

**Department of Commerce**  
**U.S. Census Bureau**  
**OMB Information Collection Request**  
**2021 Management and Organizational Practices Survey (MOPS)**  
**OMB Control Number 0607-0963**

**Part B - Collection of Information Employing Statistical Methods**

Question 1. Universe and Respondent Selection

The sample for the 2021 MOPS will consist of the approximately 51,000 establishments in the 2021 Annual Survey of Manufactures (ASM) mail-out sample. The mail-out sample for the ASM is redesigned at 5-year intervals beginning the second survey year after the Economic Census. For the 2019 ASM, a new probability sample was selected from a frame of approximately 100,000 manufacturing establishments in the 2017 Economic Census that had paid employees, were in the United States, and were associated with multi-location companies or large single-establishment companies. On an annual basis, the mail-out sample is supplemented with large, newly active single-establishment companies identified from a list provided by the Internal Revenue Service and new manufacturing establishments of multi-location companies identified from the Census Bureau's Company Organization Survey.

In 2015, 73% of respondents responded to the MOPS survey. Given the current decline in response we are experiencing in the ASM and considering the 2021 MOPS uses the ASM mail-out sample, the Census Bureau's goal is to achieve a 70% check-in rate.

Question 2. Procedures for Collecting Information

**a. Description of Initial Letters**

We will mail initial letters to approximately 51,000 manufacturing establishments. The initial letter explains the necessity and use of the data, states the respondents' authentication code, and provides the website where the respondent can report online and access the current year worksheet.

**b. Sampling Methodology**

The 2019 ASM sample was selected from a sampling frame that was constructed from the Manufacturing Sector of the 2017 Economic Census. The sample is supplemented

annually to include new establishments in the Manufacturing Sector. This sample will be used through reference year 2023. Below is an overview of the sample design.

The 2019 ASM sampling frame was first partitioned into mail and nonmail strata. Within each of the 360 North American Industry Classification System (NAICS) industries, small and medium-sized single-location companies were identified and defined as the nonmail component. Establishments comprising the remaining portion, including all establishments of multi-location companies, were defined as the mail sampling frame.

On the mail sampling frame, establishments that met specified criteria were selected for the sample with certainty. Of the remaining establishments, an independent sample was selected within each of the 360 NAICS industries. This allowed optimization of the probabilities of selection within each industry, which improves the representativeness and reliability of the survey estimates. Within each industry, each establishment was initially assigned multiple probabilities. These probabilities were based on the establishment's relative importance within the industry in which it is classified and the set of product classes that it produces, as well as the target reliability constraints defined by the survey manager. For sample selection purposes, the establishment's maximum probability was used to ensure that target reliability constraints were satisfied.

#### **c. Nonresponse**

Unit nonresponse will be handled in estimation by adjusting weighted reported data. The only imputation that is planned for item nonresponse in the 2021 MOPS is for items where the skip pattern precluded the respondent from answering certain questions. While no other imputation of missing data is planned, this is subject to change depending on the results of research using reported data from the 2010 and 2015 MOPS.

#### **d. Estimation Procedure**

Weighted estimates will be produced in which an establishment's tabulation weight will be based on the product of three component weights. The first component weight will be the sample weight for the 2021 ASM mail-out sample. The second component weight will be an industry-level unit nonresponse adjustment factor, which will be based on unweighted establishment counts from the 2021 MOPS and 2021 ASM mail-out sample. The third component weight will be an industry-level calibration factor, which will be based on weighted establishment counts from the 2021 MOPS and 2021 ASM mail-out sample.

### Question 3. Methods to Maximize Response

**a. Follow-up Procedures**

The initial letter (Attachment C) explains the necessity and use of the data, states the respondents’ authentication code, and provides the website where the respondent can report online and access the current year questionnaire (Attachment B). The 2021 MOPS will be an all electronic collection. Beginning with this 2021 collection, paper forms have been eliminated from the initial and follow-up mailings, and respondents are instructed to provide data electronically.

A due date reminder (Attachment D) will be mailed approximately two weeks before the survey is due and emailed approximately one week before the survey is due. The MOPS utilizes two follow-up mailings (Attachments E and F) and two follow-up e-mail reminders for delinquent cases. The planned schedule for the respondent contacts is as follows:

| <b>Initial mail out</b>        | May 2022    |
|--------------------------------|-------------|
| <b>Due date reminder</b>       | May 2022    |
| <b>Due date</b>                | June 2022   |
| <b>First mail follow-up</b>    | June 2022   |
| <b>First e-mail follow-up</b>  | July 2022   |
| <b>Second mail follow-up</b>   | August 2022 |
| <b>Second e-mail follow-up</b> | August 2022 |

Firms are given at least 30 business days to respond to the initial mailing and are given extension dates upon request. The Census Bureau also provides a telephone number for assistance with any questions or concerns about the survey.

The Census Bureau prioritizes providing quality customer service to respondents to maximize response. With the Respondent Portal, respondents can communicate more easily with Census Bureau staff. From within the portal, they can send secure messages directly to survey representatives. The Census Bureau staff also assists respondents by walking them through the reporting instrument if necessary, explaining specific items, granting extensions, and helping with access and any technical issues.

**b. Reliability**

The estimates developed from the survey are apt to differ somewhat from the results of a complete enumeration of the sampling frame conducted under the same conditions as the sample survey. This sampling error occurs because characteristics differ among sampling units in the population and only a subset of the population is measured in a sample

survey. The sample used in this survey is one of a large number of samples of the same size that could have been selected using the same sample design. We will provide estimates of the magnitude of the sampling errors -- the differences between the estimates obtained and the results theoretically obtained from a comparable enumeration of the sampling frame -- by the standard errors of the estimates that will be published with the corresponding estimates.

#### Question 4. Tests of Procedures or Methods

As part of the Census Bureau's statistical quality standards, the content for the MOPS has undergone cognitive testing. The final content can be seen in Attachment B. The Census Bureau interviewed respondents to help ensure that the survey questions support a balance between collecting high quality data and minimizing respondent burden. This testing was conducted in early 2021 during two separate rounds with respondents who were representative of various sized businesses and held various position titles. The MOPS content was tested with 36 respondents, 18 in each round, across numerous states. The findings helped the Census Bureau incorporate industry-tested terminology, provide examples and instruct respondents as needed, order and word questions, improve skip patterns, split large matrices and complicated questions into smaller, simpler questions, reduce the number of categories within questions, and combine and delete questions.

After the Census Bureau creates the initial electronic MOPS collection instrument, the Census Bureau will conduct usability testing on the electronic instrument in early 2022 to ensure the electronic interface is effective and efficient.

Additionally, procedures in every phase of the MOPS production will be tested – from mailout and data capture to editing and publication.

#### Question 5. Contacts for Statistical Aspects and Data Collection

Direct questions regarding the planning and implementation of this survey to Marlo Thornton, U.S. Census Bureau, (301) 763-7170 or via email at [Marlo.N.Thornton@census.gov](mailto:Marlo.N.Thornton@census.gov). Questions regarding survey methodology should be directed to Colt Viehdorfer, U.S. Census Bureau, (301) 763-6796 or via email at [Colt.S.Viehdorfer@census.gov](mailto:Colt.S.Viehdorfer@census.gov).

#### **Attachments to the Supporting Statement –**

Attachment A: Letter from NFIB and Census Response

Attachment B: MOPS Questionnaire

Attachment C: Initial Letter to Respondents

Attachment D: Due Date Reminder Letter

Attachment E: Reminder Letter

Attachment F: Second Reminder Letters

Attachment G: Screenshot of Introductory Centurion Screen

Attachment H: Title 13 U.S.C. Relevant Sections