

2017 Census Test

Goals, Objectives, Success Criteria (GOSC) and Research Questions

November 21, 2016

Version 3.1

Scope Refinement

Pursuant to Decision Memo 2016.21

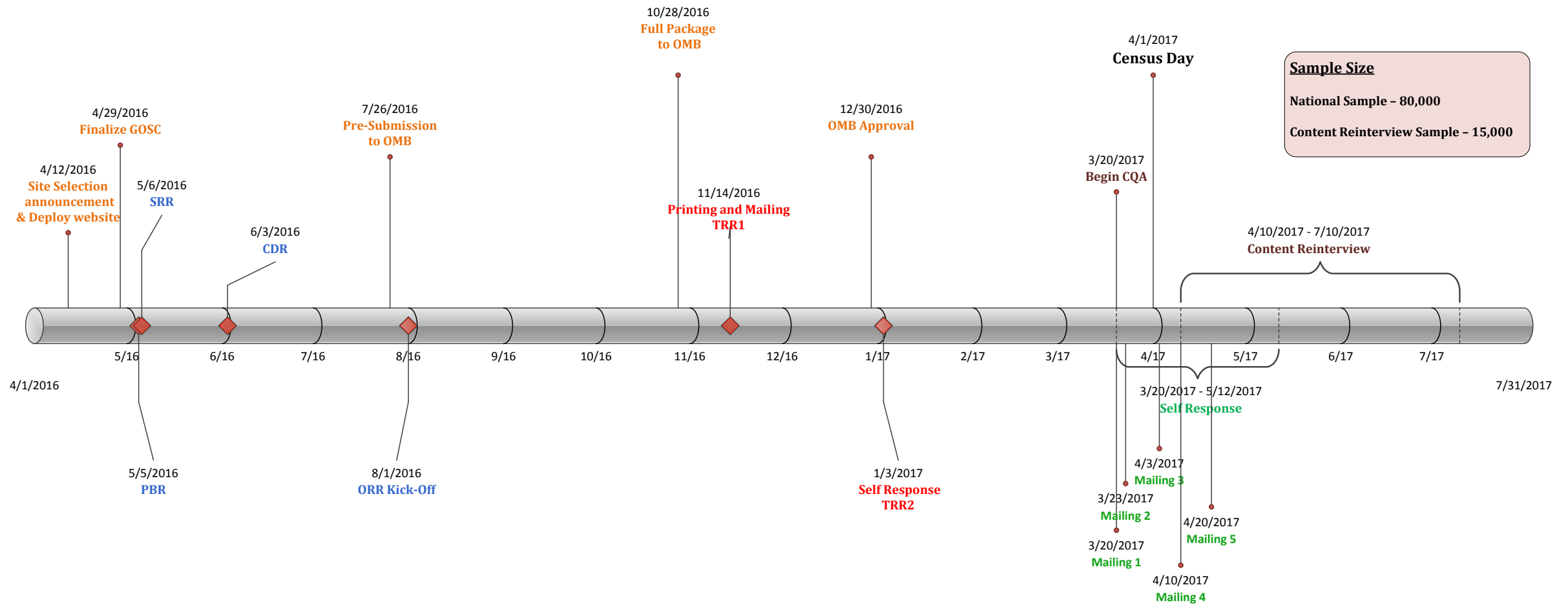
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List of the Operations Participating in the Test and Program Managers

Operation/Support	Program Manager
Geographic Programs Non-ID Processing	Evan Moffett
Program Management	Deidre Hicks
Census Questionnaire Assistance Paper Data Capture Forms Printing and Distribution	Sheila Proudfoot Alexa Jones-Puthoff Alexa Jones-Puthoff
IT Infrastructure Systems Engineering and Integration Security, Privacy and Confidentiality	Pete Boudriault Raphael Corrado
Language Services Internet Self-Response Content and Forms Design	Jennifer Kim Alexa Jones-Puthoff Jennifer Kim
Response Processing	Raphael Corrado
2017 Census Test	Deborah Stempowski

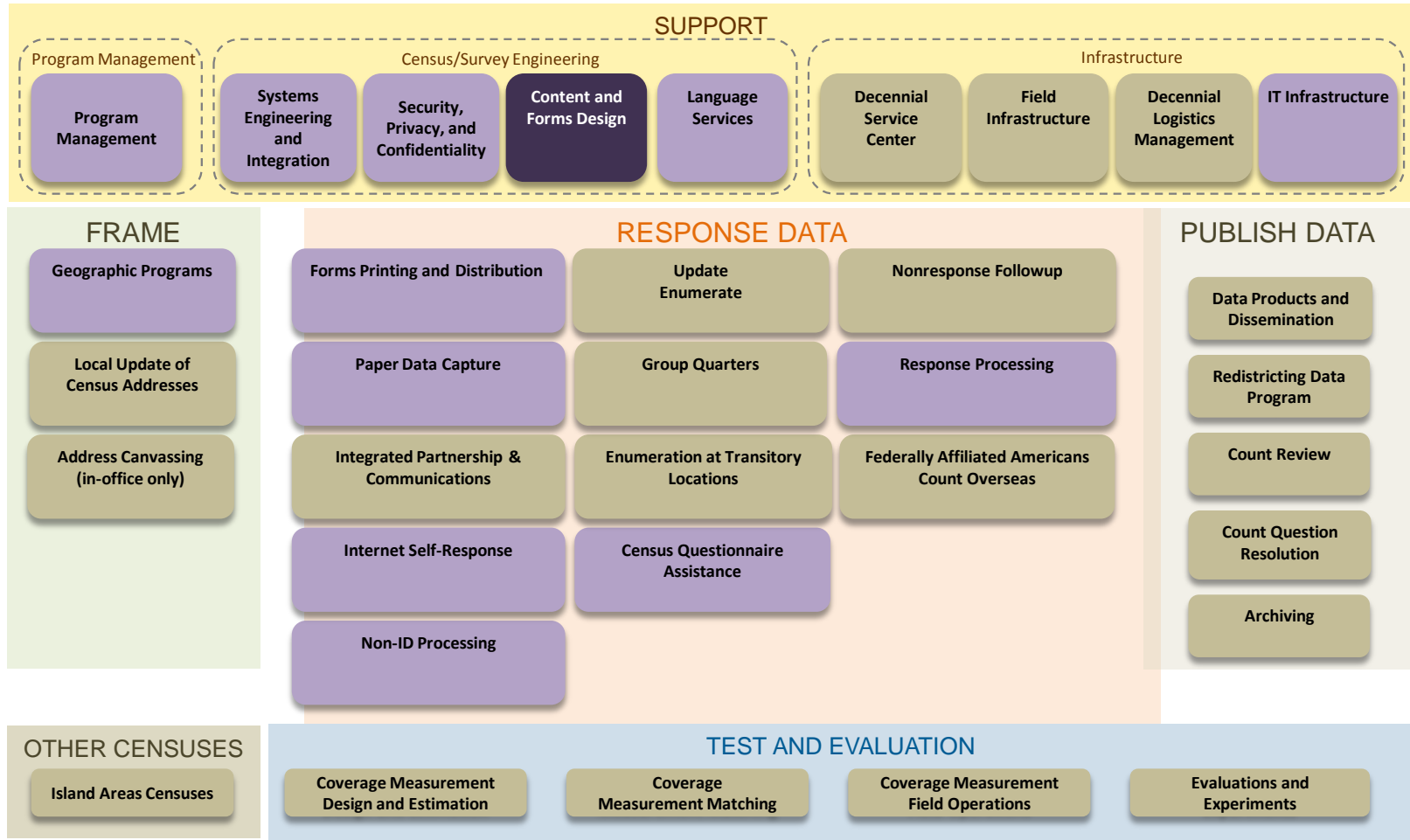
2017 Census Test Timeline - (10/25/2016)



Sample Size
 National Sample - 80,000
 Content Reinterview Sample - 15,000

2017 Census Test

Focus of the Test	Required to Support the Test	NOT Included in the Test
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Key Information

Sample Selection Description	<p>Sites</p> <ul style="list-style-type: none"> • A nationwide sample of 80,000 households for a self-response only operation, oversampled for areas with relatively higher concentrations of people estimated to identify as AIAN (Source: Mike Bentley) • A subsample of 15,000 households for a reinterview operation. 			
Test Focus	<p>Focus of the test is:</p> <ul style="list-style-type: none"> • Test the feasibility of collecting tribal enrollment information 			
Scope and Limitations	<p>The 2017 Census Test cannot be generalized to the entire nation. The results do not predict national trends or rate estimates expected in the 2020 Census.</p>			
Operations	<table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 33%; vertical-align: top;"> <p><u>Test Focus Operations - Goals, Objectives, Success Criteria and Research Questions:</u></p> <ul style="list-style-type: none"> • Content and Forms Design </td> <td style="width: 33%; vertical-align: top;"> <p><u>Support Operations - with Goals, Objectives, Success Criteria and Research Questions:</u></p> <ul style="list-style-type: none"> • Non-ID Processing </td> <td style="width: 33%; vertical-align: top;"> <p><u>Support Operations Only – Summary on how the operation will support the test:</u></p> <ul style="list-style-type: none"> • Program Management • Systems Engineering and Integration • Security, Privacy and Confidentiality • Language Services • IT Infrastructure • Geographic Programs • Forms Printing & Distribution • Paper Data Capture • Internet Self-response • Response Processing • Census Questionnaire Assistance </td> </tr> </table>	<p><u>Test Focus Operations - Goals, Objectives, Success Criteria and Research Questions:</u></p> <ul style="list-style-type: none"> • Content and Forms Design 	<p><u>Support Operations - with Goals, Objectives, Success Criteria and Research Questions:</u></p> <ul style="list-style-type: none"> • Non-ID Processing 	<p><u>Support Operations Only – Summary on how the operation will support the test:</u></p> <ul style="list-style-type: none"> • Program Management • Systems Engineering and Integration • Security, Privacy and Confidentiality • Language Services • IT Infrastructure • Geographic Programs • Forms Printing & Distribution • Paper Data Capture • Internet Self-response • Response Processing • Census Questionnaire Assistance
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Overall Test Assumptions	<ol style="list-style-type: none"> 1. Mailing package will include a paper questionnaire <ul style="list-style-type: none"> • Internet Choice Panel receives the paper questionnaire in Contact 1 (and again in Contact 4 if they have not yet responded) • Internet First Panel receives the paper questionnaire in Contact 4 if they have not yet responded 2. The National sample test is conducted through the Self Response contact strategy only [no nonresponse followup] 			

Test Focus Operations with Test Objectives and Research Questions

Goals	Objectives	Success Criteria (should be quantifiable)	Research Questions Identify which are implementation vs research questions?
Content and Forms Design (Jenny Kim)			
Test feasibility of collecting Tribal Enrollment information (offer option of collecting tribal enrollment via Internet Self Response (SR), Telephone SR (CQA), and Paper SR)	<ul style="list-style-type: none"> • Test Tribal Enrollment question. • Have a reinterview component to assess the validity of the tribal enrollment question fielded (conducted by the NPC Call Center). 	The tribal enrollment reinterview shows that the tribal enrollment question captures tribal enrollment in at least one federally- or state-recognized tribe(s).	<ul style="list-style-type: none"> • What are the item and unit nonresponse rates from the initial survey? • What is the consistency rate for tribal enrollment status when comparing the initial survey response to the reinterview?

Support Operations with Goals, Objectives, Success Criteria and Research Questions

Goals	Objectives	Success Criteria (should be quantifiable)	Research Questions
Non-ID Processing (Evan Moffett and Frank McPhillips)			
Conduct Real Time Non-ID Processing (RTNP)	<ul style="list-style-type: none"> Implement real-time address processing (standardization, MAF matching, geocoding) for Stateside addresses. 	<ul style="list-style-type: none"> Maximum number of Non-ID responses match to a valid address record in the Census universe during real time processing. 	<ul style="list-style-type: none"> What were the results from real-time matching and geocoding Stateside addresses during self-response?
Conduct post-RTNP automated matching and geocoding (also known as Asynchronous Non-ID Processing)	<ul style="list-style-type: none"> Utilize administrative records data to enhance respondent-provided address data, and then make a further attempt to match to an MTdb record and/or derive a census block geocode. This will occur on a transactional basis for each case not matched during RTNP (i.e., individually, not in batches). 	<ul style="list-style-type: none"> Additional Non-ID responses are matched to MTdb records and/or assigned to census blocks 	<ul style="list-style-type: none"> What were the results from Asynchronous Non-ID Processing (e.g., how many additional matches and geocodes were derived)?
Conduct manual Non-ID processing concurrent with self-response processing	<ul style="list-style-type: none"> Complete all outstanding manual processing before the first cut for UE workload, and keep up with daily internet and CQA response turnaround by the nominal date when UE or NRFU operations would have started (this will simulate a 2020 environment where Non-ID is 	<ul style="list-style-type: none"> Manual processing catches up with the backlog of cases not resolved during automated processing by the time the initial UE or NRFU cut would have been taken. This will give us a measure of how much Non-ID can reduce the UE or NRFU workload before the operations 	<ul style="list-style-type: none"> What additional matches were derived during manual Non-ID processing that could have reduced the UE and NRFU workload (e.g., how many, geographic distribution, address characteristics, etc.) What additional/updated geocodes were derived during manual processing?

Support Operations with Goals, Objectives, Success Criteria and Research Questions

Goals	Objectives	Success Criteria (should be quantifiable)	Research Questions
	<p>reducing UE and NRFU workload as quickly as possible, given that self-response will remain open during UE and NRFU).</p>	<p>even start.</p>	
<p>Conduct office-based address verification (OBAV) for eligible Non-ID cases</p>	<ul style="list-style-type: none"> Attempt to verify the existence and census block location of all eligible addresses from Non-ID processing using geographic reference sources in an office-base environment in order to reduce field address verification workload. Reference sources may include available online mapping and imagery services. 	<ul style="list-style-type: none"> The number of addresses verified for eligible Non-ID cases in the office-based operation is maximized. 	<ul style="list-style-type: none"> How many of the Non-ID cases eligible for address verification could be verified in an office-based operation?

Support Operations Only – Summary of How the Operation will Support the Test

Goals	Objectives	Issues/Constraints
Program Management (Deidre Hicks)		
Define and implement program management policies, processes, and the control functions for planning and implementing the 2017 Census Test.	Implement: <ul style="list-style-type: none"> • Governance • Strategic Communication (internal/external) • Change Management • Knowledge Management • Acquisition and Sourcing Management • Budget Management • Schedule Management • Human Capital Management Risk and Issues Management • Performance Measurement 	
Systems Engineering and Integration (Pete Boudriault and Daniel Lewis)		
Gain experience moving to new IT infrastructure – cloud computing	The Census Enterprise Data Collection and Processing (CEDCaP) Commercial Off-the-Shelf (COTS) Platform and the real-time non-ID processing systems will be hosted in a commercial cloud. Census will obtain metrics regarding	

Support Operations Only – Summary of How the Operation will Support the Test

Goals	Objectives	Issues/Constraints
	cost versus performance as a result of the testing to inform decisions regarding future cloud implementation, our ability to scale nationally for 2020, etc.	
Gain experience moving to new IT infrastructure – services		
Ensure the integration of new systems into the Field Test that will support the 2020 Census.	Utilize an enterprise data model. Integrate the following new systems into the Test: <ul style="list-style-type: none"> • CEDCaP COTS Platform Enterprise Census And Survey Enabling Platform (ECaSE) • CQA • PEARSIS (Production Environment for Administrative Records Staging, Integration and Storage) Each new system meets all functional and non-functional requirements in support of the Test.	Final list of systems supporting the field test will be determined once capability requirements have been finalized and allocated to systems.

Support Operations Only – Summary of How the Operation will Support the Test

Goals	Objectives	Issues/Constraints
Security, Privacy, and Confidentiality (Pam Mosley, Pete Boudriault)		
All planned security systems listed in the scope for Security, Privacy and Confidentiality are in place and operating.	<p>The following systems are in place and operating:</p> <ul style="list-style-type: none"> • Enterprise IT infrastructure and Telecommunications Systems • Enterprise Security Operations Center (SCC) • Enterprise Intrusion Detection Systems (IDS) • Enterprise Security Vulnerability management systems • Enterprise Audit Log Repository • Enterprise Operating System (OS) Security Baseline Management • Application Security Baseline Management System. 	
Language Services (Jenny Kim)		
Support language needs of non-English respondents.	<p>Provide functionality enabling non-English speakers to respond</p> <ul style="list-style-type: none"> • Internet self-response 	

Support Operations Only – Summary of How the Operation will Support the Test

Goals	Objectives	Issues/Constraints
	instrument (Spanish) <ul style="list-style-type: none"> • Paper (Spanish) • CQA aids for the CQA agents in Chinese, Vietnamese, Korean, Russian, Arabic; Spanish instrument Provide mailing materials in Spanish that include: <ul style="list-style-type: none"> • Letters, postcards 	
IT Infrastructure (Raphael Corrado and Pete Boudriault)		
Provide the information technology-related infrastructure support to the 2017 Census Test, including: <ul style="list-style-type: none"> • Enterprise systems and applications. • Decennial specific systems, applications, and interfaces. 		
Geographic Programs (Evan Moffett and Ross Davis)		
MAF/TIGER will provide MAF Extracts and Geographic Reference Files to support the operation.		

Support Operations Only – Summary of How the Operation will Support the Test

Goals	Objectives	Issues/Constraints
Forms Printing and Distribution (Alexa Jones-Puthoff and Mark Wolfram)		
Print and distribute Internet invitation letters, reminder postcards, and questionnaire mailing packages to support the 2017 Census Test mailing strategy and enumeration of the population.		
Paper Data Capture (Alexa Jones-Puthoff and Heidi Brady)		
Capture and convert data from the 2017 Census Test paper questionnaires, including document preparation, scanning, Optical Character Recognition, Optical Mark Recognition, Key from Image, and checkout.		
Internet Self-Response (Alexa Jones-Puthoff and Jason Reese)		
Test full mail contact strategies (5 mailings) in the mailout areas of the national sample.	<ul style="list-style-type: none"> • Refine final mail contact strategy prior to the 2018 End to End Test. 	

Support Operations Only – Summary of How the Operation will Support the Test

Goals	Objectives	Issues/Constraints
Response Processing (Raphael Corrado and Acting Branch Chief for Response Processing)		
<ul style="list-style-type: none"> • Establish the testing enumeration universe • Manage the self-response enumeration strategy • Distribute workload files required for self-response enumeration operation • Track self-response enumeration status by case and support determining the course of self-response enumeration based on established business rules. • Perform required response data collection process editing and race/Hispanic origin coding • Perform required post-data collection processing actions in order to prepare the data for final decennial response file 	<ul style="list-style-type: none"> • Evaluate the ability to support the Data Collection Phase from a response processing perspective including Internet, Paper, and CQA modes. • Evaluate the ability to check for sufficient data and identify data-defined persons. • Evaluate support for the Non-ID processing operation to successfully transmit and receive geocoding data from GEO. • Evaluate the ability to conduct required response data processing steps, such as standardizing demographic data responses, race coding, residence coding, determining population counts, etc. in preparation for future unduplication work. • Evaluate the ability to produce 	

Support Operations Only – Summary of How the Operation will Support the Test

Goals	Objectives	Issues/Constraints
<ul style="list-style-type: none"> • Perform required steps to create a Census Unedited File for data analysis purposes, including unduplicating data via the primary selection algorithm and performing count imputation. • Serve as the final test data repository for input to required analysis 	<p>final data for analysis that has completed an unduplication effort using the primary selection algorithm methodology</p> <ul style="list-style-type: none"> • Evaluating the performance of count imputation and creating a Census Unedited File to be used for test analysis and results. 	
<ul style="list-style-type: none"> • Test methods for detecting fraudulent responses 	<ul style="list-style-type: none"> • Examine responses from internet, CQA, and paper in an attempt to identify potential fraud, using multiple methods. 	<ul style="list-style-type: none"> • There is likely low motivation for submitting fraudulent responses during a Census Test (as opposed to the 2020 Census), so we will likely have to rely on simulated fraudulent responses to help test and refine our processes.

Support Operations Only – Summary of How the Operation will Support the Test

Goals	Objectives	Issues/Constraints
Census Questionnaire Assistance (Sheila Proudfoot and Kevin Zajac)		
<ul style="list-style-type: none"> • Provide contact center infrastructure and staff to handle inbound assistance calls from respondents (no web chat or email capabilities in 2017) • Assist respondents in completing the Census questionnaire, including capturing responses • Answer questions about Census processes and operations • Automate certain tasks using Interactive Voice Response (IVR) self service solutions • Assess the interface(s) between the CQA contractor and Census Bureau's systems 		

Document History

Version	Date	Changes
1.0	May 4, 2016	Baseline prior to Project Baseline Review (PBR)
1.1	September 21, 2016	Draft for review incorporating updates since May.
2.0	September 30, 2016	Baseline 2 incorporating updates since May.
3.0	October 19, 2016	Refinement of scope per 2020 Census Decision Memo 2016.21
3.1	November 21, 2016	Added detail for response processing.