

**Department of Commerce
United States Census Bureau
OMB Information Collection Request
Address Canvassing Testing
OMB Control Number 0607-XXXX**

Part A. Justification

1. Necessity of the Information Collection

During the years preceding the 2020 Census, the Census Bureau will pursue its commitment to reduce the costs of conducting a decennial census, while maintaining our commitment to quality. The goal of Reengineering Address Canvassing is to ensure an accurate address frame is developed utilizing innovative methodologies and data for updating the Master Address File (MAF)/Topologically Integrated Geographic Encoding and Referencing (TIGER) System throughout the decade. The Census Bureau plans to test Address Canvassing during the Fall of 2016 in the Address Canvassing Test, and in the Spring of 2017 as part of the 2017 Puerto Rico Census Test. Both tests will include two major components of the reengineered Address Canvassing operation: In-Office Address Canvassing and In-Field Address Canvassing. The purpose of the tests is to determine the accuracy and feasibility of some of the planned innovations for Address Canvassing. The Census Bureau believes that there are other means for accomplishing the address list updates and determining which areas have housing changes without canvassing every single block in the field just before the census as was done in previous censuses. These tests will examine these new methods, which will allow decisions to be made about their feasibility for use within the decennial census.

The following objectives are crucial to a successful Address Canvassing Test and 2017 Puerto Rico Census Test:

- Implementing all planned 2020 Census In-Office Address Canvassing processes, including Interactive Review (IR), Active Block Resolution (ABR), MAF Updating and Identification of the In-Field Address Canvassing workload.
- Evaluating the effectiveness of online training for Field Supervisors and Field Representatives.
- Measuring the effectiveness of In-Office Address Canvassing through In-Field Address Canvassing.
- Integrating multiple information technology applications to create one seamless operational data collection, control and management system.

The Address Canvassing Test occurs in two sites within the continental United States.

Each site is comprised of 4,000 blocks with up to 125,000 addresses in each site. All living quarters in the test sites are included in the In-Office Address Canvassing workload, as well as the In-Field Address Canvassing workload. For the In-Field Address Canvassing data collection, listers will knock on every door to ask residents about their living quarters.

In addition to the Address Canvassing Test, the Census Bureau will also test the Address Canvassing operation as part of the 2017 Puerto Rico Census Test. This information is new compared to the information that was included in the Federal Register Notice for the Address Canvassing Test. The addition of the 2017 Puerto Rico Census Test Address Canvassing necessitated a name change for this package to “Address Canvassing Testing” from the “Address Canvassing Test” that appeared in the earlier Federal Register Notice. The Address Canvassing operations in the 2017 Puerto Rico Census Test will occur in the winter of 2017 and in the sites selected for the 2017 Puerto Rico Census Test. This universe consists of an estimated 95,000 housing units in the selected areas. The methodology and test

objectives for the Address Canvassing operation in the 2017 Puerto Rico Census Test are the same as the Address Canvassing Test.

Supporting Documents about the 2020 Census Design and the Address Canvassing Test Objectives

We are submitting with the package the following documents with the purpose stated:

1. The 2020 Census Operational Plan documents at a high-level the objectives for the census tests already completed, as well as those planned for the future. This document shows the current planned design of the 2020 Census and identifies design decisions made, as well as remaining decisions to be made using census test results.

https://www.census.gov/programs-surveys/decennial-census/2020-census/planning-management/memo-series/2020-memo-2015_02.html

2. The 2020 Census Detailed Operational Plan for the Address Canvassing Operation complements the U.S. Census Bureau's 2020 Census Operational Plan. This document describes the objectives and procedures for all aspects of the Address Canvassing program, including a description of the major tasks involved in the implementation, the overall program workflow, and the overall resources needed to support the effort.

https://www.census.gov/programs-surveys/decennial-census/2020-census/planning-management/memo-series/2020-memo-2015_04.html

3. The 2020 Census Research and Testing Management Plan defines the high-level research for the life-cycle of the program, thereby providing direction for research and testing activities and for decision-making based on the outcomes.

https://www.census.gov/programs-surveys/decennial-census/2020-census/planning-management/memo-series/2020-memo-2015_03.html

In addition, we are submitting a planning document that lists our Goals, Objectives, and Success Criteria for the Address Canvassing Test and the 2017 Puerto Rico Census Test, which outlines the research questions related to the design decisions to be made using the results of this test.

Address Canvassing Test – Buncombe County, North Carolina and St. Louis (part), Missouri

For the Address Canvassing Test, the areas within Buncombe County, North Carolina and St. Louis (part), Missouri were chosen based on a variety of characteristics:

- One site is experiencing population and housing unit growth and contains a mix of urban, suburban and rural territory.
- One site is a city experiencing sustained population decline.
- Both sites contain a mix of address styles, such as city-style addresses (i.e., 101 Main St), non city-style addresses (i.e., Rural Route 2, Box 12) and location descriptions (i.e., Tan Mobile Home).
- The urban site contains a mix of housing types and conditions, including small and large multi-unit structures, commercial-to-residential conversions, and mixed commercial and residential uses, and residential redevelopment, as well as an area in which housing units are vacant, uninhabitable, and have been demolished.

These characteristics can help the Census Bureau refine its operational plans for the 2020 Census by testing processes and systems in a growth setting as well as processes and systems in an area containing small and large multi-unit structures, commercial-to-residential conversions, mixed commercial and residential uses, and various housing unit status, such as vacant, uninhabitable and demolished.

Buncombe County, North Carolina Places and Census Designated Places (CDP)	St. Louis, Missouri (Part) Places
Asheville city Biltmore Forest town Black Mountain town	St. Louis city

Montreat town Weaverville town Woodfin town Avery Creek CDP Bent Creek CDP Fairview CDP Royal Pines CDP Swannanoa CDP	
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All living quarters in the test sites are included in the In-Office Address Canvassing workload, as well as the In-Field Address Canvassing workload. This allows for the comparison of results from both In-Office Address Canvassing and In-Field Address Canvassing to measure the effectiveness of In-Office Address Canvassing procedures and processes.

2017 Puerto Rico Census Test – Carolina, Loíza, and Trujillo Alto *municipios*

For the 2017 Puerto Rico Census Test, the areas of Carolina, Loíza, and Trujillo Alto *municipios* were chosen based on a variety of characteristics:

- Site is within the San Juan metropolitan area.
- Site includes anticipated areas of Self Response and Update Enumerate
- Site has a municipio with a mix of address types.

These characteristics can help the Census Bureau refine its operational plans for the 2020 Census by testing processes and systems in an area containing a large variety of address types, and it affords the opportunity to test both Self Response and Update Enumerate. The Self Response areas are where In-Field Address Canvassing will be conducted.

Carolina Municipio Census Designated Places (CDP)	Loíza Municipio Census Designated Places (CDP)	Trujillo Alto Municipio Census Designated Places (CDP)
Carolina zona urbana	Loíza zona urbana Suárez comunidad Vieques comunidad	Trujillo Alto zona urbana

All living quarters in the test sites are included in the In-Office Address Canvassing workload, as well as in the In-Field Address Canvassing workload. This allows for the comparison of results from both In-Office Address Canvassing and In-Field Address Canvassing to measure the effectiveness of In-Office Address Canvassing procedures and processes.

Address Canvassing

Background

For the 2010 Census, the Address Canvassing field staff, referred to as listers, traversed almost every block in the nation to compare what they observed on the ground to the contents of the Census Bureau's address list. Listers verified or corrected addresses that were on the list, added new addresses to the list, and deleted addresses that no longer existed. Listers also collected map spot locations (i.e., Global Positioning System coordinates) for each structure and added new streets.

In addition to Address Canvassing, the Census Bureau conducted the Group Quarters Validation (GQV) operation after the Address Canvassing operation and prior to enumeration for the 2010 Census. The purpose of the GQV operation was to improve the Group Quarters (GQ) frame. A GQ is a place where people live or stay, in a group living arrangement, that is owned or managed by an entity or organization providing housing and/or services for the residents. This is not a typical household-type living arrangement, and residency is commonly restricted to those receiving specific services. People living in GQs are usually not related to each other. Types of GQs include such places as college residence halls, residential treatment centers, skilled-nursing facilities, group homes, military barracks, correctional facilities, and workers' dormitories. Services offered may include custodial or medical care, as well as other types of assistance.

For the 2010 Census GQV operation, field staff visited a specific address to determine if it was a GQ, a

housing unit, a transitory location, a non-residential unit, or if it was nonexistent. If the address was a GQ, the lister conducted an in-person interview with the GQ contact person to determine a type of GQ and collect additional information to plan for enumeration. In support of a more efficient census design strategy, the Census Bureau will not conduct a separate operation to validate GQ information in the 2020 Census. Instead, during the Address Canvassing Test and the 2020 Census, GQ information will be validated during the Address Canvassing operation.

2020 Census Address Canvassing: In-Office Address Canvassing

In-Office Address Canvassing is the process of using empirical geographic evidence (e.g., imagery, comparison of the Census Bureau's address list to partner-provided lists) to assess the current address list and make changes where necessary. This component removes geographic areas from the In-Field Address Canvassing workload based on the determination of address stability. In addition, this component detects and captures change from high quality administrative and third-party data, reducing the In-Field Address Canvassing workload as well.

In-Office Address Canvassing starts with Interactive Review (IR), which is an imagery-based review to assess the extent to which the number of addresses - both housing units and GQs - in the census address list are consistent with the number of addresses visible in current imagery. It also assesses the changes between the current imagery and an older vintage of imagery (around the time of the 2010 Census Address Canvassing).

Results from IR inform the Active Block Resolution (ABR) process, which seeks to research and update areas identified with growth, decline, undercoverage of addresses, or overcoverage of addresses from the comparison of the two different vintages of imagery and counts of addresses in the MAF. In addition to using the results from IR, the ABR process uses other data sources to attempt to resolve the identified

issues in the office rather than sending these areas to In-Field Address Canvassing. The other data sources include local Geographic Information Systems (GIS) viewers available online, parcel data from local governments, local files acquired through the U.S. Census Bureau's Geographic Support System (GSS) program, and commercial data. Areas not resolved in the office become the universe of geographic areas for the In-Field Address Canvassing.

2020 Census Address Canvassing: In-Field Address Canvassing

In-Field Address Canvassing is the process of having field staff visit specific geographic areas to identify every place where people could live or stay and compare what they see on the ground to the existing census address list to either verify or correct the address and location information. In general, the field staff will:

- Receive assignments and prepare for work.
- Locate and travel to an assignment.
- Compare what is on the ground to the Census Bureau address list and update it as necessary (add addresses, delete addresses, and correct addresses).
- Update the map as required (update street names, add streets, and collect GPS coordinates).
- Collect GQ information including the GQ type for GQ addresses.
- Mark the assignment as complete and submit the results.
- Receive next assignment until no more assignments exist.

Listers will knock on doors at every structure in an attempt to locate Living Quarters (LQs). If someone answers, the lister will provide a Confidentiality Notice and ask about the address in order to verify or update the information, as appropriate. The listers will then ask if there are any additional LQs in the structure or on the property. If there are additional LQs, the listers will collect/update that information, as

appropriate. If listers do not find anyone at home, they will update the address list by observation, as was done in the 2010 Census Address Canvassing. The Census Bureau expects that they would make contact with residents (i.e., someone is at home) approximately 25 percent of the time. Please note, the Address Canvassing Testing FRN incorrectly stated that the Census Bureau expects the listers would make contact with residents 50 percent of the time.

2. Needs and Uses

The purpose of the Address Canvassing Operation in the 2020 Census is (1) to deliver a complete and accurate address list and spatial database for enumeration and tabulation, and (2) to determine the type and address characteristics for each living quarter. A complete and accurate address list and map is the cornerstone of a successful census.

The Census Bureau needs to solidify evidence showing whether the strategies being tested can reduce the cost per housing unit during a decennial census, while still providing high quality and accurate census data. The results of this Address Canvassing Test and the 2017 Puerto Rico Census Test will inform decisions that the Census Bureau will make to refine the 2020 Census Operational Plan as well as the 2020 Census Detailed Operational Plan for the Address Canvassing Operation. The results will also help guide the evaluation of additional 2020 Census test results later this decade.

Information Quality

Information quality is an integral part of the pre-dissemination review of Census Bureau data (fully described in the Census Bureau's Information Quality Guidelines at <https://www.census.gov/quality/guidelines/>). Information quality is also integral to the data collections conducted by the Census Bureau and is incorporated into the clearance process required by the Paperwork Reduction Act.

The data collected from households and individuals during the Address Canvassing Test and the Address Canvassing operation in the 2017 Puerto Rico Census Test will be used to research and evaluate new methodologies and systems to plan the 2020 Census. The Census Bureau will not publish any tabulations or population estimates using the results from this test. However, methodological papers may be written that include summary tallies of data characteristics or problems identified, and other feedback may be used to inform future research studies building upon the results of this test.

3. Use of Information Technology

The Address Canvassing Test and the Address Canvassing operation in the 2017 Puerto Rico Census Test will use the Census Bureau's Listing and Mapping Application (LiMA) software on government furnished devices.

The Address Canvassing operation within these tests is heavily dependent on information technology systems, and a significant portion of the test is devoted to operationally testing these systems. In addition to data collection, the test will employ automated systems to administer and manage training, manage workloads, route field workers to assignments, alert supervisors of potential problems, create management reports, and process the data received from the operation.

4. Efforts to Identify Duplication

These efforts do not duplicate information collected by any other agency. Further, there is no similar current information available that could be used or modified for these purposes.

5. Minimizing Burden

Using the Delivery Sequence File provided by the U.S. Postal Service, along with address information provided by state, local, and tribal governments to update the MAF, will allow us to verify existing information in appropriate areas instead of collecting this information during In-Field Address

Canvassing. When contact with respondents is required, the information requested is minimal (inquiry about the address or physical location of the housing unit and additional LQs in the structure or on the property). For GQs the requested information also includes information sufficient to identify the type of GQ and include it appropriately in subsequent enumeration operations, such as GQ name, number of beds, and GQ contact person.

6. Consequences of Less Frequent Collection

If this collection of information does not occur, it would significantly delay or prevent the Census Bureau's ability to improve upon the 2020 Decennial Census design, and thus the ability to make design changes with the potential for major cost savings for the 2020 Census. Frequency cannot be decreased, as this is a one-time data collection activity.

7. Special Circumstances

No special circumstances exist.

8. Consultations outside the Agency

In developing these tests, the Census Bureau consulted with a variety of stakeholders, including, but not limited to, academics, national researchers, community and organizational leaders, and the Census Bureau's Advisory Committees. In addition, external consultants from the National Academy of Sciences provided feedback about the Census Bureau's research plans and objectives for the Address Canvassing Test.

The results from this test will be shared widely with Decennial Census stakeholders. To help evaluate and assess the results of the Address Canvassing Test and the Address Canvassing operation in the 2017 Puerto Rico Census Test, the Census Bureau will conduct debriefings with field staff who work on the test.

The notice for public comment, entitled, “Address Canvassing,” was published in the *Federal Register* March 23, 2016 (Vol. 81, No. 2016- 06466 , pp. 15505-15507). The Census Bureau received two comments during the 60 day period. The first comment expressed general dissatisfaction with the number and cost of tests performed by the government. The second comment was from the New York City Department of City Planning. This comment strongly endorsed the Census Bureau’s plans to work toward cost containment through re-engineering Address Canvassing, emphasizing the testing that must be done to ensure the operation performs as intended in the 2020 Census.

9. Paying Respondents

Respondents will not be paid or provided with gifts.

10. Assurances of Confidentiality

The Census Bureau will conduct the Address Canvassing Test and the Address Canvassing operation in the 2017 Puerto Rico Census Test under the authority of Title 13 United States Code Sections 141 and 193. All respondents who participate in the Address Canvassing Test and the Address Canvassing operation in the 2017 Puerto Rico Census Test will be informed via the Confidentiality Notice that the information they provide is confidential under that law, but that the same law makes participation mandatory. All collected information that identifies individuals will be held in strict confidence according to the provisions of Title 13 United States Code, Section 9 and 214.

11. Justification for Sensitive Questions

None of the questions asked during the activities described above are of a sensitive nature, and they should not pose any problem for respondents in that respect.

12. Estimate of Burden Hours

Type of Respondent/Operation	Estimated Number of Respondents	Estimated Time per Response	Estimated Total Annual Burden Hours
In-Field Address Canvassing	62,500	5 minutes	5,208 hrs
In-Field Address Canvassing in Puerto Rico	23,750	5 minutes	1,980 hrs
Total	86,250		7,188 hrs

13. Estimate of Cost Burden to Respondents

There are no costs to respondents other than their time to participate in this data collection.

14. Cost to Federal Government

The cost of the Address Canvassing Test collection is covered under the requested budget for the Address Canvassing Test, Research and Testing Program, and is estimated to be \$3.7 million. This amount includes space acquisition, field infrastructure and equipment, and recruiting and hiring processes. This estimate also includes salaries for field workers and the staff in headquarters providing program management and/or systems engineering and integration (SE&I) support.

The cost for the Address Canvassing Operation in the 2017 Puerto Rico Census Test is estimated to be \$512,000. This cost includes only salaries for field workers for training and production, as other costs, such as space acquisition, are attributed to the enumeration portion of the 2017 Puerto Rico Test.

15. Reason for Change Burden

The increase in burden is attributable to the information collection being submitted as a new collection.

16. Project Schedule

Activity/Milestone	Date/Range
Conduct In-Field Address Canvassing	October 3, 2016 – November 15, 2016
Conduct In-Field Address Canvassing Re-Listing	November 16, 2016 – December 14, 2016
Conduct In-Field Address Canvassing in Puerto Rico	February 21, 2017 – March 31, 2017
Conduct In-Field Address Canvassing Re-Listing in Puerto Rico	March 20, 2017– April 28, 2017

17. Request to Not Display Expiration Date

No exemption is requested.

18. Exceptions to the Certification

There are no exceptions to the certification.