

Ferrous Metals Surveys

OMB Control Number 1028-0053 (26 forms)

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.**

The canvass forms in this **Information Collection Request** (ICR) are conducted as a complete census. No sampling is performed. The total universe is approximately 1,508 respondents that are business or other for-profit institutions (Table 1 below).

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

			PRIVATE SECTOR			
	Form No.	Frequency	Number of Potential Respondents	Potential Responses	Completion Time	Total Potential Burden Hours
1	9-4052-A	Annually	28	28	30 min	14
2	9-4057-A	Annually	108	108	30 min	54
3	9-4060-A	Annually	28	28	30 min	14
4	9-4066-M	Monthly	17	204	30 min	102
5	9-4070-A	Annually	57	57	60 min	57
6	9-4074-A	Annually	38	38	60 min	38
7	9-4080-A	Annually	17	17	60 min	17

8	9-4081-MA	Monthly	51	612	60 min	612
9	9-4081-MA	Annually	33	33	30 min	33
10	9-4082-A	Annually	269	269	30 min	135
11	9-4083-A	Annually	19	19	45 min	14
12	9-4084-M	Monthly	28	336	45 min	252
13	9-4086-MA	Monthly	66	792	30 min	396
14	9-4086-MA	Annually	66	66	30 min	33
15	9-4089-MA	Monthly	30	360	90 min	540
16	9-4089-MA	Annually	93	93	90 min	140
17	9-4091-A	Annually	21	21	30 min	11
18	9-4094-A	Annually	14	14	90 min	21
19	9-4095-A	Annually	192	192	45 min	144
20	9-4098-M	Monthly	64	768	45 min	576
21	9-4100-A	Annually	11	11	90 min	17
22	9-4101-A	Annually	53	53	60 min	53
23	9-4102-A	Annually	45	45	60 min	45
24	9-4103-A	Annually	38	38	60 min	38
25	9-4122-Q	Quarterly	22	88	30 min	44
26	9-4125-A	Annually	26	26	30 min	13
27	9-4128-A	Annually	17	17	60 min	17
28	9-4141-M	Monthly	45	540	20 min	180
29	9-4147-A	Annually	12	12	30 min	6
TOTALS			1,508	4,885		3,616

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

The **U.S. Geological Survey (USGS) Nonferrous Metals Surveys Information Collection (IC)** response rates over the past 3 years range from 41% to 88%. The mean response rate is 65% and the median response rate is 61%. This 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. To have accurate state rankings, it is necessary to canvass all 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 or quarterly basis

to reduce their burden. For those establishments, a monthly or quarterly response is imputed from their annual response. Data are imputed for all non-respondents. Most published statistics are rounded to three significant digits. Estimation procedures for non-respondents are described in item (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.

Mineral commodity specialists or statistical assistants call monthly and quarterly non-respondents or alternative company contacts within two weeks after the initial request for information and annual non-respondents or alternative company contacts on or before the data close-out date.

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** 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 3225-0063) including comprehensive overviews of their business and financial conditions and audited financial statements. This form may also contain production, consumption, 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 retrieves from company Web sites, state-of-the-company annual shareholder reports containing financial data, results of continuing operations, market segment information, new product plans, subsidiary activities, and research and development activities on future programs.

The USGS also works with state agencies to estimate non-response.

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

Industry acceptance of these canvasses continues 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 ICR. 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 IC 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 at <https://mids.er.usgs.gov/Feedback>. 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 process 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 IC, please contact:

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