

Supporting Statement
U.S. Department of Commerce
Bureau of Industry and Security
Generic Clearance for
National Security and Critical Technology Assessments of the U.S. Industrial Base
OMB CONTROL NO. 0694-0119

B. COLLECTIONS OF INFORMATION EMPLOYING STATISTICAL METHODS

Data clearance methods and procedures will vary for collections conducted under this generic clearance. Some of the individual clearances may use statistical methods to select respondents and analyze results. In such cases, BIS will provide OMB with the specific statistical information typically covered by Questions 1 through 5 of this section as a component of the individual information clearance submission or request.

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 activities under this collection may involve the complete census of a particular sector or industry area, as well as representative samples of corresponding supply chains. In some cases, the use of convenience samples or quota samples may be made. In this instance, potential respondents will be selected to cover a range of entities related to specific aspects of the sector or industry being evaluated, as determined by the scope of the individual assessment.

The specific sample planned for each individual collection and the method for soliciting participation will be described fully in each information collection request. Statistically representative methods may be employed to ensure that the sample reflects intended attributes of the population.

The number of entities participating in a given study will vary based on the scope and overall needs addressed by the study.

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.

Data collection methods and procedures may vary between collections and such specifics will be provided as supplemental documents for each information collection request. BIS experts may use a variety of methodologies for these collections; and commercial survey-specific software to automate its collection and analysis of feedback. Sample selection is typically determined in close coordination with BIS partner agencies and working groups and primarily comprises a full sector or supply chain census. Some information collection instruments may involve physical copies, information collection instruments may be electronically disseminated and/or posted on target pages of a BIS website. Telephone scripts, personal interviews, and focus groups may also be used and if applicable, will be provided as a part of the submission.

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.

BIS employs survey compliance staff for each assessments and develops extensive compliance manuals to ensure surveys are fully and accurately completed. Data validation and control methodologies within the survey instrument are employed, in addition to compliance staff reviewing each survey submission for accuracy and completeness. Staff will typically e-mail respondents if questions remain. BIS may use generally accepted survey methods to minimize non-response and may tailor the type, frequency, and nature of solicitation to the sample type, be it university-based, industry, and/or laboratory, for example.

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.

BIS conducts internal reviews, field tests, site visits, and expert review of all survey instruments prior to use. In some cases, BIS may use a subsample as a beta test of a survey instrument. If the number of pretest respondents exceeds nine members of the public, BIS will submit the pretest instruments for OMB review under this generic clearance.

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.

If statistical methods are used, BIS will obtain and provide information about the statisticians involved in the development, design, and analysis of the data to be collected, when appropriate. BIS will provide the name and contact information of the persons consulted on specific information collection requests submitted under this generic clearance.