

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

---

**Cognitive Research On Reporting Process Used by Respondents To Forms EIA-804 and EIA-814**

**PURPOSE:**

The U.S. Energy Information Administration (EIA) seeks to gain understanding of how import activity is reported weekly on Form EIA-804 *Weekly Imports Report* and monthly basis on Form EIA-814 *Monthly Imports Report* and identify any inconsistencies in the reporting period and commodity classifications that respondents use when completing U.S. Customs and Border Protection (CBP) forms for imports clearing U.S. customs. This research project will allow EIA to assess differences and similarities between the timing to report imports to CBP and EIA and the commodity classifications for product imports.

Form EIA-804, “Weekly Imports Report” collects data on imports of crude oil, (including imports for delivery to the SPR), NGPLs and LRGs (including propane/propylene), fuel ethanol, finished motor gasoline, motor gasoline blending components, kerosene-type jet fuel, kerosene, distillate fuel oil, residual fuel oil, and other petroleum products from a sample of importers. The weekly report must be received by EIA no later than 5:00 PM EST on the Monday following the prior weekly report period.

Form EIA-814, “Monthly Imports Report” collects data imports of crude oil, (including imports for delivery to the SPR), NGPLs and LRGs (including propane/propylene), fuel ethanol, finished motor gasoline, motor gasoline blending components, kerosene-type jet fuel, kerosene, distillate fuel oil, residual fuel oil, and other petroleum products.

U.S. Customs and Border Protection CBP Form 7501 must be completed by an importer within 20 days of the product clearing customs. The lag in filing CBP Form 7501 has cause data inaccuracies in EIA’s weekly import data. Some importers feel that they need to report to EIA exactly what they report to CBP. This sometimes leads to double counting of imports or large changes in weekly imports when imports are expected in one week but are reported in another weekly reporting period.

EIA’s research project will utilize cognitive interviews to learn what process importers use to report imports that enter the U.S. through customs on Forms EIA-804 and 814 and CBP-7501, what verification procedures they follow, if any, to reconcile the quantities reported on Form - 804 and Form CBP-8501 for import activity that relates to the same weekly time period.

EIA will also collect information from the interviews to estimate the current burden per response for Forms EIA-804 and 814.

**DESCRIPTION OF RESPONDENTS:**

Current EIA survey respondents that report on Forms EIA-804 and EIA-814.

**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.

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  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	Sample Size Goal Round 1	Sample Size Goal Round 2	Sample Size Goal Round 3	Participation Time (hours)	Burden Hours
EIA-804 Respondents	15	5	5	1.5	37.5

Cognitive Interviews					
<b>Totals</b>	<b>15</b>	<b>5</b>	<b>5</b>		<b>37.5</b>

**ESTIMATE OF RESPONDENT BURDEN HOURS AND COST:** The burden to respondents for 25 interviews is 37.5 hours and the cost to the respondents is estimated to be  $(\$74.02 \times 37.5) = \$2,776$ . Two mock interviews were conducted using the protocols. The interviews took 33 and 40 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 15 interviews in the first round (one in-person and 14 telephone interviews), 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 reached, 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: \$3,465

Non-local trip	\$800	1 trip	2 staff, transportation,
Interviews conducted at headquarters	\$2,665	24 telephone interviews	

One non-local trip involving 2 staff, total transportation costs estimated at \$800. This non-local trip is based on 1 day travel period. In addition, there will be 36 hours of staff time to conduct 24 telephone cognitive interviews ( $36 = 24 \times 1.5$  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 debrief each other and record their note in the project spreadsheet. The estimate cost to the government for the 36 hours is \$5,147. ( $36 \times \$74.02 = \$2,665$ ). The total cost of \$3,465 represents the cost of the field trip of \$800 plus the cost for the telephone interviews of \$2,665.

**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?

EIA will recruit respondents to participate in this cognitive research by contacting active companies, by email, in the most current frame file for Form EIA-804 (100 respondents). Respondents are a sample of importers of record who import petroleum into the U.S. EIA seeks to conduct one in-person interview with a respondent that reports for 15 companies. The remaining interviews will be conducted by telephone.

There are 360 respondents to Form EIA-814. Form EIA-814 must be completed by every importer of record (or the ultimate consignee in some situations involving imports from Canada) of crude oil, petroleum products, and biofuels. Importers and ultimate consignees are identified on the following documents filed with U.S. Customs and Border Protection (CBP) and the U.S. Department of Commerce:

- CBP Form 7501, “Entry Summary”
- CBP Form 214A, “Application for Foreign Trade Zone Admission and/or Status Designation”
- Department of Commerce Form 7525-V, “Shippers Export Declaration”

**Form EIA-804 “Weekly Imports Report”:** The universe of possible reporting units on Form EIA-804 is provided by Form EIA-814. The sampling procedure used is the cut-off method. In the cut-off method, companies are ranked from largest to smallest on the basis of quantities of each product reported on Form EIA-814 for the most recently published survey month. Companies are chosen for the sample beginning with those reporting the largest volumes on the most recently published monthly survey and adding companies until the total sample covers approximately 90 percent of the total volumes for each item and each geographic region for which monthly data has been last published. The 100 respondents that file Form EIA-804 are the largest importers that report information on Form EIA-814.

To ensure a sufficient coverage (90 %) of the total volume for each item collected and each geographic region for Form EIA-804, a sample control meeting is conducted each month. This meeting focuses on changes in the current monthly EIA-814 frame due to sales, acquisitions, mergers, new reporters, reactivations, and reporting units that have become inactive. Companies are added or removed from the EIA-804 weekly sample based on the changes.

### **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.**