

BUREAU OF TRANSPORTATION STATISTICS
OMB CLEARANCE PACKAGE

For
CLEARANCE TO UPDATE THE NATIONAL FERRY
CENSUS QUESTIONNAIRE

National Census of Ferry Operators
(OMB Control Number - 2139-0009)

Prepared by
Office of Survey Programs
Bureau of Transportation Statistics
Research and Innovative Technology Administration

July 3, 2013

Table of Contents

A. JUSTIFICATION

1. Need for the Information Collection
2. Use of Information
3. Use of Improved Information Technology
4. Efforts to Avoid Duplication
5. Methods Used to Minimize Burden on Small Entities
6. Consequences of Not Collecting the Information
7. Special Circumstances
8. Agency 60-Day Federal Register Notice and Consultations Outside the Agency
9. Payment to Respondents
10. Assurance of Confidentiality
11. Sensitive Questions
12. Estimates of Response Burden and Annual Cost to Respondents
13. Estimates of Cost Burden for Collection of Information.
14. Estimates of Annual Cost to the Federal Government.
15. Changes in Burden
16. Publication Plans/Time Schedule
17. Approval Not to Display Expiration Date
18. Exceptions to the Certification Statement

B. COLLECTION OF INFORMATION EMPLOYING STATISTICAL METHODS

1. Description of Activity
2. Procedures for the Collection of Information
3. Non-response, Maximization of Response Rates, Accuracy and Reliability
4. Test of Procedures
5. Personnel/Organizations Responsible for Design, Collection, or Analysis of the Information

Attachment I: The Transportation Equity Act for the 21st Century (TEA-21) (P.L. 105-178), section 1207(c)

Attachment II: The Safe, Accountable, Flexible Efficient Transportation Equity Act—A Legacy for Users (SAFETEA-LU) Public Law 109-59, Section 1801(e)

Attachment III:

Moving Ahead for Progress in the 21st Century Act (P.L. 112-141) (

Attachment IV: TITLE 5 United States Code 552(b)(4)

Attachment V: TITLE 18 United States Code 1905

Attachment VI: 60- Day Federal Register Notice

Attachment VII: 30- Day Federal Register Notice

Attachment VIII: Title 49 C.F.R. 7.17

Attachment IX: NCFO Cover Letter

Attachment X: NCFO Questionnaire (draft) including the ICR statement

B. COLLECTION OF INFORMATION EMPLOYING STATISTICAL METHODS

1. Describe (including a numerical estimate) the potential respondent universe and any sampling or other respondent selection methods to be used. Indicate expected response rates for the collection as a whole. If the collection had been conducted previously, include the actual response rate achieved during the last collection.

This survey will be a census of all known ferry boat operators within the US. Current enumerations have provided an estimate of approximately 260 operators. All known ferry operators will be encouraged to participate. Since this is a census of establishments, each ferry operator will be asked to select the person or persons within the operation who is most knowledgeable about the operation to complete the questionnaire. Thus, it will be up to the operator to decide who the individual respondent will be. Previous NCFO data collection efforts have achieved response rates of 89%, 88% and 84% respectively. Based on previous performance we should expect to receive approximately 234 completed questionnaires in 2013.

2. Describe the procedures for the collection of information including: statistical methodology for stratification and sample selection, estimation procedure, degree of accuracy needed for the purpose described in the justification, unusual problems requiring specialized sampling procedures, and any use of periodic (less frequent than annual) data collection cycles to reduce burden.

As the National Census of Ferry Operators is a census of all known ferry operations in the U.S., no sampling or stratification procedures will be employed. All operations will be asked to participate. Given the difference in operating cycles between operations (some only operate seasonally), it is estimated that the data collection period for this survey will last up to 6 months. This will allow responses to be received from ferry companies that do not operate year round. As previously noted, statute requires that the census data be updated every two years.

3. Describe methods to maximize response rates and to deal with issues of non-response. The accuracy and reliability of information collected must be shown to be adequate for intended uses. For collections based on sampling, a special justification must be provided for any collection that will not yield "reliable" data that can be generalized to the universe studied.

The 2006 NCFO achieved a response rate of 89% through the efforts of a number of organizations and people. BTS follow the same strategies for the 2008 census and achieved an 88% response rate. These techniques include the use of an advance letter to inform operators about the census as well as articles in industry related publications and announcements at conferences; and availability of a toll-free number for respondents to call in the event they have questions about the survey.

In 2010 BTS utilized email advance notices as well as the advance letter. The questionnaire was also made available online to decrease respondent burden and simplify the data collection process. This resulted in a cooperation rate of about 84%. Given the decrease in response rate and added difficulties associated with processing the data from multiple sources, the web based

questionnaire will not be used in 2013. The data will be collected via paper questionnaire with a telephone follow up as needed.

4. Describe any tests of procedures or methods to be undertaken. Testing is encouraged as an effective means of refining collections of information to minimize burden and improve utility.

The content of the survey was established by the legislation requiring the data collection. The survey was modified and reviewed by the Office of Survey Programs using feedback from a number of DOT staff affiliated with the 2010 study. The National Ferry Database questionnaire was reviewed by staff within the Maritime Administration (MARAD), the Federal Highway Administration (FHWA), the Federal Transit Administration (FTA), the American Association of State Highway and Transportation Officials (AASHTO), and the Passenger Vessel Association (PVA). There are no experimental conditions built into the NCFO data collection itself. In addition to these efforts, BTS conducted on site interviews with five ferry operations to get feedback on the 2010 form. To make sure the NCFO is consistent with the National Transit Database (NTD), a review of NTD and the forms used to collect the data were reviewed. Where appropriate, items were added to the NCFO questionnaire to maximize content validity.

5. Provide the name and telephone number of individuals consulted on statistical aspects of the design and the name of the agency unit, contractor(s), grantee(s), or other person(s) who will actually collect and/or analyze the information for the agency.

The data entry and follow up phoning will be conducted by MacroSys, a BTS contractor. The questionnaire design specifications, specifications for data collection, questionnaire content, and data production are under the supervision of BTS. BTS is solely responsible for the review of the final survey questionnaire, data, and technical documentation. The points-of-contact at BTS are:

Kenneth Steve
kenneth.steve@dot.gov
202 366-4108

Joy Sharp
joy.sharp@dot.gov
202-366-0881

Both are located at:
Department of Transportation
Research and Innovative Technology Administration
Bureau of Transportation Statistics
1200 New Jersey Avenue, SE
Washington, DC 20590