

Supporting Statement for the BE-13  
Survey of New Foreign Direct Investment in the United States  
OMB Control Number 0608-0035

B. Collections of Information Employing Statistical Methods

**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 governmental units, households, or persons) in the universe and the corresponding sample are to be provided in tabular form. The tabulation must also include expected response rates for the collection as a whole. If the collection has been conducted before, provide the actual response rate achieved.**

The potential universe is all U.S. business enterprises, except for certain private funds, in which i) a foreign direct investment in the United States relationship is established, or ii) an existing U.S. affiliate of a foreign parent establishes a new U.S. business enterprise, expands its U.S. operations, or acquires a U.S. business enterprise. These U.S. business enterprises must report on the full BE-13 survey if the cost (or expected cost) of the establishment, expansion, or acquisition exceeds \$3 million. For those that do not meet the \$3 million filing threshold, selected data items must be reported on the BE-13 Claim for Exemption. Based on the number of reports received for 2018 and 2019, BEA expects to receive approximately 2,810 reports from U.S. business enterprises per year which includes 1,460 exemption claims. A two-year average of the latest years for which revised estimates are available was used to calculate this count because it could fluctuate each year due to economic conditions that affect the level of investment in U.S. businesses by foreign parents.

Based on the results from BEA's 2018 and 2019 BE-13 data collection, BEA expects that in terms of the cost of the investments nearly the entire universe of data required to be reported by respondents will ultimately be reported. Some of these data, however, will not be reported in time for inclusion in the first (preliminary) published estimates.

**BE-13 Universe and Response Rate**

Estimated number of respondents:	
BE-13A - Acquisition	790
BE-13B - Establishment	150
BE-13D - Expansion	110
BE-13E - Cost Update	300
BE-13 Claim for Exemption	1,460
Total respondents	2,810
Expected response rate (in terms of cost of new investments)	95.0%

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

In this information collection, more detailed data are collected for larger investments above the \$3 million cost threshold. For investments below this threshold statistical methods are employed for the purpose of expanding data reported on BE-13 Claim for Exemption forms to the same level of data reported on other BE-13 forms. Additionally, estimates may also be made to account for nonresponses. The methods are well-established and have been used in previous surveys of foreign direct investment in the United States. For additional information on BEA's estimation methods please see the "[International Economic Accounts: Concepts and Methods](#)" available on BEA's web site.

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

Several steps will be taken to maximize response rates. Based on a variety of sources of information, including databases of mergers, acquisitions, and establishments, and articles appearing on the Internet or in newspapers, periodicals, or other reference publications, BEA identifies potential respondents and sends them a letter to inform them of their reporting obligation. If a response to the letter is not received within 45 days, BEA will send a follow-up letter and, if necessary, contact the potential respondent by telephone to inform them of the reporting requirements.

Any person contacted by BEA must respond in writing by filing either a completed BE-13 form or a valid exemption claim. As stated in B.1. above, BEA expects that, in terms of dollars, nearly the entire universe of data required to be reported by respondents will ultimately be reported, although some of these data will not be reported in time for inclusion in the first (preliminary) published estimate.

The response rates described in B.1., together with the estimation procedures described in B.2., provide information of sufficient accuracy and reliability for the intended purpose.

**4. Describe any tests of procedures or methods to be undertaken. Tests are encouraged as effective means to refine collections, but if ten or more test respondents are involved OMB must give prior approval.**

No tests were conducted (aside from giving respondents the opportunity to comment on proposed changes, as described in A.8., above).

**5. Provide the name and telephone number of individuals consulted on the 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 survey is designed and conducted within BEA by the Direct Transactions and Positions Branch (DTPB) of the Direct Investment Division (DID). For further information, contact Ricardo Limes, Chief, DTPB, via email at Ricardo.Limes@bea.gov or by phone at 301-278-9659. The survey proposal was reviewed and approved by BEA's Source Data Improvement and Evaluation Program (SDIEP). The SDIEP coordinator is Tiffany Burrell, (301) 278-9618.