

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

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## TITLE OF INFORMATION COLLECTION:

### 2020 Residential Energy Consumption Survey (RECS) Nonresponse Follow-up Study

**PURPOSE:** The Residential Energy Consumption Survey (RECS) is a periodic series of surveys of households and their energy suppliers with the purpose of collecting and reporting energy characteristics, consumption, and expenditures data for homes in the United States. The data are widely used throughout the government and the private sector for policy analysis and are made available to the public via data tables, public-use data files, and analysis articles.

EIA will conduct the 2020 RECS Household Survey (EIA-457A) using a 32-minute self-administered questionnaire that respondents can choose to complete by Web or paper. The expected response rate for the 2020 RECS Household Survey is 40%, and thus EIA plans to conduct a nonresponse bias analysis. A key aspect of this analysis will be fielding the nonresponse follow-up (NRFU) study described here.

Approximately one month after the final 2020 RECS Household Survey invitation is mailed, a subsample of housing units that have not yet responded will be mailed an invitation to complete a shorter paper questionnaire. The NRFU questionnaire will be 4 pages in length including 40 questions from the 2020 RECS Household Survey. Responses to the NRFU questionnaire will be compared to responses to the same questions from the 2020 RECS Household Survey to assess the potential of nonresponse bias due to unit nonresponse. EIA will use the results of this NRFU study and non-survey bias analysis methods to determine the extent of and appropriate procedures for nonresponse bias weighting adjustments. The responses to this NRFU study will be used exclusively to inform possible improvements to the weighting methodology and will not directly contribute to the published estimates.

**DESCRIPTION OF RESPONDENTS:** The 2020 RECS NRFU sample will be selected from the housing units that were initially sampled to participate in the 2020 RECS Household Survey but did not respond after receiving the complete protocol of six invitation mailings over a period of about two months.

The exact number of 2020 RECS nonrespondents eligible for the NRFU study is not yet known, but is estimated to be about 25,000 households. Of these, EIA intends to select approximately 16,000 households to participate in the NRFU study. EIA estimates the response rate will be 20%, yielding about 3,200 completed NRFU questionnaires.

## TYPE OF COLLECTION: (Check one)

Field Testing

Usability Testing

Pilot Surveys

Respondent Debriefings

Cognitive Interviews

Focus Groups

Other: Nonresponse Follow-up

## 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: Thomas Leckey, Assistant Administrator for 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

Responding households will receive a \$20 cash incentive for completing the NRFU questionnaire.

## BURDEN HOURS

Category of Respondent	No. of Respondents	Participation Time	Burden
Individuals or Households	3,200	6 minutes	320 hours
<b>Totals</b>	<b>3,200</b>		<b>320 hours</b>

**ESTIMATE OF RESPONDENT BURDEN HOURS AND COST** – The burden to respondents is 320 hours and the cost to the respondents is estimated to be (\$80.14 x 320) = \$25,645.

**FEDERAL COST:**

EIA/Contractor design and instrumentation labor: 200 hours \* \$80.14 = \$16,028

Data collection prep, mailing, and incentives: = \$264,000

**TOTAL COST: \$280,028**

**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?

The initial 2020 RECS Household Survey sample will be selected from a national frame of occupied housing units in all 50 United States and the District of Columbia. This frame is based on the U.S. Postal Service Delivery Sequence File (DSF). The 2020 RECS NRFU sample will be a random sub-sample of the housing units that were initially selected to participate in the 2020 RECS Household Survey but did not respond after receiving the complete protocol of six invitation mailings over a period of about two months.

**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.**