

Supporting Statement B

Nonferrous Metals Surveys

OMB Control Number 1028-0053

Collections of Information Employing Statistical Methods

The agency should be prepared to justify its decision not to use statistical methods in any case where such methods might reduce burden or improve accuracy of results. When the question “Does this ICR contain surveys, censuses, or employ statistical methods?” is checked "Yes," the following documentation should be included in Supporting Statement B to the extent that it applies to the methods proposed:

- 1. Describe (including a numerical estimate) the potential respondent universe and any sampling or other respondent selection method to be used. Data on the number of entities (e.g., establishments, State and local government units, households, or persons) in the universe covered by the collection and in the corresponding sample are to be provided in tabular form for the universe as a whole and for each of the strata in the proposed sample. 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.**

These canvasses are conducted as a complete census. No sampling is performed. The total universe is approximately 1,557 respondents that are business or other-for-profit institutions (Table 1 below). The sources used to create the sampling frame are trade periodicals (such as American Metal Market, Platt's Metal Week, Metal Bulletin, and Ryan's Notes), and U.S. Geological Survey (USGS) commodity specialists' direct contacts with industry specialists. Once a year, commodity specialists update the frame.

Table 1. Consolidated estimates of annual burden (private sector) ¹

			PRIVATE SECTOR			
	Form No.	Frequency	Number of Respondents	Responses	Completion Time	Burden Hours
1	9-4052-A	Annually	30	30	30 min	15
2	9-4055-A	Annually	16	16	30 min	8
3	9-4057-A	Annually	125	125	30 min	63
4	9-4060-A	Annually	35	35	30 min	18
5	9-4066-M	Monthly	26	312	30 min	156
6	9-4070-A	Annually	56	56	60 min	56
7	9-4074-A	Annually	39	39	60 min	39
8	9-4080-A	Annually	18	18	60 min	18
9	9-4081-MA	Monthly	54	648	60 min	648
10	9-4081-MA	Annually	35	35	60 min	35
11	9-4082-A	Annually	365	365	30 min	183
12	9-4083-A	Annually	22	22	45 min	17
13	9-4084-M	Monthly	33	396	45 min	297
14	9-4086-MA	Monthly	20	240	30 min	120
15	9-4086-MA	Annually	55	55	30 min	28
16	9-4089-MA	Monthly	26	312	90 min	468
17	9-4089-MA	Annually	105	105	90 min	158
18	9-4090-M	Monthly	10	120	30 min	60
19	9-4091-A	Annually	23	23	30 min	12
20	9-4094-A	Annually	18	18	90 min	27
21	9-4095-A	Annually	200	200	45 min	150
22	9-4098-M	Monthly	35	420	45 min	315
23	9-4100-A	Annually	11	11	60 min	11
24	9-4101-A	Annually	25	25	60 min	25
25	9-4102-A	Annually	50	50	60 min	50
26	9-4103-A	Annually	23	23	60 min	23
27	9-4122-Q	Quarterly	22	88	30 min	44
28	9-4125-A	Annually	35	35	30 min	18
29	9-4128-A	Annually	10	10	60 min	10
30	9-4141-M	Monthly	35	420	20 min	140
TOTALS			1,557	4,252		3,212

¹ Based on 100% response rate. Actual response rate is lower.

The median 63% response rate for this collection over the past 3 years is expected to continue, based on the number of establishments that have traditionally responded to this request for information.

The data collected on these forms are used to publish information on the mineral production for each state, including state rankings. Each state typically has only a limited number of establishments for

each mineral commodity. In order to have accurate state rankings, it is necessary to canvass all of the establishments.

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.**

These canvasses do not employ sampling techniques. In some cases, individual establishments, by mutual agreement, have converted to reporting on an annual, rather than a monthly, quarterly, or semiannual basis to reduce their burden. For those establishments, a monthly, quarterly, or semiannual response is imputed from their annual response. Data are imputed for all non-responses. The majority of published statistics are rounded to three significant digits. Estimation procedures for non-respondents are described in (3) below.

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.

Paper forms:

Two weeks after the initial request, establishments not responding will receive another copy of the paper form in a second request for information. For larger establishments that still have not responded, statistical assistants or mineral commodity specialists will phone an alternative company contact.

On-line electronic forms:

Two weeks after the initial request, statistical assistants will phone establishments that have not responded. For larger establishments that still have not responded, statistical assistants or mineral commodity specialists will phone an alternative company contact.

Non-response:

Several sources of information are used to impute data for non-respondents. One important source of information is the data on the number of employees and employee hours that mining operations are required to submit to the Mine Safety and Health Administration. These employment data are closely related to production. Ratios of employee hours to production can be computed for companies that respond, and those ratios can be used to estimate production for non-respondents.

Forms 10-K or 10-Q filed with the Securities and Exchange Commission (SEC) and company annual reports can also provide valuable sources of information. Publicly traded companies must file annual reports on Form 10-K (OMB Control Number 3235-0063) including comprehensive overviews of their business and financial conditions and audited financial statements. This form may also contain production and sales information. Publicly traded companies sometimes elect to send Form 10-K to shareholders in lieu of less detailed annual reports.

Publicly traded companies must also file Form 10-Q (OMB Control Number 3235-0070) quarterly. Firms include information for the final quarter of a firm's fiscal year in the annual Form 10-K; therefore only three Form 10-Q filings are made each year. Form 10-Q contains similar information to the annual Form 10-K; however the information is generally less detailed, and the financial statements are generally unaudited.

The USGS believes that there is no significant non-response bias because of the suitable information on which to base imputations. This Information Collection Request does not contain canvasses of opinion.

Industry acceptance of these canvasses and response to the USGS publication of the data continue to be extremely positive.

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. Tests must be approved if they call for answers to identical questions from 10 or more respondents. A proposed test or set of tests may be submitted for approval separately or in combination with the main collection of information.

Many of the USGS' information customers are also businesses that respond to the canvasses in this information collection. USGS mineral commodity specialists are in frequent contact with companies by way of industry associations and conferences [for example, the Aluminum Association, Inc., the International Copper Study Group (ICSG), and the International Lead and Zinc Study Group (ILZSG); the USGS copper specialist serves as the ICSG's statistical chair, and USGS specialists participate in ILZSG's Fall and Spring meetings]. The information exchanged with these industry associations and at conferences includes trade, consumption, and production statistics, as well as information on technology developments within the particular industry.

Informal communications during periodic contacts with our customers allow us to determine if the published canvass data are meeting their needs. Any feedback concerning this information collection discussed during these communications or non-response follow-up telephone contacts is used as suggestions that might facilitate clarification or ease respondent burden. Respondents are also encouraged to submit comments via a feedback link on the Web site at <https://miforms.er.usgs.gov/General/FeedBackForm.asp>. An annual letter is sent to our voluntary canvass respondents thanking them for their support and encouraging them to view our data products. At present, no formal tests are in progress that would require clearance.

5. Provide the names and telephone numbers 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.

For further information concerning this information collection, please contact:

- Jeffrey P. Busse, Statistician, 703-648-4914, jbusse@usgs.gov,
- Elizabeth S. Sangine, Chief, Mineral Commodities Section, 703-648-7720, escottsangine@usgs.gov,
or
- Shonta Osborne, Chief, Minerals Commodities Data Unit, Data Collection and Coordination Section, 703-648-7960, sosborne@usgs.gov.

List and Titles of Forms

Form No.	Frequency	Canvass Code	Title
9-4052-A	Annually	C01	Bauxite - Consumption
9-4055-A	Annually	C04`	Alumina
9-4057-A	Annually	C06	Primary Antimony
9-4060-A	Annually	C11	Bismuth
9-4066-M	Monthly	C21	Copper
9-4070-A	Annually	C31	Magnesium
9-4074-A	Annually	C39	Zirconium and Hafnium
9-4080-A	Annually	C49	Lead and Titanium Pigments and Compounds
9-4081-MA	Monthly	C52	Aluminum Scrap
9-4081-MA	Annually	C52	Aluminum Scrap
9-4082-A	Annually	C53	Consumption of Copper Materials - Foundries, Manufacturers, Chemical Plants
9-4083-A	Annually	C54	Scrap and Secondary Copper, Brass, and Nickel
9-4084-M	Monthly	C55	Copper Materials - Consumption of Primary Brass and Primary Copper Wire Rod Mills
9-4086-MA	Monthly	C58	Lead - Secondary Smelter and Consumer Report
9-4086-MA	Annually	C58	Lead - Secondary Smelter and Consumer Report
9-4089-MA	Monthly	C62	Tin
9-4089-MA	Annually	C62	Tin
9-4090-M	Monthly	C63	Pig Tin (Importers, Agents, Brokers, Jobbers, and Dealers)
9-4091-A	Annually	C65	Titanium Materials
9-4094-A	Annually	C70	Zinc
9-4095-A	Annually	C71	Slab Zinc
9-4098-M	Monthly	C78	Lode Mine Production of Gold, Silver, Copper, Lead, and Zinc
9-4100-A	Annually	C84	Magnesium Compounds (Raw Material and Products)
9-4101-A	Annually	C85	Thorium
9-4102-A	Annually	C87	Rare Earths
9-4103-A	Annually	C90	Gallium
9-4122-Q	Quarterly	G37	Titanium Metal

Form No.	Frequency	Canvass Code	Title
9-4125-A	Annually	G43	Refinery Production of Precious Metals
9-4128-A	Annually	C88	Scandium
9-4141-M	Monthly	G47	Mine Production of Gold and Silver