December 2, 2003

OMB BULLETIN NO. 04-01

TO THE HEADS OF SELECTED EXECUTIVE DEPARTMENTS AND AGENCIES

SUBJECT: Fiscal Year 2004 Information Collection Budget

1.   **What is the purpose of this bulletin?** This bulletin instructs your Chief Information Officer (CIO) how to prepare and submit information to the OMB Office of Information and Regulatory Affairs (OIRA) that will be the basis for the Fiscal Year 2004 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), and agency activities to improve the public's access to Federal information resources.

2.   **When are responses to the bulletin due?** Submissions are due to OIRA no later than **Friday, January 16, 2004.**

3.   **Who must respond to this bulletin?** The Chief Information Officers from the following agencies must comply with the requirements of this bulletin:

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 bulletin.

4.   **How does the ICB fit into OMB's 'zero tolerance' approach to violations of the Paperwork Reduction Act?** Over the past several years, OMB has been working closely with agencies to address violations of the PRA. Our goal is to have no outstanding violations of the PRA at the time the Information Collection Budget is published. Accordingly, this bulletin requires you to take steps to resolve any existing violations prior to submission of your response. These steps are described in Appendix C.

5.   **How does the ICB fit into OMB's initiatives under the E-Government Act and the Government Paperwork Elimination Act (GPEA)?** These government-wide statutes, the E-Government Act and GPEA, have implications for information collections covered by the Paperwork Reduction Act. While information is collected on these statutes through other reporting mechanism (e.g. the annual E-Gov Act Report), agencies should be cognizant of these statutes when preparing their ICB submission and work to coordinate agency efforts under the PRA, GPEA, and the E-Gov Act.

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

a.   a detailed description of new agency initiatives to improve information collection and a summary progress report on initiatives identified in the FY 2002 and FY 2003 ICBs, 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 bulletin should be sent electronically to Lorraine Hunt (Lorraine_D._Hunt@omb.eop.gov). Please use the following file formats.

   a.   Where this Bulletin instructs you to prepare a table, you should submit the table in one of the following formats, in order of preference:
   i.   Microsoft Excel;
   ii.   Lotus 1-2-3; or
   iii. A dot-delimited ASCII file (a "." separates each cell in a row).

   b.   Otherwise, you should submit the information requested in one of the following formats, in order of preference:
   i.   Microsoft Word; or
   ii.   WordPerfect.

   We will not accept files in Microsoft Access.

8. **What is the legal authority under which OMB is requiring this information?** This bulletin is issued pursuant to the Budget and Accounting Act of 1921, as amended; the Budget and Accounting Procedures Act of 1950, as amended; and the Paperwork Reduction Act of 1995, as amended.

9. **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.

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 Bulletin should be directed to either Alex Hunt, tel. (202) 395-7860, email: ahunt@omb.eop.gov, or Margaret Malanoski, tel. (202) 395-3122, email: mmalanos@omb.eop.gov.

11. **When does this bulletin expire?** This bulletin expires September 30, 2004.

12. **What changes has OMB made to this bulletin since last year?**

   a.   In addition to progress reports on previously identified initiatives, we are asking agencies to propose or identify at least one new initiative to improve program performance by enhancing the efficiency of information collections and reducing burden on small businesses (particularly those with fewer than 25 employees),

farmers, or manufacturers.

b.   Appendix C addresses the need for continued efforts to resolve any outstanding PRA violations.
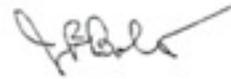
Joshua B. Bolten
Director

Attachments

BURDEN REDUCTION INITIATIVE

1.   **What is the purpose of this Appendix?** In the FY 2003 Information Collection Budget (ICB) we asked agencies to provide summary reports on the progress made over the past year on their initiatives "to improve program performance by enhancing the efficiency of information collections and to reduce paperwork burden on the public." We also asked agencies that had not been included in the FY 2002 ICB to propose or identify initiatives.

This year we are asking agencies to provide summary reports on their progress over the past year on their burden reduction initiatives. Agencies should identify any of these burden reduction initiatives that affect small businesses with fewer than 25 employees.

We are also asking each agency to propose or identify at least one new initiative to improve program performance by enhancing the efficiency of information collections and to reduce paperwork burden on small businesses, farms, or manufacturers.

This appendix also requires a regular progress report on initiatives. These reports should be submitted quarterly, due on the first of the month starting January 1, 2004.

2.   **What is an appropriate initiative in response to this bulletin?** We ask you to identify at least one major initiative to improve program performance by enhancing the efficiency of information collections and to reduce paperwork burden on small businesses, farms, or manufacturers. We seek initiatives that:

a.   Improve program performance by enhancing the efficiency of agency information collections (both within the agency and, in the case of related information collection activities, among agency components or across agencies);

b.   Significantly reduce the burden per response on the public; or

c.   Lead to a comprehensive review of an entire program (both within the agency and, in the case of related information collection activities, among agency components or across agencies), including regulations and procedures.

3.   **What information about these initiatives must we submit?** We ask that your initial submission include the following:

a.   A complete description of the programs that you will be affecting, including statutory and regulatory citations, a description of the affected public, and the agency structure that implements the program (both within the agency and, in the

case of related information collection activities, among agency components or across agencies).

    b.   Measurable objectives you expect to achieve through this initiative.

    c.   Proposed timeline for actions that you will take.

    d.   Perceived difficulties in accomplishing this initiative, including statutory or policy barriers.

4.   **What information should be included in the summary progress reports?** For each initiative identified, we ask that your report include the following:

    a.   title of the initiative;

    b.   a brief description of the initiative, including the programs affected;

    c.   a description of how the initiative improves program performance and reduces burden;

    d.   measurable objectives you have achieved or expect to achieve (i.e., burden change); and

    e.   a description of the current status of the initiative, including an updated timetable and a discussion of any difficulties experienced in accomplishing the initiative.

5.   **How should I report this information?** You should use either Microsoft Word or WordPerfect and follow the format provided below.

Agency:
Initiative Title:
Abstract:
How Performance Improved:
Measurable Objective:
Current Status/Progress Made:

These descriptions should be more detailed than the significant burden changes discussed in Part 4 of Appendix B. Each summary report should be about one page in length.

6.   **What information must we include in the quarterly progress reports?** Quarterly reports on all initiatives are required. They are due on the first of the month starting January 1, 2004. We ask that your quarterly progress report include a status report based on your initial timetable, any new information that will affect your ability to complete the initiative, and, reflecting this progress, an updated timetable.

Note: Once the goals for an initiative have been fully realized, and the agency is no longer

pursuing the initiative, agencies should submit a final summary report and may cease providing progress reports for that initiative.

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 2004 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 prepare a chart which lists all of the transactions that affected your burden totals for FY 2003 and a chart that lists all of the expected transactions which you used to estimate your FY 2004 total burden.

   c.   Part 3 describes how to prepare a chart showing the changes in your agency's total burden from FY 2002 to FY 2004, 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 2003 and planned reductions and increases for FY 2004, grouped by how or why the change occurred.

Part 1: Preparation

2.   **What do I need to know before I start working on the ICB submission?**

    a.   **Burden Reduction Goals:** While the PRA does not specify a statutory burden reduction goal for FY 2003, you still need to make every effort to ensure that your agency will achieve the "maximum practicable" reductions given your agency's statutory and programmatic responsibilities.

    b.   **Categorizing Burden Changes:** We are working to improve the quality of the information you provide to us and we provide to Congress and the public. One way is by breaking down changes from one year to the next. In parts 2 and 3, we ask you to designate changes in burden for each collection as either adjustments and or one of three different kinds of program changes. In part 4, we ask you to break program changes down even further for the purpose of giving greater detail on your agency's most significant burden changes.

    c.   **Dollar Costs:** Many agencies now report paperwork burden in terms of dollar costs, as well as burden hours. For example, the burden of a regulatory recordkeeping requirement is more readily estimated in terms of the dollar cost (e.g., for the space and equipment needed for storage) than time. Similarly, the burden of a third-party disclosure (e.g., the table describing the nutritional content of packaged foods on food containers) is also more readily estimated in terms of cost. (These dollar costs are separate from hour burdens and are not hour burdens that are converted into dollars.) Starting with the 1999 ICB, we reported both the hour and financial burdens of information collections as you reported them in your information collection requests. Thus, when discussing burden, you should include, as appropriate, both burden hours and dollar costs.

3.   **What do I need to do before I start working on the ICB submission?** The first thing you should do, upon receipt of these instructions, is review the monthly inventory of information collections that you receive from OMB. We intend to publish our database's number for September 30, 2003, as the burden total for FY 2003. Therefore, you need to make sure our database records are accurate and consistent with your records. 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. Please pay special attention to the cost estimates. **(Remember the 83-I and our computer tracking system record costs in thousands of dollars, not dollars.)** Submit any corrections to our database to your OIRA desk officer on a Form 83-C with a complete explanation.

4.   **How do I begin working on the ICB?** There are always two parts to the ICB, a review of the previous fiscal year (FY 2003) and a look toward the next (FY 2004).

    Work with the program officials in your agency to identify all potential changes in

information collection activities in FY 2004. 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 2004 total hour burden.

For the most important changes in burden, ask the program officials for the additional information required in Part 4.

Part 2: A Comprehensive Accounting

5. **How is this accounting different than in previous years?** This year's instructions are similar to those contained in the FY 2001, FY 2002, and FY 2003 Bulletins. Specifically, you will need to break out for each transaction the following information:

   a. Net Program Change, which is the sum of:

      i. Change in burden due to new statutory requirements (see below);
      ii. Change in burden due to lapses in OMB approval (see below);
      iii. Change in burden due to other agency actions; and

   b. Adjustment (see below).

   As before, if your agency conducts information collections on a regular basis with a frequency of less than once a year, you should contact your OIRA desk officer to discuss how you should account for these net program changes.

6. **How do I report to OMB all transactions that affected burden during FY 2003?** You should report every transaction that affected hour or cost burden in two tables in formats similar to Figure 1.

   Example: If you received multiple Notices of Action from OMB affecting hour and cost burden for a single OMB number, you should have one line in each table for each notice of action.

   Example: If a collection expired during FY 2003 and was later reinstated in FY 2003, you will list the collection twice for FY 2003, one transaction for the expiration and one transaction for the reinstatement.

7. **What should go in each column?** We will provide to you Microsoft Excel files containing these two tables with columns 1, 2, 6, and 7 completed. (If you are unable to use Microsoft Excel files, please contact your OIRA desk officer for alternate arrangements.) You will need to complete the rest of the table by dividing net burden changes into program changes due statutory changes, lapse of OMB approval, 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.

		PROGRAM CHANGES			NET PROGRAM CHANGES	ADJUSTMENTS	EXHIBIT
OMB #	**Date**	**Due to Statutory Changes**	**Due to Lapse of OMB Approval**	**Due to Agency Actions**			

FY 2003 CHANGES IN BURDEN HOURS

OMB #	Date	Due to Statutory Changes	Due to Lapse of OMB Approval	Due to Agency Actions	NET PROGRAM CHANGES	ADJUSTMENTS	EXHIBIT
(1)	(2)	(3)	(4)	(5)	(6) 0 / 0	(7)	(8)
					0		
					0		
					0		
TOTAL		0	0	0	0	0	

FY 2003 CHANGES IN COST BURDEN ($,000)

OMB #	Date	Due to Statutory Changes	Due to Lapse of OMB Approval	Due to Agency Actions	NET PROGRAM CHANGES	ADJUSTMENTS	EXHIBIT
(1)	(2)	(3)	(4)	(5)	(6) 0 / 0	(7)	(8)
					0		
					0		
					0		
TOTAL		0	0	0	0	0	

Figure 1

b.   In column 3, the change in hour or cost burden due to changes in statutory requirements for each transaction (see question 8);

c.   In column 4, the change in hour or cost burden due to lapses in OMB approval Enter a negative number for expirations and a positive number for new collections or reinstatements of previously approved, discontinued collections. (See question 9);

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 10);

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 11);

g.   In Column 8, an "X" should be placed for each "significant burden change" as described in Part 4 of this Appendix.

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.

8. **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, 1999). 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.

9. **What changes in burden should be listed under lapses of OMB approval?** You should list under this category 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.

    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.

10. **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, these changes may include intentional expirations, reinstatements of previously approved, discontinued collections, and other agency actions that affected burden.

11. **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, that would be a **program change**. If, instead, burden went up because more businesses entered a segment of the economy from which your agency already collected information, that would be an **adjustment**.

    Example: If you reported an increase in burden because your agency changed the way it estimates burden, that would be an **adjustment**.

12. **How do I report to OMB transactions that we expect will affect burden during FY 2004?** You should report every transaction that you expect will affect burden during FY 2004 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 2003.

13. **Do I need to provide an entry for every transaction we expect during FY 2004?** No, you only need to provide an entry for transactions that will affect your total burden for FY 2004.

Part 3: Aggregate Burden Totals

14.   **How do I report aggregate burden totals for FY 2003?** Complete a table similar to that shown in Figure 2, which we will provide as part of the Microsoft Excel spreadsheet file that we provide to complete Part 2. The totals in the tables in Part 2 should be transferred to the appropriate spreadsheet cells. **(The numbers in Figure 2 correspond to the appropriate cells in figure 1 tables.)**

Next, you will check to make sure your totals reflect the change between the FY 2002 and FY 2003 totals. The "9" cells will have the published totals from the *Information Collection Budget of the United States, FY 2003*. The "10" cells will have the totals generated by our database at the end of FY 2003. If cells 9, 6, and 7 do not add up to cell 10, you will need to revisit your charts prepared for Part 2 to ensure that program changes or adjustments listed there were not already included in the FY 2002 total. Otherwise, please discuss any discrepancies with OIRA.

15.   **How do I report expected aggregate burden totals for FY 2004?** Again, use the information you collected for FY 2004 in Part 2 to complete the corresponding cells in Figure 2. Add the aggregate burden total for FY 2003 to the expected net program change for FY 2004 and the expected net adjustments for FY 2004 to get an expected aggregate burden total for FY 2004.

SUMMARY TABLE OF BURDEN CHANGES	Burden Hours (millions)	Cost Burden ($,000,000)
FY 2002 Total Burden	⑨	
FY 2003 Program Changes Due to New Statutes	③	
FY 2003 Program Changes Due to Lapses in OMB Approval	④	
FY 2003 Program Changes Due to Agency Actions	⑤	
SUBTOTAL: FY 2003 Total Program Changes	⑥	
FY 2003 Adjustments	⑦	
FY 2003 Total Burden	⑩	
Expected FY 2004 Program Changes Due to New Statutes		
Expected FY 2004 Program Changes Due to Lapses in OMB Approval		
Expected FY 2004 Program Changes Due to Agency Actions		
SUBTOTAL: Expected FY 2004 Total Program Changes		
Expected FY 2004 Adjustments		
Expected FY 2004 Total Burden		

Figure 2

Part 4: Examples of Significant Burden Changes

16.   **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. **Significant burden changes do not include adjustments, only program changes.** We request that you limit discussion to program changes of 10,000 hours and/or $10,000,000 or greater.

17.   **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.

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

   ii.   **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;

   iii.   **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;

   iv.   **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;

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

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

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

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

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

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

   a.   title of the collection and/or title of the initiative;

b.   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.   what is/was changed, how it affected burden, and if 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 public law number; and

f.   whether the initiative reduced paperwork burden on small entities with fewer than 25 employees.

19.   **How should I report this information?** Use the format below for FY 2003. Repeat for FY 2004. Microsoft Word or WordPerfect are the preferred formats. **We will not accept entries in Micosoft Access.** Each entry should be no more than 100 words and should be in plain language understandable to a member of the public not familiar with your programs. Avoid the use of acronyms or "jargon." **Please use Times New Roman, 12 point, and please do _not_ submit these entries in a table or chart form.**

Reductions:

Changing Regulations

OMB#:
Title:
Purpose of the Collection:
How Reduction Achieved:
Change in Burden:

Cutting Redundancy

OMB#:
Title:
Purpose of the Collection:
How Reduction Achieved:
Change in Burden:

Changing Forms

OMB#:
Title:
Purpose of the Collection:
How Reduction Achieved:
Change in Burden:

Using Information Technology

OMB#:
Title:
Purpose of the Collection:
How Reduction Achieved:
Change in Burden:

Statutory Reductions

OMB#:
Title:
Purpose of the Collection:
How Reduction Achieved:
Change in Burden:

Other

OMB#:
Title:
Purpose of the Collection:
How Reduction Achieved:
Change in Burden:

<u>Increases:</u>

Statutory Increases

OMB#:
Title:
Purpose of the Collection:
Why Increase Occurred:
Change in Burden:
Statute Title and P.L. #:

Other

OMB#:
Title:
Purpose of the Collection:
Why Increase Occurred:
Change in Burden:

20.   **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.

21.   **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.

Compliance with the Information Collection Provisions of the
Paperwork Reduction Act of 1995 and 5 C.F.R. 1320

In the past few years, we have focused considerable attention on resolving violations of the Paperwork Reduction Act (PRA). We have set a goal of having no outstanding violations of the PRA at the time the Information Collection Budget is published. We are already very close to attaining that goal, but need the continued attention and effort of all agencies in order to resolve all violations from FY 2003 and previous fiscal years.

With the issuance of this bulletin, we are again asking agencies to immediately take steps to resolve any existing violations and avoid any future PRA violations.

1.   **What does this Appendix 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 and what actions you have been taking to resolve violations identified in past years and this 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 2004*. See Appendix B of the *Information Collection Budget of the United States, Fiscal Year 2003*.

2.   **What information do I need to collect?** We have compiled three lists for tracking violations in FY 2003 and previous Fiscal Years:

   a.   **List 1** consists of all of the collections in our inventory that have expired *and not been reinstated* during Fiscal Year 2003. In this list, we have indicated whether OMB believes the expiration is a violation and, if so, the status of the agency's efforts to resolve the violation. <u>For this list, please verify the information provided and fill in any missing or incorrect information.</u>

   b.   **List 2** consists of all of the collections in our inventory that expired and were reinstated during FY 2003. In this list, we have indicated the date of expiration and the date of reinstatement. <u>For this list, please tell us if the expiration should be considered a violation or an intentional expiration (during which time the information was not being collected).</u>

   c.   **List 3** consists of all violations listed as "unresolved" in the last Information Collection Budget. In this list, we have indicated OMB's understanding of how and when the violation was remedied or where it is in the process if it has not yet been resolved. <u>For this list, please verify the information provided and fill in any missing or incorrect information.</u>

d. **List of "Bootleg" Collections** In addition to your work on these three lists, you will be providing a list of any collections in existence without an OMB control number (i.e., "bootleg" collections) that were discovered in FY 2003 or discovered in previous fiscal years but not remedied until 2003. To prepare this list, you will need to determine:

  i. why the violation occurred;

  ii. when the violation occurred;

  iii. how the violation was discovered;

  iv. what actions have been or will be taken to remedy the violation; and

  v. when the violation was or will be remedied.

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

  a. For the first three lists, please provide the information in the same Excel spreadsheet format as it was provided to your agency.

  b. For the list of bootleg collections, please create a column for each of the following items in order: OMB number; title; description of the violation; and how discovered and remedied. Again, list each collection in order of OMB number (see Figure 3). Give the four digit prefix under which the collection would have been listed if an OMB number was never assigned.

  Under "description of the violation," give a brief phrase which says what was done wrong. Under "how discovered and remedied," briefly describe how the violation was discovered and what actions are being or were taken to correct the violation. Also in this column, indicate if an information collection request has been submitted to OMB or, if OMB has already taken action, give the action date. If the violation has not yet been submitted to OMB, include the Federal Register citation and date of the 60-day notice. **Note:** if you do not use Microsoft Excel, please use a word processor to create this table. Please refer to the Figure 3 as a model for your submission.

OMB Number	Title	Description of Violation	How Discovered and Remedied
1000-0001	Please place full title here.	Please describe type of violation here (e.g., unapproved collection, modification of an approved form without OMB approval, expiration of ongoing collection, etc.)	Please indicate here the following: how the violation was discovered; if the collection has been submitted to OMB; the OMB action date, if any; and the FR citation and publication date for any unapproved collection not yet approved by OMB.
2000-xxxx	Please place full title here.	See above.	See above.

Figure 3

For each unresolved violation, please send us the citation and date for the 60-day *Federal Register* notice that was published. Failure to publish a *Federal Register* notice for any unresolved violation will be considered an incomplete response to this ICB bulletin. If there is some extenuating circumstance precluding a Federal Register notice prior to submitting your ICB response, you must petition OMB by December 13th for an exemption to this requirement. Please contact Melanie Kadlic at 395-7316 or Melanie_Kadlic@omb.eop.gov to discuss any such information collections.