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RECOMMENDATIONS FOR THE EVALUATION AND UPDATE OF THE  
HOUSING PROGRAM HANDBOOK FOR KANSAS COMMUNITIES

by

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A MASTER'S REPORT

submitted in partial fulfillment of the

requirements for the degree

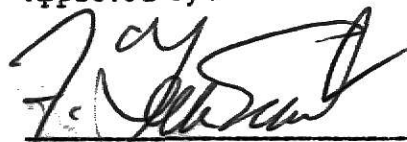
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## PREFACE

The concept of this master's report was developed during a summer intern employment at Kansas Department of Economic Development (KDED). While working at KDED's Housing Division, I became aware of the existence of housing handbooks in other states and the growing emphasis of housing legislation's impact on the provision of low and moderate income housing.

The Housing Program Handbook can greatly improve the efficiency of local, regional, state and federal agencies by making available to them a centralized, simplified, consolidation of housing information. This housing information, however, can only be beneficial to such agencies if the information is evaluated and updated on a continuous regular basis. The assessment of the Handbook's level of assistance and usership, and its relationship to the housing services provided by various agencies in Kansas is the main concern of this master's report. In this context, the topic presented in the report should be perceived as a preliminary yet significant recommendation for KDED's Housing Division to pursue in the future.

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## CHAPTER I

### INTRODUCTION

A broad range of planning and management activities may be supported by the development, use and scope of the Housing Program Handbook for Kansas Communities. (See Appendix A) These activities include the State's capability to develop and meet goals, allocate resources and manage the delivery of information, to strengthen State governmental institutions and areawide structures, create effective use of Kansas's physical, economic, and human resources to develop viable housing and suitable living environments principally for persons of low and moderate incomes.<sup>1</sup> The Housing Program Handbook for Kansas Communities and its cover letter are presented in its entirety in Appendices A and B of this Report.

The purpose of the Housing Program Handbook is to present a brief, simplified summary of the major programs currently available through various agencies of the federal government that are concerned with providing housing for low and moderate income families.

The summary of these housing programs is intended to present the general type of the program, the conditions of the loans and/or grants available, the applicant eligibility for sponsorship, the current status of the programs, and whom to contact for additional information.

## CHAPTER II

### EVALUATION AND METHODOLOGY

Planning is not merely the process of determining the most efficient way to achieve certain goals, but is a process which helps determine the validity of goals, and to create alternative goals to meet the needs of a rapidly changing world.<sup>2</sup>

The planning system requires that the policy base be touched at every planning stage so that the planners may be sure that they are working on a concern that is important to the organization, not merely to the planner. The role of the planning group is not to make policy but to advise the policy makers. It is in accordance with this model that the questionnaire, code book, and computer program have been developed. (See Appendices E and F) The questionnaire determines the levels of assistance, usership, readability, most helpful sections, and obtains input on ways to improve the Housing Program Handbook for Kansas Communities. Also, supplementing information can be ascertained regarding: regional planning commission memberships; director names, agencies and addresses and telephone numbers of various local units of government; current localities with housing assistance plans; current regional planning commissions with housing opportunity plans; and, statewide interest in participating in a housing workshop.

The questionnaire and presentation of pretest findings (See Appendix F) are designed to provide a policy base for future actions and directions for KDED's Housing Division to pursue by providing the policy maker with three

critical foci for inclusion in guidelines and procedures. The questionnaire selects indicators for specified variables; measures issues of reliability; and, measures validity for inclusion in the evaluation study. (See Appendix C)

The evaluation study is used as an assessment of articulated programs; specified goals and effects; and, assumes linkages between the goals and effects. This assessment is presented as a means of determining which program components can be appropriately evaluated for their effectiveness.<sup>3</sup>

Information elicited helps determine whether the Housing Program Handbook is useful for meeting the need for ongoing housing information and serves as an evaluative and administrative instrument. Information is collected on the recipients of the handbook, the services they have provided, and assesses their agency outcomes for the provision of housing. The Housing Program Handbook questionnaire can serve as an important preliminary step toward performance measurement. Moreover, it is the basis upon which intermittent effectiveness evaluations can be built.

The sampling technique and the distribution of the questionnaires are to each recipient of the Housing Program Handbook for Kansas Communities. (See Appendix F) This would entail mailing questionnaires to the 1140 recipients using the word processor mailing list.

The scope of this sample survey would include: 635 mayors; the Kansas state senators and state representatives; all local housing authorities; all the regional planning commissions; the county extension supervisors; intra-governmental state agencies (i.e., State Planning and Research, Social Rehabilitation Services, Office of Economic Opportunity, State Energy Office, Kansas State Extension Services, and Kansas League of Municipalities).

Survey techniques vary in regard to interviewer bias, the type of information that is to be collected, and efficiency in terms of

implementation. It is important to determine data specifications before selecting the appropriate method.<sup>4</sup> This questionnaire is designed requesting minimal information and has quite an extensive geographical area to be sampled, therefore a mailed questionnaire is the efficacious choice. This choice involved a series of trade-offs dependent upon informational requirements, time limitations, and fiscal constraints.

The mailed questionnaire is particularly useful where costs have to be limited. The mailing list is all ready programmed into the word processing equipment from the first mailings of the Housing Program Handbook for Kansas Communities. Usually, the response rates for mailed questionnaires is low, generally ranging from 10 to 50 percent of the survey sample. Several steps may be used to increase the response rate and also ascertain effects of bias due to nonresponse:

1. Enclose a cover letter which lends creditability to the survey, assures anonymity of responses, urges prompt reply, and thanks the respondent for his or her cooperation.

2. Include with the mailing a self addressed, stamped envelope for return of the questionnaire.

3. Send a follow-up mailing to those persons who do not initially respond.

4. Make sure the questionnaire is easy to complete and not ambiguous. Most questions should be of the multiple choice type, requiring a check for the appropriate answer.

5. If funding is available follow-up with a telephone interview for those who still do not respond after the mailed follow-up.<sup>5</sup>

The questionnaire has been developed so that the task of coding respondents information is possible and will be subjected to computer analysis using

Statistical Package for the Social Sciences (SPSS) conventions. SPSS was used to analyze responses using frequency distributions, crosstabulations for all variables answered, as well as, missing values; and, measurements of central tendency, Chi-Square, Pearson's R, mean, median, mode, standard deviation, and standard error for each variable. (See Appendices D and F)

The Housing Division utilizing this analytic approach of evaluating the Housing Program Handbook for Kansas Communities is: exercising leadership and increasing the initiative for delivery of housing informational technical assistance; providing the framework for regular, reliable public information to people, agencies and units of local governments on housing programs to affect effective and efficient provision of federally assisted housing; and, provides the basis for assessing and developing strategies, orientations and goals of programs for future scope of services to meet statewide demands for housing technical assistance.<sup>6</sup>

The feedback, assessment, and data obtained through the questionnaire furnishes KDED with the basic framework to analyze the intent and stated purpose of the first edition of the Housing Program Handbook for Kansas Communities, and directs future presentations of housing information.

#### Concluding Remarks of Pretest Sample Analysis

The summation of data collected and analyzed of the pretested 20 students of the Housing and Renewal Class utilized the Housing Program Handbook Questionnaire and the SPSS computer program that provided necessary information lending itself to policy recommendations to KDED Housing Division. (See Appendix F)

The following occurrences were observed using the evaluative measurement techniques:



- the Handbook is not being read;
- measurement and evaluation is confined to descriptive statistics and not inductive statistics;
- the questionnaire is codeable and programmable for SPSS computer analysis;
- the questionnaire does not lend itself to parametric and nonparametric tests;
- the Housing and Renewal Class Pretest bares no relationship to State-wide Housing Planning agencies, this indicates to use a more appropriate sample.
- the Null Hypothesis must be rejected in the case of this pretest, due to the decisions of analysis, state of nature, and types of errors. The process shown in Figure 1 must be considered by the decision-maker in formulating the problem, decision risks, and policy.
- effectiveness criteria must ultimately be determined by the decision-maker for levels of success rates. These elements for statistical decision making involve response levels/total sample, coefficients of correlation, and decision theory utilizing mathematical models for quantitative management decisions quantifying values and uncertainties and the determination of desirabilities and probabilities.<sup>7</sup>
- finally, when the development of a policy process occurs, a more realistic statement for the criterion for decision is not easy to state. The rule for striking a balance, for comparing the actions, must be able to deal with outcomes and cross purpose of political, economic, social, and budgetary operative constraints or supports.<sup>8</sup>

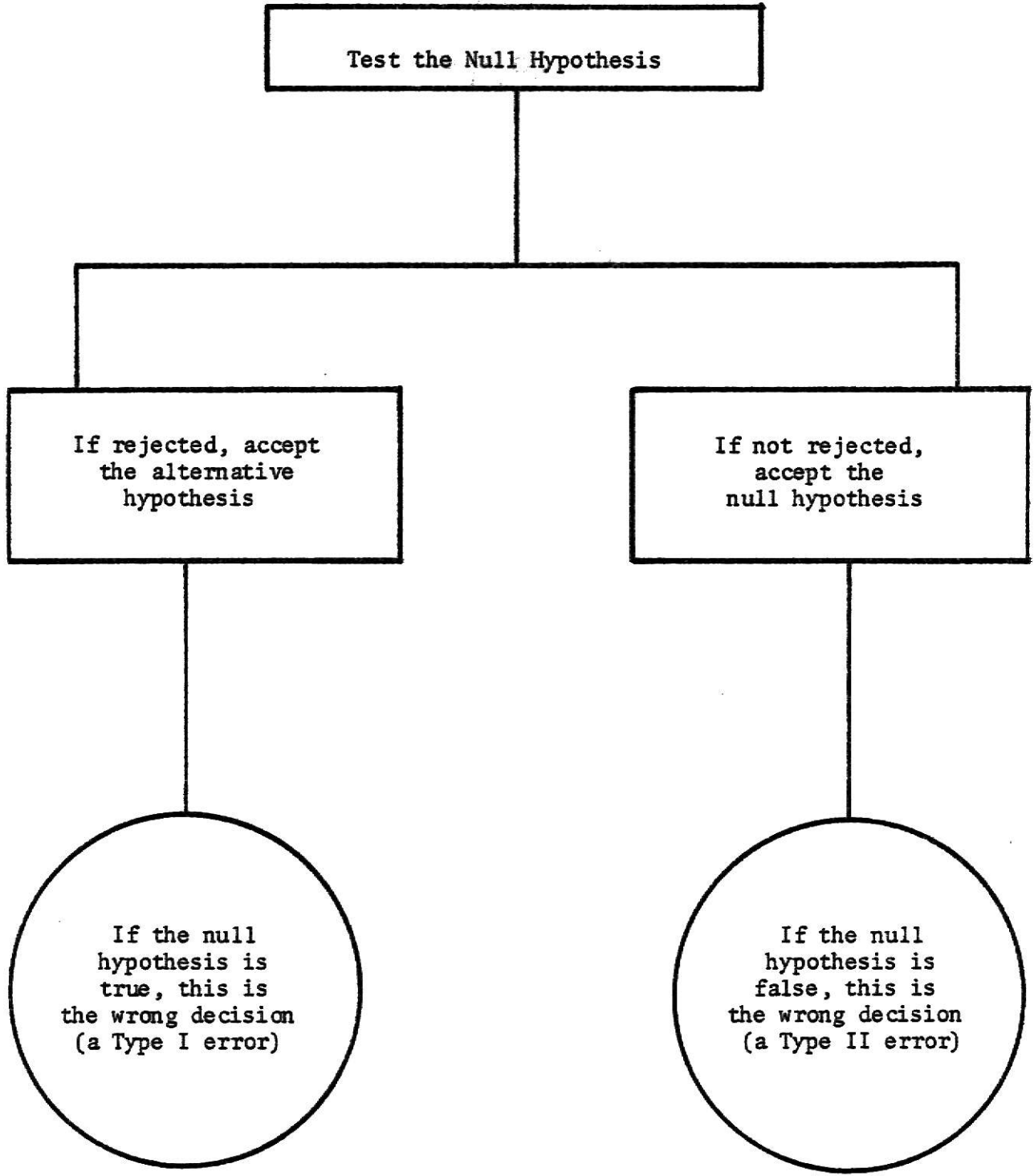


Figure 1

## Models for Statistical Decision-Making

The following process of decision described is oversimplified, yet it contains the three basic steps toward decision:

1. The outcomes for each action are predicted.
2. The outcomes are evaluated in terms of some scale of desirability.
3. A criterion for decision based on the purposes is then used to make the actual selection.<sup>9</sup>

Generally, statistical decision-making may be looked upon as arbitrary phases with various applied degrees of sophistication. Introduction of quantitative management to the oversimplified decision process provides scientific techniques for the decision-maker.<sup>10</sup> Within this framework the decision process phases become:

Phase (A) Formulating the problem. This involves identifying a measurable characteristic pertinent to the problem, formulating hypotheses related to the alternative decisions which could be made, and specifying how much risk may be taken that a wrong decision will be made. (See Null's Hypothesis: Appendix C)

Phase (B) Formulating the decision rule. This takes into account the various aspects of the decision-making problem formulated in Phase A and specifies precisely how the decision will be made.

Phase (C) Evaluation of the sample data. Computations based on the sample are referred to the decision rule (Phase B) and the decision made.<sup>11</sup>

## CHAPTER III

### UPDATE TECHNIQUES

The necessity of developing a systematic update process is required by the nature of Congressional intent and legislation enactment, appropriations and allocations to housing programs from session to session and from fiscal year to fiscal year. Presidential executive agreement, interagency and agency directives also, affect the course of federal housing program information. These factors contribute to the creation of new housing programs, expansion of existing programs, and, also to the elimination of some housing programs.

These determinants of federal housing policies and programs affect the dissemination of information for the nature or type of program of assistance available; applicant eligibility; the legal authority; the administering agency or information source; the current status and the scope of the housing program.

The Housing Program Handbook for Kansas Communities program descriptions and format presentations are directly impacted by changes made at the federal level. (See Appendix A) The system for update includes allowances for gradual, programmatic changes of housing information.

The update procedure elements for programmatic changes include: indexing for the inclusion of new program information and/or exclusion of program information; and for revision made to existing programs; graphics or photographs; print size changes; additional not previously reported

information (i.e., Federal Housing Administration); deletion of information; directory of locations or sites of particular housing program projects; and, example application forms for various housing programs to be used as a guide. These elements will be changes or desired changes by user needs and assessment made after compiling data from the evaluation questionnaire.

This update procedure for programmatic changes develops a system whereby KDED's Housing Division maintains and addresses future actions for continuity for their scope of services delivered through the Housing Program Handbook as a tool for housing information dissemination.

## CHAPTER IV

### POLICY RECOMMENDATIONS AND CONCLUSIONS

In the broadest terms, planning is concerned with achieving the highest possible quality of life for all in the most cost effective way. In pursuing this goal, planning operates in the framework of policies aimed at the realization of objectives that deal with only one or another aspect of the quality of our lives.<sup>12</sup> It is useful, therefore, to state the goals and models which the Housing Division accepts as the desired ultimate result of aggregate of policies with which it deals. (See Appendix G)

The state housing planning function should be directed to the development of planning documents that define housing policies and guidelines for functional planning, program coordination, and resource allocation.<sup>13</sup> Producing a comprehensive state housing information handbook recognizes the need for an articulated overall policy framework by Kansas Department of Economic Development's Housing Division as an effective way of achieving this objective.<sup>14</sup> This groundwork, established during the Summer of 1978, provides the framework for translating broad social goals for housing into major programs.

The following policy options are being recommended for the Housing Program Handbook for Kansas Communities, based on my work experience and commitment to the goals and objectives as a professional planner.

### Recommendation I. Policy

- Investigate more thoroughly and comprehensively the social, political, legal, and economic ability of the State to create a Housing Finance Agency. This policy recommendation would enhance the financial resources, loans, and bonding capacity to furnish regional, sub-regional, rural, and city housing projects that currently are tight, particularly for low and moderate income housing types.

- Implement a statewide Housing Information Data Retrieval System to assimilate into the decision-making process necessary elements regarding resource needs, criteria, standards, capacity, and capability to improve the efficiency and effectiveness of the operations relating to housing in the public and private market sectors.

- Develop continuous techniques and monitoring capabilities for statewide housing assessment of needs, attitudes, preference, and norms and enhance role the Housing Division's technical assistance by operationalizing programs to serve these.

- Continue publication of a housing program handbook to increase the flow of housing information. Keeping this information flow continual and current is the key to utility of housing handbooks of this nature.

### Recommendation II. Staffing

- Utilize the human resources available from the various universities and planning programs, particularly from Kansas State University (K.S.U.), thereby providing training, experience, current knowledge for an in-house project and program activity and development.

- Utilize the computer tie-in facilities at Kansas State University Computer Center for data collection, statistical analysis, storage, update, and retrieval on a contractual basis.

- Staffing would not have to be classified civil service and may be preferred due to budgetary and scheduling element constraints.

- Preference to employ student interns from Kansas State University's Department of Regional and Community Planning should be prioritized and would facilitate benefits to both KDED and the student employee. The value of this recommendation is tangible and cost effective by benefitting the student with educational support and professional experience, and by increasing the agency's in-house capability with additional expertise and current knowledge of new and innovative methods and technology for analysis of statistical data, SPSS computer programming, and adaptation of the pre-test questionnaire to a larger survey sample size for actual use by KDED's Housing Division. In terms of measurable values these benefits would be prescribed as a savings of budget items by paying a student intern rate of salary. The services delivered by the student are more tangible, in most cases the agency experiences excellent rates of return for the student's education, knowledge, and expertise contributions to the staff as a whole.

#### Recommendation III. Timing

- Activities for continued housing information dissemination occurring on an annual basis would be short-term, full-time employment periods varying from three to six month internships should be enacted relative to the intensity of project activity and scope of services to be completed.

- Timing is critical to determine needs for information, evaluation, and update procedures due to the nature of funding periods and contractual renewal periods of federal programs and monies that occur at designated periods of authorization, appropriation, and allocation of the federal Fiscal Year, the Congressional Budget Office, the Chief Executive, and the Office of Management and Budget.



Recommendation IV. Funding, Budget, and Budget Narrative

- The State Planning and Research Division in conjunction with the Kansas Department of Economic Development should enhance and further their capacities of obtaining grants from the federal government. Sources initially investigated should be: the Catalog of Federal Domestic Assistance; Federal Grants-In Aid; Federal Planning Assistance Grants: Economic Development Assistance Grants; Comprehensive Employment Training Assistance funding for internships; Federal Research and Information Programs; and, private foundations for grants and awards for housing.

Budget

Direct Costs

	HUD	KDED	TOTAL
A. Salaries & Wages			
Housing Program Specialist 1.0 Time, 6 Mos.	\$ 6,000.00	\$ --	\$ 6,000.00
Subtotal	<u>\$ 6,000.00</u>	<u>                    </u>	<u>\$ 6,000.00</u>
B. Fringe Benefits			
Work Compensation	\$ 300.00	\$ --	\$ 300.00
Social Security	315.00	--	315.00
Subtotal F.B.	<u>\$ 615.00</u>	<u>                    </u>	<u>\$ 615.00</u>
Subtotal Salaries & Wages & F.B.	<u>\$ 6,615.00</u>	<u>                    </u>	<u>\$ 6,615.00</u>
C. Supplies	\$ --	\$ 350.00	\$ 350.00
D. Publication	\$ 3,000.00	\$2,200.00	\$ 5,200.00
E. Postage	\$ --	\$ 585.00	\$ 585.00
F. Computer Time & Key punch	\$ 500.00	\$ 125.00	\$ 625.00
Total Direct Costs	<u>\$10,115.00</u>	<u>\$3,260.00</u>	<u>\$13,375.00</u>
Indirect Costs	\$ 3,181.25	\$1,500.00	\$ 4,681.25
Total Project Cost	<u>\$13,296.25</u>	<u>\$4,760.00</u>	<u>\$18,056.25</u>

## Budget Narrative

### A. Salaries & Wages

The housing program specialist position is to be paid \$1,000 per month for a six-month period of time. The qualifications desired and job performance required is commensurate with this salary rate.

Other personnel and staffing has been provided for through the State's operating budget. There is no necessity to create a project director as the existing staff of KDED is salaried through civil service or gubernatorial appointment.

### B. Fringe Benefits

The fringe benefits to be paid from project funds include only work compensation at a rate of \$300.00 and social security at a rate of \$315.00. The nature of the position, project completion time and employment period limitation of six months does not warrant further benefits.

### C. Supplies

Supplies to be funded by the project budget include paper, information pamphlets, pens, staples, and photocopy costs to total of \$350.00 from the State's operating budget.

### D. Publication

The cost of publication for 1,300 of the Housing Program Handbook to be distributed statewide at a cost of \$4.00 per copy will be a joint appropriation of \$3,000.00 from the project's budget and \$2,200.00 from the State's operating budget.

### E. Postage

The cost of postage for 1,300 copies at a bulk rate for books is \$ .45. The total postage rate for distribution to be paid by the state is \$585.00.

#### F. Computer and Keypunch

Computer time and keypunch cost for data collection and analysis of the questionnaires will be a joint funding of \$500.00 from the project's budget and \$125.00 from the State's operating budget.

#### Indirect Costs

The indirect cost for the creation of an in-house technical assistance position on a temporary basis was computed at a 35% rate of the total salaries and wages, and fringe benefits. The joint funding from the project's fund is \$3,181.00 and from the State is \$1,500.00 to pay for additional utilities of lighting, heating and air-conditioning, the secretarial time typing and proofreading, and the supervisor's time away from regular duties to supervise the project.

#### Total Project Cost

The total amount of funds requested from HUD will be \$13,296.25, the matching funds from the State will be \$4,760.00 for the total project cost allowance of \$18,056.25. These assistance considerations comply with the formula and matching requirements for comprehensive planning assistance contracts.

#### Recommendation V. Project Activity

- Continue efforts to disseminate information in the housing program handbook to the various units of government and agencies best able to benefit their communities with the provision of housing with federal assistance, in both rural and urban areas.

- Conduct orientation and workshops seminars throughout the state as need is determined through the evaluation questionnaire.

- Maintain continued assessment within the state.

- Ascertain information changes, program requirements, policy changes by HUD, Congress, and the Presidency and include such modifications in the update information distribution annually.

- Develop and regulate systems for better indexing, graphic, information, location of sites, application forms as assessed through the questionnaire.

- Write additional information that has not previously been included or specified and distribute.

- Keep a current active listing of various organizations, agencies, and units of government assisted through the use of the Housing Program Handbook.

#### Recommendation VI. In-House Information Assessment

- Explore the feasibility of implementing policy and program options detailed in the Real Estate Research Corporation, Housing Strategies for Kansas; and, the Institute for Social and Environmental Studies, Kansas Housing Strategies: Alternative Options for a State Housing Policy.

Recommendation VII. Two Alternative On-Going Housing Program Handbooks with the same intent and purpose for informational capacity and context as the first Housing Program Handbook for Kansas Communities publication.

- Develop as an ongoing project a publication that includes non-federal housing programs, professional organizations and consulting groups that lend assistance by either funding for projects to private or non-profit groups, as well as, public agencies or technical assistance to communities to initiate housing. Ideas to be included for example, are descriptions of programs available through:

- Foundation for Cooperative Housing;
- Rural Housing Alliance;
- National Association of Housing and Redevelopment Officials;
- American Friends Association;
- Volunteers in Service to America;

Housing Assistance Council;  
 Real Estate Research Corporation;  
 Some local/regional private groups, i.e., solar and underground  
 housing, private and non-profit groups, Salvation Army;  
 Kansas League of Municipalities;  
 County Extension Services; and,  
 Tenant Right Organizations;  
 American Planning Association

This project may be staffed by a K.S.U., Regional and Community Planning student intern.

- Develop as an on-going project, a pictorial information guide for various locations, types, and sizes of projects in existence. This information guide should be set-up on a regional basis within the state, depicting primarily in photographs with captions and a brief narrative explanation to include: resource people to contact; how many dwelling units per site; any unique features; or, if a program is not in use and comment on why. This project may be staffed by a K.S.U., Regional and Community Planning student intern. The project activity would require initial contact with Regional Planning directors statewide for facts concerning types of assisted housing, both federal and non-federal, to include: Section 8, elderly housing, cooperative housing, FHA mobile home loans, urban homesteading, rural self-help, solar research demonstration projects, etc. See, HUD, Urban Malls as an example.

#### Conclusions

Kansas Department of Economic Development's Housing Division recognizes fully, and is striving to improve, their capacity to operate rationally in the intricate intergovernmental web of jurisdictional and fiscal relationships. Many of the aspirations are beyond the reach of state government which must operate in an economic, social, and political climate dominated by national institutions and forces. Nevertheless, KDED, Housing Division

recognizes obligations that continually expand even as resources diminish. While the state's attitudes and strategies are diverse, there are denominators that are increasingly common among them: the recognition of interdependency of state, local, and Federal governments; the commitment to improve the housing capability and effectiveness by state and local governments; and the obligation to act positively to anticipate and prepare for change.

All levels of governments should develop, carry out and maintain a comprehensive housing planning process to include information dissemination, which specifies needs, production and rehabilitation objectives, and detailed actions to be taken to meet the common housing goal of a decent dwelling in a suitable living environment for all Americans. Despite the extensive sharing of responsibilities among governments in the American federal system, each level of government has a distinctive planning role reflecting its responsibilities. Kansas Department of Economic Development's Housing Division can best be assured in meeting its jurisdictional responsibility for the delivery of housing assistance and technical assistance by operationalizing and implementing the planning activity and elements through dissemination of information.

**APPENDIX A**

**HOUSING PROGRAM HANDBOOK FOR KANSAS COMMUNITIES**