

Request for Approval under the “Generic Clearance for Questionnaire Testing and Research” (OMB Control Number: 1905-0186)

Cognitive Research for Proposed Modifications to the Coal Program Information Collection Package: Forms EIA-3, EIA-7A and EIA-8A

PURPOSE: This request is to conduct cognitive research to assess the ability of EIA survey respondents to report information on coal mining activity. Form EIA-3 “Quarterly Survey of Non-Electric Sector Coal Data,” is a survey that collects data on coal received during the quarter. Details collected on the received coal include origin, coal rank, type of purchase contract, quantity, transportation mode, quality (i.e., Btu, sulfur, and ash contents), and cost data. Additionally, this survey also collects data on coal transformed during the quarter, data is collected based on transformation type: Gasification, Liquefaction, Refined Coal, Coking Coal. Facilities that consume in excess of 1,000 short tons of anthracite, bituminous, sub-bituminous coal or lignite are required to submit a quarterly survey. Data from the Form EIA-3 appears in EIA publications, such as the *Quarterly Coal Report*, *Monthly Energy Review*, *Annual Energy Review*, and the *Annual Coal Report*. In addition, the EIA uses the data for coal supply analyses and short-term modeling. .

EIA would like to add the collection of Pulverized Coal Injections (PCI) to Form EIA-3 and seeks through this research to better understand how PCI is used by respondents. EIA is exploring the collection of delivery cost with purchased coal and whether respondents are able to determine the mine origin of the coal that they purchase.

Form EIA-7A, “Annual Survey of Coal Production and Preparation Report,” collects production and sales data, and coal characteristic information from U.S. coal mining companies. It includes information on the type and status of coal operations, characteristics of coalbeds mined, recoverable reserves, productive capacity and the disposition of coal. These items data are used in many the following EIA publications; *Annual Coal Report*, *Quarterly Coal Report*, *Monthly Energy Review*, *Annual Energy Review*, *Short-Term Energy Outlook*, and *Annual Energy Outlook*.

EIA would like to determine whether or not respondents are able to separate and report coal sold both affiliated and non-affiliated coal brokers. EIA is also exploring the collection of coal broker information to better understand the role that brokers’ play in the wholesale coal market. EIA also seeks to research some possible causes of misreporting and measurement error by asking respondents how they interpret terms and questions on the form that relate to open and captive market sales, mining method used at a mine, and what assumptions they use to calculate capacity.

Form EIA-8A, “Annual Survey of Coal Stocks and Coal Export Report,” collects coal stocks data for publications, analyses, and statistical reports used by public and private analysts. Data collected include coal stocks by state location, exported coal by origin state, and export revenue of coal sold during the reporting year. These items data are used in many the following EIA publications; *Annual Coal Report*, *Quarterly Coal Report*, *Monthly Energy Review*, *Annual Energy Review*, *Short-Term Energy Outlook*, and *Annual Energy Outlook*.

EIA is considering adding the collection of broker affiliate information. Additionally, EIA is exploring the potential to collect more detailed information regarding coal exports, specifically the port of export, destination country, and mode of transportation to the port of export.

In order to assess the industry's ability to report on additional data elements and to understand both the current and potential measurement error issues with these surveys, EIA's survey methodologists would like to conduct cognitive interviews with existing respondents for each survey. EIA requests approval to conduct these interviews under the Generic Clearance ICR EIA-882T.

The purpose of these interviews and/or visits will be to:

- understand how respondents use Pulverized Coal Injections (PCI);
- understand how respondents calculate their total cost of coal and their cost of delivery;
- gather more information on whether or not respondents are able to report the origin of coal received;
- assess if respondents are able to distinguish between open market and captive market sales categories;
- understand how respondents determine and report their maximum annual capacity figures;
- gather more information on the wholesale activity and role that brokers play in the coal export market. Specifically, how respondents report their sales with coal brokers and how EIA can best collect data pertaining to coal brokers and activity on coal exports;
- assess the affiliations and relationships of owners and operators of coal mines and coal brokers and traders and understand these relationships throughout the coal industry;
- understand how respondents track coal stocks and report coal stocks in transit; and
- gather more information on whether or not respondents are able to properly report coal export information.

DESCRIPTION OF RESPONDENTS: Current EIA respondents that are operators of coal mining establishments, coal brokers, or operators of Coke plants.

TYPE OF COLLECTION: (Check one)

Field Testing

Usability Testing

Pilot Surveys

Respondent Debriefings

Cognitive Interviews

Focus Groups

Other: _____

CERTIFICATION:

I certify the following to be true regarding the proposed collection of information:

1. It is necessary for the proper performance of agency functions.
2. It avoids unnecessary duplication.
3. It reduces burden on small entities.
4. It uses plain, coherent, and unambiguous language that is understandable to respondents.
5. Its implementation will be consistent and compatible with current reporting and recordkeeping practices.
6. It indicates the retention periods for recordkeeping requirements.
7. It informs respondents of the information called for under 5 CFR 1320.8 (b)(3) about:

- i. Why the information is being collected;
 - ii. Use of information;
 - iii. Burden estimate;
 - iv. Nature of response (voluntary, required for a benefit, or mandatory);
 - v. Nature and extent of confidentiality; and
 - vi. Need to display currently valid OMB control number
8. It was developed by an office that has planned and allocated resources for the efficient and effective management and use of the information to be collected.
9. It uses effective and efficient statistical survey methodology (if applicable).
10. It makes appropriate use of information technology.

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To assist review, please provide answers to the following questions:

Personally Identifiable Information:

- 1. Is personally identifiable information (PII) collected? Yes No
- 2. If Yes, will any information that is collected be included in records that are subject to the Privacy Act of 1974? Yes No
- 3. If Yes, has an up-to-date System of Records Notice (SORN) been published? Yes No

Gifts or Payments:

Is an incentive (e.g., money or reimbursement of expenses, token of appreciation) provided to participants? Y No

BURDEN HOURS

Category of Respondent	No. of Respondents	Participation Time	Burden
EIA-3 Respondents	12	1	12
EIA-7A Respondents	12	1	12
EIA-8A Respondents	12	1	12
Totals	36		36

FEDERAL COST: The estimated annual cost to the Federal government is: \$2,590.95

If you are conducting a focus group, survey, or plan to employ statistical methods, please provide answers to the following questions:

The selection of your targeted respondents

- 1. Do you have a customer list or something similar that defines the universe of potential respondents and do you have a sampling plan for selecting from this universe?
 Yes No

If the answer is yes, please provide a description of both below (or attach the sampling plan)? If the answer is no, please provide a description of how you plan to identify your potential group of respondents and how you will select them?

We will recruit respondents to participate in cognitive research by contacting companies listed in the current frame files for Forms EIA-3, 7A, and 8A. Participation in this research is voluntary

Administration of the Instrument

1. How will you collect the information? (Check all that apply)

Web-based or other forms of Social Media

Telephone

In-person

Mail

Other, Explain

2. Will interviewers or facilitators be used? Yes No

Please make sure that all instruments, instructions, and scripts are submitted with the request.

Instructions for completing Request for Approval under the
“Generic Clearance for Questionnaire Testing and Research”
(OMB Control Number: 1905-0186)

TITLE OF INFORMATION COLLECTION: Provide the name of the collection that is the subject of the request. (e.g. Comment card for soliciting feedback on xxxx)

PURPOSE: Provide a brief description of the purpose of this collection and how it will be used. If this is part of a larger study or effort, please include this in your explanation.

DESCRIPTION OF RESPONDENTS: Provide a brief description of the targeted group or groups for this collection of information. These groups must have experience with the program.

TYPE OF COLLECTION: Check one box. If you are requesting approval of other instruments under the generic, you must complete a form for each instrument.

CERTIFICATION: Please read the certification carefully. If you incorrectly certify, the collection will be returned as improperly submitted or it will be disapproved.

Personally Identifiable Information: Provide answers to the questions. Note: Agencies should only collect PII to the extent necessary, and they should only retain PII for the period of time that is necessary to achieve a specific objective.

Gifts or Payments: If you answer yes to the question, please describe the incentive and provide a justification for the amount.

BURDEN HOURS:

Category of Respondents: Identify who you expect the respondents to be in terms of the following categories: (1) Individuals or Households; (2) Private Sector; (3) State, local, or tribal governments; or (4) Federal Government. Only one type of respondent can be selected per row.

No. of Respondents: Provide an estimate of the Number of respondents.

Participation Time: Provide an estimate of the amount of time required for a respondent to participate (e.g. fill out a survey or participate in a focus group)

Burden: Provide the Annual burden hours: Multiply the Number of responses and the participation time and divide by 60.

FEDERAL COST: Provide an estimate of the annual cost to the Federal government.

If you are conducting a focus group, survey, or plan to employ statistical methods, please provide answers to the following questions:

The selection of your targeted respondents. Please provide a description of how you plan to identify your potential group of respondents and how you will select them. If the answer is yes, to the first question, you may provide the sampling plan in an attachment.

Administration of the Instrument: Identify how the information will be collected. More than one box may be checked. Indicate whether there will be interviewers (e.g. for surveys) or facilitators (e.g., for focus groups) used.

Submit all instruments, instructions, and scripts are submitted with the request.