

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

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## **Cognitive Research for Proposed Modifications to Forms EIA-860, EIA-861, and EIA-923**

### **PURPOSE:**

The U.S. Energy Information Administration (EIA) seeks to modify Forms EIA-860, EIA-861, and EIA-923 and requests approval to conduct research to collect information on respondents’ ability to report new data elements related to utility level programs utilized by companies on the electric grid, installed battery storage, and microgrid systems. This research project will allow EIA to determine what questions and terminology to use on these surveys to more accurately collect operational characteristics of these research elements. Additionally, EIA seeks to understand recent changes to the demand side resource capacity and demand response of the electric grid in the U.S.

Form EIA-860, “Annual Electric Generator Report” collects data on the status of existing electric generating plants and associated equipment in the United States, and those scheduled for initial commercial operation within 10 years of the filing of this report.

Form EIA-861, “Annual Electric Power Industry Report” collects information on the status of electric power industry participants involved in the generation, transmission, and distribution of electric energy in the United States, and its territories.

Form EIA-923, “Power Plant Operations Report” collects information from regulated and unregulated electric power plants in the United States. Data collected include electric power generation, energy source consumption, end of reporting period fossil fuel stocks, as well as the quality and cost of fossil fuel receipts.

Installed battery storage power capacity has nearly doubled every two years since 2011. While initial battery storage installations were often exploratory projects by power producers to better understand how battery storage operates, more recent additions are often driven by policy or market opportunities. Battery storage is versatile and can be paired with a generator to smooth the available supply of electricity, installed at a load to reduce demand, or stationed along the grid to support voltage. The market growth and interest in battery storage creates an opportunity for EIA to assess the practical utility of collecting more relevant electric power data. EIA is interested in testing survey questions and terminology specific to battery storage to more accurately collect their operational characteristics and to better understand how they are being used.

The public’s interest in the electric grid has increased recently, especially as more changes at the distribution system level occur with the expansion of demand side resource capacity and demand response. Better statistics on the state and evolution of the electric grid could inform these discussions so this cognitive study asks a sample of utilities about their systems and current programs, such as their tracking of momentary outages or electric vehicle load. Collecting this kind of data in a standardized format would provide an important baseline for tracking these developments over time. In addition, EIA does not currently track microgrids and adding them to the surveys would allow data users see where there is backup support designed for local loads.

Different aspects of a single microgrid may be reported on by utilities or plant owners, so these questions will test survey respondents' ability to report about the system as a whole.

EIA's research project will utilize cognitive interviews to learn what information respondents maintain in their data bases, how certain information is measured or tracked, their understanding of certain terminology used in the industry, and assess respondents' ability to report additional information.

EIA will also collect information from the interviews to estimate the current burden per response for these Forms, and determine any changes to the burden per response caused by reporting this additional information.

**DESCRIPTION OF RESPONDENTS:**

Current EIA survey respondents that report on Forms EIA-860, EIA-861, and EIA-923.

**TYPE OF COLLECTION:** (Check one)

- |   |  |
|---|--|
| <input type="checkbox"/> Field Testing          | <input checked="" type="checkbox"/> Cognitive Interviews |
| <input type="checkbox"/> Usability Testing      | <input type="checkbox"/> Focus Groups                    |
| <input type="checkbox"/> Pilot Surveys          | <input type="checkbox"/> Other: _____                    |
| <input type="checkbox"/> Respondent Debriefings |  |

**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.

Name: Tom Leckey, Assistant Administrator for Office of Energy Statistics,  
U.S. Energy Information Administration

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

**Personally Identifiable Information:**

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

**Gifts or Payments:**

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

**BURDEN HOURS**

Category of Respondent	Sample Size Goal Round 1	Sample Size Goal Round 2	Sample Size Goal Round 3	Participation Time (hours)	Burden Hours
EIA-860 Respondents Cognitive Interviews	10	5	5	1.5	30
EIA-861 Respondents Cognitive Interviews	10	5	5	1.5	30
EIA-923 Respondents Cognitive Interviews	10	5	5	1.5	30
<b>Totals</b>	<b>30</b>	<b>15</b>	<b>15</b>		<b>90</b>

**ESTIMATE OF RESPONDENT BURDEN HOURS AND COST:** The burden to respondents for 60 interviews is 90 hours and the cost to the respondents is estimated to be (\$75.69\*90) = \$6,812. Two mock interviews were conducted using the protocols. The interviews took 35 and 45 minutes respectively. The estimate of 60 minutes for each interview is an accurate time estimate for gathering responses to the questions in the protocols. Some participants will have shorter interviews than others based on knowledge, type of operation, and the ability to answer specific questions. 30 minutes was added to each participant’s burden time to account for the time a participant may need to read the invitation, schedule the interview, prepare for the interview, and review any past reports if needed.

EIA will conduct three rounds of interviews comprising of 10 interviews for each survey in the first round, then the results will be analyzed to determine if sufficient information has been collected to satisfy the research goals based on the different classes of respondents. If additional information is needed to determine if “saturation” has been reach, then EIA will conduct a 2<sup>nd</sup> round of 5 interviews, analyze the additional information, and if needed, will conduct a 3<sup>rd</sup> round of 5 interview to collect a sufficient amount of information to meet project objectives and the saturation point has been reached with the different categories of respondents.

**FEDERAL COST:** The estimated annual cost to the Federal government is: \$11,897

Local trip	\$3,000	2 trips (\$1,500 each)	3 staff, transportation, housing
Non-local trip	\$3,750	1 trip	3 staff, transportation, housing
Interviews conducted at headquarters	\$5,147	45 telephone interviews	

**Two local trips, not requiring airline travel, involving 3 staff, total transportation, and housing costs are estimated at \$1,500 per trip, based on 3 day travel period. One non-local trip involving 3 staff, total transportation, and housing costs estimated at \$3,750. This non-local trip is based on 5 day travel period. In addition, there will be 68 hours of staff time to conduct 45 telephone cognitive interviews (68 = 45 \* 1.5 hours). 1.5 hours of cost is allocated to the government for each interview. 1 hour for the interview and 0.5 hours for the interviewers to de-brief each other and record their note in the project spreadsheet. The estimate cost to the government for the 68 hours is \$5,147. (68 \* \$75.69 = \$5,147)**

**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?  

[X] 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?

EIA will recruit respondents to participate in this cognitive research by contacting active companies, by email, in the current frame files for Forms EIA-860 EIA-, and EIA-923. EIA will identify respondents (large power producers) that report on both Forms EIA-860 and EIA-923 for inviting their participation in an in-person interview. Table 1 shows the sample size goals for each stratum in the sample design. EIA has identified 300 respondents that file Form EIA-861 that have both demand response and System Average Interruption Frequency Index / System Average Interruption Duration Index. Form EIA-861 respondents are classified as small, and large size companies based on annual revenue. EIA will recruit 10 large companies with >\$500 million in revenue, 10 medium/small size companies with <\$500 million in revenue per year. EIA has identified 95 companies that currently file Form EIA-923 and 153 companies that currently report on Form EIA-860, that have battery storage or a microgrid. Respondents to Form EIA-923 are a sample drawn from the EIA-860 frame file. . Form EIA-923 and Form EIA-860 respondents are classified as medium/small, and large companies based on total power plant generation capacity. EIA will recruit 10 large companies with a capacity >10 megawatts, and then 10 medium/small size companies with a capacity <10 megawatts. Respondents will be selected from across geographic regions and different sizes of their operations to ensure adequate market coverage across large, medium, and small sized facilities.

Table 1 Sample Goals

Stratum Size	EIA-860 n=153	EIA-861 n=300	EIA-923 n=95
Large	10	10	10
Medium/Small	10	10	10

**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  
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**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.**