

# Civil Right to Counsel Social Science Study Design Report *Final Report*



*Submitted to:*

**Northwest Justice Project  
& the Civil Right to Counsel Leadership  
and Support Initiative**

*Submitted by:*

**NPC Research  
Portland, Oregon**

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# Civil Right to Counsel Social Science Study Design Proposal

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*Informing policy, improving programs*



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## BACKGROUND AND PURPOSE OF THE STUDY

While indigent defendants in the criminal justice system are guaranteed the right to an attorney, no such guarantee exists for individuals in civil court, despite the fact that issues as crucial as child custody or eviction may be at stake. While some legal services programs may offer assistance to some clients in civil matters, the demand far outstrips the supply of such services. In 2004 the National Coalition for a Civil Right to Counsel was formed. The Coalition, currently consisting of over 150 members from around the country, works to expand recognition of the need for counsel in civil cases. The Coalition includes a Civil Right to Counsel Leadership and Support Initiative (CRCLSI), a group that steers the Coalition's work in the areas of policy advocacy, litigation, communications, and social science research. The CRCLSI has partnered with NPC Research, an independent human services research and evaluation firm, to design a study of the effects of providing counsel in civil housing cases. NPC Research and the CRCLSI received guidance during the design process from an advisory board consisting of nationally recognized experts in the field of civil representation. See Appendix A for a list of advisory board members.

### Statement of the Problem

Since 1963, the Supreme Court has recognized the rights of individuals in criminal cases to be represented in court if they cannot afford to hire an attorney on their own. In order to provide equal access to justice, many legal practitioners feel that indigent persons in civil court also should be afforded the right to counsel because these cases often have significant life consequences for defendants, such as cases involving child custody or housing eviction and foreclosure. Current



estimates indicate that there is one legal aid lawyer per 6,681 low-income people in the country (Legal Services Corporation, 2007). Most indigent litigants in civil cases do not seek out legal assistance because they are not aware of what legal aid services exist (Legal Services Corporation, 2007), and many who do seek aid are turned away because the demand for services is greater than the availability.

Several studies have established the relative benefits that representation can afford litigants in civil cases. In a meta-analysis of over 14,000 civil cases, Sandefur (2005) found that individuals who received representation were generally more likely to have a favorable outcome than individuals who did not have representation. Seron, Van Ryzin, and Frankel (2001) conducted the only randomized study of civil counsel programs to-date in an evaluation of a legal assistance program for low-income tenants in New York City's Housing Court. Results from this study indicate that twice as many tenants received judgments against them when they did not have legal representation. Furthermore, having legal representation did not increase the number of court appearances and in fact, streamlined the adjudication process by reducing the number of motions filed (Seron, Van Ryzin & Frankel, 2001). Despite the high stakes—the New York Housing Task

Force (1993) reports that almost half of the households entering homeless shelters in New York City do so through evictions—and the impact an attorney can have, nearly 90% of tenants in Housing Court do not have representation. Similarly, according to Legal Services Corporation (2007), 99% of tenants in New Jersey and Washington, DC, come to court without representation.

While the presence or absence of an attorney in an eviction case may have a short-term impact on case outcome, case outcome, in turn, may have longer term effects on individuals, neighborhoods, and communities. Court-ordered evictions for unsuccessful litigants result in upheaval for the litigant and her/his family members, and in some cases result in homelessness. Renters who have been evicted will have a more difficult time securing another rental property. Furthermore, relocation may result in any number of changes for the family, including adjusting to new and perhaps less desirable neighborhoods, employment changes, new schools, or even new custody arrangements for children. Research findings suggest that residential instability is correlated with neighborhood crime and other problem behaviors (Sampson, Morenoff, & Gannon-Rowley, 2002) and, due to social isolation and a lack of support systems, may even negatively influence parenting styles (Pinderhughes, Nix, Foster, & Jones, 2001). Neighborhoods with high residential instability often are characterized by other challenges as well, including high poverty rates and perceptions of neighborhood disorder among residents. These perceptions, in turn, are related to negative health outcomes for residents (Weden, Carpiano, & Robert, 2008). Thus, a family's eviction may put into place a series of changes that put the family at risk for a variety of longer term problems, all of which may have cost implications for taxpayers and society.

It follows, then, that those who support a civil right to counsel argue that not only is re-

presentation beneficial to the individual litigant, it also results in fiscal savings to the taxpayer and the community. However, few cost-benefit studies have been conducted on civil counsel programs. Of those that have been conducted, a significant economic benefit has been demonstrated. The Perryman Group (2009) undertook a study of the economic impact of existing legal aid activities and the potential effects of expansion of legal services in Texas in 2007. Legal aid services in Texas were financially supported by the federal, state and local government as well as private bar contributions and charities. Overall, the state of Texas had a net gain of almost \$26 million annually (The Perryman Group). However, this study simply calculated the net inflow of money to the state in support of legal aid services and considered this inflow as the monetary benefits of the programs. Further, this study did not investigate the monetary benefits attributable to the positive outcomes associated with having representation in civil cases.

Researchers at the Omaha Center for Public Affairs Research conducted a study describing the benefits, costs, and economic impact of Legal Aid in Nebraska (Kelso, Deichert, & Feelhaver, 2004). The researchers found that Nebraska had a benefit of \$4 for every dollar in costs, resulting in almost \$10 million in benefits to the state in 2003. Similar to the TPG study in Texas, Legal Aid federal grants and contracts in the amount of nearly \$2.2 million were counted as direct benefits brought to the state of Nebraska, rather than counted as costs of the program. However, unlike the TPG study, Kelso et al. measured benefits due to the impact on society as a whole when individuals receive legal aid services. These benefits included improved quality of life for the clients, tax savings for the state, and economic development.

Many states report that legal aid services save the state money through helping to secure child support orders; assisting clients with obtaining federal disability, medical,



food stamp, and other federal benefits; and helping domestic violence abuse victims secure restraining orders (e.g., Massachusetts Legal Assistance Corporation, 2007; Minnesota State Bar Association, 2003; New Hampshire Legal Assistance, 2006). Elwart, Emerson, Enders, Fumia, & Murphy (2006) conducted a policy analysis of a proposed expansion of legal aid services for domestic violence victims and concluded that such a program would result in substantial cost savings through avoided medical care, mental health care, lost productivity, and lost property damage costs.

Because these studies were focused on identifying the impact of legal aid programs on state economies, they included as benefits federal and other non-state monies used to finance legal aid programs, rather than counting these monies as program costs. To date, no study has investigated the total cost (to the taxpayer or to society) of providing such services as compared to the benefits (cost savings) that result from positive short and long-term outcomes for program participants.

In addition to legal aid programs that provide full representation to a limited number of indigent civil litigants, there are a variety of other forms of legal assistance programs in operation, such as self-help centers, call-in services, and lawyer-for-a-day services. Legal self-help programs are used in many jurisdictions to try to meet the needs of low-income litigants. Several studies have investigated the effectiveness of such programs, though no published study has conducted a cost-benefit analysis of these programs. These programs offer a wide array and combination of services, making it difficult to compare models or generalize the findings. Programs can range from a referral hotline, to a center staffed with law students who offer help with legal paperwork, to lawyer-of-the-day programs, which allow for brief consultations between clients and attorneys.

Some centers are housed in the courthouses themselves while others are separate (Houseman, 2007). A report to the California legislature by the Judicial Council of California (2005), conducted by NPC Research and Berkeley Policy Associates, evaluated five self-help programs in different California jurisdictions. The researchers found that litigants who had utilized self-help centers had a better understanding of justice system procedures. As a result, they were better prepared and had more complete information, thus making better use of courtroom time. As Houseman points out, however, outcome studies conducted on self-help programs, like the few studies of civil counsel programs, “focus primarily on the immediate result of a particular case or activity. These studies do not capture information on what ultimately happened to the client (Houseman, p. 22).”

### **Purpose of the Proposed Study**

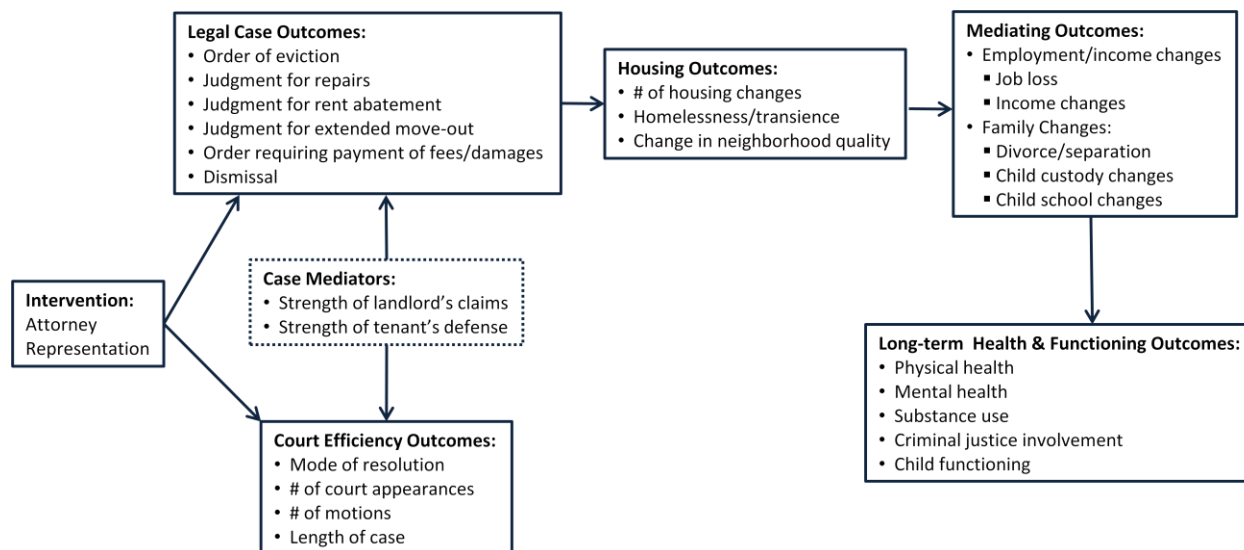
For this study, we will look at the costs, outcomes, and benefits associated with legal representation in civil housing eviction cases. Unlike past studies, funds used to provide civil representation will be counted as costs (rather than as benefits to the state), while benefits will be counted as any reduction in costs (i.e. savings) attributable to the outcomes associated with attorney representation. The study will answer the following research question: What are the costs and benefits that result from providing an attorney to tenants in eviction cases? Specifically, we will examine whether representation leads to any difference in short-term case outcomes (such as orders of eviction) as well as in longer term outcomes (such as homelessness and usage of publicly funded support services) for the litigants. The results of this study will provide policy makers with information about the costs of civil representation programs, as well as the expected outcomes and the related cost savings of such programs.



## STUDY OVERVIEW

The proposed research study will investigate the costs and benefits that result from providing an attorney in eviction cases. The study will be guided by a logic model that identifies the intervention and key short and longer term outcomes related to the intervention. The study logic model is provided in Figure 1.

Figure 1. Study Logic Model



We hypothesize that representation may result in increased court efficiency; unrepresented litigants are more likely to be unprepared or misunderstand the legal process, which could lead to delays in hearings, unnecessary motions, and delays in reaching disposition. More importantly, litigants receiving representation in their eviction cases will be more likely to receive case outcomes in their favor (though this outcome will be mediated by the strength of each litigant's defense) and therefore will be less likely to be evicted from their homes. Eviction, in turn, may lead to a series of detrimental housing outcomes, such as frequent moves (residential instability), moves to less desirable neighborhoods, and even homelessness. These housing outcomes, in turn, may lead to other changes in tenants' lives, such as employment and income changes, family changes such as separation and child custody

and school disruptions. Ultimately, these events may in turn lead to health and well-being outcomes, such as changes in physical and mental health, substance use, criminal justice involvement, and child functioning. There are costs to taxpayers and to society more generally for many, if not all, of these possible outcomes.

The proposed project will provide funds to legal service agencies in selected jurisdictions to offer representation to a randomly selected group of tenants in eviction cases. Thus, the project involves both the creation of the intervention as well as the evaluation of that intervention. In order to determine the costs and benefits associated with attorney representation in eviction cases, tenants will be randomly assigned either to attorney representation or to a control group at each study site. Data will be gathered on tenants in

both the represented and the control samples for 24 months in order to determine both the short-term and longer term impacts of attorney representation. Data will be gathered through detailed tracking of the eviction cases, through baseline and follow-up interviews with litigants themselves, and through the use of existing administrative databases. In the sections below, we provide more detail

about this study design, including a description of the site selection process, a discussion of sample sizes and randomization procedures, a discussion of how the study will ensure cultural responsiveness, a description of the process and outcome data collection methodologies to be employed, a description of the proposed cost study approaches, and a project timeline.

## STUDY SITES

In order to investigate the effect of providing counsel in eviction cases, the project will provide funds for jurisdictions to offer counsel to randomly selected tenants. Below we discuss the selection process employed to identify potential study sites, along with a description of the selected sites.

To begin an exploration of potential study sites, the project advisory board identified several site selection priorities:

- Geographical diversity, including some urban and some more rural sites;
- Diversity in rent stabilization laws, including some sites with and without rent control;
- Diversity in how the courts handle eviction cases, including some sites with and without specialized housing courts; and
- Exclusion of sites with highly atypical tenant-landlord laws or eviction procedures (such as jurisdictions where evictions cases were heard in the first instance outside of civil/housing court).

The advisory board then identified a short list of states they considered most promising for the study; these were states that the advisory board either believed to address the above priorities, believed the legal aid communities would be receptive to participating in a research study, and/or believed the legal aid communities did not have the resources to adequately serve tenants in need of counsel and therefore would be receptive to discussing the idea of random assignment. The short listed states were California, Ohio, Maryland, Minnesota, New York, Pennsylvania, and Washington.

The next step of the site selection process involved in-depth interviews with one or more contacts in each of these states to gath-

er information about the jurisdiction's eviction process, demographics, case volume, legal services community, and interest in study participation. Interviewees included representatives from legal aid agencies and academics with research expertise in housing law. Interviews with these contacts often ended with referrals to other individuals who had specialized knowledge, resulting in a snowball sampling of jurisdictions and stakeholders.

Upon completion of the interviews, the site characteristics were presented to the advisory board in a summary matrix to facilitate cross-site comparisons. The advisory board then identified the most promising sites: Maryland, New York City, and Ohio.<sup>1</sup> These sites are promising for several reasons. First, these sites include jurisdictions that vary on a number of characteristics, including geographic characteristics (urban, suburban, and rural); the presence (New York City) and absence (Maryland and Ohio) of rent control; and the use of housing courts (New York City and some Ohio jurisdictions) versus civil courts (Maryland and other Ohio jurisdictions). Second, all of these sites have a large volume of eviction cases, with a small proportion of these cases actually receiving services from legal aid. Third, these sites expressed interest in the study and openness to discussing random assignment.

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<sup>1</sup> At the time of this writing, NPC had not yet completed interviews with representatives from Los Angeles County (CA), King County (WA), or Minnesota. Based on the results of these pending interviews, one or more of these jurisdictions also may be included in the study.



## SAMPLING

The legal aid agencies at the proposed study sites will randomly assign low-income unrepresented tenants in eviction cases either to the represented group, in which case the tenants will receive representation funded through this project, or to the control group. Below we discuss the proposed sample size projections along with the random assignment sampling procedures.

### Sample Size

By conducting a power analysis, we have determined that the study should enroll 2,000 cases, with the expectation that approximately 75% of these litigants will take part in the interview component of the study, for an interview subsample of approximately 1,500 cases. As discussed above, only one previous study has employed a randomized design to investigate the impact of representation on housing case outcomes. That study (Seron, Van Ryzin, & Frankel, 2001) found strong program effects, with 40% of unrepresented litigants receiving a judgment against them compared to 20% of represented litigants. To determine the sample size necessary for the proposed study, we first estimated statistical power using the Seron effect sizes, and then estimated statistical power using a more conservative estimate of program effects. Using Seron's effect sizes as an estimate, with a sample size of 400 cases, the proposed study would have power equal to .99, indicating that 99% of studies with this sample size would correctly identify a significant program effect. However, it is not safe to assume that other studies would find effects as large as those reported by Seron. Using a more conservative estimate of the effects of attorney representation (assuming 40% of unrepresented cases result in eviction orders compared to 30% of represented cases), a sample of 400 cases would not be sufficiently large enough to consistently detect pro-

gram effects. However, with a sample of 800, the study would have a power of .84, and with a sample of 1,000 cases, statistical power would be quite strong, increasing to .91, indicating that 91% of the time, studies would correctly identify the treatment effect. A total sample of 2,000 cases would be adequately large to detect even smaller effect sizes.

By selecting a sample of 2,000, the study would be able to detect not only short-term case outcomes, but also would be able to investigate longer term outcomes, which may have smaller effect sizes than the short-term case outcome, and which will be available only for a smaller subsample of participants (because long term outcomes will be available only for the subset of study participants who remain in the study through the follow-up interviews). Once the number and location of study sites are finalized, sample size goals for each site will be determined by reviewing case flow information.<sup>2</sup>

### Random Assignment

Currently, legal aid agencies in the proposed study sites are unable to serve all the unrepresented litigants in eviction cases. Indeed, these agencies serve a small proportion of these litigants. Typically, legal aid agencies provide representation to those litigants who both meet basic eligibility criteria (e.g., income restrictions) and whose cases legal aid determines are most needy (for example, individuals with disabilities; families with

<sup>2</sup> Actual sample size goals will be determined in collaboration with the study funder based upon funding availability. Interview studies are resource-intensive, and depending upon funding restrictions, it may be necessary to have a smaller interview sample. In this case, it would still be possible to have 2,000 cases in the larger administrative data sample, but randomly select a subsample of these cases for inclusion in the interview component of the project.

children; individuals who have a strong defense but need an attorney to properly provide that defense). While legal aid agencies seek to provide representation to the most needy cases, there are many similar cases that go un-served either because the litigants do not seek out legal aid, or because legal aid simply does not have the capacity to serve every litigant in need. The proposed project will provide funds to legal service agencies in selected jurisdictions to offer representation to a randomly selected group of tenants in eviction cases. Thus, the opportunity to serve more cases through this project is appealing to the proposed study sites, and all are open to the idea of randomly assigning these additional cases to either a represented group or a control group. Therefore, the universe of cases available for random assignment at each site will be those cases *not* otherwise served by legal aid; this un-served group represents the vast majority of eviction cases. The policy question being addressed by this study is whether adding funds to expand legal services to un-served populations produces positive outcomes that are also cost-beneficial from the point of view of the taxpayer and society as a whole.

The court docket will be used to randomly assign cases to the study groups. During the study recruitment period at each site, project

staff will randomly assign cases on the daily court docket to either the treatment or control group. The number of cases pulled off of each docket, the number of days per week this is done, and for how many months will vary by study site depending on each site's sample size goals and case flow. Litigants selected for both the represented group and the control group will be presented with information regarding the project and study and will be told that they will be contacted by a member of the research team who will explain the interview component of the study. Litigants randomly selected for the represented group will be told that they can receive representation but must agree to participate in the research project. Litigants in the control group will simply be told that they have been selected to participate in a study of individuals going through civil housing cases. Case outcome information from court files will be collected on both groups (see below). However, these control group individuals will be under no obligation to participate in the interview component of the study, though by using NPC's recruitment strategies (outlined below), we anticipate that 75% of those individuals selected for the control group will agree to participate in the interviews.



## PROCESS AND OUTCOME STUDY DATA COLLECTION METHODOLOGY

The proposed study involves the collection of process information as well as the collection of outcome information. A process evaluation allows the research team to gain an understanding of a program's operation and environmental context. While the proposed project involves the creation of a new funding stream for legal services agencies to provide representation in eviction cases, and the goal is to operate such services in as uniform a manner as possible across study sites, the reality is that each study site will be operating within a local context. It therefore will be necessary for the study team to gather information about this, as this process information can provide context for the study's outcome findings. Below we describe the process data collection methodology, the outcome data collection methodology, human subjects protections, and strategies for ensuring high quality data.

### Process Data

Process information will be gathered through a series of key stakeholder interviews as well as through a review of project activity data. Key stakeholder interviews with the project staff responsible for sample building (the recruitment, consent, and randomization process), the attorneys who provide the counsel, and with any other individuals centrally involved with the project will allow the research team to determine, for example, whether:

- The randomization process proceeded as planned, and if not, why;
- The case flow (the number of evictions cases filed) met expectations, and if not, why; and
- There were any unique local conditions that influenced the disposition of evic-

tions cases (such as changes in landlord tenant laws, or economic changes that led to increases or decreases in the number of tenants facing eviction).

In addition to key stakeholder interviews, a review of project activity data will be necessary. Participating sites will be required to document the sampling procedures and attorney assignments and caseloads.

### Outcome Data

As described above, the study will examine both the short-term and long-term outcomes associated with attorney representation in eviction cases. As outlined in the logic model, the short-term outcomes of interest include the following:

- Court efficiency outcomes:
  - Mode of resolution (settlement, default, trial, etc.)
  - Number of court appearances
  - Number of motions
  - Length of case
- Legal case outcomes:
  - Orders of eviction
  - Dismissals
  - Judgments (for repairs, rent abatement, extended move-out, payment of fees/damages)

The study also will gather data about longer term outcomes, such as:

- Housing outcomes:
  - Evictions
  - Number of housing changes
  - Homelessness/transience
  - Changes in neighborhood quality
- Employment outcomes:

- Job losses
- Number of job changes
- Income sources and changes
- Family outcomes:
  - Custody arrangements
  - Marital status
  - School changes for children
- Health outcomes:
  - Physical health
  - Mental health
  - Substance use
- Criminal justice outcomes:
  - Arrests
  - Convictions
  - Jail stays

Outcome data will be generated through three sources, including documentation of case information, client level interviews, and administrative data extraction. For a cross-walk of all proposed study outcomes and data sources, please see Appendix B.

#### DOCUMENTATION OF CASE INFORMATION

Staff at the project sites will be required to enter information about the eviction cases for all the cases in the study (both the represented and control samples) into an on-line database. The data will include the date the eviction case was filed with the court, information on all hearings (including dates, type, and summary of the results), information on all motions (including dates, type, and summary of the results), information about tenant defenses, information about the disposition of the case (including date and outcomes, including whether an eviction was ordered and whether there were stipulations ordering repairs or payments), and information about post-judgment events (appeals, motions, etc.). The data elements that would be included in the database are included in Appendix C.

#### CLIENT LEVEL INTERVIEWS

Clients in both the represented and the control samples will participate in baseline and follow-up interviews. The client interviews will allow the study team to gather important information available from no other source about some short and long-term outcomes. Baseline interviews will be conducted as soon as possible, but no later than 60 days, after study group assignment. Follow-up interviews will be conducted twelve and twenty four months later. Below we describe the interview instrument, followed by the proposed study recruitment and retention strategies.

##### *Interview Instrument*

The interview instrument will be used to gather background and demographic data about the litigants along with information about short and longer term outcomes. For a draft of the proposed interview instruments, please see Appendix D for a baseline interview and Appendix E for a follow-up interview. It is important to note that these are draft instruments; the instruments will be pilot tested at the study sites prior to finalization. The interview instrument is likely to include the following sections.

***Background information:*** The interview will collect information about gender, age, race/ethnicity, primary language, and family structure (including marital status and child custody and school arrangements).

***Employment & income:*** This section includes questions about educational background, employment status, and receipt of public sources of income support.

***Housing:*** The interview will gather information about what happened as a result of the eviction case (i.e. did the tenant leave the property, and if so, the circumstances), and information on housing instability (number of and reason for moves).

**Neighborhood quality:** Perceptions of neighborhood quality will be measured using Ross and Mirowsky's (1999) Perceived Neighborhood Disorder Scale, or a similar measure. This measure asks for respondents' level of agreement with a series of statements about physical (graffiti, noise, vandalism) and social (loitering, crime, drug use) disorder.

**Health:** This section will include questions about respondents' physical health, including hospital admissions, emergency room visits, and medical problems.

**Alcohol and drug use:** Alcohol and drug use information will be gathered using the ASI Lite. This widely used short version of the substance abuse assessment tool created by Tom McLellan gathers lifetime substance use history as well as current substance use in a shorter format than the full ASI (Cacciola, Alterman, McLellan, Lin, & Lynch, 2007).

**Psychiatric status:** Mental health information also will be gathered using the ASI Lite. This section of the interview includes questions about lifetime mental health problems as well as current problems.

#### *Recruitment and Retention Strategies*

The study will utilize a comprehensive locating and tracking strategy that NPC has found to result in recruitment and retention rates of over 80%. Overall, the goal of this strategy is to ensure that interviewers know where study participants are located throughout the study period. It is not uncommon in applied research to see recruitment and retention rates in the 30-40% range, and often evaluation and research study validity is called into question because of such low recruitment and retention. Most NPC projects, employing the strategy described here, average 80%, and several reach over 90%, recruitment and retention rates. The validity of any study depends on minimizing attrition; people who agree to participate in follow-up interviews may be different from those who miss inter-

views, and therefore it is important to ensure that as many people as possible complete the follow-up interviews. Although maintaining contact with participants over time can be a challenge, particularly for people who are highly mobile or who are facing multiple life challenges, we maintain a philosophical commitment to follow every participant. Therefore, tracking strategies must be action-oriented, focused, and creative; research indicates that it is not one particular tracking method that works best, but the combination of strategies within a comprehensive tracking protocol that yields the highest recruitment and retention rates.

Data collectors will employ phone, mail, and in-person contacts with study participants throughout the project period. Furthermore, data collectors will help participants complete a locator form at the baseline interview that will record contact information for a variety of individuals (friends, family members, and service professionals such as treatment counselors and probation officers) and will indicate the participants' consent for the research team to contact those individuals in the future should we have difficulty in locating participants. Furthermore, data collectors will attempt contact with participants at regular, frequent intervals, not just when the follow-up interviews are due. This frequent contact and the use of the locator form will allow data collectors to accurately track each participant's location throughout the project period.

In addition to rigorous recruitment and retention protocols, litigants will be offered incentives for study participation. NPC has found that graduated incentives are the most successful; increasing the incentive amount for each subsequent interview acts as a motivating factor for the participant to stay engaged in the study. A typical graduated incentive schedule would provide \$30 for the baseline interview, \$40 for the first follow-up interview, and \$50 for the second follow-up inter-

interview, for a total of \$120 for study participation.

#### **ADMINISTRATIVE DATA EXTRACTION**

While the bulk of the study outcome data will be gathered through the interview instrument and the case documentation project MIS, it is likely that the study team will utilize data from some existing administrative databases as well. For example, criminal justice information (such as arrests, convictions, and jail sentences) often is available in state-wide databases, and often can be transferred to researchers in electronic files.

#### **Human Subjects Protections**

The research team will apply rigorous data handling protocols to ensure confidentiality and security of all data, both hard copy and electronic. All team members will be NIH-certified in federal confidentiality protocols, and will sign confidentiality statements. All identifying information will be physically separated from participant data prior to data entry and filing. Numerical identifiers will be placed on interviews. Codebooks linking these identifiers to individual respondent names will be kept separate from interviews in a locked cabinet. All data will be kept in a physically secure location (e.g., locked cabinets within locked offices), or in password-protected data files in password protected computers. Only members of the research team will have access to any hard copy or electronic data. All data that will be presented in report form will be at the aggregate level. The research team will submit an application to receive Institutional Review Board (IRB) approval upon receipt of study funding. The IRB's role is to ensure that the study meets all ethical standards for research involving human subjects, including informed consent procedures and safeguarding of confidential data.

#### **Commitment to Cultural Responsiveness**

The sites selected for this study serve a diverse client base, and therefore, the resultant research project must strive to be culturally responsive. While the design proposed here provides the overarching framework for the research study, it is imperative that throughout all phases of study implementation, the researchers work collaboratively with the program sites and their clients to ensure that the data collection tools and methodologies and ultimately the interpretation of the results appropriately address issues of culture and diversity. Any research firm conducting such a study should have (as NPC does) company-wide standards for incorporating culturally responsive practices into our work. The foundations of culturally responsive practice are rooted in staff's ability to (1) understand how their own experiences and cultural lenses influence their perceptions and behaviors, (2) actively seek out diverse opinions, attitudes, and beliefs (and to listen and respond to these voices), and (3) continually take the position of being "active learners" about the diverse cultures with which the programs under study work. Thus, throughout the study period, the researchers must remain flexible to any necessary adaptations in instruments or methodology in order to conduct a culturally responsive study.

#### **Strategies for Ensuring High-Quality Data**

There will be several safeguards to ensure that the case data entered into the online database by project staff is of high quality. First, the database will be developed to include prompts and error messages when information is entered that is logically inconsistent or otherwise incorrect (e.g., a case disposition date that falls prior to the initial case filing date). Second, research staff will regularly review data downloads from the online database for completeness and will

send reminder reports to project staff about any data that is incomplete or missing.

The study will employ rigorous standards for interview data. The quality of the data gathered through structured, quantitative interviews such as the one proposed for this study is dependent in large part on the extent to which the interviewers adhere to the interview protocol. Interviewers will complete a thorough training program that culminates in a certification test; prior to passing this test no interviewer can begin interviewing. Interviewers also will take part in regular conference calls throughout the course of the project to share experiences and gain support from one another; these calls also will give an opportunity for supervisors to provide refresher trainings. In addition, interviewers will tape their first five interviews as well as additional interviews over the course of the project; supervisors will review these tapes and provide feedback on interviewing style

and fidelity. Finally, supervisors will place telephone calls to 5% of the interview participants (randomly selected) to obtain feedback from participants about their interview experience. These calls will allow supervisors to verify that the interviewing experience was a pleasant one for the participants and will allow participants to share any feedback they have.

The data processing procedures for the interviews will be similar to that for the case data entered into the project MIS. All completed interviews will be reviewed upon receipt to check for missing information and logical inconsistencies; these issues will be brought back to the attention of the interviewers. Interviews will be scanned using scanning software; this software can be programmed to provide error messages for missing information and incorrect skip patterns, thus providing a second level of data cleaning.



## COST STUDY METHODOLOGY

**F**or this study, we propose to examine the cost consequences of providing council to clients engaged in eviction cases as opposed to not providing that assistance. In calculating the cost consequence of each path we will not only examine the additional costs to the taxpayer of providing that resource, but also the potential cost offsets that result from the outcomes associated with providing counsel. These cost offsets may be in the form of both taxpayer expenditures and other societal costs. This will allow us to conduct a cost benefit analysis (a benefit to cost ratio) that informs policymakers on the question of whether the expenditures on civil council produce costs savings to the taxpayer, or to society, that off-set the expenditures.

There are two types of costs that will be considered in this study: cost to the taxpayer and societal costs.

***Cost to the Taxpayer.*** In order to maximize the study's benefit to policymakers, NPC has traditionally used a "cost-to-taxpayer" approach for its cost evaluations. This focus helps define which cost data should be collected (costs and avoided costs involving public funds) and which cost data should be omitted from the analyses (e.g., costs to the individual participating in the program). In this approach, all publically (taxpayer) financed costs incurred by the intervention group (represented litigants) and the control group are used in the calculations.

NPC's taxpayer cost approach looks at publicly funded costs as "opportunity resources." The concept of opportunity cost from the economic literature suggests that system resources are available to be used in other contexts if they are not spent on a particular transaction. The term opportunity resource describes that these resources are now available for alternative uses. For example, if the provision of counsel reduces the likelihood

that these tenants will become homeless and utilize shelters, taxpayer resources spent on shelter services will instead be available for another person in need, allowing the agencies to better fulfill their missions.

***Societal costs.*** In addition to examining cost savings related to taxpayer dollars, the proposed project also will examine avoided societal costs that may accrue as a result of providing counsel in civil cases. Societal costs can include such costs as those associated with decreased productivity due to job loss or health problems.

We intend to employ two cost strategies in gathering taxpayer and societal cost data: NPC Research's Transactional and Institutional Cost Analysis (TICA) and proxy cost calculations. TICA is a thorough cost analysis method that has wide applicability to many court programs including the provision of counsel in civil cases. The United States General Accountability Office (GAO) has reported that NPC's use of the TICA approach "has the advantage of allowing a better determination of the true [program] cost..., relative to participation in an alternative program," (United States General Accountability Office, 2005, p. 29). A second approach involves a proxy estimation of costs. This is valuable when the data needed for the TICA approach is not available or would be too resource intensive to collect. Both of these approaches are described in more detail below.

### Transactional and Institutional Cost Analysis (TICA) Methodology

The TICA approach measures the costs of both the program under study and the resulting outcomes by documenting the resources contributed from publicly funded agencies that are utilized by both the individuals in the

intervention (represented) group and by individuals in the control group. As an individual participant progresses through her/his eviction case and beyond, she or he interacts with staff and services from various organizations (e.g., legal aid, the courts, homeless shelters), which consumes resources. Each interaction of the participant with one or more agencies is called a “transaction.” For example, a civil hearing for a tenant is a transaction that includes judge time and counsel time, among other resources.

TICA is a cost assessment approach that is most appropriate when studying court and legal programs that result in decisions that affect the interactions among multiple public agencies. For example, an order of eviction can set into motion a range of outcomes, such as homelessness, which may in turn result in resource utilization by a variety of agencies that provide services or enforce regulations. TICA begins with a realistic understanding of the complex organizational and financial world within which taxpayer funded public agencies operate and uses these understandings to produce findings that are recognizable and meaningful to public program managers and policymakers.

The TICA approach uses an intensive qualitative and quantitative research methods approach (interviews with knowledgeable informants, process observation, budget analysis, administrative data collection, review of other administrative records) and follows six steps, shown in Table 1 on the following page.

NPC’s TICA approach is useful because it produces a set of cost findings that are of particular value to policymakers and public program managers. Examples of the information that this cost approach can produce include:

- Transaction costs: TICA calculates the cost of each transaction involved in the program under study (e.g., the cost of a hearing for an eviction case);
- Investment costs: TICA calculates the total cost spent on a program (e.g., representation for tenants in eviction cases) as well as the total cost for “business as usual” (e.g., the cost of processing an eviction case in which tenants do not have an attorney);
- Outcome costs: The costs involved in particular outcomes of interest (e.g., the cost of a homeless shelter bed, the cost of an arrest due to loitering);
- Costs per agency: TICA data can be used to calculate costs for particular agencies for particular transactions or programs (e.g., the cost to legal aid for providing counsel, the cost to the judicial system for eviction hearings); and
- Cost-benefit ratio: Ultimately, TICA data are used to calculate a cost-benefit ratio (e.g., the investment cost in relation to the cost savings attributable to outcomes).

In sum, by utilizing a rigorous data gathering and analysis methodology, TICA provides the most detailed and accurate understanding of program and outcome costs.



**Table 1. The Transactional and Institutional Cost Analysis (TICA) Approach**

	<b>Description</b>	<b>Tasks</b>
Step 1.	Determine flow/process (i.e., how clients move through the system)	Site visits/direct observations of program practice Interviews with key informants (agency and program staff)
Step 2.	Identify the transactions that occur within this flow (i.e., where clients interact with the system)	Analysis of process information gained in Step 1
Step 3.	Identify the agencies involved in each transaction (e.g., court, treatment, police)	Analysis of process information gained in Step 1 Direct observation of program transactions
Step 4.	Determine the resources used by each agency for each transaction (e.g., amount of judge time per transaction, amount of attorney time per transaction, # of transactions)	Interviews with program key informants Direct observation of program transactions Administrative data collection of # of transactions (e.g., # of court hearings, # of motions, # of shelter days utilized)
Step 5.	Determine the cost of the resources used by each agency for each transaction	Interviews with budget and finance officers Document review of agency budgets and other financial paperwork
Step 6.	Calculate cost results (e.g., cost per transaction, total cost of the intervention per participant)	Support and overhead costs (as a percentage of direct costs) are added to the direct costs of each transaction to determine the cost per transaction.  The transaction cost is multiplied by the average number of transactions for program participants to determine the total average cost per transaction type.  These total average costs per transaction type are added to determine the program and outcome costs.

### Proxy Cost Methodology

While the TICA approach can generate the most detailed and accurate cost picture, such an approach is not always feasible or appropriate. For example, the data needed to conduct the TICA methodology may not always be available, or the particular transaction of interest may not be central enough to the study to warrant this resource-intensive approach. In these cases, it will be necessary to

utilize a proxy cost approach. Proxy costing can take two forms. First, proxy costs can be generated by calculating a per-person or per-event average cost using available data. For example, it is possible to generate a proxy cost to the police of an arrest by dividing the total annual statewide expenditures for the police by the number of individuals arrested annually. A second method for arriving at proxy costs involves utilizing data from existing studies and applying this data to the

current study. For example, the existing literature on homelessness likely includes estimates of the costs of homelessness to the taxpayer and to society, and these costs could serve as proxies in the current study.

## Determining the Appropriate Cost Methodology

The proposed project will utilize both the TICA and proxy cost approaches. Investment costs (the costs associated with eviction court cases for both the represented group and the control group) will be measured using TICA in order to gain a detailed and accurate understanding of all costs associated with providing counsel in eviction cases. However, because the list of outcomes of interest for the proposed study is lengthy, and because some of the outcomes are both longer term and more tangential than others, which cost analysis approach is utilized for each outcome of interest will be determined using a combination of the following inter-related criteria:

- Availability of proxy data: Some of the study outcomes of interest are in areas that have been widely researched, such as homelessness and shelter utilization. For outcomes with available and reliable proxy data, it may not be a prudent use of study resources to conduct a full TICA analysis.

- Proximity of outcomes to the eviction case: Some of the hypothesized study outcomes are longer-term in nature; for example, it may be that health outcomes that may result from eviction and homelessness manifest themselves years after the precipitating eviction case. The current study will track participants for just two years, and therefore, some outcomes may manifest after the close of the study. It may be possible to estimate the prevalence and costs of these outcomes, however, using available existing research.
- Resource intensiveness: In some cases it may be possible to use the TICA approach to collect cost information, but such an approach may be extremely labor and resource intensive. For example, the study will track the affects of the eviction case on children's school disruptions. While it is technically possible to use TICA to measure the costs of such school disruptions (learning delays for children resulting in the provision of extra school services), this likely would be a resource-heavy endeavor.

Thus, we propose to evaluate the feasibility of using the TICA approach for each outcome of interest at each study site (because there may be variations across study sites in the availability of data and other variables) to determine when to use TICA and when to use a proxy approach to cost analysis.

## PROJECT TIMELINE

**T**able 2, below, presents a proposed project timeline. The entire project timeline encompasses 3½ years, including a 6-month project start-up period, 2½ years for study recruitment and data collection (including 6 months for sample building and recruitment and 24 months of follow-up data collection), and a final period for data analysis and reporting.

**Table 2. Project Timeline**

Task	Project Months
<b>Start-up activities:</b>	
Finalize design and instrumentation	Months 1-3
Finalize sampling and randomization procedures at study sites	Months 1-3
Submit IRB application	Month 4
Hire and train site-level evaluation data collection staff	Months 4-6
Receive IRB approval	Month 6
<b>Data collection activities:</b>	
Sampling & recruitment	Months 7-12
Case data entered into MIS by project staff	Months 7-14
Baseline interviews	Months 7-14
Periodic locator check-ins	Months 9-38
12-month follow-up interviews	Months 19-26
24-month follow-up interviews	Months 31-38
<b>Data processing, analysis, and reporting:</b>	
Data processing	Months 7-39
Preliminary data analysis	Months 14-16
Preliminary report	Month 16
Final data analysis	Months 38-42
Final report	Month 42



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## **APPENDIX A: ADVISORY BOARD MEMBERS**





## Civil Right to Counsel Social Science Advisory Board

Laura Abel  
Deputy Director, Justice Program  
Brennan Center for Justice, NYU Law  
School

Sabrina Andrus  
Project Coordinator, Committee for Indi-  
gent Representation and Civil Legal  
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Justice Earl Johnson,  
(Retired) Judge  
California State Court of Appeals

Deborah Perluss  
Deputy Director  
Northwest Justice Project

Rebecca Sandefur  
Professor of Sociology & Law  
Stanford University



## **APPENDIX B: OUTCOMES CROSSWALK**



## Outcomes Crosswalk

Outcome	Operational Definition	Data Collection Tool	Collected by Whom
<b>I. Legal Case Outcomes</b>			
a. Writ/order for eviction	Difference between represented & unrepresented participants in number of orders for eviction	Case outcome data collection tool (preferably an electronic database)	Project Staff
b. Judgment requiring repairs	Difference between groups in number of stipulations	Case outcome data collection tool (preferably an electronic database)	Project Staff
c. Judgment requiring rent abatement	Difference between groups in number of stipulations	Case outcome data collection tool (preferably an electronic database)	Project Staff
d. Judgment allowing extended move-out	Difference between groups in number of stipulations	Case outcome data collection tool (preferably an electronic database)	Project Staff
e. Judgment allowing a payment plan	Difference between groups in number of stipulations	Case outcome data collection tool (preferably an electronic database)	Project Staff
f. Orders of dismissal	Difference between groups in number of orders	Case outcome data collection tool (preferably an electronic database)	Project Staff
g. Judgment requiring payment of damages/fees	Difference between groups in number of orders	Case outcome data collection tool (preferably an electronic database)	Project Staff
<b>II. Court Efficiency Outcomes</b>			
a. Mode of case resolution	Difference between groups in the number: <ul style="list-style-type: none"> <li>a. Entering default judgments</li> <li>b. Going to trial</li> <li>c. Reaching settlement</li> </ul>	Case outcome data collection tool (preferably an electronic database)	Project Staff
b. Court appearances	Difference between groups in number of court appearances	Case outcome data collection tool (preferably an electronic database)	Project Staff
c. Length of case	Difference between groups in number of days between initial answer & final disposition	Case outcome data collection tool (preferably an electronic database)	Project Staff
d. Motions filed	Difference between groups in number of motions filed between initial answer & final disposition	Case outcome data collection tool (preferably an electronic database)	Project Staff

Outcome	Operational Definition	Data Collection Tool	Collected by Whom
e. Post-judgment motions filed	Difference between groups in number of motions filed after judgment	Case outcome data collection tool (preferably an electronic database)	Project Staff
<b>III. Longer-Term Outcomes</b>			
a. Housing			
i. Housing changes	Difference between groups in 12 months post-disposition on: a. # of forcible evictions b. # of housing changes c. # of times & # of days spent in shelters d. # of times & # of days spent staying w/friends/family	Participant interviews at baseline, 12, and 24 months: calendaring technique adapted from previous NPC participant interviews	Evaluation staff
ii. Changes in type and quality of housing/neighborhoods	Difference between groups in 12 months post-disposition on: a. # of neighborhood changes b. types of housing (e.g. public/private; house/apartment; size) c. Increase/decrease in perceived neighborhood disorder	Participant interviews: Ross-Mirowsky Perceived Neighborhood Disorder Scale at baseline, 12, 18 months	Evaluation staff
b. Employment & income			
i. Job loss and changes	Difference between groups in 12 months post-disposition on: a. Whether lost a job b. Number of jobs lost c. Whether changed jobs d. Number of times changed jobs	Participant interviews at baseline, 12,18 months (questions adapted from previous NPC participant interview studies)	Evaluation staff
ii. Income	Difference between groups on monthly income at baseline, 6, and 12 months	Participant interviews at baseline, 12,18 months (questions adapted from previous NPC participant interview studies)	Evaluation staff

	<b>Outcome</b>	<b>Operational Definition</b>	<b>Data Collection Tool</b>	<b>Collected by Whom</b>
iii.	Sources of income	Difference between groups on sources of income at baseline, 6, and 12 months (including all public assistance sources)	Participant interviews at baseline, 12,18 months (questions adapted from previous NPC participant interview studies)	Evaluation staff
<b>c. Family outcomes</b>				
i.	Divorce/separations	Difference between groups in 12 month follow-up period on prevalence of divorce/separations	Participant interviews at baseline, 12, 18 months	Evaluation staff
ii.	Child custody/living arrangement changes	Difference between groups in 12 month follow-up period on prevalence of changes in child custody/child living arrangements	Participant interviews at baseline, 12, 18 months	Evaluation staff
iii.	School disruptions	Difference between groups in 12 month follow-up period on: <ul style="list-style-type: none"> <li>a. Number of times changed schools</li> <li>b. Number of days of school missed due to housing changes</li> </ul>	Participant interviews at baseline, 12, 18 months	Evaluation staff
<b>d. Health outcomes</b>				
i.	Physical health	Difference between groups at baseline and follow-up on: <ul style="list-style-type: none"> <li>a. Prevalence of chronic health problems</li> <li>b. Number of emergency room visits</li> <li>c. Number of days spent in hospital</li> </ul>	Participant interviews at baseline, 12, 18 months: items taken from the Addiction Severity Index (ASI)	Evaluation staff
ii.	Mental health	Difference between groups at baseline and follow-up on: <ul style="list-style-type: none"> <li>a. Number of days spent in inpatient &amp; outpatient treatment for mental health</li> <li>b. Prevalence of depression, anxiety, and other mental health issues</li> </ul>	Participant interviews at baseline, 12, 18 months: ASI psychiatric subscale	Evaluation staff

	<b>Outcome</b>	<b>Operational Definition</b>	<b>Data Collection Tool</b>	<b>Collected by Whom</b>
iii.	Substance use	Difference between groups at baseline and follow-up on: <ul style="list-style-type: none"> <li>a. Number of days spent in inpatient &amp; outpatient treatment for substance use</li> <li>b. Last 30 days use of all types of drugs</li> </ul>	Participant interviews at baseline, 12, 18 months: ASI	Evaluation staff
iv.	Health care access	Difference between groups at baseline and follow-up on: <ul style="list-style-type: none"> <li>a. Proximity to health care services</li> <li>b. Knowledge about available health care services</li> <li>c. Having a primary care physician</li> </ul>	Participant interviews at baseline, 12, 18 months	Evaluation staff
v.	Health insurance	Difference between groups at baseline and follow-up on: <ul style="list-style-type: none"> <li>a. Having health insurance</li> <li>b. Health insurance type (public vs. private)</li> </ul>	Participant interviews at baseline, 12, 18 months	Evaluation staff
<b>e. Criminal justice outcomes</b>				
i.	Arrests	Difference between groups in 12 month follow-up period on number of arrests	Statewide administrative criminal justice databases	Evaluation staff
ii.	Convictions	Difference between groups in 12 month follow-up period on number of convictions	Statewide administrative criminal justice databases	Evaluation staff
iii.	Jail stays	Difference between groups in 12 month follow-up period on number of days spent in jail	Statewide administrative criminal justice databases	Evaluation staff



## **APPENDIX C: CASE OUTCOMES DATA ELEMENTS**



**Effects of Civil Representation Study  
Case Outcome Data Collection Tool**

1. Case ID: \_\_\_\_\_

2. Sample:

- Represented group
- Control group: Did the litigant obtain representation elsewhere?
  - Yes
  - No

3. Date landlord filed the eviction case with the court: \_\_\_\_\_

4. Reasons for eviction noted by landlord (mark all that apply):

- Nonpayment. Amount: \$\_\_\_\_\_
- Nuisance or neglect of property
- Other breach of lease: \_\_\_\_\_
- Other: \_\_\_\_\_

5. Tenant's defense (mark all that apply):

- Payment made
- Habitability
- Retaliation
- Landlord did not follow proper eviction process
- Discrimination
- Other: \_\_\_\_\_

6. Court Appearances

Date	Type of appearance (e.g. show cause hearing, judge trial, jury trial)	Summary description of appearance
1.		
2.		
3.		
4.		
5.		

7. Motions made or filed

Date	Summary description of motion
1.	
2.	
3.	
4.	
5.	

8. Date of disposition of the case: \_\_\_\_\_

9. Mode of disposition:

- Default judgment
- Settlement
- Judge trial
- Jury trial
- Other: \_\_\_\_\_

10. Final disposition of the case (check all that apply):

- Order of dismissal was entered
- Writ/order for eviction was issued
- Writ was stayed
- Judgment requiring repairs
- Judgment requiring rent abatement
- Judgment allowing extended move-out
- Judgment allowing a payment plan
- Judgment requiring payment of damages or attorney fees. Amount: \$ \_\_\_\_\_
- Case was sent to trial
- Other. Describe: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

11. Post-judgment activity (check all that apply):

- Landlord appealed
- Tenant appealed
- Writ stayed
- Post-judgment motions filed by landlord
- Post-judgment motions filed by tenant
- Case sent to judge trial
- Case sent to jury trial

## **APPENDIX D: DRAFT BASELINE CLIENT INTERVIEW**



## **EFFECTS OF CIVIL REPRESENTATION BASELINE INTERVIEW DRAFT**

A1. ID No.: \_\_\_\_\_

A2. Interviewer: \_\_\_\_\_

A3. Date of Interview: (mm/dd/yy)

\_\_\_\_\_

A4. Time Started: \_\_\_\_\_

A5. Time Completed: \_\_\_\_\_

*Note to Interviewer: Items in italics or in brackets are meant for interviewer instructions, and should not be repeated to the respondent.*

*Introduction and consent:*

*Taped Interviews: Read and complete Consent for Release of Taped Interview Form.*

Before we start, I want to thank you for your interest in this project and for agreeing to meet with me today. By completing this interview, you are providing information that will help improve legal services for people facing eviction. I have two forms here for your review. The first describes the project, what it means to be a participant, and your rights. I need to read this Informed Consent Form aloud, and to give you a copy that you can read and keep for yourself. If you agree to participate after I have read the entire Informed Consent, I will record a project ID number and your name, and we will both sign the form.

*Read and complete Informed Consent.*

OK. This next form asks you for information about how to get in touch with you for follow-up interviews.

*Complete Locator Form.*

We hope that you feel free to answer our questions honestly, so that our data will be as complete as possible. There are no right or wrong answers; we just need to know what is true for you based on your experiences. It is important that I read every question, all the way through, for everyone who participates in our project. Please wait until I have read all the possible answers before giving me yours, even if your answer was the first one that I read.

*Note to Interviewer regarding coding refused and not applicable data: Throughout the interview, codes for don't know, refused, and not applicable data are available as response options for coding the interview. Do not provide these options to the respondent, but use these*

should the respondent refuse to answer a question, or if data is not applicable for reasons other than refusal. The not applicable code should be used to fill in responses when questions are skipped due to skip patterns.

## **B. Background Information**

First, let's start with several background questions.

B1. Record participant's gender:

- Male
- Female

B2. What is your date of birth? (month/day/year) \_\_\_\_\_

B3. What is your marital status?

- Single
- Married
- Partnered
- Don't know
- Refused

B4. What race/ethnicity do you consider yourself (check all that apply)?

- White (not Hispanic)
- Black (not Hispanic)
- Hispanic
- American Indian or Alaskan Native
- Asian/Pacific Islander
- Other (please specify): \_\_\_\_\_
- Don't know
- Refused

B5. What language do you primarily speak at home?

- English
- Spanish
- Other: \_\_\_\_\_

B6. How many children under the age of 18 do you have? \_\_\_\_\_ [If "0" children, skip to Section C.]

B7. How many of these children currently live with you? \_\_\_\_\_ [If "0" children, skip to Section C.]



B8. Please tell me a little bit about these children:

---

First Name	Age	School Name	Grade
1.			
2.			
3.			
4.			
5.			

### **C. Employment & Income**

Now I have a few questions about your employment and income.

C1. What is the highest educational degree you have obtained?

- Less than High School, no GED
- High School Diploma or passed GED
- Some vocation or trade school
- Vocation or trade school certification/degree
- Two-year associate degree or some 4-year college
- Four-year college degree or higher
- Don't know
- Refused

C2. What is your current employment status?

- Full time (35+ hours)
- Part time
- Unemployed-looking for work
- Unemployed-not looking for work
- Full-time homemaker
- Unemployed because you are a student
- Retired
- Disabled from work

- Don't know
- Refused

*For each of the following sources of income, if the answer to C3 is "Yes," check the corresponding box and ask C4. If the answer to C3 is "No," go on to the next income source.*

<b>C3. At any time during the last 6 months, did you receive income from:</b>	<b>C4. How much money have you received in the last 30 days from:</b>
<input type="checkbox"/> C4a. TANF	_____
<input type="checkbox"/> C4b. State or county general welfare/public aid, food stamps	_____
<input type="checkbox"/> C4c. Supplemental Security Income or "SSI"	_____
<input type="checkbox"/> C4d. Social Security Disability Income or "SSDI"	_____
<input type="checkbox"/> C4e. VA or other armed service pension or disability benefits	_____
<input type="checkbox"/> C4f. Unemployment compensation	_____
<input type="checkbox"/> C4g. Social security	_____
<input type="checkbox"/> C4h. Retirement, investment or savings income	_____
<input type="checkbox"/> C4i. Alimony or child support	_____
<input type="checkbox"/> C4j. Payments for being a foster parent	_____
<input type="checkbox"/> C4k. illegal sources	_____
<input type="checkbox"/> C4l. Other income sources, such as money from friends/family	_____

**D. Housing**

D1. You have been involved in an eviction case with your landlord. Are you still living in this property?

- No
- Yes [*Skip to D3*]
- Don't know
- Refused

D2. Why are you no longer living in this property?

- You were evicted
- You decided to move out for other reasons: \_\_\_\_\_ [Skip to D4]
- Don't know
- Refused
- Not applicable

D3 Did any of the following things happen as part of the eviction?

- Someone (usually the sheriff) came to leave papers about the eviction
- Someone (usually the sheriff) came to physically remove you from the property
- Someone (usually a locksmith) came to change the locks
- Someone (usually the sheriff) moved all your belongings onto the street
- Someone (usually the sheriff) moved all your belongings into a storage facility
- Refused
- Not applicable

D4. Now I'd like to record every living situation that you have had in the past 6 months, so we are talking about *[Date six months prior to interview date]* through today. By living situation, I mean any arrangement you may have had, including renting your own place, staying with friends or family, spending a night on the street or in a shelter, or any other situation you may have had. For each living situation you have had in the past six months, I'd like to know when you lived there, why you moved, and whether it was public housing.

*[Use calendar and calendaring technique to identify move-in and move-out dates for each housing change, and record each housing episode (type, dates, and reason for moving) below. If housing type was a place rented by the participant, ask whether it was public housing.]*

Housing Situation	Move in Date	Move out Date	Move out Reason	If a rental property: Was this public housing?
1.				<input type="checkbox"/> No <input type="checkbox"/> Yes.
2.				<input type="checkbox"/> No <input type="checkbox"/> Yes.

3.	<input type="checkbox"/> No
	<input type="checkbox"/> Yes.
4.	<input type="checkbox"/> No
	<input type="checkbox"/> Yes
5.	<input type="checkbox"/> No
	<input type="checkbox"/> Yes
6.	<input type="checkbox"/> No
	<input type="checkbox"/> Yes
7.	<input type="checkbox"/> No
	<input type="checkbox"/> Yes
8.	<input type="checkbox"/> No
	<input type="checkbox"/> Yes
9.	<input type="checkbox"/> No
	<input type="checkbox"/> Yes
10.	<input type="checkbox"/> No
	<input type="checkbox"/> Yes

---

**E. Neighborhood Quality: Ross-Mirowsky Perceived Neighborhood Disorder Scale (1999)**

**SHOWCARD A**

The next group of questions focuses on your neighborhood. Please think about where you currently live, and use this card to pick your answers. The answer choices are strongly disagree, disagree, agree, and strongly agree. *[Give respondent Show Card A and read all responses for the first two questions.]*

	Strongly disagree	Disagree	Agree	Strongly agree	DK	RF
E1. There is a lot of graffiti in my neighborhood.	1	2	3	4		
E2. My neighborhood is noisy.						
E3. Vandalism is common in my neighborhood.						

E4. My neighborhood is clean.						
E5. People in my neighborhood take good care of their houses and apartments.						
E6. There are too many people hanging around on the streets near my home.						
E7. There is a lot of crime in my neighborhood.						
E8. There is too much drug use in my neighborhood.						
E9. There is too much alcohol use in my neighborhood.						
E10. I'm always having trouble with my neighbors.						
E11. In my neighborhood, people watch out for each other.						
E12. My neighborhood is safe.						

**F. Legal Services**

Now I have some questions about kinds of help you may have received relating to your eviction case with your landlord.

F1. Did you have an attorney represent you in this case?

- No
- Yes
- Don't know
- Refused

F2. Did you use any of the following services to get help with your eviction case?

- A court-based self-help center
- A legal help telephone line
- An agency that helps people with housing problems and questions
- A "lawyer-for-a-day" program
- Other: \_\_\_\_\_
- Don't know
- Refused

## **G. Health**

Next I have some questions about your health.

G1. Do you have medical insurance?

- No [*Skip to G3*]
- Yes
- Don't know
- Refused

G2. What kind of medical insurance do you have?

- Insurance provided by your employer
- Insurance you purchase yourself
- Medicare
- Medicaid [*Use state-specific name here*]
- Other. Please specify: \_\_\_\_\_
- Don't know
- Refused
- Not applicable

G3. How many times in your life have you been hospitalized for medical problems? [*If "0" times, skip to G6*] \_\_\_\_\_

- Don't know
- Refused

G4. How many times in the past six months have you been admitted into the hospital for medical problems? \_\_\_\_\_ [*If "0" times, skip to G6.*]

- Don't know
- Refused
- Not applicable

G5. How many days did you spend in the hospital during the past six months? \_\_\_\_\_

- Don't know
- Refused
- Not applicable

G6. How many times have you gone to the emergency room in the past six months? \_\_\_\_\_

- Don't know
- Refused

G7. Do you have any chronic medical problems which interfere with your life?

- Yes
- No
- Don't know
- Refused

G8. How many days have you experienced medical problems in the past 30 days?

\_\_\_\_\_

### **H. Alcohol/Drug Use [ASI]**

The next questions I have for you ask about your experiences with alcohol and other drugs, your treatment history, and attitudes about treatment. Again, remember that what you tell me today is confidential, and will not be shared with anyone.

H1. In the past 30 days, on how many days did you use each of the following substances?

- a. Alcohol: \_\_\_\_\_ days
- b. Alcohol (to intoxication): \_\_\_\_\_ days
- c. Heroin: \_\_\_\_\_ days
- d. Methadone: \_\_\_\_\_ days
- e. Other Opiates/Analgesics: \_\_\_\_\_ days
- f. Barbiturates: \_\_\_\_\_ days
- g. Sedatives/Hypnotics/Tranquilizers: \_\_\_\_\_ days
- h. Cocaine: \_\_\_\_\_ days
- i. Methamphetamines: \_\_\_\_\_ days
- j: Other Amphetamines: \_\_\_\_\_ days
- k: Cannabis: \_\_\_\_\_ days
- l. Hallucinogens: \_\_\_\_\_ days
- m. Inhalants: \_\_\_\_\_ days
- n. More than 1 substance (including alcohol): \_\_\_\_\_ days

H2. The next questions refer to your substance use during your lifetime. In your lifetime, how many years did you use each of the following substances regularly? By "regularly" I mean at least 3 times per week for 6 months or more.

- a. Alcohol: \_\_\_\_\_ years
- b. Alcohol (to intoxication): \_\_\_\_\_ years
- c. Heroin: \_\_\_\_\_ years
- d. Methadone: \_\_\_\_\_ years
- e. Other Opiates/Analgesics: \_\_\_\_\_ years
- f. Barbiturates: \_\_\_\_\_ years
- g. Sedatives/Hypnotics/Tranquilizers: \_\_\_\_\_ years
- h. Cocaine: \_\_\_\_\_ years
- i. Methamphetamines: \_\_\_\_\_ years
- j: Other Amphetamines: \_\_\_\_\_ years
- k: Cannabis: \_\_\_\_\_ years
- l. Hallucinogens: \_\_\_\_\_ years
- m. Inhalants: \_\_\_\_\_ years
- n. More than 1 substance (including alcohol): \_\_\_\_\_ years

H3. How many times in your life have you been treated for alcohol abuse? \_\_\_\_\_

- Don't know
- Refused

H4. How many times in your life have you been treated for drug abuse? \_\_\_\_\_

- Don't know
- Refused

H6. *[If H3 and H4 were both "0", skip to Section I]* How many days have you been treated as an outpatient for alcohol or drugs in the past 30 days, excluding AA/NA? \_\_\_\_\_

- Don't know
- Refused



H7. How many days have you been treated as an inpatient for alcohol or drugs in the past 30 days? \_\_\_\_\_

Don't know

Refused

**I. Psychiatric Status [ASI]**

This next set of questions asks about some emotional or psychological states you may have experienced in the last 30 days and in your lifetime.

I1. In your lifetime, how many times have you been treated for any psychological or emotional problems:

a. In a hospital or inpatient setting? \_\_\_\_\_

Don't know

Refused

b. As an outpatient/private patient? \_\_\_\_\_

Don't know

Refused

I2. In the past 30 days, how many days have you been treated for psychological or emotional problems:

a. *[If I1a was "0" then skip to I2b.]* In a hospital or inpatient setting? \_\_\_\_\_

Don't know

Refused

Not applicable

b. *[If I1b was "0" then skip to I3]* As an outpatient/private patient? \_\_\_\_\_

Don't know

Refused

Not applicable

I3. Have you had a significant period of time in which you have:

Symptom	Past 30 Days	Lifetime
a. Experienced serious depression-sadness, hopelessness, loss of interest, difficulty with daily function?	<input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> Don't Know <input type="checkbox"/> Refused	<input type="checkbox"/> No <input type="checkbox"/> Yes. # Years: _____ <input type="checkbox"/> Don't Know <input type="checkbox"/> Refused
b. Experienced serious anxiety/tension, uptight, unreasonably worried, inability to feel relaxed?	<input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> Don't Know <input type="checkbox"/> Refused	<input type="checkbox"/> No <input type="checkbox"/> Yes. # Years: _____ <input type="checkbox"/> Don't Know <input type="checkbox"/> Refused
c. Experienced hallucinations-saw things or heard voices that were not there?	<input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> Don't Know <input type="checkbox"/> Refused	<input type="checkbox"/> No <input type="checkbox"/> Yes. # Years: _____ <input type="checkbox"/> Don't Know <input type="checkbox"/> Refused
d. Experienced trouble understanding, concentrating, or remembering?	<input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> Don't Know <input type="checkbox"/> Refused	<input type="checkbox"/> No <input type="checkbox"/> Yes. # Years: _____ <input type="checkbox"/> Don't Know <input type="checkbox"/> Refused
e. Experienced trouble controlling violent behavior including episodes of rage, or violence?	<input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> Don't Know <input type="checkbox"/> Refused	<input type="checkbox"/> No <input type="checkbox"/> Yes. # Years: _____ <input type="checkbox"/> Don't Know <input type="checkbox"/> Refused
f. Experienced serious thoughts of suicide?	<input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> Don't Know <input type="checkbox"/> Refused	<input type="checkbox"/> No <input type="checkbox"/> Yes. # Years: _____ <input type="checkbox"/> Don't Know <input type="checkbox"/> Refused
g. Attempted suicide?	<input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> Don't Know <input type="checkbox"/> Refused	<input type="checkbox"/> No <input type="checkbox"/> Yes. # Years: _____ <input type="checkbox"/> Don't Know <input type="checkbox"/> Refused
h. Been prescribed medications for any psychological or emotional problems?	<input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> Don't Know <input type="checkbox"/> Refused	<input type="checkbox"/> No <input type="checkbox"/> Yes. # Years: _____ <input type="checkbox"/> Don't Know <input type="checkbox"/> Refused

## **J. Closing**

J1. Is there anything you would like to say about this interviewing experience, or any suggestions regarding this interview that you'd like to mention?

J2. Is there anything else you want to tell me?

Thank you very much for your time today, and for answering all these questions. Your participation in this study is greatly appreciated. Without you this study would not be possible.

*Complete incentive receipt and deliver the incentive.*

*End time:*

## **Interview Debriefing**

1. Were there distractions, interruptions, or other disruptions in the interview today? Please describe.
2. Was the respondent actively engaged (attentive, interested, not answering "by rote") in the interview process?
3. Were there other individuals present or within earshot for some or all of the interview? If yes, please describe. If yes, to what extent do you think this inhibited the participants' responses to these questions?
4. To what extent was the respondent comfortable with the interview? If not, why?
5. Anything else that we should know about the interview or circumstances surrounding the interview?



## **APPENDIX E: DRAFT FOLLOW-UP CLIENT INTERVIEW**



# EFFECTS OF CIVIL REPRESENTATION FOLLOW-UP INTERVIEW DRAFT

A1. ID No.: \_\_\_\_\_

A2. Interviewer: \_\_\_\_\_

A3. Date of Interview: (mm/dd/yy) \_\_\_\_\_

A4. Time Started: \_\_\_\_\_

A5. Time Completed: \_\_\_\_\_

A5. This interview is the:

12-month follow-up

24-month follow-up

*Note to Interviewer: Items in italics or in brackets are meant for interviewer instructions, and should not be repeated to the respondent.*

*Introduction and consent:*

*Taped Interviews: Read and complete Consent for Release of Taped Interview Form.*

*[If this not the last interview:] Before we start, I would like to update this locator form that has information about how to get in touch with you for the next follow-up interview.*

*Complete Locator Form.*

We hope that you feel free to answer our questions honestly, so that our data will be as complete as possible. There are no right or wrong answers; we just need to know what is true for you based on your experiences. It is important that I read every question, all the way through, for everyone who participates in our project. Please wait until I have read all the possible answers before giving me yours, even if your answer was the first one that I read.

*Note to Interviewer regarding coding refused and not applicable data: Throughout the interview, codes for don't know, refused, and not applicable data are available as response options for coding the interview. Do not provide these options to the respondent, but use these should the respondent refuse to answer a question, or if data is not applicable for reasons other than refusal. The not applicable code should be used to fill in responses when questions are skipped due to skip patterns.*

**B. Background Information**

First, let's start with several background questions.

*B1. Not asked at follow-up interview.*

*B2. Not asked at follow-up interview.*

B3. What is your marital status?

- Single
- Married
- Partnered
- Don't know
- Refused

*B4. Not asked at follow-up interview.*

*B5. Not asked at follow-up interview.*

*B6. Not asked at follow-up interview.*

*B7. Not asked at follow-up interview.*

*B8. Not asked at follow-up interview.*

B9. Please update me about your children. I have a list of all the children you said were living with you at the time of our last interview. Can you update me on any changes in these children's ages, schools, and grades?

*[Note to interviewer: Prior to interview, fill in children's names and schools. Then, at the interview, ask whether the child is still at that same school, and if not, record the number of schools they have attended since then along with the current school.]*

---

Child Name	School	Still There?	# of Schools Since	Current School
1.		<input type="checkbox"/> No <input type="checkbox"/> Yes		
2.		<input type="checkbox"/> No <input type="checkbox"/> Yes		
3.		<input type="checkbox"/> No <input type="checkbox"/> Yes		



- 
4.  No  
 Yes

5.  No  
 Yes

B9. Are any of the children on this list no longer living with you?

- No *[Skip to B10.]*  
 Yes  
 Don't know  
 Refused  
 Not applicable

B10. Please tell me which children are no longer living with you, and the reason why.

---

**Child Number & Name**

**Reason**

- Living with her/his other parent now  
 Living with another relative now  
 Living in foster care now

- Living with her/his other parent now  
 Living with another relative now  
 Living in foster care now
- 

B11. Are there any other children who are living with you now that aren't on this list?

- No *[Skip to Section C.]*  
 Yes  
 Don't know

- Refused
- Not applicable

B12. Please give me the following information for these children.

First Name	Age	School Name	Grade
6.			
7.			

**C. Employment & Income**

Now I have a few questions about your employment and income.

C1. What is the highest educational degree you have obtained?

- Less than High School, no GED
- High School Diploma or passed GED
- Some vocation or trade school
- Vocation or trade school certification/degree
- Two-year associate degree or some 4-year college
- Four-year college degree or higher
- Don't know
- Refused

C2. What is your current employment status?

- Full time (35+ hours)
- Part time
- Unemployed-looking for work
- Unemployed-not looking for work
- Full-time homemaker
- Unemployed because you are a student

- Retired
- Disabled from work
- Don't know
- Refused

*For each of the following sources of income, if the answer to C3 is "Yes," check the corresponding box and ask C4. If the answer to C3 is "No," go on to the next income source.*

<b>C3. At any time during the last 12 months, did you receive income from:</b>	<b>C4. How much money have you received in the last 30 days from:</b>
<input type="checkbox"/> C4a. TANF	_____
<input type="checkbox"/> C4b. State or county general welfare/public aid, food stamps	_____
<input type="checkbox"/> C4c. Supplemental Security Income or "SSI"	_____
<input type="checkbox"/> C4d. Social Security Disability Income or "SSDI"	_____
<input type="checkbox"/> C4e. VA or other armed service pension or disability benefits	_____
<input type="checkbox"/> C4f. Unemployment compensation	_____
<input type="checkbox"/> C4g. Social security	_____
<input type="checkbox"/> C4h. Retirement, investment or savings income	_____
<input type="checkbox"/> C4i. Alimony or child support	_____
<input type="checkbox"/> C4j. Payments for being a foster parent	_____
<input type="checkbox"/> C4k. illegal sources	_____
<input type="checkbox"/> C4l. Other income sources, such as money from friends/family	_____

**C5. Since your last interview on [date], have you lost or changed jobs?**

- Yes, I have lost one or more jobs. How many jobs? \_\_\_\_\_
- Yes, I have changed jobs. How many times? \_\_\_\_\_
- No
- Don't know
- Refused

## **D. Housing**

*[Note to interviewer: Prior to interview, determine whether participant was living in the landlord's property at the time of the last interview. If so, ask D1-D3. If not, skip to D4.]*

D1. You have been involved in an eviction case with your landlord. Are you still living in this property?

- No
- Yes *[Skip to D3]*
- Don't know
- Refused
- Not applicable

D2. Why are you no longer living in this property?

- You were evicted
- You decided to move out for other reasons: \_\_\_\_\_ *[Skip to D4]*
- Don't know
- Refused
- Not applicable

D3 Did any of the following things happen as part of the eviction?

- Someone (usually the sheriff) came to leave papers about the eviction
- Someone (usually the sheriff) came to physically remove you from the property
- Someone (usually a locksmith) came to change the locks
- Someone (usually the sheriff) moved all your belongings onto the street
- Someone (usually the sheriff) moved all your belongings into a storage facility
- Refused
- Not applicable

D4. Now I'd like to record every living situation that you have had since your last interview, so we are talking about *[Date of last interview]* through today. By living situation, I mean any arrangement you may have had, including renting your own place, staying with friends or family, spending a night on the street or in a shelter, or any other situation you may have had. For each living situation you have had in the past six months, I'd like to know when you lived there and why you moved.

*[Use calendar and calendaring technique to identify move-in and move-out dates for each housing change, and record each housing episode (type, dates, and reason for moving) below. If housing type was a place rented by the participant, ask whether it was public housing.]*

Housing Situation	Move in Date	Move out Date	Move out Reason	If a rental property: Was this public housing?
1.				<input type="checkbox"/> No
				<input type="checkbox"/> Yes
2.				<input type="checkbox"/> No
				<input type="checkbox"/> Yes
3.				<input type="checkbox"/> No
				<input type="checkbox"/> Yes
4.				<input type="checkbox"/> No
				<input type="checkbox"/> Yes
5.				<input type="checkbox"/> No
				<input type="checkbox"/> Yes
6.				<input type="checkbox"/> No
				<input type="checkbox"/> Yes
7.				<input type="checkbox"/> No
				<input type="checkbox"/> Yes
8.				<input type="checkbox"/> No
				<input type="checkbox"/> Yes
9.				<input type="checkbox"/> No
				<input type="checkbox"/> Yes
10.				<input type="checkbox"/> No
				<input type="checkbox"/> Yes

**E. Neighborhood Quality: Ross-Mirowsky Perceived Neighborhood Disorder Scale (1999)**

**SHOWCARD A**

The next group of questions focuses on your neighborhood. Please think about where you currently live, and use this card to pick your answers. The answer choices are strongly disagree, disagree, agree, and strongly agree. *[Give respondent Show Card A and read all responses for the first two questions.]*

	Strongly disagree	Disagree	Agree	Strongly agree	DK	RF
E1. There is a lot of graffiti in my neighborhood.	1	2	3	4		
E2. My neighborhood is noisy.						
E3. Vandalism is common in my neighborhood.						
E4. My neighborhood is clean.						
E5. People in my neighborhood take good care of their houses and apartments.						
E6. There are too many people hanging around on the streets near my home.						
E7. There is a lot of crime in my neighborhood.						
E8. There is too much drug use in my neighborhood.						
E9. There is too much alcohol use in my neighborhood.						
E10. I'm always having trouble with my neighbors.						
E11. In my neighborhood, people watch out for each other.						
E12. My neighborhood is safe.						

**F. Legal Services**

Now I have some questions about kinds of help you may have received relating to your eviction case with your landlord.

F1. Since your last interview, have you had an attorney represent you in this case?

- No
- Yes
- Don't know
- Refused

F2. Since your last interview, have you used any of the following services to get help with your eviction case?

- A court-based self-help center
- A legal help telephone line
- An agency that helps people with housing problems and questions
- A “lawyer-for-a-day” program
- Other: \_\_\_\_\_
- Don’t know
- Refused

### **G. Health**

Next I have some questions about your health.

G1. Do you have medical insurance?

- No [*Skip to G3*]
- Yes
- Don’t know
- Refused

G2. What kind of medical insurance do you have?

- Insurance provided by your employer
- Insurance you purchase yourself
- Medicare
- Medicaid [*Use state-specific name here*]
- Other. Please specify: \_\_\_\_\_
- Don’t know
- Refused
- Not applicable

G3 *Not asked at follow-up interview.*

G4. How many times in the past year have you been admitted into the hospital for medical problems?

\_\_\_\_\_ [*If “0” times, skip to F6.*]

- Don’t know
- Refused
- Not applicable

G5. How many days did you spend in the hospital during the past year? \_\_\_\_\_

- Don't know
- Refused
- Not applicable

G6. How many times have you gone to the emergency room in the past year? \_\_\_\_\_

- Don't know
- Refused

G7. Do you have any chronic medical problems which interfere with your life?

- Yes
- No
- Don't know
- Refused

G8. How many days have you experienced medical problems in the past 30 days? \_\_\_\_\_

#### **H. Alcohol/Drug Use [ASI]**

The next questions I have for you ask about your experiences with alcohol and other drugs, your treatment history, and attitudes about treatment. Again, remember that what you tell me today is confidential, and will not be shared with anyone.

H1. In the past 30 days, on how many days did you use each of the following substances?

- a. Alcohol: \_\_\_\_\_ days
- b. Alcohol (to intoxication): \_\_\_\_\_ days
- c. Heroin: \_\_\_\_\_ days
- d. Methadone: \_\_\_\_\_ days
- e. Other Opiates/Analgesics: \_\_\_\_\_ days
- f. Barbiturates: \_\_\_\_\_ days
- g. Sedatives/Hypnotics/Tranquilizers: \_\_\_\_\_ days
- h. Cocaine: \_\_\_\_\_ days
- i. Methamphetamines: \_\_\_\_\_ days
- j: Other Amphetamines: \_\_\_\_\_ days
- k: Cannabis: \_\_\_\_\_ days
- l. Hallucinogens: \_\_\_\_\_ days
- m. Inhalants: \_\_\_\_\_ days
- n. More than 1 substance (including alcohol): \_\_\_\_\_ days



H2. Since your last interview on [date], have you used any of the following substances?

a. Alcohol	Yes	No	DK	Refused
b. Alcohol (to intoxication)	<b>Yes</b>	<b>No</b>	<b>DK</b>	<b>Refused</b>
c. Heroin	<b>Yes</b>	<b>No</b>	<b>DK</b>	<b>Refused</b>
d. Methadone	<b>Yes</b>	<b>No</b>	<b>DK</b>	<b>Refused</b>
e. Other opiates/analgesics	<b>Yes</b>	<b>No</b>	<b>DK</b>	<b>Refused</b>
f. Barbiturates	<b>Yes</b>	<b>No</b>	<b>DK</b>	<b>Refused</b>
g. Sedatives/Hypnotics/Tranquilizers	<b>Yes</b>	<b>No</b>	<b>DK</b>	<b>Refused</b>
h. Cocaine	<b>Yes</b>	<b>No</b>	<b>DK</b>	<b>Refused</b>
i. Methamphetamines	<b>Yes</b>	<b>No</b>	<b>DK</b>	<b>Refused</b>
j. Other amphetamines	<b>Yes</b>	<b>No</b>	<b>DK</b>	<b>Refused</b>
k. Cannabis	<b>Yes</b>	<b>No</b>	<b>DK</b>	<b>Refused</b>
l. Hallucinogens	<b>Yes</b>	<b>No</b>	<b>DK</b>	<b>Refused</b>
m. Inhalants	<b>Yes</b>	<b>No</b>	<b>DK</b>	<b>Refused</b>
n. More than 1 substance (including alcohol)	<b>Yes</b>	<b>No</b>	<b>DK</b>	<b>Refused</b>

H3. *Not asked at follow-up interview.*

H4. *Not asked at follow-up interview.*

H6. How many days have you been treated as an outpatient for alcohol or drugs since your last interview, excluding AA/NA? \_\_\_\_\_

Don't know

Refused

H7. How many days have you been treated as an inpatient for alcohol or drugs since your last interview?  
\_\_\_\_\_

Don't know

Refused

### **I. Psychiatric Status [ASI]**

This next set of questions asks about some emotional or psychological states you may have experienced since your last interview.

I1. *Not asked at follow-up interview.*

I2. Since your last interview, how many days have you been treated for psychological or emotional problems:

c. In a hospital or inpatient setting? \_\_\_\_\_

Don't know

Refused

Not applicable

d. As an outpatient/private patient? \_\_\_\_\_

Don't know

Refused

Not applicable

13. Since your last interview, have you had a significant period of time in which you have:

Symptom	Past 30 Days
a. Experienced serious depression-sadness, hopelessness, loss of interest, difficulty with daily function?	<input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> Don't Know <input type="checkbox"/> Refused
b. Experienced serious anxiety/tension, uptight, unreasonably worried, inability to feel relaxed?	<input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> Don't Know <input type="checkbox"/> Refused
c. Experienced hallucinations-saw things or heard voices that were not there?	<input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> Don't Know <input type="checkbox"/> Refused
d. Experienced trouble understanding, concentrating, or remembering?	<input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> Don't Know <input type="checkbox"/> Refused
e. Experienced trouble controlling violent behavior including episodes of rage, or violence?	<input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> Don't Know <input type="checkbox"/> Refused
f. Experienced serious thoughts of suicide?	<input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> Don't Know <input type="checkbox"/> Refused
g. Attempted suicide?	<input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> Don't Know <input type="checkbox"/> Refused
h. Been prescribed medications for any psychological or emotional problems?	<input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> Don't Know <input type="checkbox"/> Refused

## **J. Closing**

J1. Is there anything you would like to say about this interviewing experience, or any suggestions regarding this interview that you'd like to mention?

J2. Is there anything else you want to tell me?

Thank you very much for your time today, and for answering all these questions. Your participation in this study is greatly appreciated. Without you this study would not be possible.

*Complete incentive receipt and deliver the incentive.*

*End time:*

## **Interview Debriefing**

6. Were there distractions, interruptions, or other disruptions in the interview today? Please describe.

7. Was the respondent actively engaged (attentive, interested, not answering "by rote") in the interview process?

8. Were there other individuals present or within earshot for some or all of the interview? If yes, please describe. If yes, to what extent do you think this inhibited the participants' responses to these questions?

9. To what extent was the respondent comfortable with the interview? If not, why?

10. Anything else that we should know about the interview or circumstances surrounding the interview?