

United States Department of Energy
Supporting Statement
Wind Technology to Market Industry Survey
OMB Control Number 1910-NEW

This supporting statement provides additional information regarding the Department of Energy (DOE) request for processing of the proposed information collection, Wind Technology to Market Industry Survey. The numbered questions correspond to the order shown on the Office of Management and Budget (OMB) Form 83-I, "Instructions for Completing OMB Form 83-I."

A. Justification

- 1. Explain the circumstances that make the collection of information necessary. Identify any legal or administrative requirements that necessitate the collection. Attach a copy of the appropriate section of each statute and regulation mandating or authorizing the information collection.**

In an effort to improve technology transfer from the Department of Energy and the national labs, to the U.S. wind energy industry, this survey is necessary to collect data from industry members in order to identify:

- New and improved research capabilities and tools that would be valuable to the wind industry
- Opportunities for, and barriers to, national laboratory and industry collaboration on technology development and transfer in those high-value areas.

Currently, no such information is available to labs. In order to comply with DOE Org Act (42 U.S.C. 7373), this technology to market survey will help to improve the effectiveness of Federal information dissemination activities in wind energy research, development, and deployment with the objective of developing and promoting better public understanding of these resources and their potential uses. The information collected in this survey will be published in a report and help to inform new possibilities for the national labs.

- 2. Indicate how, by whom, and for what purpose the information is to be used. Except for a new collection, indicate the actual use the agency has made of the information received from the current collection**

These data will be reviewed by the Department of Energy and its national laboratories to ensure that their services in the fields of renewable energy resources (specifically wind energy) are being coordinated with similar or related activities and services of other Federal agencies to best meet the needs of the nation. This new collection will form the cornerstone of a report being developed for the Department of Energy and national labs to better align the national labs with wind industry technology development needs. Sandia National Laboratories and the National Renewable Energy Laboratory will jointly coordinate the data analysis and develop an internal report on the results for the Department of Energy. The quantitative statistics from the survey as well as insights from qualitative / open-ended questions will be incorporated into the report, which is a deliverable for the project.

3. Describe whether, and to what extent, the collection of information involves the use of automated, electronic, mechanical, or other technological collection techniques or other forms of information technology, e.g., permitting electronic submission of responses.

The survey will be sent using SurveyGizmo, an online survey creation and collection site approved by the Department of Energy. By using an online survey, the data collection will be automated to reduce the burden on the respondents as well as the risk of human error when compiling results.

4. Describe efforts to identify duplication.

The data collected is not available from any other source and is not duplicated elsewhere.

5. If the collection of information impacts small businesses or other small entities, describe any methods used to minimize burden.

This information collection is a voluntary survey. The survey has been designed such that respondents can skip the sections that are not relevant to them or to which they do not wish to respond in order to reduce the time burden of responding.

6. Describe the consequence to Federal program or policy activities if the collection is not conducted or is conducted less frequently, as well as any technical or legal obstacles to reducing burden.

This new, one-time collection is important for the national laboratories in discovering the ways in which they can better partner with the wind industry. Without this data collection, the Department of Energy and the laboratories will lack the quantitative and qualitative responses from a common and standardized survey collected from a broad and diverse population of the wind industry. This vital information will develop more effective technology research and development capabilities in support of the U.S. wind industry. Since the survey is a one-time collection there is no consequence for less frequent collection.

7. Explain any special circumstances that require the collection to be conducted in a manner inconsistent with OMB guidelines. (a) requiring respondents to report information to the agency more often than quarterly; (b) requiring respondents to prepare a written response to a collection of information in fewer than 30 days after receipt of it; (c) requiring respondents to submit more than an original and two copies of any document; (d) requiring respondents to retain records, other than health, medical government contract, grant-in-aid, or tax records, for more than three years; (e) in connection with a statistical survey, that is not designed to product valid and reliable results that can be generalized to the universe of study; (f) requiring the use of statistical data classification that has not been reviewed and approved by OMB; (g) that includes a pledge of confidentiality that is not supported by authority established in stature of regulation, that is not supported by disclosure and data security policies that

are consistent with the pledge, or which unnecessarily impedes sharing of data with other agencies for compatible confidential use; (h) requiring respondents to submit proprietary trade secrets, or other confidential information unless the agency can demonstrate that it has instituted procedures to protect the information's confidentiality to the extent permitted by law.

There are none. The package is consistent with OMB guidelines.

8. If applicable, provide a copy and identify the date and page number of publication in the Federal Register of the agency's notice, required by 5CFR 320.8(d), soliciting comments on the information collection prior to submission to OMB. Summarize public comments received in response to that notice and describe actions taken in response to the comments. Specifically address comments received on cost and hour burden. Describe efforts to consult with persons outside DOE to obtain their views on the availability of data, frequency of collection, the clarity of instructions and recordkeeping, disclosure, or reporting format (if any), and on the data elements to be recorded, disclosed, or report.

The Department published a 60-day Federal Register Notice and Request for Comments concerning this collection in the Federal Register on June 15, 2016, volume 81, number 115. The notice described the collection and invited interested parties to submit comments or recommendations regarding the collection. No comments were received.

9. Explain any decision to provide any payment or gift to respondents, other than reenumeration of contractors or grantees.

There is no remuneration given for submission of any of the information provided for this collection.

10. Describe any assurance of confidentiality provided to respondents and the basis for the assurance in statute, regulation, or agency policy.

No confidential information is being requested. Based on survey design, individual respondents cannot be identified. Everyone uses the same link to connect to the survey and no personally identifying information is collected. The only information related to respondent that is collected is their type of organization and organizational role. The categories for these questions are broad enough such that no individual can be identified through the information collected.

DOE will not share respondent-specific information with outside sources other than in response to a Freedom of Information Act request, and even then DOE would take precautions to respect the potential confidentiality of important data. In responding to requests under the Freedom of Information Act, DOE relies on its regulations at 10 CFR Part 1004.

11. Provide additional justification for any questions of a sensitive nature, such as sexual behavior and attitudes, religious beliefs, and other matters that are commonly considered private. This justification should include the reasons why DOE considers the questions necessary, the specific uses to be made of the information, the explanation to be given to persons from whom the information is requested, and any steps to be taken to obtain their consent.

This information collection does not collect information of a sensitive nature, such as sexual behavior, attitudes, religious beliefs, and other matters that are commonly considered private.

12. Provide estimates of the hour burden of the collection of information. The statement should indicate the number of respondents, frequency of response, annual hour burden, and an explanation of how the burden was estimated. Unless directed to do so, DOE should not conduct special surveys to obtain information on which to base hour burden estimates. Consultation with a sample fewer than 10 potential respondents is desirable.

Total number of unduplicated respondents: 80

Reports filed per person: 1

Total annual responses: 80

Total annual burden hours: 20

Average Burden Per Collection: 15 minutes

We developed a list of potential respondents meant to cross the entire wind industry value chain relevant to the technology-to-market survey topic. In total, this includes 400 individuals across the industry partitioned broadly between the categories of component suppliers, turbine original equipment manufacturers, developers, owner/operators, consultancies and utilities. The list was collected through solicitation of contacts from staff at Sandia, NREL and the DOE Wind Energy Technology Office. Care was taken to ensure an even distribution of potential respondents in each of the categories listed above.

The survey platform Survey Gizmo gives an estimate of the burden rate as supplied here. As people tested the survey, the time estimate was updated automatically through the system to give a more reliable estimate. Additional time may be required for respondent to request approval to fill out the survey – that can vary substantially depending on the person and the organization but should not add significant additional burden in terms of absolute time required.

13. Provide an estimate for the total annual cost burden to respondents or recordkeepers resulting from the collection of information.

Annualized cost to respondents using the BLS rates for Engine, Turbine, and Power

Transmission Equipment Manufacturing hourly rate: \$39.64

(<http://www.bls.gov/oes/current/oes172141.htm>)

Total annual burden hours: 20

20*\$39.64=\$793

14. Provide estimates of annualized cost to the Federal government.

a) Since this survey is only being conducted once, the total startup costs are \$200,000.

\$100,000 was used to produce the survey. That is broken down by the following costs:

\$35,000: Sandia National Laboratories management

\$37,000: National Renewable Energy Laboratory management

\$18,000: Survey writing

\$10,000: Survey editing and production

The remaining \$100,000 will be used to produce the analysis and report following data collection.

b) Once the survey has been conducted, there will be no additional maintenance costs associated with it.

15. Explain the reasons for any program changes or adjustments reported in Items 13 (or 14) of OMB Form 83-I.

This is a new collection, therefore, there are no program changes or adjustments to report.

16. For collections whose results will be published, outline the plans for tabulation and publication.

Responses will be tabulated by question and basic demographic information that is voluntarily provided by the respondent. This includes segments like job type, company size, wind industry segment, and time spent working in the wind industry.

The data will be collected over 2 months and then analyzed and published within 4 months after collection ends.

17. If seeking approval to not display the expiration date for OMB approval of the information collection, explain the reasons why display would be inappropriate.

The Department is not seeking approval to not display the expiration date for OMB approval of the information collections contained in this package.

18. Explain each exception to the certification statement identified in Item 19 of OMB Form 83-I.

The Department is not requesting any exceptions to the certification statement provided in Item 19 of OMB Form 83-I.

