



EXECUTIVE OFFICE OF THE PRESIDENT  
OFFICE OF MANAGEMENT AND BUDGET  
WASHINGTON, D.C. 20503

ADMINISTRATOR  
OFFICE OF  
INFORMATION AND  
REGULATORY AFFAIR

September 16, 2005

MEMORANDUM FOR CHIEF INFORMATION OFFICERS

FROM: John D. Graham, Ph.D. *JDG*  
Administrator

SUBJECT: Data Call for the FY 2006 Information Collection Budget

This memorandum provides instructions to the Chief Information Officer (CIO) on the preparation and submission of information to the OMB Office of Information and Regulatory Affairs (OIRA) that will be the basis for the Fiscal Year 2006 Information Collection Budget (ICB). This annual report describes the information collection burden imposed by the Federal government on the public, progress of the agencies towards the burden reduction goals set forth in the Paperwork Reduction Act of 1995 (PRA). In prior years, these instructions were issued through an OMB Bulletin.

1. **When are responses to the memorandum due?** Submissions are due to OIRA no later than **Monday, November 21, 2005**.
2. **Who must respond to this memorandum?** The Chief Information Officers from the following agencies must comply with the requirements of this memorandum:

Department of Agriculture  
Department of Commerce  
Department of Defense  
Department of Education  
Department of Energy  
Department of Health and Human Services  
Department of Homeland Security  
Department of Housing and Urban Development  
Department of the Interior  
Department of Justice  
Department of Labor  
Department of State  
Department of Transportation  
Department of the Treasury  
Department of Veterans Affairs  
Environmental Protection Agency  
Federal Acquisition Regulation (FAR Secretariat)

Federal Communications Commission  
Federal Deposit Insurance Corporation  
Federal Energy Regulatory Commission  
Federal Trade Commission  
National Aeronautics and Space Administration  
National Science Foundation  
Nuclear Regulatory Commission  
Securities and Exchange Commission  
Small Business Administration  
Social Security Administration

If your agency is not listed here, you do not need to comply with this memorandum.

3. **What changes has OMB made to this data call since last year?**

The requirements of this memorandum are very similar to last year's bulletin. You should note the following changes.

- OMB is announcing training on the requirements of this Memorandum. See question 9 below.
- In Appendix A, agencies must update their progress on the initiatives identified in FY2005. You do not have to provide new initiatives. However, OMB will schedule, as needed, meetings with agencies in early 2006 to discuss progress on existing initiatives and potential new burden reduction initiatives.
- In Appendix B, we have provided additional instructions about the use of the 'notes' column in the spreadsheet to explain burden changes and new requirements for the submission of exhibits.
- Appendix C has changed to follow other requests for data that OMB has made through the past year in our continued effort to eliminate violations.

4. **How does the ICB fit into OMB's 'zero tolerance' approach to violations of the Paperwork Reduction Act?** The PRA requires that agencies obtain OMB approval for all collections of information. A collection of information without current OMB approval constitutes a violation of the PRA. Each year, OMB is required to report to Congress PRA violations published in the *Information Collection Budget* of the United States.

Over the past several years, OMB has been working closely with agencies to address violations of the PRA. Our goal this year is to eliminate all existing violations of the PRA as soon as possible. Throughout the year, we have been tracking violations for your agency. As part of the ICB process, we will verify the information with you. In addition, you **must** designate any transaction related to a violation, including an expiration, reinstatement, or approval, as a lapse in OMB approval in your response to Appendix B.

5. **How does the ICB fit into OMB's initiatives under the E-Government Act?** The E-Government Act has implications for information collections covered by the Paperwork Reduction Act. While information is collected on this statute through other reporting mechanisms (i.e. the annual E-Gov Act Report), agencies should be cognizant of the E-

Gov Act when preparing their ICB submission and work to coordinate agency efforts under both the PRA and the E-Gov Act.

6. **What must my agency's submission include?** The CIO's office is required to submit the following information:

- a. a detailed description of new agency initiatives to improve information collection in accordance with the instructions in Appendix A;
- b. your agency's comprehensive burden accounting, including aggregate burden totals, program changes broken into several categories, and examples of significant burden changes prepared in accordance with the instructions in Appendix B; and
- c. data regarding your agency's compliance with the information collection provisions of the Paperwork Reduction Act, prepared in accordance with the instructions in Appendix C.

All submissions should be consistent with OMB fiscal and policy guidance.

7. **In what format should the CIO provide this information to OMB?** The information required under this memorandum should be sent electronically to Lorraine Hunt. ([lhunt@omb.eop.gov](mailto:lhunt@omb.eop.gov)). Where the Memorandum asks you to enter information in the tables we provide, you should submit tables in the **same format**.

Please use Microsoft Excel for your submission. **We will not accept files in Microsoft Access.**

8. **Will OMB conduct hearings on my agency's submission?** OMB will schedule, as needed, hearings with an agency on its progress toward burden reductions goals and agency compliance with the Paperwork Reduction Act.

9. **Will OMB conduct training on this memorandum?** OMB has scheduled the following training sessions on this memorandum.

Friday, October 7, 2005, 10am—noon  
Wednesday, October 12, 2005, 1pm—3pm

Both training sessions will be held in the White House Conference Center Truman Room, 726 Jackson Place. Please arrive early to ensure adequate time to pass through security.

10. **Who should I contact for further information?** Questions about specific agency matters should be directed to your agency's Desk Officer within OMB's Office of Information and Regulatory Affairs.

**Questions about this Memorandum should be directed to: David Rostker  
Phone: 202-395-3897. Email: [drostker@omb.eop.gov](mailto:drostker@omb.eop.gov).**

**Questions about PRA Violations and Appendix C should be directed to: Carolyn Lovett. Phone: 202-395-7151. Email: [clovett@omb.eop.gov](mailto:clovett@omb.eop.gov).**

Attachments

### **BURDEN REDUCTION INITIATIVE**

1. **What is the purpose of this Appendix?** In the FY 2005, we asked agencies which generate burdens equal to or in excess of 10 million hours annually to provide OMB with up to three initiatives which will result in a cumulative burden reduction level of approximately 1% of total agency burden. We requested that all other respondents provide a single primary burden reduction initiative.

In the 2005 ICB, we published summaries of agency initiatives that included a listing of the overall burden reduction associated with each initiative, the OMB numbers of affected collections, and an estimate of the amount of the total burden reduction associated with each collection.

This year, we are asking agencies to update their progress on these initiatives.

While we are not asking for new initiatives in this memorandum, we request that you begin planning for new initiatives. We plan to discuss your progress on existing initiatives and your plans for new initiatives in next year's ICB.

2. **What information should I provide to update my Initiative(s)?** We will provide a file to you with the initiative(s) published in FY 2005. You should verify that the initiative summary is correct and revise and update, as appropriate the burden reduction estimation, the OMB numbers of the affected collections, any hurdles to completion, and the status of the initiative. If the initiative has been completed, the expected completion date should contain the date(s) of OMB approval for the affected collections.

### **INFORMATION COLLECTION BUDGET (ICB)**

1. **What is the purpose of this Appendix?** This appendix explains what information you will need to gather from within your agency to develop your Information Collection Budget (ICB) submission for FY 2006 and what you must submit to OMB.
  - a. Part 1 discusses how you should begin working on your ICB submission and offers general ideas we would like you to keep in mind.
  - b. Part 2 describes how to complete a chart which lists all of the transactions that affected your burden totals for FY 2005 and a chart that lists all of the expected transactions which you used to estimate your FY 2006 total burden.
  - c. Part 3 describes how to complete a chart showing the changes in your agency's total burden from FY 2004 to FY 2005, broken down into different kinds of program changes and adjustments.
  - d. Part 4 instructs you to describe a limited number of significant examples of your agency's paperwork reductions and increases for FY 2005 and planned reductions and increases for FY 2006, grouped by how or why the change occurred.
2. **How do I begin working on this portion of the ICB?** The ICB always contains a review of the previous fiscal year (FY 2005) and a look toward the next (FY 2006), with an emphasis on identification of significant changes in burden reduction.

It is important for you to work with the program officials in your agency to verify the information that we send to you and to appropriately classify all the changes in information collection activities in FY 2005. As part of this process, you should make sure that you have a clear understanding of what a significant change is. (See question 13 of this Appendix.) You should also make sure that program officials are working to resolve any outstanding violations.

To provide information for FY2006, it is also important to work with the program officials in your agency to identify all potential changes in information collection activities in FY 2006. Make sure you have, for each change, an OMB number (if assigned), the expected program change and/or expected adjustment for burden hours and costs. You will need this information to estimate your agency's FY 2006 total hour burden.

## Part 2: A Comprehensive Accounting

3. **Is this accounting different than in previous years?** The accounting scheme is not changed. However, we have included additional instructions to ensure that the accounting properly reflects discontinuations made with the new Form 83-D.
  
4. **How will I report information on each transaction?** We will provide to you Microsoft Excel files containing two tables similar to Figure 1. We will complete columns 1, 2, 4, 6, and 7 for you. You will need to complete the rest of the table by dividing net burden changes into program changes due statutory changes or Agency Action. You will also need to indicate the changes that will be identified and described as significant burden changes (See Part 4 of this Appendix). For each transaction, the following information goes in the following columns:
  - a. Columns 1 and 2 present the OMB number and the date of the OMB Notice of Action, respectively. OMB will provide this information.
  - b. In column 3, the change in hour or cost burden due to changes in statutory requirements for each transaction (see question 5);
  - c. In column 4, the change in hour or cost burden due to lapses in OMB approval. OMB will provide this information based on our database on violations- including expirations, reinstatements, and approvals. You must verify this information and make sure it is consistent with the information provided in Appendix C. (See Question 6)
  - d. In column 5, the change in hour or cost burden due to program changes by the agency that were not attributed to statutory changes or lapses in OMB approval. (See Question 7);
  - e. Column 6 will be provided by OMB. The sum of entries in columns 3, 4, and 5 should equal the entry in column 6;
  - f. Column 7 will be provided by OMB, but you should verify the classification of the transaction and change accordingly (See Question 8);
  - g. In Column 8, an “X” should be placed for each “significant burden change” as described in Part 4 of this Appendix. There should not be an X used for any transaction identified in Column 4, Changes due to lapse of OMB approval.
  - h. In column 9, Notes, you **must** include a **concise** statement to indicate **any** changes you make in the information provided by OMB. For example, if you reclassify a transaction from an adjustment to a program change, you should include a note stating “Data misclassified as adjustment.” If you reclassify a transaction from “Due to Lapse of OMB approval” to “Due to Agency Actions”

because the collection was discontinued, you should include a note stating “Collection discontinued”.

[Note: See definition of “significant” in question 13 below. If a program change is greater than 10,000 hours or has a cost change greater than \$10,000,000, and you do not provide an exhibit (i.e., the change is not “significant” as described in question 13), you **must** also provide a concise statement in the Notes section. This will help streamline the review process for both the agencies and OMB.]

FY 2005 CHANGES IN BURDEN HOURS								
OMB #	Date	PROGRAM CHANGES			NET PROGRAM CHANGES	ADJUSTMENTS	EXHIBIT	NOTES
		Due to Statutory Changes	Due to Lapse of OMB Approval	Due to Agency Actions				
TOTAL	<del> </del>	0	0	0	0	0	<del> </del>	<del> </del>
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)
TOTAL	<del> </del>	0	0	0	0	0	<del> </del>	<del> </del>

  

FY 2005 CHANGES IN COST BURDEN (\$,000)								
OMB #	Date	PROGRAM CHANGES			NET PROGRAM CHANGES	ADJUSTMENTS	EXHIBIT	NOTES
		Due to Statutory Changes	Due to Lapse of OMB Approval	Due to Agency Actions				
TOTAL	<del> </del>	0	0	0	0	0	<del> </del>	<del> </del>
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)
TOTAL	<del> </del>	0	0	0	0	0	<del> </del>	<del> </del>

FIGURE 1

You should total columns 3 through 7 and enter the total at the bottom of each column

**Note: Cost burden is reported in thousands of dollars, just as in the OMB computer tracking system and on the OMB Form 83-I.**

5. **When can we attribute a program change to a new statutory requirement?** You should only attribute a program change to a new statutory requirement when the information collection directly related to a statute enacted within the last five years (i.e. after January 1, 2001). This should not include increases in burden due to long-standing statutory mandates or recurring statutory requirements. You may, however, include changes if this is the first time your agency is implementing a statute that has been law for many years. Please consult your OIRA desk officer if you are uncertain
6. **What changes in burden should be listed under lapses of OMB approval?**



This column should contain any change in burden that occurred when:

- a. your agency allowed an OMB approval for a collection to expire even though your agency continued to conduct or sponsor the collection; or
- b. OMB approved a collection that your agency has been conducting or sponsoring without prior OMB approval.

Your response to this section **must** include **all** transactions – expirations, reinstatements, or approvals – related to the violations reported to OMB in Appendix C.

Do not include collections that your agency has discontinued and for which OMB approval has expired. These changes should be listed as changes due to other agency actions.

**7. What changes in burden should be listed as changes due to other agency actions?**

Under this category, you should list any other program changes that do not result from statutory obligation or a lapse in OMB approval. For example, if you eliminated a form or streamlined an information collection, the reduction should be listed as due to other agency actions.

This category should also include intentional expirations and discontinued collections. For example, if you allowed a collection to expire or discontinued a collection because a program has been completed (e.g. a one time survey), the transaction should be listed as due to other agency actions.

If you filed an 83-D and received a notice of action, the information will be provided in this column. Please verify the information.

This category may include reinstatements, but only if the reinstatements are not related to violations.

**8. What changes in burden should be counted as adjustments?** Adjustments are changes that do not affect the content of the information your agency collects or how it is collected. These changes may be due to factors over which your agency has no control such as population growth or economic expansion.

**Example:** If burden increased because your agency took an action to collect information from a new segment of the economy, you should classify it as a **program change**. If, instead, burden went up because more businesses entered a segment of the economy from which your agency already collected information, you should classify it as an **adjustment**.

**Example:** If you reported an increase in burden because your agency changed the way it estimates burden, you should classify it as an **adjustment**.

- 9. How do I report to OMB transactions that we expect will affect burden during FY2006?** You should report every transaction that you expect will affect burden during FY 2006 in two tables in formats similar to Figures 1 and 2, excluding column 2 (Date). Please list expected transactions in order by OMB number. List new collections not yet assigned an OMB number at the bottom of the list with the appropriate four digit prefix. We will provide empty Excel charts to complete along with the information for FY 2005.
- 10. Do I need to provide an entry for every transaction we expect during FY 2006?** No, you only need to provide an entry for transactions that will affect your total burden for FY 2006.

**Part 3: Aggregate Burden Totals**

- 11. How do I report aggregate burden totals for FY 2005?** As part of the Microsoft Excel spreadsheet file that we provide to complete Part 2, we will also provide a table similar to that shown in Figure 2. The spreadsheet you receive will contain links to the totals from the spreadsheet on individual transactions for the Fiscal year (See Part 2, Figure 1, Appendix B). As you complete the spreadsheets for individual transactions, the totals from Columns 3, 4, 5, 6, and 7 of Figure 1, Appendix B will be entered in the fields 3, 4, 5, 6, and 7 of figure 2. You should verify that these links are working correctly prior to submission.

**Under no circumstance should you change Field A of this table.** It contains the total burden we reported for your agency last year.

As part of this process, you must make sure that the FY 2005 Total Burden (Field B) corresponds to the numbers provided to you at the end of the Fiscal Year as part of the monthly inventory of information collections. If there are discrepancies between your agency’s records and our database, you will need to work with your OIRA desk officer to determine the cause of the discrepancy and the appropriate remedy.

- 12. How do I report expected aggregate burden totals for FY 2006?** Again, the information you provide for FY 2006 in Part 2 should be used to complete the corresponding cells in Figure 2. Add the aggregate burden total for FY 2005 to the expected net program change for FY 2006 and the expected net adjustments for FY 2006 to get an expected aggregate burden total for FY 2006.

SUMMARY TABLE OF BURDEN CHANGES		Burden Hours (millions)	Cost Burden (\$,000,000)
<b>FY 2004 Total Burden</b>		A	
	FY 2005 Program Changes Due to New Statutes	3	
	FY 2005 Program Changes Due to Lapses in OMB Approval	4	
	FY 2005 Program Changes Due to Agency Actions	5	
SUBTOTAL: FY 2005 Total Program Changes		6	
FY 2005 Adjustments		7	
<b>FY 2005 Total Burden</b>		B	
	Expected FY 2006 Program Changes Due to New Statutes		
	Expected FY 2006 Program Changes Due to Lapses in OMB Approval		
	Expected FY 2006 Program Changes Due to Agency Actions		
SUBTOTAL: Expected FY 2006 Total Program Changes			
Expected FY 2006 Adjustments			
<b>Expected FY 2006 Total Burden</b>			

Figure

2. Aggregate Burden Totals Table

## Part 4: Exhibits of Significant Burden Changes

13. **What does “significant” mean?** Significant burden reductions are those that demonstrate the agency’s adherence to the principles of the Paperwork Reduction Act and have a meaningful impact on the burden imposed on the public. Significant burden increases are generally those that have attracted attention and/or have a meaningful impact on the public. We request that you limit discussion to program changes of 10,000 hours and/or \$10,000,000 or greater. If you do not provide an exhibit for a program change of 10,000 hours and/or \$10,000,000 or greater, you must provide a concise note, in the Notes section of the spreadsheet (See Figure 1).

**Significant** burden changes **do not** include **adjustments, only program changes**. In addition, please **do not** provide exhibits for the following types of burden changes, **regardless of their burden**:

- Elimination of pilot programs
- Completion of one time surveys
- Changes in burden associated with ongoing cyclical surveys
- Merged collections under a new OMB number where there has been no change in burden

If these burden changes are greater than 10,000 hours and/or \$10,000,000 and are program changes, please use the Notes section of the spreadsheet to identify the type of collection.

14. **What kinds of burden reductions and increases should I describe?** We are splitting information on program changes into several categories. Please assign each change to only one of the following categories. If two or more categories could apply to a single change; select the category that is most appropriate.

- a. Burden reductions should be placed into one of the following six categories.

**Changing Regulations:** reducing information collection burden by revising existing regulations to eliminate unnecessary requirements or by completely changing the way you regulate;

**Cutting Redundancy:** reducing information collection burden by raising reporting thresholds to reduce the number of reports that need to be submitted, cutting the frequency of periodic reporting requirements, consolidating information collections, or working together with other agencies to share information across programs;

**Changing Forms:** reducing burden by simplifying and streamlining forms, making them easier to read and fill out and by making programs easier to apply for;

**Using Information Technology and E-Government:** reducing burden by putting in place electronic systems that can speed the exchange of information between the government and the public and allow respondents to use their own information technology to ease reporting burdens;

**Statutory Reductions:** reducing burden because of recently enacted statutes; and

**Other:** reducing burden through other agency efforts.

- b. Burden increases should be placed into one of the following two categories:

**Statutory Increases:** Increasing burden due to new statutory requirements (see question 6 for more information; and

**Other:** Increasing burden due to other factors.

**15. What information do I need to describe these changes?** At a minimum you will need:

- a. the title of the collection and/or title of the initiative;
- b. a one- or two-sentence description of the purpose of the collection (including from whom you collect the information, what information you collect prior to the change, and, if the collection is not a recordkeeping requirement or a third-party disclosure, how your agency uses the information collected);
- c. a short concise description of what is or was changed, how it affected burden, and whether the change is or was part of a broader agency initiative;
- d. the change in burden (hours and costs, program changes only);
- e. for statutory increases and reductions, the full name of the statute and the public law number; and
- f. whether the changes or initiative reduced paperwork burden on small entities with fewer than 25 employees.

**16. How should I report this information?** This information will be reported in succinct “exhibits.” Please adhere to the following requirements:

- Exhibits will only be accepted in Microsoft Word or WordPerfect format We cannot accept entries in Microsoft Access
- Do not put the entries in a chart or table.
- Each entry should be no more than **100 words**
- Entries should be in plain language. Avoid acronyms, jargon and passive voice.
- Use Times New Roman, 12 point font

For your convenience, we will provide a copy of those entries included in last years ICB for FY 2005. You may use those for this year. However, we ask that you please verify that the information is correct. **Do not change the format of the entries. Exhibits should look exactly like the one provided below:**

Agency: Department of Transportation  
OMB Control Number: 2125-0598

**Title:** Federal Lands Management System  
**Purpose of the Collection:** To provide for the development and implementation of management systems for transportation facilities providing access to Indian lands that are funded under the Federal Lands Highway Program.  
**Why Increase Occurred:** New collection  
**Change in Burden:** 22,300 hours

Please categorize the exhibits and organize them in the following order:

**2005 Changes in Burden**

**Reductions:**

- Change in Regulations
- Cutting Redundancy
- Changing forms
- Using IT
- Statutory Reductions
- Other

**Increases:**

- Statutory Increases
- Other

**2006 Changes in Burden**

**Reductions:**

- Change in Regulations
- Cutting Redundancy
- Changing forms
- Using IT
- Statutory Reductions
- Other

**Increases:**

- Statutory Increases
- Other

17. **May I include more than one example for each category? Do I need to include one example for each category?** You may include more than one example under each category, but you should try to have at least one example for your agency in each category. Do not include any examples more than once. Please try to limit the total number of examples to 15 per fiscal year.
18. **How does this tie in to the charts in Part 2?** For each example, identify the corresponding transaction in the charts for Part 2 by placing an “X” in column 8. If there is a burden change of 10,000 hrs and/or \$10,000,000 or greater and it is not a change due to a violation and you are not providing an exhibit please provide a short note (e.g. elimination of one time survey).

**Compliance with the Paperwork Reduction Act of 1995**

1. **What does Appendix C require?** This appendix explains what you must submit to OMB to report violations of the information collection provisions of the Paperwork Reduction Act (PRA) of 1995 and OMB’s implementing regulations, 5 C.F.R. 1320, over the last fiscal year. OMB is required to report PRA violations to Congress and will report the information you submit in the *Information Collection Budget of the United States, Fiscal Year 2006*.

2. **How do I report this information to OMB?**

a. Create the first table with a column for each of the following items in this order: OMB number; title; date of expiration; date of reinstatement; and date discontinued. List each collection in numerical order by OMB number. If the collection has been reinstated, include the reinstatement date and put a N/A in the date discontinued box. If the collection was discontinued instead of reinstated, include the date it was discontinued and put a N/A in the date of reinstatement box. If the violation is not yet resolved by reinstatement or discontinuation, please provide a brief explanation in the date of reinstatement box. Please refer to the following table as a model for your submission.

OMB Number	Title	Date of Expiration	Date of Reinstatement	Date Discontinued
1000-0001	Please place full title here.	1/31/05	3/22/05	N/A
2000-0002	Please place full title here.	2/28/05	N/A	4/1/05

b. If your agency has zero violations for FY 2005, please include for Appendix C a brief statement that your agency reports zero violations.