

**OMB Information Collection Request**  
**Generic Clearance for 2020 Census Field Tests to Automate Field data Collection Activities**  
**OMB Control Number 0607-0971**

In order to support the research and testing objective of the 2020 Census to reengineer Field Operations, the Special Enumeration Program Branch is planning to improve the data collection methods at Group Quarters (GQs) using automation to collect respondent data, reduce data capture and processing time, and perform the linkage capability of the respondent data to correct group quarters. The Census Bureau plans to conduct the 2016 Service-Based Enumeration (SBE) Census Test to test automated data collection at serviced-based group quarters. This will be the first attempt to test automation at group quarters. It is important to know, during the 2010 Census, the Group Quarters Operations were strictly paper-based and administered a paper data collection instrument, the Individual Census Report (ICR).

Under this Generic Clearance, the Special Enumeration Program Branch of the U.S. Census Bureau plans to test an improved enumeration methodology of people in the following types of group quarters: transitional shelters, soup kitchens and regularly scheduled mobile food vans. This test will be conducted to assess the feasibility of using a mobile device as an automated data collection instrument, evaluate the automated linkage of the respondent to the correct group quarters, and determine the production ratio for the census enumerators.

During the previous Decennial Census, these types of group quarters were enumerated during the Service-Based Enumeration (SBE) Operation, which was specifically designed to approach people at service-based locations because they may be missed during the traditional enumeration of housing units and general group quarters. The Census Bureau conducts this operation to provide an opportunity for people without conventional housing and people experiencing homelessness to be included in the Census by enumerating them at the places where they receive services.

The Census Bureau will conduct this test on May 25 and May 26, 2016 at a selected sample of SBE Group Quarter types, in the District of Columbia and in the city of Baltimore, Maryland. The sample will include two transitional shelters, two soup kitchens and two regularly scheduled mobile food vans in each geographical location, which will be a total of 12 locations. Prior to conducting this test, the Census Bureau will make an advance telephone contact to the service providers at the service-based locations to plan the enumeration of the people at these locations. The Census Bureau plans to conduct the enumeration at service-based locations that provide services to a medium and small number of clients that will include approximately 1,440 respondents.

The activities that take place during this test directly support the Census Bureau's efforts to improve data collection methodologies and improve quality while controlling costs in the 2020 Census. This test will inform census planners and stakeholders on our ability to program the group quarters data collection questions on a mobile device, the degree of accuracy we obtain from the respondent data, the ratio of census enumerators to respondents, the users (respondents) experience replying to the census questions on a mobile device, and the ability of the enumerators to manually key the respondent data collected from the paper instrument into the mobile device. The Census Bureau will not publish any tabulations or population estimates from the results of this research test conducted under this clearance. However, an analysis report will be written to document the effectiveness of the activities and the completeness of the data collected.

During the 2016 SBE Census Test, members from the Census Bureau's Headquarters staff (enumerators) will use mobile devices, such as smartphones, to collect respondent data at the service-based locations. In instances when respondents refuse to provide their response on

the mobile device and elect to provide their response on the paper questionnaires, the enumerators will manually key in the respondent data provided on the paper questionnaires into the smartphones.

For group quarters, it is imperative that we have the respondent being enumerated linked to the correct group quarters. This test will use technology to perform the automated linkage capability.

Respondents participating in the research for the 2016 SBE Census Test will not be paid any form of compensation for their participation that includes money, incentives or gifts.

All respondents who participate in this research test under this clearance will be informed that the information they provide is confidential. All personally identifiable information will be held in strict confidence according to the provisions of Title 13 United States Code, Section 9, 141, 214, and 221. The Census Bureau's Headquarters staff (enumerators) will provide each person they enumerate at the service-based locations a copy of the privacy act notice. This notice explains that any information the respondents provide to the Census Bureau will be held in strict confidence. A copy of the notice will be provided to the OMB with this clearance request.

During the enumeration, staff from headquarters will observe the enumeration operation on both days to document negative respondent reactions for providing census data on the automated data collection instrument and the paper ICR. Headquarters staff will substantiate whether field workers missed enumerating anyone at the facility (i.e., people leaving without being enumerated and people making comments - good or bad). These observers will also be responsible to document processes and activities that went well as well as documenting any issues and problems.

At each of the service-based locations, we will ask the administrators whether they have administrative records (AR) for the respondents that we may be allowed to use to help us with the enumeration. For the locations that have them, we will capture data from the respondents at the location using the mobile device and match it to the number on the AR to help us identify whether we missed enumerating anyone at the location. In addition, we will use the number of respondents enumerated at the location to assist us in determining the ratio of enumerators to respondents to model the number of enumerator required to enumerate these types of GQs.

The evaluation of the use of the mobile device for the enumeration of individuals living or staying in group quarters in rural areas will be explored prior to the 2020 Census in Update Enumerate and Remote Alaska operations tests. The procedures for confirming the location of the group quarters will be the same for both urban and rural areas. Testing will be conducted to evaluate the effectiveness of the use of the mobile device to confirm the location of group quarters in rural areas in the 2018 End-to-End Test.

Dora Durante serves as the general methodological consultant for this project. Additional advice on statistical aspects of each individual survey will be sought as the testing program proceeds. Jennifer Childs is the contact person for general questions about data collection and analysis for this test. Staff from subject-matter divisions will have primary responsibility for data collection and analysis. Other contact persons for questions regarding data collection and statistical aspects of the design will be provided to OMB at the time the questionnaires are submitted.

The survey itself will take 5 minutes, and screening for the facilities will also take 5 minutes. Assuming 25 facilities are screened to get 12 facilities, burden for screening will be 125

minutes. Interviewing each of 1440 respondents for 5 minutes each will take 120 hours. Thus, the total estimated respondent burden is 122 hours during the end of May 2016.

| Stage                                    | Milestone   | Finish NLT      |
|--|---|-----------------|
| FY 2015<br>Planning<br>Activities        | Define Local SBE Test site locations (Metro DC/Baltimore City Maryland)   | June, 2015      |
|  | Identify requirements for paper   | June, 2015      |
|  | Define paper questionnaire and privacy act notice print quantities  | July, 2015      |
|  | Research the existence of ARs for soup kitchens and RSMFVs  | August, 2015    |
|  | Define Local SBE test methodology (includes; data collection instruments, linking specs, data capture specs)                                  | September, 2015 |
|  | Identify requirements for automation  | September, 2015 |
|  | Develop Budget  | September, 2015 |
|  | Develop specs for Compass   | October, 2015   |
|  | Request OBM Clearance   | February , 2016 |
|  | Engage Local Partners at service-based locations to discuss local SBE test plans  | February, 2016  |
|  | Develop CRD for MAF-X, GRF-C and GRF-N  | February, 2016  |
| FY 2016<br>Implementing<br>2016 SBE Test | Develop enumerators field procedures  | March, 2016     |
|  | Print Questionnaires  | April, 2016     |
|  | Identify staffing requirements to conduct test  | April, 2016     |
|  | Conduct In-Office Advance Contact   | April, 2016     |
|  | Receive electronic instrument - COMPASS   | May, 2016       |
|  | Recruit and Hire staff (HQ staff)   | May, 2016       |
|  | Train staff   | May, 2016       |
|  | Conduct Local Test at SBE locations   | May, 2016       |
|  | DSSD receives output data for analysis  | June , 2016     |
| Recommendations                          | Prepare assessment report and recommendations (Assess merits/challenges of using automation/paper for this population including data quality) | August, 2016    |