?

Does PHA plan to request other HCV waivers?	<input type="radio"/> Yes	<input type="radio"/> No	<input type="radio"/> Maybe
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5. Please describe each waiver that would or might be requested for the HCV program and the reason for requesting that particular waiver. Each planned other waiver needs to have a separate entry with its own short name.

PHA fills this out for each “other” waiver if answered “yes” or “maybe” to Question 4

Please name the first planned other waiver for the HCV program.	[name]
Please describe this waiver and the reasons for requesting it.	[description]

Please name the second planned other waiver for the HCV program.	[name]
Please describe this waiver and the reasons for requesting it.	[description]

Ranking the Importance of Waivers for the HOUSING CHOICE VOUCHER Program

6. It looks like [PHA] intends to use or might be considering using the waivers listed in the table below in its HOUSING CHOICE VOUCHER program. Please tell us which of the waivers are the “top three” waivers that are most important for motivating [PHA’s] participation in the MTW expansion.

PHA fills this out for any waivers identified in Question 3 or 5

Waiver	Is this a “top 3” waiver?
Tenant Rent Policies	<input type="radio"/> Yes <input type="radio"/> No
Payment Standards and Rent Reasonableness	<input type="radio"/> Yes <input type="radio"/> No
Increase Rent to Owner	<input type="radio"/> Yes <input type="radio"/> No
Reexaminations	<input type="radio"/> Yes <input type="radio"/> No
Tenant Rent Policies	<input type="radio"/> Yes <input type="radio"/> No
Payment Standards and Rent Reasonableness	<input type="radio"/> Yes <input type="radio"/> No
Increase Rent to Owner	<input type="radio"/> Yes <input type="radio"/> No
Reexaminations	<input type="radio"/> Yes <input type="radio"/> No
Voucher Leasing Incentives	<input type="radio"/> Yes <input type="radio"/> No
Short-Term Assistance	<input type="radio"/> Yes <input type="radio"/> No
Term-Limited Assistance	<input type="radio"/> Yes <input type="radio"/> No
Work Requirements	<input type="radio"/> Yes <input type="radio"/> No
Increase Elderly Age	<input type="radio"/> Yes <input type="radio"/> No
Increase Total PBV Cap	<input type="radio"/> Yes <input type="radio"/> No

Waiver	Is this a “top 3” waiver?
Increase PBV Development Cap	<input type="radio"/> Yes <input type="radio"/> No
PBV – Elimination of Competitive Process	<input type="radio"/> Yes <input type="radio"/> No
PBV – Alternate Competitive Process	<input type="radio"/> Yes <input type="radio"/> No
PBV – Unit Types – Shared Housing	<input type="radio"/> Yes <input type="radio"/> No
MTW Self-Sufficiency Program	<input type="radio"/> Yes <input type="radio"/> No
Other HCV waiver	<input type="radio"/> Yes <input type="radio"/> No

7. It looks like the waivers listed below are most important to [PHA’s] interest in joining the MTW expansion. We would like to know the relative importance of these waivers. Please rank them in order of importance from “1” to “3” where “1” is most important. Only ranks 1, 2, or 3 are allowed and the rank field is required.

PHA fills this out for any waivers identified as “top three” in Question 6

Waiver	Rank (1, 2, or 3)
Tenant Rent Policies	[number]
Payment Standards and Rent Reasonableness	[number]
Increase Rent to Owner	[number]
Reexaminations	[number]
Tenant Rent Policies	[number]
Payment Standards and Rent Reasonableness	[number]
Increase Rent to Owner	[number]
Reexaminations	[number]
Voucher Leasing Incentives	[number]
Short-Term Assistance	[number]
Term-Limited Assistance	[number]
Work Requirements	[number]
Increase Elderly Age	[number]
Increase Total PBV Cap	[number]
Increase PBV Development Cap	[number]
PBV – Elimination of Competitive Process	[number]
PBV – Alternate Competitive Process	[number]
PBV – Unit Types – Shared Housing	[number]
MTW Self-Sufficiency Program	[number]
Other HCV waiver	[number]

8. In the table below, the activities allowed under each of [PHA’s] “top 3” waivers are listed. Please indicate whether or not [PHA] is thinking of implementing that type of activity and which statutory objectives would be served by that activity. If you selected a waiver that only has one activity, the table below will be pre-populated with the response that you gave for the Waiver (i.e., with yes or maybe). If you selected a waiver that has more than one activity, you must choose “yes” for at least one activity. If you choose “no” for an activity, the system will automatically fill in “no” for each of the possible statutory objectives.

Below is a sample table including all allowable activities for HCV waivers.

PHA fills this out only for any waivers ranked 1, 2, or 3 in Question 7

HCV Waiver	Activities Allowed	Does the PHA plan to implement this activity?	Which statutory objective would be served by implementing each activity?	
Tenant Rent Policy	Income Bands	<input type="radio"/> Yes <input type="radio"/> No	Cost effectiveness:	<input type="radio"/> Yes <input type="radio"/> No
			Self-sufficiency:	<input type="radio"/> Yes <input type="radio"/> No
			Housing choice:	<input type="radio"/> Yes <input type="radio"/> No
Tenant Rent Policy	Stepped Rent	<input type="radio"/> Yes <input type="radio"/> No	Cost effectiveness:	<input type="radio"/> Yes <input type="radio"/> No
			Self-sufficiency:	<input type="radio"/> Yes <input type="radio"/> No
			Housing choice:	<input type="radio"/> Yes <input type="radio"/> No
Tenant Rent Policy	Minimum Rent	<input type="radio"/> Yes <input type="radio"/> No	Cost effectiveness:	<input type="radio"/> Yes <input type="radio"/> No
			Self-sufficiency:	<input type="radio"/> Yes <input type="radio"/> No
			Housing choice:	<input type="radio"/> Yes <input type="radio"/> No
Tenant Rent Policy	Total Tenant Payment as a Percentage of Gross Income	<input type="radio"/> Yes <input type="radio"/> No	Cost effectiveness:	<input type="radio"/> Yes <input type="radio"/> No
			Self-sufficiency:	<input type="radio"/> Yes <input type="radio"/> No
			Housing choice:	<input type="radio"/> Yes <input type="radio"/> No
Tenant Rent Policy	Alternate Utility Allowance	<input type="radio"/> Yes <input type="radio"/> No	Cost effectiveness:	<input type="radio"/> Yes <input type="radio"/> No
			Self-sufficiency:	<input type="radio"/> Yes <input type="radio"/> No
			Housing choice:	<input type="radio"/> Yes <input type="radio"/> No
Tenant Rent Policy	Fixed Subsidy	<input type="radio"/> Yes <input type="radio"/> No	Cost effectiveness:	<input type="radio"/> Yes <input type="radio"/> No
			Self-sufficiency:	<input type="radio"/> Yes <input type="radio"/> No
			Housing choice:	<input type="radio"/> Yes <input type="radio"/> No
Tenant Rent Policy	Utility reimbursements	<input type="radio"/> Yes <input type="radio"/> No	Cost effectiveness:	<input type="radio"/> Yes <input type="radio"/> No
			Self-sufficiency:	<input type="radio"/> Yes <input type="radio"/> No
			Housing choice:	<input type="radio"/> Yes <input type="radio"/> No
Tenant Rent Policy	Initial Rent Burden	<input type="radio"/> Yes <input type="radio"/> No	Cost effectiveness:	<input type="radio"/> Yes <input type="radio"/> No
			Self-sufficiency:	<input type="radio"/> Yes <input type="radio"/> No
			Housing choice:	<input type="radio"/> Yes <input type="radio"/> No
Tenant Rent Policy	Imputed Income	<input type="radio"/> Yes <input type="radio"/> No	Cost effectiveness:	<input type="radio"/> Yes <input type="radio"/> No
			Self-sufficiency:	<input type="radio"/> Yes <input type="radio"/> No
			Housing choice:	<input type="radio"/> Yes <input type="radio"/> No
Tenant Rent Policy	Elimination of Deduction(s)	<input type="radio"/> Yes <input type="radio"/> No	Cost effectiveness:	<input type="radio"/> Yes <input type="radio"/> No
			Self-sufficiency:	<input type="radio"/> Yes <input type="radio"/> No
			Housing choice:	<input type="radio"/> Yes <input type="radio"/> No
Tenant Rent Policy	Standard Deductions	<input type="radio"/> Yes <input type="radio"/> No	Cost effectiveness:	<input type="radio"/> Yes <input type="radio"/> No
			Self-sufficiency:	<input type="radio"/> Yes <input type="radio"/> No
			Housing choice:	<input type="radio"/> Yes <input type="radio"/> No
Tenant Rent Policy	Alternate Income Inclusions/Exclusions	<input type="radio"/> Yes <input type="radio"/> No	Cost effectiveness:	<input type="radio"/> Yes <input type="radio"/> No
			Self-sufficiency:	<input type="radio"/> Yes <input type="radio"/> No
			Housing choice:	<input type="radio"/> Yes <input type="radio"/> No

HCV Waiver	Activities Allowed	Does the PHA plan to implement this activity?	Which statutory objective would be served by implementing each activity?	
Payment Standards and Rent Reasonableness	Payment Standards	<input type="radio"/> Yes <input type="radio"/> No	Cost effectiveness: Self-sufficiency: Housing choice:	<input type="radio"/> Yes <input type="radio"/> No <input type="radio"/> Yes <input type="radio"/> No <input type="radio"/> Yes <input type="radio"/> No
Payment Standards and Rent Reasonableness	Rent Reasonableness	<input type="radio"/> Yes <input type="radio"/> No	Cost effectiveness: Self-sufficiency: Housing choice:	<input type="radio"/> Yes <input type="radio"/> No <input type="radio"/> Yes <input type="radio"/> No <input type="radio"/> Yes <input type="radio"/> No
Reexamination	Alternate Reexamination Schedule for Households	<input type="radio"/> Yes <input type="radio"/> No	Cost effectiveness: Self-sufficiency: Housing choice:	<input type="radio"/> Yes <input type="radio"/> No <input type="radio"/> Yes <input type="radio"/> No <input type="radio"/> Yes <input type="radio"/> No
Reexamination	Self-Certification of Assets	<input type="radio"/> Yes <input type="radio"/> No	Cost effectiveness: Self-sufficiency: Housing choice:	<input type="radio"/> Yes <input type="radio"/> No <input type="radio"/> Yes <input type="radio"/> No <input type="radio"/> Yes <input type="radio"/> No
Short-Term Assistance	Short-Term Assistance	<input type="radio"/> Yes <input type="radio"/> No	Cost effectiveness: Self-sufficiency: Housing choice:	<input type="radio"/> Yes <input type="radio"/> No <input type="radio"/> Yes <input type="radio"/> No <input type="radio"/> Yes <input type="radio"/> No
Term-Limited Assistance	Term-Limited Assistance	<input type="radio"/> Yes <input type="radio"/> No	Cost effectiveness: Self-sufficiency: Housing choice:	<input type="radio"/> Yes <input type="radio"/> No <input type="radio"/> Yes <input type="radio"/> No <input type="radio"/> Yes <input type="radio"/> No
Work Requirements	Work Requirements	<input type="radio"/> Yes <input type="radio"/> No	Cost effectiveness: Self-sufficiency: Housing choice:	<input type="radio"/> Yes <input type="radio"/> No <input type="radio"/> Yes <input type="radio"/> No <input type="radio"/> Yes <input type="radio"/> No
MTW Self-Sufficiency Program	Waive Operating a Required FSS Program	<input type="radio"/> Yes <input type="radio"/> No	Cost effectiveness: Self-sufficiency: Housing choice:	<input type="radio"/> Yes <input type="radio"/> No <input type="radio"/> Yes <input type="radio"/> No <input type="radio"/> Yes <input type="radio"/> No
MTW Self-Sufficiency Program	Alternative Program Coordinating Committee	<input type="radio"/> Yes <input type="radio"/> No	Cost effectiveness: Self-sufficiency: Housing choice:	<input type="radio"/> Yes <input type="radio"/> No <input type="radio"/> Yes <input type="radio"/> No <input type="radio"/> Yes <input type="radio"/> No
MTW Self-Sufficiency Program	Alternative Family Selection Procedures	<input type="radio"/> Yes <input type="radio"/> No	Cost effectiveness: Self-sufficiency: Housing choice:	<input type="radio"/> Yes <input type="radio"/> No <input type="radio"/> Yes <input type="radio"/> No <input type="radio"/> Yes <input type="radio"/> No
MTW Self-Sufficiency Program	Modify or Eliminate the Contract of Participation	<input type="radio"/> Yes <input type="radio"/> No	Cost effectiveness: Self-sufficiency: Housing choice:	<input type="radio"/> Yes <input type="radio"/> No <input type="radio"/> Yes <input type="radio"/> No <input type="radio"/> Yes <input type="radio"/> No

HCV Waiver	Activities Allowed	Does the PHA plan to implement this activity?	Which statutory objective would be served by implementing each activity?	
MTW Self-Sufficiency Program	Policies for Addressing Increases in Family Income	<input type="radio"/> Yes <input type="radio"/> No	Cost effectiveness: Self-sufficiency: Housing choice:	<input type="radio"/> Yes <input type="radio"/> No <input type="radio"/> Yes <input type="radio"/> No <input type="radio"/> Yes <input type="radio"/> No

Waivers for the PUBLIC HOUSING Program

We would like to know which waivers [PHA] intends to use in the PUBLIC HOUSING (PH) program if selected to join the MTW expansion. The waivers and associated activities allowed for MTW expansion agencies are detailed in Appendix A of the MTW Expansion Operations Notice, which can be found [here](#). Please note that the waivers and activities listed in this survey are from the version of the Operations Notice published for 30-day comment and are subject to change upon the final publication of the Operations Notice.

The first set of questions addresses [PHA’s] intention to use each waiver in the PH program, and the second set of questions asks you to rank the identified waivers in order of importance to [PHA].

- For the PH program, please check the box which best describes [PHA’s] intent to use each waiver. If the housing authority plans to use the waiver, choose “Yes.” If it does NOT plan to use the waiver, choose “No.” If it is considering using the waiver but has not decided, please choose “Maybe.”

You must indicate a current intention for each waiver listed before you can advance to the next screen.

Please remember, YOUR RESPONSES ARE NOT BINDING IN ANY WAY—The survey is just trying to measure motives for applying to participate in the MTW expansion.

Waiver	Does the PHA plan to use the waiver?		
Tenant Rent Policies	<input type="radio"/> Yes	<input type="radio"/> No	<input type="radio"/> Maybe
Reexamination	<input type="radio"/> Yes	<input type="radio"/> No	<input type="radio"/> Maybe
Public Housing Leases	<input type="radio"/> Yes	<input type="radio"/> No	<input type="radio"/> Maybe
Short-Term Assistance	<input type="radio"/> Yes	<input type="radio"/> No	<input type="radio"/> Maybe
Term-Limited Assistance	<input type="radio"/> Yes	<input type="radio"/> No	<input type="radio"/> Maybe
Work Requirements	<input type="radio"/> Yes	<input type="radio"/> No	<input type="radio"/> Maybe
MTW Self-Sufficiency Program	<input type="radio"/> Yes	<input type="radio"/> No	<input type="radio"/> Maybe

Intent to Request Other Waivers for the PUBLIC HOUSING Program

10. Does [PHA] intend to request one or more waivers for its PH program that is not included in the above list (which is the same as the list found in Appendix A of the Operations Notice)?

Does PHA plan to request other PH waivers?	<input type="radio"/> Yes	<input type="radio"/> No	<input type="radio"/> Maybe
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11. Please describe each waiver that would or might be requested for the PH program and the reason for requesting that particular waiver. Each planned other waiver needs to have a separate entry with its own short name.

PHA fills this out for each “other” waiver if answered “yes” or “maybe” to Question 10

Please name the first planned other waiver for the HCV program.	[name]
Please describe this waiver and the reasons for requesting it.	[description]

Please name the second planned other waiver for the HCV program.	[name]
Please describe this waiver and the reasons for requesting it.	[description]

Ranking the Importance of Waivers for the PUBLIC HOUSING Program

12. It looks like [PHA] intends to use or might be considering using the waivers listed in the table below in its PUBLIC HOUSING program. Please tell us which of the waivers are the “top three” waivers that are most important for motivating [PHA’s] participation in the MTW expansion.

PHA fills this out for any waivers identified in Question 9 or 11

Waiver	Is this a “top 3” waiver?
Tenant Rent Policies	<input type="radio"/> Yes <input type="radio"/> No
Reexamination	<input type="radio"/> Yes <input type="radio"/> No
Public Housing Leases	<input type="radio"/> Yes <input type="radio"/> No
Short-Term Assistance	<input type="radio"/> Yes <input type="radio"/> No
Term-Limited Assistance	<input type="radio"/> Yes <input type="radio"/> No
Work Requirements	<input type="radio"/> Yes <input type="radio"/> No
MTW Self-Sufficiency Program	<input type="radio"/> Yes <input type="radio"/> No
Other PH waiver	<input type="radio"/> Yes <input type="radio"/> No

13. It looks like the waivers listed below are most important to [PHA’s] interest in joining the MTW expansion. We would like to know the relative importance of these waivers. Please rank them in order of importance from “1” to “3” where “1” is most important. Only ranks 1, 2, or 3 are allowed and the rank field is required.

PHA fills this out for any waivers identified as “top three” in Question 12

Waiver	Rank (1, 2, or 3)
Tenant Rent Policies	[number]
Reexamination	[number]
Public Housing Leases	[number]
Short-Term Assistance	[number]

Waiver	Rank (1, 2, or 3)
Term-Limited Assistance	[number]
Work Requirements	[number]
MTW Self-Sufficiency Program	[number]
Other PH waiver	[number]

14. In the table below, the activities allowed under each of [PHA’s] “top 3” waivers are listed. Please indicate whether or not [PHA] is thinking of implementing that type of activity and which statutory objectives would be served by that activity. If you selected a waiver that only has one activity, the table below will be pre-populated with the response that you gave for the Waiver (i.e., with yes or maybe). If you selected a waiver that has more than one activity, you must choose “yes” for at least one activity. If you choose “no” for an activity, the system will automatically fill in “no” for each of the possible statutory objectives.

Below is a sample table including all allowable activities for PH waivers. PHA fills this out only for any waivers ranked 1, 2, or 3 in Question 13

PH Waiver	Activities Allowed	Does the PHA plan to implement this activity?	Which statutory objective would be served by implementing each activity?
Tenant Rent Policy	Income Bands	<input type="radio"/> Yes <input type="radio"/> No	Cost effectiveness: <input type="radio"/> Yes <input type="radio"/> No Self-sufficiency: <input type="radio"/> Yes <input type="radio"/> No Housing choice: <input type="radio"/> Yes <input type="radio"/> No
Tenant Rent Policy	Stepped Rent	<input type="radio"/> Yes <input type="radio"/> No	Cost effectiveness: <input type="radio"/> Yes <input type="radio"/> No Self-sufficiency: <input type="radio"/> Yes <input type="radio"/> No Housing choice: <input type="radio"/> Yes <input type="radio"/> No
Tenant Rent Policy	Minimum Rent	<input type="radio"/> Yes <input type="radio"/> No	Cost effectiveness: <input type="radio"/> Yes <input type="radio"/> No Self-sufficiency: <input type="radio"/> Yes <input type="radio"/> No Housing choice: <input type="radio"/> Yes <input type="radio"/> No
Tenant Rent Policy	Rent as a Percentage of Gross Income	<input type="radio"/> Yes <input type="radio"/> No	Cost effectiveness: <input type="radio"/> Yes <input type="radio"/> No Self-sufficiency: <input type="radio"/> Yes <input type="radio"/> No Housing choice: <input type="radio"/> Yes <input type="radio"/> No
Tenant Rent Policy	Alternate Utility Allowance	<input type="radio"/> Yes <input type="radio"/> No	Cost effectiveness: <input type="radio"/> Yes <input type="radio"/> No Self-sufficiency: <input type="radio"/> Yes <input type="radio"/> No Housing choice: <input type="radio"/> Yes <input type="radio"/> No
Tenant Rent Policy	Fixed Rents	<input type="radio"/> Yes <input type="radio"/> No	Cost effectiveness: <input type="radio"/> Yes <input type="radio"/> No Self-sufficiency: <input type="radio"/> Yes <input type="radio"/> No Housing choice: <input type="radio"/> Yes <input type="radio"/> No
Tenant Rent Policy	Utility reimbursements	<input type="radio"/> Yes <input type="radio"/> No	Cost effectiveness: <input type="radio"/> Yes <input type="radio"/> No Self-sufficiency: <input type="radio"/> Yes <input type="radio"/> No Housing choice: <input type="radio"/> Yes <input type="radio"/> No
Tenant Rent Policy	Imputed Income	<input type="radio"/> Yes <input type="radio"/> No	Cost effectiveness: <input type="radio"/> Yes <input type="radio"/> No Self-sufficiency: <input type="radio"/> Yes <input type="radio"/> No Housing choice: <input type="radio"/> Yes <input type="radio"/> No

PH Waiver	Activities Allowed	Does the PHA plan to implement this activity?	Which statutory objective would be served by implementing each activity?	
Tenant Rent Policy	Elimination of Deduction(s)	<input type="radio"/> Yes <input type="radio"/> No	Cost effectiveness:	<input type="radio"/> Yes <input type="radio"/> No
			Self-sufficiency:	<input type="radio"/> Yes <input type="radio"/> No
			Housing choice:	<input type="radio"/> Yes <input type="radio"/> No
Tenant Rent Policy	Standard Deductions	<input type="radio"/> Yes <input type="radio"/> No	Cost effectiveness:	<input type="radio"/> Yes <input type="radio"/> No
			Self-sufficiency:	<input type="radio"/> Yes <input type="radio"/> No
			Housing choice:	<input type="radio"/> Yes <input type="radio"/> No
Tenant Rent Policy	Alternate Income Inclusions/Exclusions	<input type="radio"/> Yes <input type="radio"/> No	Cost effectiveness:	<input type="radio"/> Yes <input type="radio"/> No
			Self-sufficiency:	<input type="radio"/> Yes <input type="radio"/> No
			Housing choice:	<input type="radio"/> Yes <input type="radio"/> No
Reexamination	Alternate Reexamination Schedule for Households	<input type="radio"/> Yes <input type="radio"/> No	Cost effectiveness:	<input type="radio"/> Yes <input type="radio"/> No
			Self-sufficiency:	<input type="radio"/> Yes <input type="radio"/> No
			Housing choice:	<input type="radio"/> Yes <input type="radio"/> No
Reexamination	Self-Certification of Assets	<input type="radio"/> Yes <input type="radio"/> No	Cost effectiveness:	<input type="radio"/> Yes <input type="radio"/> No
			Self-sufficiency:	<input type="radio"/> Yes <input type="radio"/> No
			Housing choice:	<input type="radio"/> Yes <input type="radio"/> No
Public Housing Leases	Establish Community Rules through Local Lease	<input type="radio"/> Yes <input type="radio"/> No	Cost effectiveness:	<input type="radio"/> Yes <input type="radio"/> No
			Self-sufficiency:	<input type="radio"/> Yes <input type="radio"/> No
			Housing choice:	<input type="radio"/> Yes <input type="radio"/> No
Public Housing Leases	Establish Reasonable Fees through Local Lease	<input type="radio"/> Yes <input type="radio"/> No	Cost effectiveness:	<input type="radio"/> Yes <input type="radio"/> No
			Self-sufficiency:	<input type="radio"/> Yes <input type="radio"/> No
			Housing choice:	<input type="radio"/> Yes <input type="radio"/> No
Short-Term Assistance	Short-Term Assistance	<input type="radio"/> Yes <input type="radio"/> No	Cost effectiveness:	<input type="radio"/> Yes <input type="radio"/> No
			Self-sufficiency:	<input type="radio"/> Yes <input type="radio"/> No
			Housing choice:	<input type="radio"/> Yes <input type="radio"/> No
Term-Limited Assistance	Term-Limited Assistance	<input type="radio"/> Yes <input type="radio"/> No	Cost effectiveness:	<input type="radio"/> Yes <input type="radio"/> No
			Self-sufficiency:	<input type="radio"/> Yes <input type="radio"/> No
			Housing choice:	<input type="radio"/> Yes <input type="radio"/> No
Work Requirements	Work Requirements	<input type="radio"/> Yes <input type="radio"/> No	Cost effectiveness:	<input type="radio"/> Yes <input type="radio"/> No
			Self-sufficiency:	<input type="radio"/> Yes <input type="radio"/> No
			Housing choice:	<input type="radio"/> Yes <input type="radio"/> No
MTW Self-Sufficiency Program	Waive Operating a Required FSS Program	<input type="radio"/> Yes <input type="radio"/> No	Cost effectiveness:	<input type="radio"/> Yes <input type="radio"/> No
			Self-sufficiency:	<input type="radio"/> Yes <input type="radio"/> No
			Housing choice:	<input type="radio"/> Yes <input type="radio"/> No
MTW Self-Sufficiency Program	Alternative Program Coordinating Committee	<input type="radio"/> Yes <input type="radio"/> No	Cost effectiveness:	<input type="radio"/> Yes <input type="radio"/> No
			Self-sufficiency:	<input type="radio"/> Yes <input type="radio"/> No
			Housing choice:	<input type="radio"/> Yes <input type="radio"/> No
MTW Self-Sufficiency Program	Alternative Family Selection Procedures	<input type="radio"/> Yes <input type="radio"/> No	Cost effectiveness:	<input type="radio"/> Yes <input type="radio"/> No
			Self-sufficiency:	<input type="radio"/> Yes <input type="radio"/> No
			Housing choice:	<input type="radio"/> Yes <input type="radio"/> No

PH Waiver	Activities Allowed	Does the PHA plan to implement this activity?	Which statutory objective would be served by implementing each activity?
MTW Self-Sufficiency Program	Modify or Eliminate the Contract of Participation	<input type="radio"/> Yes <input type="radio"/> No	Cost effectiveness: <input type="radio"/> Yes <input type="radio"/> No Self-sufficiency: <input type="radio"/> Yes <input type="radio"/> No Housing choice: <input type="radio"/> Yes <input type="radio"/> No
MTW Self-Sufficiency Program	Policies for Addressing Increases in Family Income	<input type="radio"/> Yes <input type="radio"/> No	Cost effectiveness: <input type="radio"/> Yes <input type="radio"/> No Self-sufficiency: <input type="radio"/> Yes <input type="radio"/> No Housing choice: <input type="radio"/> Yes <input type="radio"/> No

“Local Non-Traditional Activities” – Activities Outside of Sections 8 and 9

MTW status may allow a PHA to use funds for activities outside of the Housing Choice Voucher and Public Housing programs established in Sections 8 and 9 of the U.S. Housing Act of 1937 (1937 Act). Any use of MTW funds outside of the allowable uses listed in the 1937 Act Sections 8(o), 9(d)(1), and 9(e)(1) constitutes a local, non-traditional activity. Federal statutes and regulations that apply to local, non-traditional activities are described in PIH NOTICE 2011-45. HUD organizes local, non-traditional activities into four categories:

- 1) Rental Subsidy Programs—Rental subsidy programs that provide a rental subsidy to a third-party entity (other than a landlord or tenant) who manages intake and administration of the subsidy program to implement activities which may include supportive housing programs and services, supportive living, homeless/transitional housing programs, or programs that address special needs populations.
- 2) Service Provision—Provision of HUD-approved self-sufficiency or supportive services that are not otherwise permitted under the Public Housing and Housing Choice Voucher programs or are provided to eligible individuals who do not receive either Public Housing or Housing Choice Voucher assistance from the PHA.
- 3) Housing Development Programs—Housing development programs that use MTW funds to acquire, renovate, and/or build units that are not Public Housing or PHA-owned PBV units. Eligible activities may include gap financing for non-PHA development of affordable housing or tax credit partnerships.

15. If granted MTW status, does [PHA] plan to implement any local, non-traditional activities?

Does PHA plan to implement any local, non-traditional activities?	<input type="radio"/> Yes	<input type="radio"/> No	<input type="radio"/> Maybe
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16. [If “yes” or “maybe” on Question 15] Please fill in the table below indicating which types of local, non-traditional activities [PHA] is considering implementing and briefly describe the specific activities that would be implemented.

Local, Non-Traditional Activity	Is PHA considering implementing?	If yes, please describe:
Rental Subsidy Programs	<input type="radio"/> Yes <input type="radio"/> No	[text]
Service Provision	<input type="radio"/> Yes <input type="radio"/> No	[text]
Housing Development Programs	<input type="radio"/> Yes <input type="radio"/> No	[text]

Using MTW Fund Flexibility

MTW agencies will have the flexibility to apply fungibility among public housing Operating Fund, public housing Capital Fund, and HCV HAP and Administrative Fee assistance. These flexibilities expand the eligible uses of each covered funding stream. Please answer the following questions about MTW Funding flexibility:

17. Does the PHA plan to use MTW funding flexibility?

Yes No Maybe

18. Is there any particular advantage to [PHA] of having MTW funding flexibility?

[text]

19. Please describe how [PHA] might use MTW funding flexibility and the activities that this flexibility would facilitate or enable [PHA] to undertake.

[text]

PART 3: Current PHA Operations & Costs

Staff Allocation in Areas of Program Administration

The next set of questions gathers basic information about [PHA’s] current allocation of staff. First we ask about the number of full-time equivalents [PHA] has on staff annually and then we ask you to estimate the number of FTEs annually committed to different areas of program administration. We are asking for annualized FTEs.

After those items, there is an opportunity to provide information about how many FTES are currently contracted annually by [PHA].

1. Please indicate the number of full-time equivalents (FTEs) currently employed annually by [PHA].

Number of full-time equivalents (FTEs) currently employed annually: [number]

PHA Staff

2. In the table below, please estimate how many FTEs are committed to each of the listed areas of program administration. You may enter fractions as needed. For example, if two people each spend about one quarter of their time on activities related to intake and lease-up, then enter “0.5.” If you have one full-time service coordinator and one half-time bus driver for mobility-impaired residents, then enter “1.5” under Resident Services.

Area	PHA Staff Annualized FTEs:
Intake and Lease-Up Intake and lease-up phase activities, including waitlist management, intake and eligibility determination, determination of rent reasonableness, utility allowance, and tenant payments)	[number]
Occupancy Occupancy phase activities, including recertifications, termination, program rule enforcement, relations with landlords, tenant moves and portability processing	[number]
Resident Services Family self-sufficiency program, ROSS, supportive services of all types including transportation services, expanding housing opportunities and deconcentration	[number]
Administrative Services Management, IT, HR, clerical, financial accounting, capital fund management	[number]
Maintenance	[number]
Safety and Security of Residents	[number]
Housing Quality Standards (HQS) Inspections	[number]
Other	[number]
Total PHA Staff FTE (must match number entered above)	[number]

3. [If PHA identifies FTEs for “Other” area] Please list all the “Other” areas here.

[text]

Contracted Employees

4. Please list work areas for which [PHA] has a contract and the number of full-time equivalent employees who are currently contracted annually under those contracts. For example, if you contract out your HQS inspections and the contract pays for one full-time and one quarter-time inspector annually, list HQS Inspections and 1.25 FTEs.

Type of Work Contracted	Contracted Employees Annualized FTEs:
Intake and Lease-Up Intake and lease-up phase activities, including waitlist management, intake and eligibility determination, determination of rent reasonableness, utility allowance, and tenant payments)	[number]
Occupancy Occupancy phase activities, including recertifications, termination, program rule enforcement, relations with landlords, tenant moves and portability processing	[number]
Resident Services Family self-sufficiency program, ROSS, supportive services of all types including transportation services, expanding housing opportunities and deconcentration	[number]
Administrative Services Management, IT, HR, clerical, financial accounting, capital fund management	[number]
Maintenance	[number]

Type of Work Contracted	Contracted Employees Annualized FTEs:
Safety and Security of Residents	[number]
Housing Quality Standards (HQS) Inspections	[number]
Other	[number]
Total Annually Contracted FTEs	[number]

5. [If PHA identifies FTEs for “Other” area] Please list all the “Other” areas here.

[text]

Intentions for Shifts in Allocation of Resources

The next set of questions asks about areas in which [PHA] would like to use MTW to cut costs or decrease staff time. Following those items, we ask about areas that [PHA] would target for reinvestment of the resources and staff time if efforts to cut costs and decrease staff time in other areas are successful.

Administrative Costs \ Tasks That Could Be Targeted for Reduction

6. Would [PHA] use MTW flexibilities to target any of the listed administrative costs for reduction? Please answer “Yes,” “No,” or “Maybe” for each type of cost listed in the table below.

Administrative Costs/Tasks	Does the PHA plan to use MTW flexibilities to target for cost reduction?		
Inspections or inspection contracts	<input type="radio"/> Yes	<input type="radio"/> No	<input type="radio"/> Maybe
Administrative and other types of contracts	<input type="radio"/> Yes	<input type="radio"/> No	<input type="radio"/> Maybe
Rent calculations and recertifications	<input type="radio"/> Yes	<input type="radio"/> No	<input type="radio"/> Maybe
Savings in Housing Assistance Payments (HAP)	<input type="radio"/> Yes	<input type="radio"/> No	<input type="radio"/> Maybe
Payroll costs	<input type="radio"/> Yes	<input type="radio"/> No	<input type="radio"/> Maybe
Other	<input type="radio"/> Yes	<input type="radio"/> No	<input type="radio"/> Maybe

7. [If PHA identifies FTEs for “Other” area] Please list all the “Other” areas here.

[text]

Importance of Type of Administrative Cost Targeted for Reductions

8. It looks like [PHA] might try to use MTW status to reduce the types of administrative costs listed in the table below. Please tells us which of the costs are the “top three” that [PHA] would like to target if granted MTW status.

PHA fills this out for any cost reduction areas identified in Question 7

Administrative Costs/Tasks	Is this a “top 3” cost the PHA would like to target?
Inspections or inspection contracts	<input type="radio"/> Yes <input type="radio"/> No
Administrative and other types of contracts	<input type="radio"/> Yes <input type="radio"/> No
Rent calculations and recertifications	<input type="radio"/> Yes <input type="radio"/> No
Savings in Housing Assistance Payments (HAP)	<input type="radio"/> Yes <input type="radio"/> No
Payroll costs	<input type="radio"/> Yes <input type="radio"/> No

Ranking Importance of Administrative Costs Likely to Be Targeted for Reduction

9. It looks like the cost types listed below are most likely to be targeted by [PHA] if [PHA] gains MTW status. We would like to know the relative importance of these cost areas. Please rank them in order of importance to [PHA] from “1” to “3” where “1” is most important.

PHA fills this out for any costs identified as “top three” in Question 8

Administrative Costs/Tasks	Rank (1, 2, or 3)
Inspections or inspection contracts	[number]
Administrative and other types of contracts	[number]
Rent calculations and recertifications	[number]
Savings in Housing Assistance Payments (HAP)	[number]
Payroll costs	[number]

Reinvestment of Cost Savings or Reallocation of Staff Time

10. If cost or staff time savings could be achieved in some areas through MTW flexibility, in which areas would [PHA] like to reinvest those savings? Please identify the types of activities that [PHA] would shift resources into. For each area listed, please choose “Yes” if [PHA] would reinvest in that area. Choose “No” if [PHA] would not do so and “Maybe” if [PHA] might consider doing so.

Areas for receiving shifted resources	Would PHA shift resources to that area?		
	<input type="radio"/> Yes	<input type="radio"/> No	<input type="radio"/> Maybe
Serve more households	<input type="radio"/> Yes	<input type="radio"/> No	<input type="radio"/> Maybe
Serve special needs households not currently being served or increase the number of such households served	<input type="radio"/> Yes	<input type="radio"/> No	<input type="radio"/> Maybe
Move current assisted households to better neighborhoods	<input type="radio"/> Yes	<input type="radio"/> No	<input type="radio"/> Maybe
Try to house new entrants in opportunity neighborhoods	<input type="radio"/> Yes	<input type="radio"/> No	<input type="radio"/> Maybe
Improve the quality of [PHA]’s public housing stock	<input type="radio"/> Yes	<input type="radio"/> No	<input type="radio"/> Maybe
Reduce rent burden of assisted households	<input type="radio"/> Yes	<input type="radio"/> No	<input type="radio"/> Maybe
Increase escrow or savings in general of assisted households	<input type="radio"/> Yes	<input type="radio"/> No	<input type="radio"/> Maybe
Support home ownership	<input type="radio"/> Yes	<input type="radio"/> No	<input type="radio"/> Maybe
Improve lease-up rates in the Housing Choice Voucher program	<input type="radio"/> Yes	<input type="radio"/> No	<input type="radio"/> Maybe
Improve utilization rates in Public Housing	<input type="radio"/> Yes	<input type="radio"/> No	<input type="radio"/> Maybe
Provide services to promote and encourage employment of assisted households	<input type="radio"/> Yes	<input type="radio"/> No	<input type="radio"/> Maybe
Provide services to support disabled households to live independently	<input type="radio"/> Yes	<input type="radio"/> No	<input type="radio"/> Maybe
Provide services to support elderly households to live independently and to “age in place” when appropriate	<input type="radio"/> Yes	<input type="radio"/> No	<input type="radio"/> Maybe
Provide services to support educational achievement of children (include here initiatives	<input type="radio"/> Yes	<input type="radio"/> No	<input type="radio"/> Maybe

Areas for receiving shifted resources	Would PHA shift resources to that area?		
to share information with public schools about absenteeism and similar types of programs)			
Maintain administrative stability in the face of fluctuating revenue	<input type="radio"/> Yes	<input type="radio"/> No	<input type="radio"/> Maybe
Other (please describe):	<input type="radio"/> Yes	<input type="radio"/> No	<input type="radio"/> Maybe

Importance of Program Areas Targeted for Reinvestment of Cost Savings

11. In the previous item, you stated that if [PHA] created savings with its MTW flexibility it would reinvest resources in the areas listed below. Please tell us which of these areas are the “top three” areas that would be targeted for receiving shifted resources.

PHA fills this out for any areas marked as “yes” or “maybe” in Question 10

Areas for receiving shifted resources	Is this a “top 3” area?
Serve more households	<input type="radio"/> Yes <input type="radio"/> No
Serve special needs households not currently being served or increase the number of such households served	<input type="radio"/> Yes <input type="radio"/> No
Move current assisted households to better neighborhoods	<input type="radio"/> Yes <input type="radio"/> No
Try to house new entrants in opportunity neighborhoods	<input type="radio"/> Yes <input type="radio"/> No
Improve the quality of [PHA]’s public housing stock	<input type="radio"/> Yes <input type="radio"/> No
Reduce rent burden of assisted households	<input type="radio"/> Yes <input type="radio"/> No
Increase escrow or savings in general of assisted households	<input type="radio"/> Yes <input type="radio"/> No
Support home ownership	<input type="radio"/> Yes <input type="radio"/> No
Improve lease-up rates in the Housing Choice Voucher program	<input type="radio"/> Yes <input type="radio"/> No
Improve utilization rates in Public Housing	<input type="radio"/> Yes <input type="radio"/> No
Provide services to promote and encourage employment of assisted households	<input type="radio"/> Yes <input type="radio"/> No
Provide services to support disabled households to live independently	<input type="radio"/> Yes <input type="radio"/> No
Provide services to support elderly households to live independently and to “age in place” when appropriate	<input type="radio"/> Yes <input type="radio"/> No
Provide services to support educational achievement of children (include here initiatives to share information with public schools about absenteeism and similar types of programs)	<input type="radio"/> Yes <input type="radio"/> No
Maintain administrative stability in the face of fluctuating revenue	<input type="radio"/> Yes <input type="radio"/> No
Other area	<input type="radio"/> Yes <input type="radio"/> No

Ranking Importance of Program Areas Targeted for Reinvestment of Cost Savings

12. It looks like [PHA] is most interested in shifting resources to the program areas listed below. We would like to know the relative importance of these areas as targets for receiving resources [PHA] might save through MTW flexibilities. Please rank them in order of importance from “1” to “3” where “1” is most important.

PHA fills this out for any areas identified as “top three” in Question 11

Areas for receiving shifted resources	Rank (1, 2, or 3)
Serve more households	[number]
Serve special needs households not currently being served or increase the number of such households served	[number]
Move current assisted households to better neighborhoods	[number]
Try to house new entrants in opportunity neighborhoods	[number]
Improve the quality of [PHA]'s public housing stock	[number]
Reduce rent burden of assisted households	[number]
Increase escrow or savings in general of assisted households	[number]
Support home ownership	[number]
Improve lease-up rates in the Housing Choice Voucher program	[number]
Improve utilization rates in Public Housing	[number]
Provide services to promote and encourage employment of assisted households	[number]
Provide services to support disabled households to live independently	[number]
Provide services to support elderly households to live independently and to "age in place" when appropriate	[number]
Provide services to support educational achievement of children (include here initiatives to share information with public schools about absenteeism and similar types of programs)	[number]
Maintain administrative stability in the face of fluctuating revenue	[number]
Other area	[number]

PART 4: Current Operation of Waiting List(s)

We would like to know if there are waiting list preferences currently in effect at [PHA] for each of the three main programs. Do not count Special Purpose Vouchers that [PHA] administers. In this item we are only collecting information about waiting list preferences.

- Please indicate whether or not [PHA] has each of the waiting lists listed below.** For each type of waiting list that [PHA] has, a few questions about the waiting list will pop up that need to be answered as well.

Separate waiting list for HOUSING CHOICE VOUCHER program	<input type="radio"/> Yes	<input type="radio"/> No
Separate waiting list for PUBLIC HOUSING program	<input type="radio"/> Yes	<input type="radio"/> No
Separate waiting list for PROJECT-BASED VOUCHER units	<input type="radio"/> Yes	<input type="radio"/> No
Separate waiting list for HOUSING CHOICE VOUCHER program	<input type="radio"/> Yes	<input type="radio"/> No
Combined waiting list for HOUSING CHOICE VOUCHER program and PUBLIC HOUSING program	<input type="radio"/> Yes	<input type="radio"/> No
Combined waiting list for HOUSING CHOICE VOUCHER program and PROJECT-BASED VOUCHER units	<input type="radio"/> Yes	<input type="radio"/> No
Combined waiting list for PUBLIC HOUSING program and PROJECT-BASED VOUCHER units	<input type="radio"/> Yes	<input type="radio"/> No

Combined waiting list for HOUSING CHOICE VOUCHER program and PUBLIC HOUSING program and PROJECT-BASED VOUCHER units	<input type="radio"/> Yes	<input type="radio"/> No
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If the PHA indicates on Question 1 that it has a separate waiting list for HOUSING CHOICE VOUCHER program, PHA answers Questions 2 and 3.

2. You indicated that [PHA] maintains a separate waiting list for the HOUSING CHOICE VOUCHER program. Approximately how many households are currently on [PHA's] waiting list for the HOUSING CHOICE VOUCHER program?

Number of households: [number]

3. Which of the following statements best describes the status of [PHA's] waiting list during the past year for the HOUSING CHOICE VOUCHER program?

<input type="radio"/> Open to the general public on an ongoing basis
<input type="radio"/> Open to a particular category or categories of applicants on an ongoing basis
<input type="radio"/> Open to the general public during the past year for a limited period of time
<input type="radio"/> Open to a particular category or categories of applicants during the past year for a limited period of time
<input type="radio"/> Closed all year and currently closed
<input type="radio"/> Currently closed
<input type="radio"/> Other (describe):

If the PHA indicates on Question 1 that it has a separate waiting list for PUBLIC HOUSING program, PHA answers Questions 4 and 5.

4. You indicated that [PHA] maintains a separate waiting list for the PUBLIC HOUSING program. Approximately how many households are currently on [PHA's] waiting list for the PUBLIC HOUSING program?

Number of households: [number]

5. Which of the following statements best describes the status of [PHA's] waiting list during the past year for the PUBLIC HOUSING program?

<input type="radio"/> Open to the general public on an ongoing basis
<input type="radio"/> Open to a particular category or categories of applicants on an ongoing basis
<input type="radio"/> Open to the general public during the past year for a limited period of time
<input type="radio"/> Open to a particular category or categories of applicants during the past year for a limited period of time
<input type="radio"/> Closed all year and currently closed
<input type="radio"/> Currently closed
<input type="radio"/> Other (describe):

If the PHA indicates on Question 1 that it has a separate waiting list for PROJECT-BASED VOUCHER units, PHA answers Questions 6, 7, and 8.

6. You indicated that [PHA] maintains a separate waiting list for the PROJECT-BASED VOUCHER units. Approximately how many households are currently on [PHA's] waiting list for the PROJECT-BASED VOUCHER units?

Number of households: [number]

7. Please describe the target population(s) for [PHA's] PROJECT-BASED VOUCHER units.

[text]

8. Which of the following statements best describes the status of [PHA's] waiting list during the past year for the PROJECT-BASED VOUCHER units?

- Open to the general public on an ongoing basis
- Open to a particular category or categories of applicants on an ongoing basis
- Open to the general public during the past year for a limited period of time
- Open to a particular category or categories of applicants during the past year for a limited period of time
- Closed all year and currently closed
- Currently closed
- Other (describe):

If the PHA indicates on Question 1 that it has a combined waiting list for the HOUSING CHOICE VOUCHER program and PUBLIC HOUSING programs, PHA answers Questions 9 and 10.

9. You indicated that [PHA] maintains a combined waiting list for the HOUSING CHOICE VOUCHER program and PUBLIC HOUSING programs. Approximately how many households are currently on [PHA's] combined waiting list for the HOUSING CHOICE VOUCHER program and PUBLIC HOUSING programs?

Number of households: [number]

10. Which of the following statements best describes the status of [PHA's] waiting list during the past year for the combined waiting list for the HOUSING CHOICE VOUCHER program and PUBLIC HOUSING programs?

- Open to the general public on an ongoing basis
- Open to a particular category or categories of applicants on an ongoing basis
- Open to the general public during the past year for a limited period of time
- Open to a particular category or categories of applicants during the past year for a limited period of time
- Closed all year and currently closed
- Currently closed
- Other (describe):

If PHA indicates on Question 1 that it has a combined waiting list for the HOUSING CHOICE VOUCHER program and PROJECT-BASED VOUCHER units, PHA answers Questions 11 and 12.

11. You indicated that [PHA] maintains a combined waiting list for the HOUSING CHOICE VOUCHER program and PROJECT-BASED VOUCHER units. Approximately how many households are currently on [PHA's] combined waiting list for the HOUSING CHOICE VOUCHER program and PROJECT-BASED VOUCHER units?

Number of households: [number]

12. Which of the following statements best describes the status of [PHA's] waiting list during the past year for the combined waiting list for the HOUSING CHOICE VOUCHER program and PROJECT-BASED VOUCHER units?

- Open to the general public on an ongoing basis
- Open to a particular category or categories of applicants on an ongoing basis
- Open to the general public during the past year for a limited period of time
- Open to a particular category or categories of applicants during the past year for a limited period of time
- Closed all year and currently closed
- Currently closed
- Other (describe):

If the PHA indicates on Question 1 that it has a combined waiting list for the PUBLIC HOUSING program and PROJECT-BASED VOUCHER units, PHA answers Questions 13 and 14.

13. You indicated that [PHA] maintains a combined waiting list for the PUBLIC HOUSING program and PROJECT-BASED VOUCHER units. Approximately how many households are currently on [PHA's] combined waiting list for the PUBLIC HOUSING program and PROJECT-BASED VOUCHER units?

Number of households: [number]

14. Which of the following statements best describes the status of [PHA's] waiting list during the past year for the combined waiting list for the PUBLIC HOUSING program and PROJECT-BASED VOUCHER units?

- Open to the general public on an ongoing basis
- Open to a particular category or categories of applicants on an ongoing basis
- Open to the general public during the past year for a limited period of time
- Open to a particular category or categories of applicants during the past year for a limited period of time
- Closed all year and currently closed
- Currently closed
- Other (describe):

If the PHA indicates on Question 1 that it has a combined waiting list for the HOUSING CHOICE VOUCHER program, PUBLIC HOUSING program, and PROJECT-BASED VOUCHER units, PHA answers Questions 15 and 16.

15. You indicated that [PHA] maintains a combined waiting list for the HOUSING CHOICE VOUCHER program, PUBLIC HOUSING program, and PROJECT-BASED VOUCHER units. Approximately how many households are currently on [PHA's] combined waiting list for the HOUSING CHOICE VOUCHER program, PUBLIC HOUSING program, and PROJECT-BASED VOUCHER units?

Number of households:	[number]
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16. Which of the following statements best describes the status of [PHA's] waiting list during the past year for the combined waiting list for the HOUSING CHOICE VOUCHER program, PUBLIC HOUSING program, and PROJECT-BASED VOUCHER units?

<input type="radio"/> Open to the general public on an ongoing basis
<input type="radio"/> Open to a particular category or categories of applicants on an ongoing basis
<input type="radio"/> Open to the general public during the past year for a limited period of time
<input type="radio"/> Open to a particular category or categories of applicants during the past year for a limited period of time
<input type="radio"/> Closed all year and currently closed
<input type="radio"/> Currently closed
<input type="radio"/> Other (describe):

Waiting List Preferences

We would like to know if there are waiting list preferences currently in effect at [PHA] for each of the three main programs.

Do not consider Special Purpose Vouchers that [PHA] administers. In this item, we are only collecting information about waiting list preferences for the regular housing choice vouchers, public housing, and project-based voucher/other developments.

17. Please fill in the following table. Check the box if [PHA] does have the preference.

Check the box even if the preference does not hold for all of the units in a given program. For example, if a fraction of your project-based vouchers is preferentially available to the elderly, check the box in the row for elderly preference that is in the column for project-based vouchers.

If [PHA] does not have the preference noted for any of its waiting lists, then check the box in the last column of the table (“no preference of this type on any waiting list”).

Every row in the table must have an entry before the survey will advance to the final question.

Preference	Housing Choice Voucher	Public Housing	Project Based Voucher	No preference of this type on any of our waiting lists
Current residents of the jurisdiction	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Preference	Housing Choice Voucher	Public Housing	Project Based Voucher	No preference of this type on any of our waiting lists
Those with severe rent burden	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Those living in substandard housing	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Those displaced by public action	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Those displaced by declared national disaster	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Veterans (not counting special purpose vouchers)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Homeless households	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Elderly people	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
People with disabilities	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Nonelderly people with disabilities	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
People with disabilities transitioning from nursing homes or institutions	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Victims of domestic violence	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Families referred by public child welfare agencies for family unification	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Youth aging out of foster care	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Shelter Plus Care households transitioning to HCV	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
VASH households transitioning to HCV	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Housing Opportunities for People with AIDS (HOPWA) households transitioning to HCV	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
SRO Mod Rehab households transitioning to HCV	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Other (describe)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

PART 5: CONCLUSION

In the space provided, please provide any additional information or comments about [PHA’s] motivations for wanting to join the MTW expansion.

Additional Comments:

[text]

Thank you for your participation. You have reached the end of the survey. As a reminder, *the information gathered in this survey will not be used in the determination of whether or not a PHA is awarded MTW status*. Rather, the information will provide HUD with consistent information from all applicant PHAs to understand the current operations of each applicant and to gather information about the PHA's motivation to join the MTW demonstration. The information will be used exclusively to evaluate the MTW program. Once you click the "submit" button below, you will receive an e-mail confirming the submission of your completed survey. Please retain this e-mail for your records. Any questions regarding the survey should be directed to mtw-info@hud.gov. Thank you.

Information Available from MTW Plan

Topic	Data Points
PHA vision for MTW	<ul style="list-style-type: none"> ▪ PHA’s vision for its local MTW program as it relates to the three statutory objectives ▪ Why the PHA wanted to participate in MTW
HCV and public housing programs	<ul style="list-style-type: none"> ▪ Description of the PHA’s current public housing and HCV units and households. ▪ Challenges the PHA faces in occupying public housing units, leasing HCV units and/or serving the special needs of specific populations ▪ Anticipated changes to housing stock and households served under MTW
Planned MTW activities	<ul style="list-style-type: none"> ▪ Types of initiatives the PHA seeks to implement in its local MTW program and why ▪ How the PHA seeks to use MTW to address local needs and MTW statutory objectives ▪ Detailed schedule from entry into the MTW Demonstration Program through the first 2 years of MTW participation, including tenant and community engagement, development of local MTW program/activities, and any other important milestones.
Planned use of MTW funds	<ul style="list-style-type: none"> ▪ How the PHA seeks to use MTW funding flexibility in HCV and public housing programs
Partnerships	<ul style="list-style-type: none"> ▪ Expected partnerships between the PHA and other public agencies, city/state/local governments, private nonprofits and/or for-profit entities for MTW ▪ How the partnership(s) will help to achieve the vision of the PHA’s local MTW program
Leveraged funding	<ul style="list-style-type: none"> ▪ How the PHA intends to leverage funding and/or other in-kind resources in implementing of its local MTW program

Information Available from MTW Supplement

Topic	Data Points
Narrative overview of PHA's MTW program	<ul style="list-style-type: none"> ▪ Description of the PHA's plans and goals for coming year ▪ How PHA plans to address the three statutory objectives in coming year
Common questions on each intended MTW waiver activity	<ul style="list-style-type: none"> ▪ Detailed information specific to each MTW waiver activity or agency-specific waiver activity. ▪ Narrative description of the activity, the PHA's goals for the activity, and, if applicable, how the activity contributes to a larger initiative ▪ Which of statutory objective(s) does the activity serve ▪ What are the cost implications of this activity (neutral, increased revenue, decreased revenue, increased costs, decreased costs) ▪ Will there be different policies for different types of households or population subgroups ▪ Types of households activity applies to (new admissions only, current households only, new and current households) ▪ Subpopulations the activity applies to (nonelderly, nondisabled families; elderly families ; disabled families; other specially defined target populations, such as formerly homeless) ▪ Which site(s) the activity applies to
Hardship policies	<ul style="list-style-type: none"> ▪ Hardship policy associated with the activity and whether it has been modified ▪ Status of hardship requests from past year: # approved, # denied, # pending
Safe harbor waivers	<ul style="list-style-type: none"> ▪ Whether the activity requires a safe harbor waiver and status of the waiver (if required) ▪ Detailed description of any safe harbor waivers PHA is requesting for coming year
Agency-specific waivers	<ul style="list-style-type: none"> ▪ Detailed description of any agency-specific waivers PHA is requesting for coming year ▪ List of agency-specific waivers already approved ▪ Specific information on work requirements, term-limited assistance, and stepped rents

Topic	Data Points
Local, non-traditional activities	<ul style="list-style-type: none"> ▪ Number of LNT households admitted by income level ▪ Number of LNT tenant-based households served by month for past year ▪ Number of LNT project-based households served by month for past year ▪ Number of occupied LNT units by household size
Rent policy	<ul style="list-style-type: none"> ▪ Has PHA established a rent reform policy to encourage employment and self-sufficiency ▪ Implementation timeline for policy if not yet established
Impact analysis	<ul style="list-style-type: none"> ▪ PHAs are required to produce an impact analyses for certain waivers and activities

Appendix B. Data Collection Instruments

This appendix contains the following primary data collection instruments:

- Baseline telephone interview with MTW PHAs (Instrument 1).
- Annual telephone interviews with MTW PHAs (Instrument 2).
- Baseline online survey for non-MTW PHAs (Instrument 3).
- Semi-annual online survey for non-MTW PHAs (Instrument 4).
- Baseline telephone interview with non-MTW PHAs (Instrument 5).
- Semi-annual telephone interview with non-MTW PHAs (Instrument 6).

Instrument 1. Baseline Telephone Interview with MTW PHAs

Interview respondent is the PHA Executive Director and one or more designated staff. The interviewer will prepopulate information from the Baseline Survey and MTW Plan. The prepopulated information is highlighted in gray.

Introduction and Verbal Consent

Thank you very much for taking the time to speak with me. HUD has hired Abt Associates to study Cohort 1 of the MTW Expansion. The purpose of the study is to understand how PHAs in the cohort use their MTW flexibility and how MTW affects outcomes for the PHA and its tenants. We are interviewing all the PHAs that received MTW designation under Cohort 1.

Your participation in this interview is voluntary and you are free to skip any questions you do not wish to answer. The questions in the interview have been reviewed by the Office of Management and Budget (OMB) under the Paperwork Reduction Act of 1995. We expect the interview to take about an hour. The OMB control number is XXXX-XXXX, expiring XX-XX-XXXX.

The study team will use the information you provide for research purposes only, not for any audit or compliance purposes. We will be taking notes but will not be recording this call. Only members of the study team will see your individual responses. Our reports to HUD will summarize the results from the interviews but will not name individuals. If we would like to highlight your PHA in one of our reports, we will give you the opportunity to review the text in advance.

There may be some questions you may not be able to answer or that are more appropriate for other staff. If you are unable to answer a question or would prefer not to answer, just let me know. You are free to skip any question you do not wish to answer.

Do you have any questions before we begin?

Motivation for Applying for MTW

I'd like to start by talking about what motivated your agency to submit the initial letter of interest for the first cohort of the MTW expansion in [fall 2018 / spring 2019].

1. Can you remember how you heard about the first cohort of the MTW expansion?
2. Can you talk about what motivated your agency to submit the initial letter of interest? (This would have been in the fall of 2018 or early 2019.) Was it an easy decision to apply or did your agency deliberate for some time? (*If not an easy decision: What were the factors you were weighing? What convinced your agency to apply?*) (*If respondent was not involved or cannot remember the application or baseline survey, skip to next section/Q8.*)
3. Which statutory objectives were most important to your agency at the time of application? How did you prioritize among and within the statutory objectives of cost effectiveness, self-sufficiency, or housing choice?
4. Were there other local or PHA objectives – outside the three statutory objectives – that were important to your agency at that time?
5. Were there specific programmatic or operational challenges you were seeking to address in applying for MTW?
6. Were there specific outcomes or goals you were seeking to achieve in applying for MTW?
7. Did you have a clear view at the time of completing the Baseline Survey of what policy or program changes you wanted to implement with your MTW flexibility?

Moving from the Baseline Survey to the MTW Plan

Now let's talk about the MTW plan that you submitted earlier this year as part of the second phase of the application process, and any changes that your agency made in your planned MTW program between the submission of the Baseline Survey and the MTW Plan.

8. Did your agency (management, staff, or board members) have any reservations about submitting the full application? If so, what were they and how did you overcome those reservations?
9. Can you walk me through the process that you undertook to develop the MTW Plan?
 - a. Which PHA staff were involved?
 - b. Did you seek input from residents?
 - c. Did you seek input from other community stakeholders?
 - d. To what extent was the Board involved?
10. (*If there are objectives in the MTW Plan that were not in the Baseline Survey. Ask for each new objective.*) It looks like was not an objective at the time you complete the Baseline Survey but is in your MTW Plan as an objective. What motivated you to add this objective?
11. (*If there are objectives that were in the Baseline Survey but are not in the MTW Plan. Ask for each removed objective.*) It looks like was an objective at the time you complete the Baseline Survey but is not in your MTW Plan. Why is your agency no longer pursuing this objective?

12. (If there are activities in the MTW Plan but not in the Baseline Survey. Ask for each new activity.) I see X activity in your MTW Plan that was not in your Baseline Survey. What motivated you to add this activity?
13. (If there are activities that were in the Baseline Survey but are not in the MTW Plan. Ask for each removed activity.) I see X activity was in your Baseline Survey but not in your MTW Plan. Why is your agency no longer planning to implement this activity?

Plans for Year 1 MTW Implementation

Now let's talk more about your plans for the coming year. I would like to learn more about the MTW activities your agency has planned for its first year of MTW designation.

MTW Activities Related to Cost Effectiveness

If PHA is planning to implement activities associated with the **cost effectiveness** objective, ask:

14. What are the factors at your agency or in your community that affect program and PHA costs?
15. (If not addressed in previous questions.) How did your agency determine which activities to undertake with statutory objective of cost effectiveness?
16. Let's discuss each of the activities that you are planning associated with cost effectiveness. I see X, Y, and Z in the MTW Plan. Can you tell me a little bit more about each of those initiatives?
- (Complete for each activity:)
- Details of the changes the PHA is planning to make and how they are expected to affect costs
 - Which housing programs the change affects
 - How it affects staffing
 - How it affects other aspects of PHA operations
 - Timeframe for implementation
 - How the PHA will track results or outcomes
17. Which of these agency-planned MTW activities do you think will have the biggest positive impact on costs? Why?
18. Do you think you will be able to isolate cost changes that are a result of a specific MTW activity? If not, why not?
19. I see that you identified the following areas in your MTW Plan/Baseline Survey as areas for reinvestment of cost savings: [AREAS IDENTIFIED]. How did you prioritize these areas? Are there other areas that are important to your agency?

MTW Activities Related to Self-Sufficiency

If PHA is planning to implement activities associated with the **self-sufficiency** objective, ask:

20. How does your agency define self-sufficiency? Why do you consider that to be a good measure of self-sufficiency?

21. What are the factors in your community that affect residents' ability to move toward self-sufficiency?
22. *(If not addressed in previous questions.)* How did your agency determine which activities to undertake with the statutory objective of self-sufficiency?
23. Let's discuss each of the activities that you are planning to encourage self-sufficiency. I see **X**, **Y**, and **Z** in the MTW Plan. Can you tell me a little bit more about each of those initiatives?

(Complete for each activity:)

- a. What are the changes the PHA is planning to make and how are they expected to affect self-sufficiency?
 - b. Which housing programs and populations will the initiative apply to?
 - c. *If limited to specific public housing sites:* How were those sites selected?
 - d. What is the timeframe for implementation and rollout for the initiative?
 - e. Does the PHA anticipate creating a hardship policy related to the initiative?
 - f. Does the PHA expect the initiative to affect PHA staffing or other aspects of PHA operations?
 - g. How the PHA will track results or outcomes for the initiative?
24. Among the activities your agency plans on implementing for self-sufficiency, which one do you think will have the biggest impact on self-sufficiency? Why?
 25. What type of impact do you see these activities having on PHA and program costs?
 26. Do you see these activities having any impact on housing choice for residents? If so, describe.

MTW Activities Related to Housing Choice

*If PHA is planning to implement activities associated with the **housing choice** objective, ask:*

27. How does your agency define housing choice?
28. How would you describe the extent of choice that your PHA's residents or applicants have in where they live? What are the factors in your community that affect housing choice?
29. How did your agency determine which activities to undertake under the statutory objective of housing choice?
30. Let's discuss each of the activities that you are planning to increase housing choices. I see **X**, **Y**, and **Z** in the MTW Plan. Can you tell me a little bit more about each of those initiatives?

(Complete for each activity:)

- a. Details of the changes the PHA is planning to make and how they are expected to affect housing choice

- b. Which housing programs and populations the change affects
 - c. Timeframe for implementation and rollout
 - d. Does it affect PHA staffing or other aspects of PHA operations
 - e. How the PHA will track results or outcomes
31. Among the activities your agency plans on implementing for housing choice, which one do you think will have the biggest impact on housing choice? Why?
32. What type of impact do you see these activities having on PHA and program costs?
33. Do you see these activities having any impact on resident self-sufficiency? If so, describe.

Local Non-Traditional Programs

If PHA is planning to implement local non-traditional programs:

Let's discuss each of the local, non-traditional (LNT) programs you are planning to implement.

34. Why did your agency decide to use MTW flexibility to develop a LNT program?
35. I see X, Y, and Z in the MTW Plan. Can you tell me a little bit more about each of those initiatives?

(Complete for each initiative:)

- a. Details of the changes the PHA is planning to make
 - b. Which housing programs and populations the change affects
 - c. Timeframe for implementation and rollout
 - d. Does it affect PHA staffing or other aspects of PHA operations
 - e. How the PHA will track results or outcomes
36. *For each LNT program:* How did you determine how many households you would serve with the program?
37. *For each LNT program:* How did you determine the type and amount of assistance to be provided to households through the LNT program?
38. *For each LNT program:* Are there any services required or offered as part of the program? Who provides those services?
39. *For each LNT program:* Are you partnering with any outside agencies for the LNT? Or does your PHA have affiliate organizations that provide the services? For each partner or affiliated organization,
- a. Describe the partnership and how it came about.
 - b. What benefits does the partner receive as part of this partnership?
 - c. Are partners or any other organizations contributing funds or other resources to this program?

Funding Flexibility

40. How do you expect to use the MTW funding flexibility in the coming year?
41. What are your objectives in using your funding flexibility this way?
42. What results do you expect from the use of funding flexibility?
43. How will funding flexibility affect your agency's ability to meet the MTW statutory objectives?
44. Do you expect to bring in new sources of funding as a result of your participation in MTW? If so, describe the sources of funding and expected uses.
45. Do you foresee any negative effects for your agency of funding flexibility? Perhaps for individual program budgets?

Evaluation

46. Is your PHA planning to do any evaluation of its MTW program, either internally or using a third-party evaluator? If so,
 - a. What policies or programs will be evaluated?
 - b. What data will be used to evaluate the program? Will the PHA be collecting any new data from residents or about the agency or properties for the purposes of the evaluation?
 - c. What is the timeframe for the evaluation?
 - d. How will information from the evaluation be shared within the agency and with the broader community?

Wrap Up

Thank you for your time today. We just have a few more questions.

47. Thinking ahead, which MTW flexibilities do you expect to be most critical to achieving the program's three statutory objectives? Why?
48. *[If the PHA is trying to meet other objectives]* Which MTW flexibilities do you expect to be most critical to meeting the PHA's other objectives? Why?
49. Looking forward to the next year, what challenges do you expect to face in implementing your MTW program?
50. Is there any other information you would like to provide about your MTW program or activities?

Thanks very much for your time today. We will speak again around this time next year. Do you have any questions for me?

Instrument 2. Annual Telephone Interview with MTW PHAs

Interview respondent is the PHA Executive Director, MTW Coordinator, and/or one or more designated staff. The interviewer will prepopulate information from the Baseline Interview and MTW Supplement. The prepopulated information is highlighted in gray.

Introduction and Verbal Consent

HUD has hired Abt Associates to study Cohort 1 of the MTW Expansion. The purpose of the study is to understand how PHAs in the cohort use their MTW flexibility and how MTW affects outcomes for the PHA and its tenants. We are interviewing all the PHAs that received MTW designation under Cohort 1.

Your participation in this interview is voluntary and you are free to skip any questions you do not wish to answer. The questions in the interview have been reviewed by the Office of Management and Budget (OMB) under the Paperwork Reduction Act of 1995. We expect the interview to take about an hour. The OMB control number is XXXX-XXXX, expiring XX-XX-XXXX.

The study team will use the information you provide for research purposes only, not for any audit or compliance purposes. We will be taking notes but will not be recording this call. Only members of the study team will see your individual responses. Our reports to HUD will summarize the results from the interviews but will not name individuals. If we would like to highlight your PHA in one of our reports, we will give you the opportunity to review the text in advance.

There may be some questions you may not be able to answer or that are more appropriate for other staff. If you are unable to answer a question or would prefer not to answer, just let me know. You are free to skip any question you do not wish to answer.

Do you have any questions before we begin?

Introduction

1. In general, how are things going with your MTW program?
 - a. What were the highlights of the last year?
 - b. Did you experience challenges in implementing your program?
2. Have there been any changes at the PHA, such as leadership or Board changes, that affect the MTW program?
3. Have there been any changes in the community that could affect the MTW program?
4. Have there been any changes to the level of funding that you receive from HUD for your HCV and public housing programs?
5. Any other changes that could affect your MTW program and that I should be aware of?

Status of MTW Supplement

I see you have/do not have an approved MTW Supplement as of date.

6. *[For PHAs without an approved MTW Supplement]* What is the status of your MTW Supplement?

-
7. Can you walk me through the process your agency went through/is going through to develop the Supplement?
 - a. Which agency staff were involved in the Supplement's development?
 - b. Was the PHA's Board involved in the development? Did you make any changes to the Supplement as a result of consultation with the Board?
 - c. Did you involve residents in developing the Supplement? Did you make any changes as a result of resident input?
 - d. Did you involve any outside consultation (for example, community partners, local government, advocacy groups, general public)?
 8. Have you experienced challenges developing the Supplement or getting it approved? If so, describe.
 9. Is there training or support that you think your agency would benefit from in developing your MTW Supplement?

Changes in Program Goals and Activities Since MTW Plan [or last MTW Supplement]

Now I would like to review any changes that your agency made in your planned MTW program since the submission of your MTW Plan / latest MTW Supplement.

10. *(If the PHA appears to have changed its objectives.)* It looks like the PHA has changed its objectives somewhat, from X to Y? Do I have that right? What was the reason for the change?
11. *(If the PHA appears to have added new activities.)* It looks like the PHA has identified new activities to implement, X and Y? Do I have that right? Can you tell me why you added those activities? How do you plan to implement them?
12. *(If the PHA appears to have discontinued some activities.)* It looks like the PHA has decided not to implement activities X and Y? Do I have that right? Can you tell me why you decided not to pursue those activities?
13. *(If the PHA is using agency-specific waivers)* How did you determine that you would need to request agency-specific waiver(s) versus the existing set of waivers covered by the Operations Notice?
14. *(If the PHA has gone beyond the existing safe harbors)* How did you determine that you would need to go beyond the safe harbors in the Operations Notice?
15. Has the agency had any change in how it plans to use MTW's funding flexibility? If so, describe the change and the reason for the change.
16. Has the agency had any change in the outside funds it plans to raise? If so, describe the change and the reason for the change.

-
17. Are there any other changes to how your agency plans to use its MTW authority that we haven't mentioned? If so, what are they?

Implementation to Date of MTW Waivers and Activities

Interviewers will prepare a list of active, discontinued, and planned MTW waivers and activities based on the MTW Supplement and send it to the PHA in advance of the interview. The interviewer will ask the PHA to confirm or edit the list in advance of the interview and then will use the list to ask the following questions about any current or planned activities. For activities that continue from year to year, interviewers will build on the information collected the previous year.

18. Based on the chart I sent you and that you edited, it looks like you are continuing X, Y, and Z activities from last year and plan to implement A and B activities this year. How did your agency prioritize the activities to implement in the coming year?

Ask for each current or planned MTW activity:

19. Can you explain the connection between the activity and the primary statutory objective(s) [cost effectiveness/self-sufficiency/housing choice]?⁴⁰
20. Does the activity meet any other PHA objectives besides the statutory objectives?
21. Do you have any partnerships or affiliated nonprofits helping to implement this activity? If so:
- Describe the partner and type of organization.
 - How did the agency come to develop the partnership?
 - What is the nature of the partnership?
22. Can you describe what steps you have taken to implement this activity in the past year?
- Which agency staff have been involved?
 - Will any contractors, community partners, or other third parties be involved?
23. What is the timeframe for implementing the activity?
- How confident are you that your agency will meet your schedule for implementation for this activity?
 - What factors could affect your ability to meet the schedule or planned results for this activity?
24. Has the agency met its milestones for this activity in the past year?
25. *If the PHA has experienced delays:* What are the reasons for the delays? What steps has the PHA taken to address these challenges? What is the revised timeline for implementing your MTW activities?

⁴⁰ It may not be necessary to go through this in all cases. Some activities will be associated with one objective only and the connection will be obvious.

26. Have there been any changes to how you are currently implementing this activity (compared to when you started)?
27. When do you expect the activity to show results related to the statutory objective(s)?
 - a. What are the specific results you would expect to see?
 - b. How are you measuring and tracking the results?
28. Why does the PHA think this activity will have a [positive/negative/neutral] cost implication? Have you seen any impacts on cost to date?
29. Has this activity had any effect on PHA staffing to date? If so, when did these changes happen? How are you measuring changes in PHA staffing? (*For activities not yet implemented, ask about future expected effects.*)
30. Has this activity changed how you interact with tenants or other aspects of your work as a PHA? If so, how? (*For activities not yet implemented, ask about future expected effects.*)
31. Will this activity or has this activity required any changes to any of the PHA's policies or procedures in the PHA's Administrative Plan (HCV) or ACOP (public housing)? If so, describe.
32. It appears that this activity has/does not have a hardship policy (*refer to MTW Supplement*). Am I correct? *If needed:* What is the hardship policy?
33. It appears that you received hardship requests in the past year and approved requests? Is that correct? What are the main reasons requests are denied?

Local Non-Traditional (LNT) Programs

For each LNT identified in the MTW Supplement, ask:

34. What are the goals of the program?
35. How do you plan to implement this program in the next year?
36. How will you select households for participation in the program? What are the eligibility requirements? Has this changed over time?
37. How much assistance can households receive? How was this amount determined? Has this changed over time?
38. How long can households receive assistance? How was this determined? Has this changed over time?
39. Are there any services required or offered as part of the program? Who provides those services? Has this changed over time?

Lessons Learned and Wrap Up

40. Thinking back over your experiences with MTW thus far, which MTW flexibilities do you view as most critical to achieving the program's three statutory objectives? Why?
41. *[If the PHA is trying to meet other objectives]* Which MTW flexibilities do you view as most critical to meeting the PHA's other objectives? Why?
42. Can you identify any lessons that you have learned in implementing your MTW activities in the past year?
43. Is there training or support your agency would benefit from as you implement your MTW program?
44. Based on what you've done so far, what advice would you give a new MTW Agency?
45. Do you have any recommendations for how the MTW program could be changed to facilitate meeting its statutory objectives or your objectives as a PHA *(if different)*?

Thanks very much for your time today. We will speak again around this time next year. Do you have any questions for me?

Instrument 3. Baseline Online Survey for Non-MTW PHAs

Respondent is the PHA Executive Director and one or more designated staff.

Introduction

Thank you very much for taking the time to complete this brief survey. HUD has hired Abt Associates to study Cohort 1 of the MTW Expansion. We are sending the survey to all PHAs that applied for MTW in Cohort 1 but were assigned to the Control group (not receiving MTW designation).

This survey has been reviewed by the Office of Management and Budget (OMB) under the Paperwork Reduction Act of 1995. The OMB control number is XXXX-XXXX, expiring XX-XX-XXXX. We expect the survey to take less than 30 minutes to complete.

The study team will use the information you provide for research purposes only. Only members of the study team will see your individual responses. Feel free to share the survey with other staff as needed to answer the questions. You may also skip questions that you cannot or do not wish to answer.

If you have questions or concerns, please contact the Abt Project Director, Larry Buron, at Larry.Buron@abtassoc.com or (301) 634-1735.

Thank you for completing the survey!

Questions

1. Your agency applied to Cohort 1 of the MTW expansion in fall 2018 or spring 2019. Please briefly describe your objectives in applying for MTW.

2. Would your agency be interested in applying for MTW in the future?

- Yes (*Skip to Q4*)
- No

3. Please briefly describe why your agency is no longer interested in applying for MTW. (*Then skip to Q5.*)

4. Please briefly describe the policy or program changes you would like to implement if you became an MTW agency.

5. Since the time you applied for MTW, have you implemented any new activities (including program and policy changes) with the goal of increasing PHA or program cost efficiency, increasing resident self-sufficiency, or increasing housing choice for residents? (These are activities you would have implemented under the regular program rules or with waivers from HUD.)

- Yes
 - No (*Skip to Q9*)
6. Please briefly describe each activity you have implemented to increase PHA or program **cost efficiency**:
- Implemented activity 1: _____
 - Implemented activity 2: _____
 - Implemented activity 3: _____
 - N/A
7. Please briefly describe each activity you have implemented to increase resident **self-sufficiency**:
- Implemented activity 1: _____
 - Implemented activity 2: _____
 - Implemented activity 3: _____
 - N/A
8. Please briefly describe each activity you have implemented to increase **housing choices** for residents:
- Implemented activity 1: _____
 - Implemented activity 2: _____
 - Implemented activity 3: _____
 - N/A
9. In the coming year, do you plan to implement any new activities (including program and policy changes) that have the goal of increasing PHA or program cost efficiency, increasing resident self-sufficiency, or increasing housing choice for residents? (These are activities you would implement under the regular program rules or with waivers from HUD.)
- Yes
 - No (*Skip to Q13*)
10. Please briefly describe each activity you plan to implement to increase PHA or program **cost efficiency**:
- Planned activity 1: _____
 - Planned activity 2: _____
 - Planned activity 3: _____
 - N/A
11. Please briefly describe each activity you plan to implement to increase resident **self-sufficiency**:
- Planned activity 1: _____
 - Planned activity 2: _____
 - Planned activity 3: _____
 - N/A
12. Please briefly describe each activity you plan to implement to increase **housing choices** for residents.
- Planned activity 1: _____

- Planned activity 2: _____
- Planned activity 3: _____
- N/A

13. Please use the space below to enter any thoughts you'd like to share with the study team regarding the MTW demonstration or your agency's efforts to increase cost efficiency, self-sufficiency, or housing choice.

Thank you very much for completing this survey. A member of the study team will follow up with you in the next two weeks.

Instrument 4. Semi-Annual Online Survey for Non-MTW PHAs

Respondent is the PHA Executive Director and one or more designated staff.

Introduction

Thank you very much for taking the time to complete this brief survey for the MTW Cohort 1 Evaluation. We are sending the survey to all PHAs that applied to Cohort 1 but were assigned to the Control group.

This survey has been reviewed by the Office of Management and Budget (OMB) under the Paperwork Reduction Act of 1995. The OMB control number is XXXX-XXXX, expiring XX-XX-XXXX. We expect the survey to take less than 30 minutes to complete.

The study team will use the information you provide for research purposes only. Only members of the study team will see your individual responses. Feel free to share the survey with other staff as needed to answer the questions. You may also skip questions that you cannot answer.

If you have questions or concerns, please contact the Abt Project Director, Larry Buron, at Larry_Buron@abtassoc.com or (301) 634-1735.

Thank you for completing the survey!

Questions

1. In [YEAR OF COMPLETING THE SURVEY], you identified the following activities that your agency had implemented with the goal of increasing PHA or program cost efficiency, increasing resident self-sufficiency, and/or increasing housing choice for residents. (These are activities you would have implemented under the regular program rules or with waivers from HUD.)
 - Implemented activity 1: _____
 - Implemented activity 2: _____
 - Implemented activity 3: _____
 - Implemented activity 4: _____

2. Are these activities still active (or are the policies still in place) or have they been discontinued?

- Implemented activity 1: [check “active/underway,” “discontinued,” or “other (explain)”]
 - Implemented activity 2: [check “active/underway,” “discontinued,” or “other (explain)”]
 - Implemented activity 3: [check “active/underway,” “discontinued,” or “other (explain)”]
 - Implemented activity 4: [check “active/underway,” “discontinued,” or “other (explain)”]
3. Have you implemented any new activities (including program and policy changes) with the goal of increasing PHA or program cost efficiency, increasing resident self-sufficiency, or increasing housing choice for residents? (These are activities you would have implemented under the regular program rules or with waivers from HUD.)
- Yes
 - No (*Skip to Q7*)
4. Please briefly describe each new activity you have implemented to increase PHA or program **cost efficiency**:
- New implemented activity 1: _____
 - New implemented activity 2: _____
 - New implemented activity 3: _____
 - N/A
5. Please briefly describe new each activity you have implemented to increase resident **self-sufficiency**:
- New implemented activity 1: _____
 - New implemented activity 2: _____
 - New implemented activity 3: _____
 - N/A
6. Please briefly describe each activity you have implemented to increase **housing choices** for residents:
- New implemented activity 1: _____
 - New implemented activity 2: _____
 - New implemented activity 3: _____
 - N/A
7. In the coming year, do you plan to implement any new activities (including program and policy changes) with the goal of increasing PHA or program cost efficiency, increasing resident self-sufficiency, or increasing housing choice for residents? (These are activities you would implement under the regular program rules or with waivers from HUD.)
- Yes
 - No (*Skip to Q11*)
8. Please briefly describe each activity you plan to implement to increase PHA or program **cost efficiency**:
- Planned activity 1: _____
 - Planned activity 2: _____
 - Planned activity 3: _____
 - N/A

9. Please briefly describe each activity you plan to implement to increase resident **self-sufficiency**:

- Planned activity 1: _____
- Planned activity 2: _____
- Planned activity 3: _____
- N/A

10. Please briefly describe each activity you plan to increase **housing choices** for residents:

- Planned activity 1: _____
- Planned activity 2: _____
- Planned activity 3: _____
- N/A

11. Please use the space below to enter any thoughts you'd like to share with the study team regarding the MTW demonstration or your agency's efforts to increase cost efficiency, self-sufficiency, or housing choice.

Thank you very much for completing this survey. A member of the study team will follow up with you in the next two weeks.

Instrument 5. Baseline Telephone Interview with Non-MTW PHAs

Telephone interview will be with PHA Executive Director and one or more designated staff. Pre-populated information indicated in **grey**. Note that we do not expect most PHAs to have to answer all the questions on this guide. Most PHAs will likely only be implementing one or two initiatives and will not have many new initiatives for year to year.

Introduction

Thank you very much for speaking with me today. I am following up on the survey you recently completed. We are interested to learn a little bit more about the activities your agency has implemented or plans to implement related to cost efficiency, self-sufficiency, and housing choice.

The questions I am going to ask you have been reviewed by the Office of Management and Budget (OMB) under the Paperwork Reduction Act of 1995. The OMB control number is XXXX-XXXX, expiring XX-XX-XXXX. The interview should take no more than an hour.

The study team will use the information you provide for research purposes only, not for any audit or compliance purposes. We will be taking notes but will not be recording this call. Only members of the study team will see your individual responses. Our reports to HUD will summarize the results from the interviews but will not name individuals. If we would like to highlight your PHA in one of our reports, we will review the text with you in advance.

There may be some questions you may not be able to answer or that are more appropriate for other staff. If you are unable to answer a question, or would prefer not to answer, just let me know. You are free to skip any question you do not wish to answer.

Do you have any questions before we begin?

Activities Implemented or Underway

Ask the questions in this section only if the PHA indicated in the survey any activities underway.

You indicated in the survey that you have implemented the following activities related to cost efficiency, self-sufficiency, or housing choice (*interviewer reads the list of activities*):

- Implemented activity 1: _____
- Implemented activity 2: _____
- Implemented activity 3: _____
- Implemented activity 4: _____

I'd like to collect some more detailed information on each activity. *Ask the following questions for each implemented activity.*

1. What are the goal(s) of the activity?
2. Is the activity part of a larger PHA initiative? If so, describe.
3. Which program(s) does the activity apply to?
 - Public housing
 - HCV
 - FSS

-
- Other: _____
4. *[If public housing]* Does it apply to all sites, or just selected sites?
 - All sites
 - Select sites: _____
 5. Does the activity apply to new admissions, currently assisted households, or both? (*Question may not apply depending on the activity.*)
 - New admissions only
 - Currently assisted households only
 - New and currently assisted households
 - Other: _____
 - N/A
 6. Which household types does the activity apply to?
 - All household types
 - Nonelderly, nondisabled families
 - Elderly families
 - Disabled families
 - Other: _____
 - N/A
 7. Does the PHA have a hardship policy in the event that this activity constitutes a financial or other hardship for the family? If yes, describe.
 8. If yes, how many hardship requests did your agency receive in the past year? How many did your agency approve? What are the main reasons requests are denied?
 9. Did you seek a separate HUD waiver to implement the activity or was it something the PHA already had flexibility to implement under the regular program rules?
 10. Did the activity require a change to your Admin Plan (HCV) or ACOP (public housing)? If so, describe.
 11. When did the policy or program go into effect? (*If not yet in effect: What steps remain before it goes into effect?*)
 12. When do you expect the activity to show results related to the activity's objectives? What are the specific results you would expect to see? How will you measure and track results?
 13. Have you seen any of these results so far?
 14. What are the expected (or actual) effects of this activity on subsidy or administrative costs? (*Note whether the effects are expected or actual.*)

15. *[If the PHA expects to see or has seen an effect on costs]* Can you explain the relationship between the activity and costs (i.e., how the activity affects or would be expected to affect costs)?
16. How do you measure and track changes in costs? Have you seen any effects so far?
17. *[If not already addressed]*: What impact do you expect this activity to have on PHA operations; that is how the PHA runs its day-to-day work? When would you expect that impact to happen? Have you seen any of these effects so far?
18. *[If not already addressed]*: What impact do you expect this activity to have on PHA staffing? When would you expect that impact to happen? Have you seen any of these effects so far?
19. Has the activity had any effect on public or stakeholder support for your agency or for affordable housing in the community? If not, why not? If so, describe.

Planned Activities for the Coming Year

Ask the questions in this section only if the PHA indicated in the survey any activities planned for the coming year.

You indicated in the survey that you plan to implement the following activities related to **cost efficiency, self-sufficiency, or housing choice** in the coming year (*interviewer reads the list of activities*):

- Planned activity 1: _____
- Planned activity 2: _____
- Planned activity 3: _____
- Planned activity 4: _____

I'd like to collect some more detailed information on your plans for each activity. *Ask the following questions for each planned activity.*

20. What is the goal of the activity?
21. Which program(s) will the activity apply to?
 - Public housing
 - HCV
 - Other: _____
22. *[If public housing]* Will it apply to all sites, or just selected sites?
 - All sites
 - Select sites: _____
23. *[If selected public housing sites]* How did you choose the sites?
24. Will the activity apply to new admissions, currently assisted households, or both? (*Question may not apply depending on the activity.*)
 - New admissions only

- Currently assisted households only
 - New and currently assisted households
 - Other: _____
 - N/A
25. Which household types will the activity apply to?
- All household types
 - Nonelderly, nondisabled families
 - Elderly families
 - Disabled families
 - Other: _____
 - N/A
26. Will the PHA have a hardship policy in the event that this activity constitutes a financial or other hardship for the family? If yes, describe.
27. Will you seek a separate HUD waiver to implement the activity or is it something the PHA already has flexibility to implement under the regular program rules?
28. When do you expect the policy or program to go into effect? What steps does the PHA have to take to implement the policy or program?
29. When do you expect the activity to show results related to the activity's objectives? What are the specific results you would expect to see? How will you measure and track results?
30. What are the expected (or actual) effects of this activity on PHA or program costs? (*Note whether the effects are expected or actual.*)
31. [*If the PHA expects to see or has seen an effect on costs*] Can you explain the relationship between the activity and costs (i.e., how the activity affects or would be expected to affect costs)?
32. How do you measure and track changes in costs? Have you seen any effects so far?
33. [*If not already addressed*]: What impact do you expect this activity to have on PHA operations; that is, how the PHA runs its day-to-day work? When would you expect that impact to happen? Have you seen any of these effects so far?
34. [*If not already addressed*]: What impact do you expect this activity to have on PHA staffing? When would you expect that impact to happen? Have you seen any of these effects so far?
35. Do you expect the activity to have any impact on public or stakeholder support for your agency or for affordable housing in the community? If not, why not? If so, describe.

Lessons Learned / Thoughts on MTW

36. Can you identify any lessons that you have learned thus far in implementing your activities in the areas of cost efficiency, self-sufficiency, and housing choice?

37. Have you had any challenges in implementing these activities?

38. Would you still be interested in applying for MTW if given the chance?

- *(If interested in applying for MTW)* Why would you be interested in applying? What would you do differently if you had MTW designation?
- *(If not interested in applying for MTW)* Why would you not be interested in applying?

Do you have any other comments for the study team or for HUD on the MTW program or on your PHA's efforts in the areas of cost efficiency, self-sufficiency, or housing choice?

Thanks very much for your time today. Do you have any questions for me?

Instrument 6. Semi-Annual Telephone Interview with Non-MTW PHAs

Telephone interview will be with PHA Executive Director and one or more designated staff. Pre-populated information indicated in **grey**. Note that we do not expect most PHAs to have to answer all the questions on this guide. Most PHAs will likely only be implementing one or two initiatives and will not have many new initiatives for year to year.

Introduction

Thank you very much for speaking with me today. I am following up on the survey you recently completed. We are interested to learn a little bit more about the activities your agency has implemented or plans to implement related to cost efficiency, self-sufficiency, and housing choice.

The questions I am going to ask you have been reviewed by the Office of Management and Budget (OMB) under the Paperwork Reduction Act of 1995. The OMB control number is XXXX-XXXX, expiring XX-XX-XXXX. The interview should take no more than an hour.

The study team will use the information you provide for research purposes only, not for any audit or compliance purposes. We will be taking notes but will not be recording this call. Only members of the study team will see your individual responses. Our reports to HUD will summarize the results from the interviews but will not name individuals. If we would like to highlight your PHA in one of our reports, we will review the text with you in advance.

There may be some questions you may not be able to answer or that are more appropriate for other staff. If you are unable to answer a question, or would prefer not to answer, just let me know. You are free to skip any question you do not wish to answer.

Do you have any questions before we begin?

Activities Implemented or Underway

Ask the questions in this section only if the PHA indicated in the survey any activities underway.

You indicated in the survey that you have implemented the following activities related to cost efficiency, self-sufficiency, or housing choice (*interviewer reads the list of activities*):

- Implemented activity 1: _____
- Implemented activity 2: _____
- Implemented activity 3: _____
- Implemented activity 4: _____

I'd like to collect some more detailed information on each activity.

Activities Discussed in Previous Interview

Ask the following questions for each implemented activity discussed in the previous interview. Pre-populate with information from previous interview as applicable.

Let's start with the activities that we discussed when we spoke in [YEAR].

1. Does the activity have the same objective of [objective]? If not, what has changed and why?
2. Does the activity still apply to [program type]? If not, what has changed and why?

3. *[If public housing]* Does the activity still apply to *[public housing site/s]*? If not, what has changed and why?
4. Does the activity still apply to *[new admissions/existing tenants]*? If not, what has changed and why?
5. Does the activity still apply to *[household type/s]*? If not, what has changed and why?
6. Does the PHA still *[have/not have]* a hardship policy in the event that this activity constitutes a financial or other hardship for the family? Has the policy changed?
7. Last time we spoke, you indicated that the timeframe for implementing this activity was *[schedule for implementation]*. Is that still on track? If not, what challenges or obstacles have you encountered?
8. Last time we spoke, you indicated that you expected the activity to show results related to its objective(s) by *[timeline]* and that you would expect to see *[outcomes]*? Is that still your expectation? If not, what has changed?
9. Since we last spoke, has the activity had any impact on PHA operations? If not, do expect that it will in the future?
10. Since we last spoke, has the activity had any impact on PHA staffing? If not, do you expect that it will in the future?
11. Last time we spoke, you indicated that you expected the activity to have *[positive/neutral/negative]* cost implications. Is that what you have seen? If not, why not?
12. Have you seen any impact of the activity on how the PHA is perceived by its stakeholders in the community? What about how the community or local officials view affordable housing?
13. Has the activity had any other effects on the PHA, its residents, or the community that we have not discussed? If so, what?

Activities Not Discussed in Previous Interview

Ask these questions for each implemented activity not discussed in the previous interview but noted in the online survey.

It looks like you have implemented some activities that we did not discuss last time. What is the goal of the activity?

14. Which program(s) does the activity apply to?
 - Public housing
 - HCV
 - Other: _____

-
15. *[If public housing]* Does it apply to all sites, or just selected sites?
- All sites
 - Select sites: _____
16. *[If selected public housing sites]* How did you choose the sites?
17. Does the activity apply to new admissions, currently assisted households, or both? (*Question may not apply depending on the activity.*)
- New admissions only
 - Currently assisted households only
 - New and currently assisted households
 - Other: _____
 - N/A
18. Which household types does the activity apply to?
- All household types
 - Nonelderly, nondisabled families
 - Elderly families
 - Disabled families
 - Other: _____
 - N/A
19. Does the PHA have a hardship policy in the event that this activity constitutes a financial or other hardship for the family? If yes, describe.
20. It appears that you received hardship requests in the past year and approved requests? Is that correct? What are the main reasons requests are denied?
21. Did you seek a separate HUD waiver to implement the activity or was it something the PHA already had flexibility to implement under the regular program rules?
22. Did the activity require a change to your Admin Plan (HCV) or ACOP (public housing)? If so, describe.
23. When did the policy or program go into effect? (*If not yet in effect: What steps remain before it goes into effect?*)
24. When do you expect the activity to show results related to the activity's objectives? What are the specific results you would expect to see? How will you measure and track results?
25. Have you seen any of these results so far?
26. What are the expected (or actual) effects of this activity on PHA or program costs? (*Note whether the effects are expected or actual.*)

27. *[If the PHA expects to see or has seen an effect on costs]* Can you explain the relationship between the activity and costs (i.e., how the activity affects or would be expected to affect costs)?
28. How do you measure and track changes in costs?
29. *[If not already addressed]*: What impact do you expect this activity to have on PHA operations; that is how the PHA runs its day-to-day work? When would you expect that impact to happen? Have you seen any of these effects so far?
30. *[If not already addressed]*: What impact do you expect this activity to have on PHA staffing? When would you expect that impact to happen? Have you seen any of these effects so far?
31. Has the activity had any effect on public or stakeholder support for the agency or for affordable housing in the community? If not, why not? If so, describe.

Planned Activities for the Coming Year

Ask the questions in this section only if the PHA indicated in the survey any activities planned for the coming year.

You indicated in the survey that you plan to implement the following activities related to cost efficiency, self-sufficiency, or housing choice in the coming year (*interviewer reads the list of activities*):

- Planned activity 1: _____
- Planned activity 2: _____
- Planned activity 3: _____
- Planned activity 4: _____

I'd like to collect some more detailed information on your plans for each activity. *Ask the following questions for each planned activity.*

32. What is the goal of the activity?
33. Which program(s) will the activity apply to?
- Public housing
 - HCV
 - Other: _____
34. *[If public housing]* Will it apply to all sites, or just selected sites?
- All sites
 - Select sites: _____
35. *[If selected public housing sites]* How did you choose the sites?
36. Will the activity apply to new admissions, currently assisted households, or both? (*Question may not apply depending on the activity.*)
- New admissions only
 - Currently assisted households only

- New and currently assisted households
- Other: _____
- N/A

37. Which household types will the activity apply to?

- All household types
- Nonelderly, nondisabled families
- Elderly families
- Disabled families
- Other: _____
- N/A

38. Will the PHA have a hardship policy in the event that this activity constitutes a financial or other hardship for the family? If yes, describe.

39. Will you seek a separate HUD waiver to implement the activity or is it something the PHA already has flexibility to implement under the regular program rules?

40. When do you expect the policy or program to go into effect? What steps remain before it goes into effect?

41. When do you expect the activity to show results related to the activity’s objectives? What are the specific results you would expect to see? How will you measure and track results?

42. What are the expected (or actual) effects of this activity on subsidy or administrative costs? (*Note whether the effects are expected or actual.*)

43. [*If the PHA expects to see or has seen an effect on costs*] Can you explain the relationship between the activity and costs (i.e., how the activity affects or would be expected to affect costs)?

44. How do you measure and track changes in costs? Have you seen any effects so far?

45. [*If not already addressed*]: What impact do you expect this activity to have on PHA operations; that is how the PHA runs its day-to-day work? When would you expect that impact to happen? Have you seen any of these effects so far?

46. [*If not already addressed*]: What impact do you expect this activity to have on PHA staffing? When would you expect that impact to happen? Have you seen any of these effects so far?

47. Do you expect the activity to have any impact on public or stakeholder support for the agency or for affordable housing in the community? If not, why not? If so, describe.

Lessons Learned / Thoughts on MTW

48. Can you identify any lessons that you have learned thus far in implementing your activities in the areas of cost efficiency, self-sufficiency, and housing choice?

49. Have you had any challenges in implementing these activities?

50. Would you still be interested in applying for MTW if given the chance?

- *(If interested in applying for MTW)* Why would you be interested in applying? What would you do differently if you had MTW designation?
- *(If not interested in applying for MTW)* Why would you not be interested in applying?

51. Do you have any other comments for the study team or for HUD on the MTW program or on your PHA's efforts in the areas of cost efficiency, self-sufficiency, or housing choice?

Thanks very much for your time today. Do you have any questions for me?

Appendix C. Compendium of Outcome Measures for MTW Statutory Objectives

As part of developing the RD/DCAP, we reviewed the research literature on MTW, as well as recommendations from the US Government Accountability Office (GAO) and HUD documents, to identify outcome measures to measure the MTW statutory objectives. The following tables summarize the results of the review.

1. Measures Reviewed for Statutory Objective 1, Cost Effectiveness

Measure or Metric	Administrative Data Source(s)	Specifications / Considerations / Caveats	Literature Source(s)
Average administrative expense per household, HCV	FASS-PH	<ul style="list-style-type: none"> FASS-PH MTW column includes costs for all regular HCV subject to MTW but also includes costs for local, non-traditional (LNT) uses of MTW funds. It is not possible to separate out money spent on administrative costs related to LNT uses. (Non-MTW PHAs will not have spending on non-traditional uses in their data.) It is not possible to get to a finer level of granularity than overall administrative costs. Since numerator includes costs associated with LNT households, need to have an accurate count of LNT households, which we expect to be available through PIC and/or the MTW Supplement. To compare absolute numbers across PHAs, may need to adjust for differences in local labor costs. 	GAO-18-150 Buron et al. 2017
Average subsidy expense per household, HCV	VMS	<ul style="list-style-type: none"> Rents vary substantially across the United States so an adjustment for rent costs (e.g., by 2-bedroom FMR) needs to be made for comparison to other PHAs. 	GAO-18-150 Buron et al. 2017
Average operating expense per household, PH	FASS-PH	<ul style="list-style-type: none"> FASS-PH data allows public housing operating costs to be broken down into maintenance, administration, and utilities. May need to exclude utility costs as PHAs that pay the utilities centrally will have higher costs than those whose tenants pay (e.g., scattered site housing). With comingled MTW funding, it can be hard to distinguish capital spending from operations spending. Also, a problem for non-MTW PHAs that may use capital spending for maintenance issues. To compare absolute numbers across PHAs, may need to adjust for differences in local labor costs. 	GAO-18-150 Buron et al. 2017
Average HCV tenant services expense per household	FASS-PH	<ul style="list-style-type: none"> Defined as all tenant services expenses for the HCV program divided by the number of voucher households served 	GAO-18-150

Measure or Metric	Administrative Data Source(s)	Specifications / Considerations / Caveats	Literature Source(s)
Average central office cost center (COCC) operating expense per household	FASS-PH	<ul style="list-style-type: none"> Defined as all operating expenses for the COCC divided by total households served by the PHA. Not all PHAs will have a COCC. Impossible to identify (using only administrative data) which expenses charged to the COCC are for MTW programs versus non-MTW programs or activities. Some COCC costs may not directly relate to households served (for example, if the PHA serves as a pass-through grantee for community development work). HUD approves COCC fees so may be difficult to determine whether higher COCC fees represent a negative outcome if those fees are within HUD's approved limits. COCC rates are also strongly correlated to HCV administrative fee rates and the level of operating cost subsidy. 	GAO-18-150
Per-household HCV reserve funds	VMS	<ul style="list-style-type: none"> Total HCV reserve funds divided by total households served. 	GAO-18-150
Actual HCV reserves vs. HCV reserve threshold	VMS	<ul style="list-style-type: none"> Comparison of current HCV reserves to a minimum and maximum threshold determined by HUD. 	GAO-18-150
MTW funds spent on non-PH, non-HCV housing assistance per household	VMS	<ul style="list-style-type: none"> Measure is based on number households served and would include forms of assistance such as move-in expenses and time-limited assistance. VMS data includes HCVP HAP funding expended by the PHA for operation of LNT programs, which seems to include both administrative and subsidy costs. Would need to have some description of specific LNT program in order to compare across MTW PHAs since levels of subsidy will be different by design. 	Buron et al. 2017
Households served per \$100,000 in MTW funding	Various HUD data	<ul style="list-style-type: none"> Defined as the sum of all households served (PH, HCV, and LNT) divided by the total amount of funding (HCV plus PH) the PHA receives, adjusted for inflation. Need an approach to count shallow-subsidy households. 	October 2018 Operations Notice ⁴¹
Per task administrative cost savings	Form 50900 ⁴²	<ul style="list-style-type: none"> Defined as the actual cost of the task minus an agency-set benchmark for the task. No comparable information available from non-MTW PHAs. 	
Staff time savings	Form 50900	<ul style="list-style-type: none"> Defined as the actual amount of total staff time dedicated to the task after implementation (in hours) minus benchmark time. 	
Decrease in error rate of task execution	Form 50900	<ul style="list-style-type: none"> Defined as actual average error rate after implementation of activity minus benchmark error rate. 	
Increase in agency rental revenue	Form 50900	<ul style="list-style-type: none"> Defined as actual household contributions toward housing assistance after activity implementation minus benchmark contribution amount. 	

⁴¹ Federal Register Notice, FR-5994-N-03, Operations Notice for the Expansion of the MTW Demonstration Program (Operations Notice), October 5, 2018.

⁴² Form 50900: Elements for the Annual Plan and MTW Report.

Measure or Metric	Administrative Data Source(s)	Specifications / Considerations / Caveats	Literature Source(s)
Non-traditional funding for the PH and HCV program	Form 50900	<ul style="list-style-type: none"> Program income and non-traditional funding may be comingled in FASS-PH data. Analysis of individual PHA submission data from the front-end of the system would provide some insight into the combined line items. PHAs would readily have the detail of the amounts reported on those combined FDS lines in their general ledger. Leveraging of funds not reported on the PHA's books would be difficult to determine based on current data (e.g., the PHA created a nonprofit that it funds with MTW funds and other third parties provide resources to the nonprofit. The nonprofit is not on the PHA's books. We would likely not be able to measure the third-party contributions). 	

2. Measures Reviewed for Statutory Objective 2, Self-Sufficiency

Measure or Metric	Administrative Data Source(s)	Specifications / Considerations / Caveats	Literature Source(s)
Attain household income at 80% of AMI	PIC		GAO-18-150
Attaining household income at 50% of AMI	PIC		GAO-18-150
Percent of households meeting minimum rent threshold	PIC		GAO-18-150
The percent of nonelderly, nondisabled households whose earnings have increased since admission to subsidized housing.	PIC or NDNH	<ul style="list-style-type: none"> Calculation is from date of admission to most recent income certification for currently assisted households. Used the Bureau of Labor Statistics' Consumer Price Index for urban wage earners and clerical workers to place the earnings in constant dollars. If using PIC data, need to be mindful of how frequently the PHA collects earnings information and how they collect it. Comparing earnings across PHAs is complicated by the presence of zero earnings households at baseline: their earnings can only go up so a PHA with a high share of zero earnings has more potential to look like a good performer on these measures. So may want to also do separately by zero and nonzero earners at baseline 	Buron et al. 2017
The percent of nonelderly nondisabled households whose earnings have decreased since admission to subsidized housing.	PIC	<ul style="list-style-type: none"> Same caveats as above 	Buron et al. 2017

Measure or Metric	Administrative Data Source(s)	Specifications / Considerations / Caveats	Literature Source(s)
The average annual change in earnings since admission for nonelderly nondisabled households.	PIC	<ul style="list-style-type: none"> caveats as above, and Annual change in earnings is defined as total change in earnings since base year divided by the number of years between the baseline and current year. 	Buron et al. 2017
Adjusted increase in earnings of nonelderly, nondisabled households since enrollment	FSS Performance Measurement System ⁴³	<ul style="list-style-type: none"> For households enrolled 3.5 to 7.5 years prior to the end of the most recent period for which PIC earnings data available. (Time period is tailored to FSS program but could be generalized.) Measures are adjusted for earning growth among similar households who do not receive services at PHA and local economic conditions. Requires HUD to do matching process and to calculate adjustment factor. 	N/A
Share of nonelderly nondisabled households whose annual earnings are (a) a minimum of \$1,200 and have increased by at least 50% since admission (b) \$6,000 higher since admission or (c) are currently at \$14,500 or more.	PIC	<ul style="list-style-type: none"> This measure is an attempt to make a threshold for progress in earnings and ultimately economic sufficiency. By its nature, it requires subjectivity, which may mean it is not a good candidate for a performance management system. For the 50% earnings growth since baseline measure, baseline earnings of \$1,200 was added to ensure that the 50% earnings growth was at least \$600. The current earnings threshold of \$14,500 was added to recognize that households above a certain earnings level may have less of an incentive to increase their earnings and/or less ability to make large earnings gains. \$14,500 was chosen because is represent full-time, year-round work (40 hours per week for 50 weeks) at the minimum wage (\$7.25 per hour). The \$6,000 in earnings growth since admissions was an attempt to capture substantial earnings growth for households with high enough baseline earnings that they do not meet the 50% earnings growth criterion. However, given the other criteria, it only affects households with baseline earnings between 12,000 and \$14,500. A revision to this measure might be in terms of average annual earnings growth, such as average annual earnings growth of at least \$600 per year. 	Buron et al. 2017
Share of nonelderly nondisabled households where the head was unemployed at admission but is now employed.	PIC	<ul style="list-style-type: none"> This measure focuses on employment rather than level of earnings and is for the head of household only. Measure was not directly tested in HAI report, but essentially analyzed whether anyone in the household was employed by separately reporting on zero earning households in our earnings growth analysis. Using PIC data, unemployment would need to be defined as “zero” earnings rather than using BLS’s official definition of unemployment (no working, available for work, and have recently looked for work). 	Buron et al. 2017

⁴³ See: https://www.hud.gov/sites/dfiles/PIH/documents/Complete_Description_of_FSS_Performance_Measurement_System_2018_11_15.pdf

Measure or Metric	Administrative Data Source(s)	Specifications / Considerations / Caveats	Literature Source(s)
Share of nonelderly nondisabled households where the head was employed at admission but is now unemployed.	PIC	<ul style="list-style-type: none"> This measure focuses on employment rather than level of earnings and is for the head of household only. Measure was not directly tested in HAI report, but essentially analyzed whether anyone in the household was employed by separately reporting on zero earning households in our earnings growth analysis. Using PIC data, unemployment would need to be defined as “zero” earnings rather than using BLS’s official definition of unemployment (no working, available for work, and have recently looked for work). 	Buron et al. 2017
Employment retention	<i>Not identified</i>	<ul style="list-style-type: none"> Unclear how would track using existing administrative data. Could potentially obtain through NDNH data. 	FSS Public Comments ⁴⁴
Increase in earned household income	Form 50900	<ul style="list-style-type: none"> Average earned income of households affected by this policy in dollars minus benchmark average earned income 	N/A
Increase in positive outcomes in employment status: Unemployed	Form 50900	<ul style="list-style-type: none"> Actual heads of work-able households unemployed minus benchmark 	N/A
Increase in positive outcomes in employment status: Full-time	Form 50900	<ul style="list-style-type: none"> Actual heads of work-able households employed full-time minus benchmark 	N/A
Increase in positive outcomes in employment status: Part-time	Form 50900	<ul style="list-style-type: none"> Actual heads of work-able households employed part-time minus benchmark 	N/A
Voluntary termination of housing assistance	Form HUD-50058-MTW Expansion Family Report	<ul style="list-style-type: none"> Only available for expansion MTW agencies through new Form HUD-50058-MTW Expansion Family Report. The Form HUD-50058, Family Report that non-MTW PHAs use does not have a reason for exit field. 	GAO-18-150

⁴⁴ Summary of All Comments on HUD-2017-0076-0001 FR-6046-N-01 Family Self- Sufficiency Performance Measurement System (“Composite Score”) posted as of January 31, 2017.

Measure or Metric	Administrative Data Source(s)	Specifications / Considerations / Caveats	Literature Source(s)
Share of households experiencing positive exits from subsidized housing	<i>Not identified</i>	<ul style="list-style-type: none"> This measure focuses on whether circumstances of participants improved enough that they can find stable housing without housing assistance. Positive exits could be defined as exits (1) to homeownership, (2) to market-rate rental housing in circumstances suggesting stability, and (3) due to a household being over-income The primary challenge tracking exits is that households leave without an exit interview, so their exit outcome is unknown. Another challenge is defining whether an exit is positive, neutral (exclude from calculation?), or negative. This includes exits to nursing care facilities, other institutions, or other forms of subsidized housing. Most PHAs do not track exits, but a few MTW PHAs have developed or are working on procedures to do so. There systems and experiences can be used to help other PHAs to start tracking exits. 	Buron et al. 2017
Households served by a service coordinator	<i>Not identified</i>	<ul style="list-style-type: none"> Buron et al. found service coordinator caseloads hard to pin down. Measure is an output, not an outcome. 	GAO-18-150 Buron et al. 2017
Number of households served by full-time equivalent service coordinator with caseload of 100 households or fewer per year.	<i>Not identified</i>	<ul style="list-style-type: none"> In Buron et al., measure was the number of full-time equivalent service coordinators overall, for elderly or disabled public housing residents, for nonelderly and nondisabled public housing residents, and for all HCV households. Excludes service coordinators funded by ROSS or FSS. A performance measure for all PHAs should consider including these service coordinators as another indicator. In test of measure, were unable to obtain data on the number of households actually served by these coordinators and calculations based on the number of households in each category did not seem informative for actual caseloads. 	Buron et al. 2017
Composite self-sufficiency score	FSS Performance Measurement System	<ul style="list-style-type: none"> Based on decile rankings for the average standardized scores across earnings, graduation, and participation. Not all of these measures are available in administrative data. 	N/A
Number of savings accounts opened	<i>Not identified</i>		GAO-12-490
Increase in household savings	Form 50900	<ul style="list-style-type: none"> Average amount of savings/escrow of households affected by the policy after implementation of activity minus benchmark average amount of savings/escrow 	N/A
Credit repair and credit building	<i>Not identified</i>		FSS Public Comments
Average escrow/savings disbursement	<i>Not identified</i>		FSS Public Comments
Percent with progress on or who have met a self-sufficiency goal	<i>Not identified</i>	<ul style="list-style-type: none"> Measure is narrow – specific to FSS programs only Ideally, measures should be same across people and PHAs 	FSS Public Comments

Measure or Metric	Administrative Data Source(s)	Specifications / Considerations / Caveats	Literature Source(s)
Graduates of self-sufficiency services (FSS)	<i>Not identified</i>	<ul style="list-style-type: none"> Measure is specific to FSS programs only. Could propose alternative service-related metric that apply to service-related activities (benchmark # served against expected #), but not all MTWs do services 	FSS Public Comments
FSS graduation rate	<i>Not identified</i>	<ul style="list-style-type: none"> Share of participants who entered PHA FSS program 5 to 8 years before the end of the most recent period for which PIC data are available who successfully graduated from the FSS program; excludes non-graduating FSS participants who exited housing assistance before end of data period from both numerator and denominator of rate calculation Could propose alternative service-related metric that apply to service-related activities (benchmark # served against expected #), but not all MTWs do services 	FSS Public Comments
Ratio of number of FSS participants to minimum number of FSS participants expected to be served per service coordinator	<i>Not identified</i>	<ul style="list-style-type: none"> Numerator: Higher of: <ol style="list-style-type: none"> average enrollment in past three fiscal years enrollment in most recent fiscal year Denominator: <ol style="list-style-type: none"> If service coordinator FTE < 2, FTE * 25 If service coordinator FTE >= 2 then: 25 + (FTE-1) * 50 First FT coordinator expected to serve 25 minimum, each additional FT coordinator expected to serve 50 minimum Specific to FSS and not all MTWs do services 	FSS Public Comments
Degree completion	<i>Not identified</i>	<ul style="list-style-type: none"> Unclear how would track using existing administrative data. Could potentially obtain National Student Clearinghouse matches, but would be costly at a national scale. 	FSS Public Comments
Post-secondary enrollment	<i>Not identified</i>	<ul style="list-style-type: none"> Unclear how would track using existing administrative data. Could potentially obtain National Student Clearinghouse matches, but would be costly at a national scale. 	FSS Public Comments
Increase in positive outcomes in employment status: Educational program	Form 50900	<ul style="list-style-type: none"> Actual heads of work-able households enrolled in an educational program minus benchmark 	N/A
Increase in positive outcomes in employment status: Job training program	Form 50900	<ul style="list-style-type: none"> Actual heads of work-able households enrolled in a job training program minus benchmark 	N/A
Increase in positive outcomes in employment status: Other	Form 50900	<ul style="list-style-type: none"> Actual heads of work-able households in other employment status minus benchmark 	N/A

Measure or Metric	Administrative Data Source(s)	Specifications / Considerations / Caveats	Literature Source(s)
Households transitioned to self-sufficiency	Form 50900	<ul style="list-style-type: none"> Actual households transitioned to self-sufficiency (as defined by each PHA) after activity implementation minus benchmark Benchmark for this measure was set locally, so unclear how would use for comparisons among agencies 	N/A
Households assisted by services that increase self-sufficiency	Form 50900	<ul style="list-style-type: none"> Actual number of households receiving self-sufficiency services minus benchmark Output rather than outcome measure 	N/A
Households removed from TANF	Form 50900	<ul style="list-style-type: none"> Actual number of households receiving TANF minus benchmark TANF has time limitations built in, so could be a function of time and not an indicator of self-sufficiency External factors and variation in local conditions and policies could also influence TANF removal 	N/A

3. Measures Reviewed for Statutory Objective 3, Housing Choice

Measure or Metric	Administrative Data Source(s)	Specifications / Considerations / Caveats	Literature Source(s)
Proportion of voucher households in neighborhoods (census tracts) with poverty rates in the lowest quartile for the PHA's jurisdiction	ACS 5-year data	<ul style="list-style-type: none"> Some PHA jurisdictions may primarily consist of low-poverty neighborhoods, where relative movement would not be expected to produce meaningful differences in opportunity and may be very difficult to achieve 	GAO-18-150 Buron et al. 2017
Proportion of voucher households in neighborhoods with poverty rates below the median poverty rate for the PHA's jurisdiction	ACS 5-year data	<ul style="list-style-type: none"> Median poverty rate may still be quite high in some PHA jurisdictions. Unclear if below-median poverty sufficiently reflects increased opportunity. 	GAO-18-150 Buron et al. 2017
Proportion of voucher households in neighborhoods with poverty rates below the median poverty rate for the metropolitan area	ACS 5-year data	<ul style="list-style-type: none"> Median poverty rate may still be quite high in some metropolitan areas. Unclear if below-median poverty sufficiently reflects increased opportunity. PHAs that do not span a metro area would have to have households port-out to reach lower poverty neighborhoods outside their jurisdiction. 	GAO-18-150 Buron et al. 2017
Distribution of voucher households by absolute neighborhood poverty rates	ACS 5-year data	<ul style="list-style-type: none"> Percentage of voucher households that live in neighborhoods with 10% or less, >10-20%, >20-30%, and more than 30% neighborhood poverty at the census tract level 	Buron et al. 2017

Measure or Metric	Administrative Data Source(s)	Specifications / Considerations / Caveats	Literature Source(s)
Proportion of voucher households in neighborhoods with poverty rates in the lowest quartile for the metropolitan area	ACS 5-year data	<ul style="list-style-type: none"> PHAs that do not span a metro area would have to have households port-out to reach lower poverty neighborhoods outside their jurisdiction. 	Buron et al. 2017 Dastrup et al. 2018
Percentile rank of percent of non-poor households in a ZIP code relative to metro area	ACS 5-year data	<ul style="list-style-type: none"> The percent non-poor is the ratio of the population above the poverty level to the total population for whom study determined poverty status for each census tract. Study used rate non-poor (1 minus poverty rate) rather than the more traditional poverty rate, so this measure can be consistent with the other indexes used in a single composite measure. Census tract percent non-poor converted to ZIP Code non-poor based on population-weighted crosswalks ZIP Code measure normalized relative to the population of renters in the metropolitan areas to generate percentile ranks for percent non-poor households 	Dastrup et al. 2018
Average school proficiency rate: percentile ranking relative to the metropolitan area	School Proficiency Index	<ul style="list-style-type: none"> Measure is the average percentile ranking of the raw indicator based on a normalized distribution of school proficiency index for census tracts in the metropolitan area. Raw index ranges from 0 to 100 percent proficiency based on school-level data on state standardized proficiency tests in math and reading for 4th grade students to approximate the quality of local public schools. Schools included in the index computation based on up to 3 public school(s) nearest to each block group within 1.5 miles of block group centroid and school zone from the School Attendance Boundary Information System. Weighted block group data by numbers of households to create census tract-level data. The higher the score, the higher the school system quality is in the neighborhood. 	Dastrup et al. 2018
Environmental hazards	AFFH-T Environmental Health Hazard Index (2005)	<ul style="list-style-type: none"> Census tract-level index of potential exposure to toxins based on National Air Toxic Assessment data from the U.S. Environmental Protection Agency. The higher the value, the better the environmental quality of a neighborhood. SAFMR study normalized measure as the percentile of the raw indicator within the population of renters in the metropolitan area. 	Dastrup et al. 2018
SAMFR overall opportunity index	Multiple	<ul style="list-style-type: none"> Measured as percentile rank by renters in the metropolitan area of the simple average of the percentile rank indexes for the share of non-poor, public school quality, employment access, and environmental hazards indicators. SAFMR measure uses ZIP-code level measures, cross-walked from census-tract data. 	Dastrup et al. 2018

Measure or Metric	Administrative Data Source(s)	Specifications / Considerations / Caveats	Literature Source(s)
Employment access	Jobs Proximity Index (2010)	<ul style="list-style-type: none"> This index measures the access a neighborhood has to employment opportunities as measured by the distance between block groups and job locations weighted by employment size. The higher the index value, the better the access to employment opportunities for residents in a neighborhood. SAFMR study normalized measure as the percentile of the raw indicator within the population of renters in the metropolitan area. 	Dastrup et al. 2018
Neighborhood violent crime rate	Locally available police data	<ul style="list-style-type: none"> Measured as number of reported violent crimes in the census tract by the total population in the census tract No standard federal definition for violent crime in the UCR and no standard federal statistics uniformly available at the census tract level. Recent nearby homicides linked to lower performance on cognitive tests. Weaker causal evidence when other types of violent crimes included in definition. 	Sharkey 2010 Sharkey et al. 2012 Sharkey et al., 2014
Average income in census tract	ACS 5-Year	<ul style="list-style-type: none"> Operationalized as mean income in census tract in Chetty et al. study Young children in MTO treatment group, who had better outcomes, were also in census tracts with higher mean incomes 	Chetty, Hendren, & Katz, 2016
Racial segregation in census tract	ACS 5-Year	<ul style="list-style-type: none"> Operationalized as share of black residents in MTO study Young children in MTO treatment group who had better outcomes were also in census tracts with less racial segregation 	Chetty, Hendren, & Katz, 2016
Share of female-headed households in census tract	ACS 5-Year	<ul style="list-style-type: none"> Operationalized as share of female-headed households in Chetty et al. study Young children in MTO treatment group who had better outcomes were also in census tracts with a lower share of female-headed households 	Chetty, Hendren, & Katz, 2016
Center for Budget and Policy Priorities Opportunity Index	ACS 5-Year, HUD AFFH-T indices	<ul style="list-style-type: none"> Composite measure based on national distribution of average z-scores of five opportunity indices from HUD's Affirmatively Furthering Fair Housing tool: school quality, poverty, labor market engagement, access to jobs, and access to transit. Neighborhoods are divided into quintiles of average standardized opportunity scores, with the top quintile being defined as high-opportunity neighborhoods and the bottom quintile as low-opportunity neighborhoods 	Mazzara and Knudsen 2019
Increase in resident mobility	Form 50900	<ul style="list-style-type: none"> Actual households able to move to a better unit or neighborhood of opportunity after implementation of the activity minus benchmark 	N/A
Percentage of voucher families with children living in low poverty neighborhoods	HUD-52648 ⁴⁵	<ul style="list-style-type: none"> % of Section 8 families with children in PHA principal operating area at the end of the last PHA FY living in low poverty census tracts (defined as poverty rate below the overall poverty rate for the principal operating area for the housing authority or at or below 10% poverty) Only for PHAs with jurisdiction in metropolitan FMR areas 	N/A

⁴⁵ Section 8 Management Assessment Program (SEMAP) certification, available at: <https://www.hud.gov/sites/dfiles/PIH/documents/HUD-52648.pdf>.

Measure or Metric	Administrative Data Source(s)	Specifications / Considerations / Caveats	Literature Source(s)
Percentage of voucher families with children moved to low poverty neighborhoods in last year	HUD-52648	<ul style="list-style-type: none"> Share of Section 8 families with children who moved to a low poverty census tract during the last FY minus the share of all Section 8 families with children residing in low poverty census tracts (defined as poverty rate below the overall poverty rate for the principal operating area for the housing authority or at or below 10% poverty) Only for PHAs with jurisdiction in metropolitan FMR areas 	N/A
Percentage of voucher families with children moved to low poverty neighborhoods in last two years	HUD-52648	<ul style="list-style-type: none"> Share of Section 8 families with children who moved to a low poverty census tract during the last TWO FYs minus the share of all Section 8 families with children residing in low poverty census tracts at the end for the second-to-last completed fiscal year (defined as poverty rate below the overall poverty rate for the principal operating area for the housing authority or at or below 10% poverty) Only for PHAs with jurisdiction in metropolitan FMR areas 	N/A
Number of agency's vouchers that are currently being administered by other agencies via portability (port-outs)	PIC, VMS	<ul style="list-style-type: none"> Measure defined as all current agency vouchers being administered by other housing agencies Port outs reflect the choice to move and may reflect moves to low or lower poverty neighborhoods, particularly in PHAs with higher concentrations of poverty. Calculating whether this is actually the case may be too resource intensive. Too many port outs may reflect households moving away from MTW rent rules that aren't favorable for them or they perceive as too burdensome. This measure may provide an indicator, but would need further analysis to determine if this is an issue. 	Buron et al. 2017
Number of vouchers issued by other agencies that agency is administering via portability (port-ins)	PIC, VMS	<ul style="list-style-type: none"> This measure does not include port-ins that that the receiving agency absorbs. If this information could be made available through PIC data or another source, it should also be included in the measure. Both absorbed and administered vouchers reflect on the ability of voucher holders to exercise geographic choice on where they live. 	Buron et al. 2017
Share of MTW-funded Housing Choice Vouchers that are project-based.	PIC, VMS	<ul style="list-style-type: none"> Project-basing vouchers can be used to expand resident choices in a number of ways: it can be used in development in a low-poverty area; if it is difficult to use the voucher in the rental market, then this provides an option; and it provides housing for a targeted population that can be served a supportive service partner. PBV status alone though doesn't indicate if being used to promote opportunity 	Buron et al. 2017

Measure or Metric	Administrative Data Source(s)	Specifications / Considerations / Caveats	Literature Source(s)
Total number of HCV and PH units leased among all families	PIC, VMS	<ul style="list-style-type: none"> • Calculate based on unit-months formula. • When assessed on a trend basis, growth in the percentage of HCV and PH units leased would reflect the overall change in housing supply through traditional PHA programs net of movement between the programs allowed by MTW flexibility. • Separate measures of HCV units leased and PH units leased could be used as supplementary measures to assess trends within each of these programs • Should include all families, not just low-income families, in the PH program. • Excludes units connected to special voucher programs, such as VASH, FUP, and NED. • HCV leasing may need to be adjusted for new voucher awards and portability. • HCV leasing may need to control for consortia or consolidations. • Leasing will need to control for three types of RAD conversions: (1) PH to project-based (same PHA), (2) PHA to project-based (to another PHA), and (3) PH to MF (where may not have leasing data on MF property). 	Buron et al. 2017
Housing choice voucher budget utilization rate	VMS, FDS	<ul style="list-style-type: none"> • Percentage of voucher budget allocation used by a housing agency for housing choice vouchers. • MTW PHAs have the flexibility to use voucher funding for non-traditional housing assistance and services or for preservation of affordable housing, so in these cases the voucher utilization may be low even if they are efficiently administering their HCV program. 	GAO-18-150
Housing choice voucher unit utilization rate	VMS	<ul style="list-style-type: none"> • Defined as the annualized number of households using vouchers divided by the number of voucher slots funded. Only includes vouchers typically included in MTW agreement (excludes FUP, NED, and VASH vouchers). • MTW PHAs have the flexibility to use voucher funding for non-traditional housing assistance and services or for preservation of affordable housing, so in these cases the voucher utilization may be low even if they are efficiently administering their HCV program. • Need to make sure that data used for this reflect the annualized number of households served, which is unit months of assistance divided by 12. In MTW Annual Reports was sometimes not clear which is being reported. In testing this measure in the HAI report, December point-in-time numbers exactly matched the year-round numbers for some PHAs, which raised suspicions that were not getting a year-round count. The test of this measure indicated could use administrative data for annualized estimates of the number of households served, but these were not always consistent across sources. 	Buron et al. 2017 GAO-18-150

Measure or Metric	Administrative Data Source(s)	Specifications / Considerations / Caveats	Literature Source(s)
Public housing unit occupancy rate	PIC	<ul style="list-style-type: none"> Defined as the annualized number of households living in public housing units divided by number of public housing units. Should exclude unit months approved for non-dwelling purposes and for renovation. Adjustments needed for de-commissioned units Need to make sure that data used for this reflect the annualized number of households served, which is unit months of assistance divided by 12. In MTW Annual Reports was sometimes not clear which is being reported. In testing this measure in the HAI report, December point-in-time numbers exactly matched the year-round numbers for some PHAs, which raised suspicions that were not getting a year-round count. The test of this measure indicated could use administrative data for annualized estimates of the number of households served, but these were not always consistent across sources. 	Buron et al. 2017 GAO-18-150
Additional units of housing made available for households at or below 80% AMI (by type, e.g., public housing, vouchers)	Form 50900	<ul style="list-style-type: none"> Actual housing units of this type after implementation of this activity minus benchmark By type could mean each type could offset each other (e.g., made more PBV available by reducing PH units) 	N/A
Units of housing preserved for households at or below 80% AMI	Form 50900	<ul style="list-style-type: none"> Actual housing units preserved after implementation of this activity minus benchmark 	N/A
Increase in homeownership opportunities	Form 50900	<ul style="list-style-type: none"> Actual number of households purchasing a home after implementation of activity minus benchmark People in a PHA homeownership (HO) program is part of PIC. People who exit to HO is a field only in the FSS/SS addendum and might not be completed by all PHAs 	N/A
Number of unit-years added to the life of the agency's public housing stock	<i>Not identified</i>	<ul style="list-style-type: none"> This measure is intended to capture the outcomes of investments that improve the sustainability of a public housing development but may not be captured in the REAC score. If, for example, modernization activities take place in 10 units and extend the useful life of each unit by 25 years, the increase in number of unit years is 250 in the year the investment is completed. Data collection would require agencies reporting dollar amount and number of units with unmet capital needs for their public housing units 	Buron et al. 2017

Measure or Metric	Administrative Data Source(s)	Specifications / Considerations / Caveats	Literature Source(s)
Economic useful life of PH units	FASS-PH, PH capital asset data	<ul style="list-style-type: none"> • Calculated as 100% minus (accumulated depreciation / gross cost of assets) (i.e., 25% means that units have used up 75% of their expected useful life) • Investments in PH units can be viewed as ensuring PH units are available for future use, preserving the supply of affordable housing, so could measure change in economic useful life as a performance measure. • Economic useful life is not the same as actual useful life – families can continue to live in a unit deemed to have no economic useful life. • May need to be adjusted to take into consideration public housing repositioning activity, such as RAD conversions. • Disposal or demolition of old PH units would be reflected as an improvement in this indicator, so may need to consider an adjustment to reduce sensitivity of this measure to large-scale disposal or demolition activities where new investment is not involved. 	Buron et al. 2017
Number of units preserved as affordable housing	<i>Not identified</i>	<ul style="list-style-type: none"> • Units preserved through activities measured for shorter of last 10 years or since the MTW agreement was signed. • Preservation activity defined as units of subsidized housing owned by someone other than the housing authority that were in danger of being lost from the subsidized inventory that were retained as subsidized housing due in substantial part to the housing authority's activity. This means that the PHA has to have made a substantial contribution to the financing of the project and the PHA's contribution to the project was designed to help preserve the long-term affordability of units in a development deemed to be (a) at risk of physical deterioration; (b) at risk of ceasing to participate in the subsidy program; or (c) in difficult financial straits. 	Buron et al. 2017
Number of units created or modified to meet the accessibility needs of people with physical disabilities, including elderly aging-in-place	<i>Not identified</i>	<ul style="list-style-type: none"> • Could aggregate or break out the following two categories for this measure: (1) Accessibility upgrades to existing public housing or other project-based units owned by the PHA; (2) New or substantially rehabilitated units developed according to universal design principles or similar standards of accessibility • Could supplement this measure with % of units accessible to people with physical disabilities as a "stock" measure to complement this "flow" measure 	Buron et al. 2017
Hard-to-house households assisted	PIC	<ul style="list-style-type: none"> • Operationalized based on Family 50058 form definition for Question 12d with HCV families – 3 or more minor children or disabled family member. Consistent with the performance measure in the utilization and occupancy rate category, this measure would focus on the annualized number of households served in the year, calculated as unit months / 12. • Could track as a trend, comparing annualized percent change in hard-to-house households over the performance period from the baseline year. 	GAO-18-150 Buron et al. 2017

Measure or Metric	Administrative Data Source(s)	Specifications / Considerations / Caveats	Literature Source(s)
Total number of households experiencing homelessness served	PIC	<ul style="list-style-type: none"> Based on question 4c in the Family 50058 form. Data quality issues are a concern, as this field is often not verified or well-maintained. Local HMIS systems could provide a means of independent verification if the household has entered a shelter participating in HMIS, but this may not capture all households who were experiencing homelessness, as defined by HUD, at the time of their housing application and would not be readily available from national HUD administrative data. 	Buron et al. 2017
Length of stay for nonelderly nondisabled households	PIC, VMS	<ul style="list-style-type: none"> Length of stay measure indicates whether the agency is able to serve more people over time by having shorter stays. Would need to understand extent to which this metric is being influenced by shallow subsidies. Also unclear how some types of assistance would be counted (e.g., security deposits) 	Buron et al. 2017
Share of targeted population successfully retained in assisted housing	<i>Not identified</i>	<ul style="list-style-type: none"> To compute this measure, PHAs would first look at the targeted households who, during the year, left for reasons that are unknown, related to eviction or because of a move to a higher-care facility. The remaining households would be deemed residentially stable. (Individuals who died during the year would be excluded from the calculation.) 	Buron et al. 2017
Proportion of elderly households who remain in assisted housing	PIC, VMS	<ul style="list-style-type: none"> Defined as 100% minus the proportion of elderly households who ended participation in assisted housing. If PHAs have a high proportion of missing data on type of action, as observed for 2000-2008 administrative data in Locke et al., 2011, could adopt “record truncation” method to count cases where a certain period of time has elapsed since their last certification as effectively exited as well 	Locke et al. 2011
Total number of households served through partnerships that commit services to those receiving housing subsidies	<i>Not identified</i>	<ul style="list-style-type: none"> Consistent with the performance measure in the utilization and occupancy rate category, this measure would focus on the annualized number of households served in the year, calculated as unit months / 12. A key component of this suggested measure is the fact that the PHA has leveraged services to meet the needs of these populations. In addition to being a measure of housing resources committed to particular populations, this measure can also be understood as a measure of services leveraged. These partnerships covered by this measure are partnerships that allow households to remain housed that might be unable to get or stay housed without these services. Excludes service partnerships that are part of programs not usually covered by the MTW grant, such as FUP, HOPWA, NED, and VASH. For a PHA performance measure not specific to MTW, it would be useful to capture these important services as well. 	Buron et al. 2017

Measure or Metric	Administrative Data Source(s)	Specifications / Considerations / Caveats	Literature Source(s)
Households assisted by services that increase housing choices	Form 50900	<ul style="list-style-type: none"> Actual number of households receiving these services after implementation of this activity minus benchmark 	N/A
Decrease in wait list time	Form 50900	<ul style="list-style-type: none"> Actual average applicant time on waitlist after implementation of activity minus benchmark. 	N/A
Displacement prevention	Form 50900	<ul style="list-style-type: none"> Actual households losing assistance or moving after implementation of activity minus benchmark 	N/A

Appendix D. Specifications for Confirmatory Outcome Measures

This appendix provides the detailed specifications and data sources for the confirmatory measures for the three MTW statutory objectives: cost effectiveness, self-sufficiency, and housing choice. Following the exhibits is a discussion of our methodology for defining PHA jurisdictions using available administrative data.

Specifications for Confirmatory Outcome for Cost Effectiveness

Confirmatory Measure	Data Source(s)	Steps to Create the Measure
Total operating and administrative expenditures per household per month	FDS	<p>Numerator is the sum of:</p> <ul style="list-style-type: none"> a) HCV and LNT administrative and tenant services expenditures for the year (data source: FDS Line 96900, Total Operating Expenses, Column 14.881 Moving to Work Demonstration Program); plus b) HCV and LNT HAP expenditures for the year (data source: FDS Line 96900, Total Operating Expenses, Column 14.881 Moving to Work Demonstration Program); plus c) Public housing operating expenses minus utilities^a (data source: FDS Line 96900, Total Operating Expenses minus Line 93000 Total Utilities, Sum of all PH projects, including "999999999" project). <p>Denominator is the sum of:</p> <ul style="list-style-type: none"> a) Total HCV and LNT unit months leased (data source: FDS 11210 Number of Unit Months Leased, Column 14.881 Moving to Work Demonstration Program^b); plus b) Total public housing unit months leased (data source: FDS 11210 Number of Unit Months Leased, Sum of all PH projects, including "999999999" project^c)

Notes:

^a The reason for excluding expenditures on utilities is that at some PHAs the PHA pays utilities for its public housing while at other PHAs the tenant pays. Excluding utility costs helps ensure that we are measuring comparable public housing costs across PHAs.

^b FDS will be the main data source for unit months leased, but we will validate the unit months leased reported in FDS with the data reported for HCV households in HUD's VMS.

^c The FDS will be the main data source for unit months leased, but we will validate the unit months leased reported in FDS with the data reported for public housing households in HUD's PIC.

Specifications for Confirmatory Outcome for Self-Sufficiency

Confirmatory Measure	Data Source(s)	Steps to Create the Measure
Average earnings of nonelderly, nondisabled adults (aged 18-61) over the last four quarters	NDNH, PIC	<p>Identify adults in nonelderly, nondisabled households:</p> <ul style="list-style-type: none"> a) Restrict to households where the Head of Household, Co-Head, or Spouse is not older than 62 and not disabled (data source: HUD 50058/PIC); then b) Restrict to individuals aged 18 through 61 at baseline or entry into the program (data source: HUD 50058/PIC). <p>Calculate average wages over past four quarters for these adults:</p> <ul style="list-style-type: none"> a) For each individual in the sample, sum the total quarterly earnings for most recent four quarters and divide by four (data source: NDNH Quarterly Wage File^a); then b) Sum each individual's average wage over past four quarters and divide by the total number of individuals in the sample.

Notes:

^a We will use the last four quarters of NDNH available before our analysis begins for a particular report (and before we see any NDNH output for that report).

Specifications for Confirmatory Outcome for Housing Choice

Confirmatory Measure	Measure	Data Source(s)	Steps to Create the Measure
Housing choice	Percentage of HCV households living in low-poverty census tracts	PIC, ACS	<p>Collect census tract level poverty rate data from the ACS and link it to PHA service area:</p> <ul style="list-style-type: none"> a) Download data on the poverty rate ("percent of all individuals living below the poverty line") for all census tracts in the United States (data source: ACS 5-Year Estimates); then b) For all PHAs in the sample, identify the set of census tracts within each PHA's service area using the methodology described below (data source: PIC). <p>Calculate the 25th percentile census tract poverty rate for each PHA's jurisdiction^a and for the United States as a whole. For each PHA in the United States, flag as "low poverty" those census tracts that meet either of the following criteria:</p> <ul style="list-style-type: none"> a) The poverty rate for the census tract is lower than or equal to the 25th percentile poverty rate for PHA's jurisdiction; or b) The poverty rate for the census tract is lower than or equal to the 25th percentile poverty rate for the United States. <p>For each PHA in the study, geocode the address of the households served through the HCV program (50058 item 5a) to the census tract level. Divide the total number of households in low poverty tracts by the total number of households served through the HCV program.</p>

Notes:

^a See discussion below of proposed methodology for identifying PHA jurisdictions.

Proposed Methodology for Defining PHA Jurisdictions

HUD does not have an administrative dataset that defines PHA jurisdictions in terms of census tracts or other units of geography that can be matched to ACS data. Although the study team can manually

look up the jurisdictions of the 43 PHAs in the RCT sample, and confirm those geographies with staff at the PHAs via interviews, we need an automated approach for the 99 PHAs in the comparison group. The proposed approach outlined below is adapted from the methodology used for the Small Area Fair Market Rent Demonstration Evaluation (Dastrup et al., 2018).

To define PHA123's jurisdiction, the approach is as follows:

1. Geocode the HCV household address data captured in PIC to the census tract level.
2. Identify all the census tracts where households served by PHA123 live. This is the starting point for the PHA123's estimated jurisdiction.
3. Drop any census tracts where fewer than 10 percent of the HCV households living in that tract are served by PHA123 and fewer than 10 households from that PHA are living in that census tract. In other words, if there are 100 HCV households living in the tract, but only 5 are served by PHA123, assume that the tract is part of another PHA's jurisdiction. If 10 or more of the households are served by PHA123 (even if they comprise less than 10 percent of the HCV households in that census tract), assume that multiple PHAs operate in this tract and retain the tract as part of PHA123's estimated jurisdiction.
4. Identify any tracts from PHA123's estimated jurisdiction located in counties where (countywide) fewer than 10 percent of PHA123's households reside. Drop any such counties from PHA123's estimated jurisdiction.
5. After Step 4, we have a preliminary estimate of PHA123's jurisdiction based on where its HCV households live. However, we also want to allow for the possibility that there could be tracts within the PHA's jurisdiction where HCV households do not currently live but are nonetheless within the PHA's jurisdiction. Therefore, we use GIS analysis to identify all census tracts that are adjacent to the tracts identified as of step 4 as being in the PHA's jurisdiction.
6. Conduct final cleaning to determine whether any of the added tracts belong to another PHA's jurisdiction and to eliminate tracts that are non-residential.

Before implementing this approach, we propose to test it for a subset of the 43 PHAs in the RCT sample. For each PHA, we would use the above steps to produce a map of the PHA's jurisdiction and compare the map to what we know the PHA's jurisdiction to be through discussions with PHA staff. We will decide on the final methodology for estimating PHA jurisdictions before starting any impact analysis. We can document the methodology in the Baseline Report.

Appendix E. Analytic Details for Estimating Treatment Impacts

This appendix describes the linear regression equations we plan to use to estimate outcomes at the PHA level (for cost effectiveness) and at the household level (for self-sufficiency and housing choice).

PHA-Level Outcomes

We will measure outcomes related to cost effectiveness at the PHA level. Equation (1) illustrates the linear regression equation we plan to estimate for these outcomes. In addition to the treatment and strata variables (i.e., geographic region) on the right-hand side, we include the baseline measure of the outcome as a covariate.

The regression model for estimating the impact of having MTW designation is as follows:

$$Y_p = \alpha + \delta T_p + \beta Y_{p,t=0} + \theta S_p + \varepsilon_p \quad (\text{eq. 1})$$

where:

Y_p is the outcome of interest;

T_p is a dummy variable that equals 1 for PHAs in the treatment group, and equals 0 for PHAs in the control group;

$Y_{p,t=0}$ is the baseline measure of the outcome of interest;

S_p is a series of dummy variables that reflect the geographic stratum;

ε is a random error term; and

the subscript p indexes PHAs (indicating that the analysis is done at the PHA-level).

The coefficient, δ , provides an “intent-to-treat” (ITT) estimate of the impact of having the opportunity to earn MTW designation. This coefficient provides a regression-adjusted estimate of the difference in mean outcomes between treatment group PHAs, including both those that earned MTW designation and those who did not, and control group members. The model’s intercept, α , is interpreted as the regression-adjusted control group mean. The other model coefficients, β , θ , and γ , are not of substantive interest to interpret.

Because we have 43 observations, the number of covariates we can include in the model is quite limited. Beyond the treatment indicator, geographic strata, and baseline measure of the outcome, we may choose to include one or two additional baseline measures to further increase the precision of the impact estimate, if possible.

Household-level Outcomes

We will measure self-sufficiency and housing choice outcomes at the household level. Equation (2) illustrates the linear regression equation we plan to estimate. It is similar to linear regression equation (1) except that it includes more covariates, which are allowed because the estimation will be based on thousands of observations (i.e., many degrees of freedom). Even for the analysis of household-level outcomes, the baseline covariates in the equation will be at the PHA-level. The reasons for this specification are twofold. First, households may join or leave the PHA’s subsidy programs

throughout the study. Second, households’ decisions to join or leave the PHA’s subsidy programs are endogenous, that is, they may be influenced by whether or not the PHA is in the treatment group and thus able to pursue alternative cost effectiveness, self-sufficiency, and housing choice policies and practices. Therefore, whether or not the household has baseline data is endogenous.

$$Y_{i,p} = \alpha + \delta T_p + \beta \overline{Y_{p,t=0}} + \theta S_p + \gamma X_p + \varepsilon_{ip} \tag{eq. 2}$$

where:

$Y_{i,p}$ is the outcome of interest;

T_p is a dummy variable that equals 1 for PHAs in the treatment group, and equals 0 for PHAs in the control group

$\overline{Y_{p,t=0}}$ is the average of baseline measure of the outcome of interest for households residing in PHA p at baseline;

S_p is a series of dummy variables that reflect the geographic stratum;

X_p is a vector of baseline characteristics of the PHA;

ε_{ip} is a random error term; and

the subscript p indexes PHAs and the subscript i indexes households (indicating that the analysis is done at the household level).

The table below lists the PHA-level covariates (in addition to the average household “outcome” measure at baseline) that we will use in regression equation (2). We plan to use both the characteristics of the PHA and baseline measures of the characteristics of households served.

PHA-Level Covariates

Covariate Type	Covariate
Stratification indicators	Region (indicator)
Characteristics of PHA	PHA portfolio (i.e., whether administers HCV, public housing, or both)
	PHA size at baseline
	FMR at baseline
Characteristics of Households served	Baseline percent homeless at admission
	Baseline percent elderly
	Baseline percent disabled
	Baseline percent non-Hispanic African-American
	Baseline percent Hispanic
	Baseline percent Asian
	Baseline average household size
	Baseline percent households with children
	Baseline percent FSS participation
	Baseline percent of households where wages are a major source of income
	Baseline percentage of nonelderly, nondisabled heads of households with earnings above 30% of AMI for the household size in latest quarter

Covariate Type	Covariate
	Baseline average earnings of nonelderly, nondisabled heads of household in latest quarter
	Baseline percentage of all nonelderly, nondisabled heads of households with earnings in latest quarter
	Baseline percentage of nonelderly, nondisabled heads of households exiting housing assistance with earnings equal to 2.5 times the local FMR
	Baseline percentage of HCV households living in low-poverty census tracts
	Baseline percentage of households with three or more minors or a nonelderly family member with a disability

Subgroup Analyses

Equation 3 describes the regression we plan to estimate for subgroup analyses. The estimate of δ_2 is the estimate of the difference in impact estimates between two groups (δ_0 is the impact estimate for PHAs not in the subgroup, $\delta_0 + \delta_2$ is the impact estimate for PHAs in the subgroup).

$$Y_{i,p} = \alpha + \delta_0 T_p + \delta_1 G_p + \delta_2 T_p G_p + \beta \overline{Y_{p,t=0}} + \theta S_p + \gamma X_p + \varepsilon_{ip} \quad (\text{eq. 3})$$

where:

$Y_{i,p}$ is the outcome of interest (and $\overline{Y_{p,t=0}}$ is the average of baseline measure of the outcome for households residing in PHA p at baseline);

T_p is a dummy variable that equals 1 for PHAs in the treatment group, and equals 0 for PHAs in the control group;

G_p is a dummy variable that equals 1 for PHAs in the subgroup, and equals 0 for PHAs not in the subgroup;

S_p is a series of dummy variables that reflect the geographic stratum;

X_p is a vector of baseline characteristics of the PHA;

ε_{ip} is a random error term; and

the subscript p indexes PHAs and the subscript i indexes households (indicating that the analysis is done at the household level).

Appendix F. Pass-through Variables for NDNH Data Analysis

This appendix provides a draft list of pass-through variables to use for NDNH wage data analysis. We have identified 46 pass-through variables to give the study team maximum flexibility on the types of exploratory analyses we can do related to the impact of MTW on earnings. Our recent experience with obtaining NDNH data for other projects suggests that OCSE is willing to accept a large number of pass-through variables. For a recent study for the Department of Labor, for example, we have a pass-through file with more than 100 variables. We also have pass-through files with more than 100 variables for two studies for the Administration of Children and Families.

Draft List of Pass-through Variables for NDNH Data Analysis and Data Sources

Variable	Description	Data Source for MTW PHAs/Residents	Data Source for Non-MTW PHAs/Residents
Variable used for matching:			
Social Security Number	Used for file match. Limited to clients age 18 and over and less than age 62.	HUD-50058 MTW Expansion, 3n	HUD-50058, 3n
PHA-level variables:			
PHA ID	Used to identify which individuals are subject to which policy changes.	Abt records	Abt records
Treatment status	Identifies whether PHA is in treatment, control, or comparison group.	Abt records	Abt records
MTW status	Identifies those PHAs that receive MTW designation.	Abt records	Abt records
Subgroup	Subgroups to be determined but allow for up to 12 to permit exploratory analyses.	Abt records	Abt records
QED Match ID	Used for QED analysis. There will be 4 PHAs with the same QED Match ID (1 treatment, 3 comparison)	Abt Records	Abt Records
PHA programs	Identifies PHAs with HCV only, public housing only, and combined programs.	Abt records	Abt records
PHA size	Five size categories of combined units: 1-99 units; 100 to 249 units; 250 to 499 units; 500 to 749 units; 750 to 1000 units.	Abt records	Abt records
Region	Five regions: northeast, southeast, Midwest, southwest, west.	Abt records	Abt records
Fair Market Rent (FMR)	2-bedroom FMR applicable to PHA's jurisdiction.	HUD FMRs for FY2020	HUD FMRs for FY2020
Importance of self-sufficiency objective at baseline	Whether the PHA ranks "self-sufficiency" as very important objective at baseline: 0. NA 1. Very important 2. Any other response	MTW Baseline survey	MTW Baseline Survey for control PHAs; N/A for comparison PHAs

Variable	Description	Data Source for MTW PHAs/Residents	Data Source for Non-MTW PHAs/Residents
Self-sufficiency objectives planned at baseline	Indicator variables for: 0. NA 1. Stepped rent 2. Income bands 3. Minimum rent 4. Elimination of deductions 5. Standard deductions 6. Alternative income in/exclusions 7. Payment standards 8. Fixed rents 9. Policies for addressing increases in family income	MTW Baseline survey	MTW Baseline Survey for control PHAs; N/A for comparison PHAs
Waivers planned at baseline	Indicator variables for: 0. NA 1. Tenant rent policies 2. Payment standards and rent reasonableness 3. Reexaminations 4. Short-term assistance 5. Long-term assistance 6. Work requirements 7. Increase elderly age 8. MTW self-sufficiency program	MTW Baseline survey	MTW Baseline Survey for control PHAs; N/A for comparison PHAs
Client-level variables:			
Program Type	Indicates the type of housing assistance the individual receives (5 categories)	HUD-50058 MTW Expansion, 1c	HUD-50058, 1c
Public housing project number	For public housing households only. May be needed if self-sufficiency activities limited to particular projects.	HUD-50058 MTW Expansion, 1d	HUD-50058, 1d
Public housing building number	For public housing households only. May be needed if self-sufficiency activities limited to particular projects.	HUD-50058 MTW Expansion, 1e	HUD-50058, 1e
Month and year admitted to the program	Used to determine how long client has received housing assistance under old rules vs. new.	HUD-50058 MTW Expansion, 2h	HUD-50058, 2h
Quarter and year added to match file	Needed to track how many quarters of data we have on the client.	Abt records	Abt records
Month and year entered waiting list	Length of time on waiting list may be used in exploratory analyses.	HUD-50058 MTW Expansion, 4a	HUD-50058, 4a
Homeless at admission	Homeless status may be used in exploratory analysis. Yes/No flag.	HUD-50058 MTW Expansion, 4c	HUD-50058, 4c
Month and year of end of participation	If household is identified as having left the program (type of action is end of participation)	HUD-50058 MTW Expansion, 2a, action code 6	HUD-50058, 2a, action code 6

Variable	Description	Data Source for MTW PHAs/Residents	Data Source for Non-MTW PHAs/Residents
Last quarter and year in PIC	If individual disappears from PIC records. Another way to identify exits from assistance if end of participation action is not used.	Abt records	Abt records
End of participation reasons	To help inform the determination of a “positive” or “negative” exit. 15 reason codes.	HUD-50058 MTW Expansion, 2w	N/A
Sex	Gender of individual.	HUD-50058 MTW Expansion, 3g	HUD-50058, 3g
Relation	Individual’s relationship in household (8 categories)	HUD-50058 MTW Expansion, 3h	HUD-50058, 3h
Age category	Age categories: Under 21; 21-24; 25-34; 35-44; 45-55, 55-61. Determined from date of birth.	HUD-50058 MTW Expansion, 3e	HUD-50058, 3e
Disability status	Disability status may be used in exploratory analysis. Yes/No flag.	HUD-50058 MTW Expansion, 3j	HUD-50058, 3j
Race	Race of individual (5 categories)	HUD-50058 MTW Expansion, 3k	HUD-50058, 3k
Ethnicity	Two categories: Hispanic or Latino or not Hispanic or Latino	HUD-50058 MTW Expansion, 3m	HUD-50058, 3m
Public housing community service	Yes/No flag for whether individuals in public housing are meeting the community service or self-sufficiency requirement.	HUD-50058 MTW Expansion, 3q	HUD-50058, 3q
Hours worked per week	Used to identify part-time and full-time workers. Categories: 0, 1-9, 10-19, 20-29, 30-39, 40+	HUD-50058 MTW Expansion, 3r	N/A
Work requirement compliance	Indicates whether individual is in compliance with a work requirement.	HUD-50058 MTW Expansion, 3s	N/A
Household size	Categories: 1-person, 2-people, 3-people, 4-people, 5+ people	HUD-50058 MTW Expansion, 3t	HUD-50058, 3t
Number of adults in household	Categories: 1, 2, 3+	Abt calculated from PIC	Abt calculated from PIC
Number of children <18	Categories: 0, 1, 2, 3, 4+	Abt calculated from PIC	Abt calculated from PIC
Number of children <5	Categories: 0, 1, 2, 3+	Abt calculated from PIC	Abt calculated from PIC
Annual income	Total annual income of household	HUD-50058 MTW Expansion, 7i	HUD-50058, 7i
Annual Non-Earned Income	Annual non-wage income of the household	HUD-50058 MTW Expansion, 7b	HUD-50058, 7b
Any wage income	Whether any of the household’s income is from wages	HUD-50058 MTW Expansion, 7b	HUD-50058, 7b
Any welfare income	Whether any of the household’s income is from welfare	HUD-50058 MTW Expansion, 7b	HUD-50058, 7b

Variable	Description	Data Source for MTW PHAs/Residents	Data Source for Non-MTW PHAs/Residents
Any SS/SSI/Pension income	Whether any of the household's income is SS/SSI/pension income	HUD-50058 MTW Expansion, 7b	HUD-50058, 7b
Any "other" income	Whether any of the household's income is from "other" sources	HUD-50058 MTW Expansion, 7b	HUD-50058, 7b
Adjusted annual income	Total annual income of household after adjustments. Categories TBD.	HUD-50058 MTW Expansion, 8y	HUD-50058, 8y
Total Tenant Payment	Most recent total tenant payment.	HUD-50058 MTW Expansion, 9k	HUD-50058, 9k
MTW rent policy (public housing)	Type of rent (e.g., income-based, flat, MTW variations)	HUD-50058 MTW Expansion, 10u	HUD-50058, 10u
MTW rent policy (HCV project-based)	Type of rent (MTW only)	HUD-50058 MTW Expansion, 11u	N/A
MTW rent policy (HCV tenant-based)	Type of rent (MTW only)	HUD-50058 MTW Expansion, 12x	N/A
FSS or MTW self-sufficiency participation	Whether participant is in FSS or other self-sufficiency program	HUD-50058 MTW Expansion, 17a	HUD-50058, 17a
Household identifier	Allows the study team to group individuals into households	HUD-50058 MTW Expansion, 3h	HUD-50058, 3h

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