

# **Managing Information Collection and Dissemination**



**FISCAL YEAR 2002**

**OFFICE OF MANAGEMENT AND BUDGET  
OFFICE OF INFORMATION AND REGULATORY AFFAIRS**

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# Managing Information Collection and Dissemination Fiscal Year 2002

## Table of Contents

Executive Summary		
Chapter 1.	Rationales for Federal Paperwork Burden	5
Chapter 2.	Origins and Development of Federal Paperwork Policy	11
Chapter 3.	Improving the Quality of Information Disseminated by Federal Agencies	23
Chapter 4.	Expanding E-Government	29
Chapter 5.	The Annual Information Collection Budget	47
Appendix A.	OMB's Information Quality Guidelines	57
Appendix B.	Information Collection Budget Table	63
Appendix C.	Significant Paperwork Reductions and Increases	67
Appendix D.	Paperwork Reduction Act Compliance	127
Appendix E.	PRA Violations Memorandum	151
Appendix F.	Examples of Economic Surveys and Censuses Conducted by the U.S. Bureau of the Census	157

## Executive Summary

The Paperwork Reduction Act (PRA) provides a framework for ensuring that all of the Federal Government's information collections satisfy a programmatic need, that the information has practical utility, and that the burden on the public of these activities is curtailed. This report, *Managing Information Collection and Dissemination*, provides a broad view of the PRA, its history, and its implementation by the Office of Management and Budget (OMB) and by Federal agencies.

The Bush Administration, while recognizing the public benefits of information collections, is committed to reducing needless paperwork burdens and other violations of the Paperwork Reduction Act. In describing the Administration's efforts to reform Federal information policy and improve information resources management of the Federal Government – and fulfilling OMB's obligation to report annually to Congress on the PRA – the report offers a number of findings.

- *The paperwork burdens imposed on the public by the Federal Government are substantial.* Due to the vast scope of the Government's information collection and dissemination activities – which reflect the size, diversity, and dynamism of the American economy – the public bears a significant burden in providing information to the Federal agencies. In FY 2001, the public devoted an estimated 7.65 billion “burden hours” responding to all Government requests for information. Roughly 63 percent of this paperwork burden was imposed on businesses, and another five percent affected State, local, and tribal governments, farmers, and other respondents. About 32 percent -- or 2.45 billion hours -- of the burden was imposed on individuals. This translates into almost 24 hours per household in the United States.
- *Despite legislated goals seeking paperwork reduction, actual reporting burden is increasing.* In most years since the PRA was first enacted in 1980, Congress has called on agencies to meet government-wide paperwork burden reduction goals of either five or ten percent. In all but one year, the Government did not meet the statutory goal. In fact, overall paperwork burdens on the public continue to increase each year.
- *Paperwork requirements, though burdensome, are often required by statute or justified by valid programmatic rationales.* In setting burden reduction goals that agencies should aspire to meet, Congress understood that agencies also need to perform their missions, the success of which often depends on information provided by citizens, organizations, businesses, and other entities. Because the PRA calls on agencies and OMB to respect program missions, burden reduction can be achieved only to the extent that it does not interfere with agencies' ability to meet their programmatic responsibilities. These responsibilities often involve the provision of needed public health, safety, consumer, and environmental protections that Americans expect from their Government. They are also frequently the result of laws passed by Congress to address important economic objectives, such as providing tax relief to families and assistance to small businesses and farmers.

- *OMB is encouraging agencies to improve performance and reduce burden.* As part of the development of this year's report, OMB asked agencies to identify at least two initiatives "to improve program performance by enhancing the efficiency of information collections and reducing burden on the public." These initiatives could involve comprehensive reviews of entire programs. To ensure continued progress on these initiatives, we also asked agencies to submit regular progress reports.
- *The number of agency violations of the PRA continues to decline, though more progress is needed.* The agencies contributing to this year's report committed 406 violations of the Paperwork Reduction Act in FY 2001, only 109 of which remained unresolved as of March 12, 2002. Last year, these agencies reported 161 unresolved violations. Although we are reporting fewer unresolved PRA violations than we did last year, there are still too many. Accordingly, last November OMB sent a memorandum to agency chief information officers (CIOs) and general counsels that stressed the importance of full agency compliance with the PRA. OMB requested specific information on the steps CIOs were taking to resolve PRA violations that we reported in the FY 2001 Information Collection Budget. We also asked agencies to describe the procedures that they have instituted to prevent future violations, including monthly reviews of OMB's computer-generated reports and CIO oversight of and participation in programmatic functions.
- *The potential of Electronic Government to advance the goals of the PRA is enormous.* OMB has identified 24 E-Gov Initiatives that will foster improvements in the Federal Government's gathering, use, and dissemination of information. OMB believes that these initiatives have the potential to improve the Federal Government's compliance with the purposes of the PRA, whether through burden reduction or by "maximizing the practical utility of and public benefit from information collected by or for the Federal Government."
- *OMB has launched a new effort to improve the quality of information disseminated by agencies.* Another way in which the public is served by the Government's use of information occurs when agencies provide information to citizens. In 2000, Congress directed OIRA to expand on its existing policy by requiring OIRA to issue guidelines on the quality of the information agencies use and disseminate. The result of this effort, "Guidelines for Ensuring and Maximizing the Quality, Objectivity, Utility, and Integrity of Information Disseminated by Federal Agencies" (Appendix A), is OMB's response not only to the statutory mandate, but to the need to increase the transparency of government decision-making.

Chapter One of this report discusses some of the reasons that agencies need to collect information, either for their own programmatic purposes or on behalf of the public. Chapter Two outlines the history of the PRA and the reasons it has evolved into the statute it is today. Chapter Three discusses the importance of OMB's information quality guidelines. Chapter Four presents a summary of the 24 E-Gov initiatives.

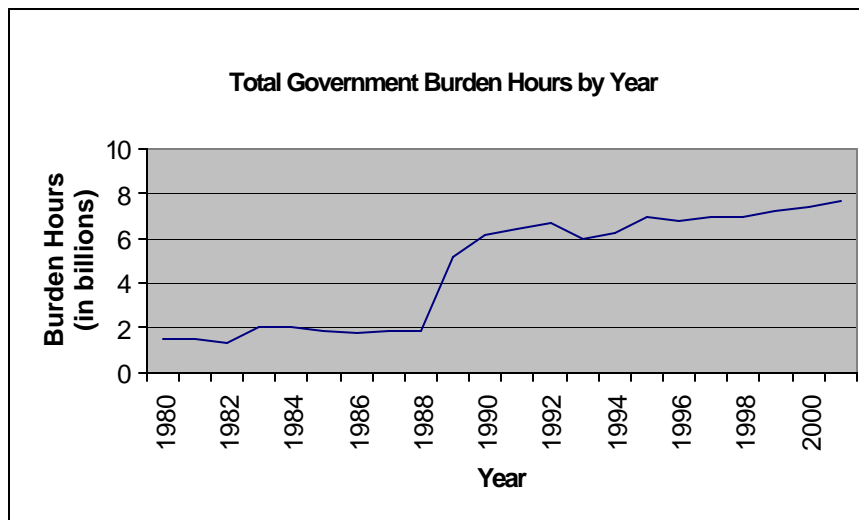
In past years, the annual report to Congress has been called the Information Collection Budget (ICB) of the United States Government. Traditionally, the ICB has discussed agency burden accounting numbers, significant paperwork reductions and increases, and overall

compliance with the PRA. That information plus a description of various agency burden reduction initiatives is presented in Chapter 5 and Appendices B, C, and D.



## Chapter 1. RATIONALES FOR FEDERAL PAPERWORK BURDENS

One of the most common complaints about the Federal Government relates to requirements for individuals, businesses, and organizations to provide seemingly endless amounts of information. And, as a general matter, that impression of a large and growing amount of information collection is historically accurate. Based on the agency estimates of the number of hours spent providing information to the Federal Government (“paperwork burden”) maintained in OMB’s inventory of approved information collections, the total annual burden imposed by Federal agencies is as follows<sup>1</sup>:



As illustrated by the chart above, the paperwork burden has generally increased over time. In 2001, about 7.65 billion hours were consumed responding to or complying with information requirements. Since 1989, only one year (1993) realized a decrease in annual paperwork burden.

Although progress is being made in reducing certain types of unnecessary paperwork, it is important -- given the large magnitude of Federal paperwork burdens -- to recognize why paperwork burdens exist in the first place. The success of a wide variety of Federal programs and regulations depends on access to information that can only be obtained from the public. To carry out all of these responsibilities carefully and effectively, the Federal Government collects and provides information to public and private decision-makers. In this opening chapter, we describe the public-interest rationales for these collections of information and provide real-world examples of how paperwork burdens are serving the public interest.

<sup>1</sup> In 1989, the Internal Revenue Service changed the way it calculated its paperwork burden estimates. That reestimate increased the agency’s paperwork burden estimate by 3.4 billion hours, and nearly tripled the government-wide burden-hour estimate.



## **Planning Government Programs**

In order for public servants to design Federal programs, they need access to information about whether programs are needed, the extent of these needs, and how these needs are changing over time. Without information to support planning activities, government programs may be poorly designed to address public needs or may fail to adapt to the changing needs of the American population. If program planners do not have access to up-to-date information, it is unlikely that planning activities will be responsive to changing circumstances.

For example, statistics on the incidence of poverty in the United States -- including information on how the incidence of poverty is changing over time and in different regions of the country -- is critical to evaluate current initiatives and plan the future design of anti-poverty programs in the United States. In order to obtain information about poverty, it is necessary to place informational burdens on the public regarding the amount of income received and the various sources of that income. The measurements of both “poverty” and “income” are complex and are comprised of various components; thus, the paperwork burdens associated with providing necessary information are time-consuming and often appear somewhat intrusive. Although it may be feasible and appropriate to reduce or mitigate this burden in various ways, some degree of information collection from the public is clearly necessary to define poverty and plan anti-poverty programs.

## **Evaluating Government Programs**

Through the Government Performance and Results Act, Congress has required agencies to define performance measures for their programs. Agencies are also required to provide evidence that their budgetary requests each year have been made with insights from performance measurement. In order to collect information on program performance, agencies are often required to collect data from the public, an information-collection process that can be costly and time consuming.

For example, an important measure of performance for some Federal agencies is citizen satisfaction with the services provided by the agency. In order to measure citizen satisfaction, agencies often commission focus groups or surveys of the public to provide systematic feedback on satisfaction. In the field of health care, for example, measures of patient satisfaction are an important aspect of quality health care and may be relevant to Federal agencies ranging from the Veterans’ Administration to the Department of Health and Human Services. While patient satisfaction is a subjective measure, evaluation of health care also requires information on a wide variety of objective clinical and health outcomes. Collecting this information may require imposition of paperwork requirements on physicians, hospitals and other providers of health care. As long as Federal agencies are active in the delivery, financing or regulation of health care, paperwork burdens will be necessary to evaluate these activities.

## **Providing Basic Statistics to the Public**

Each day citizens, elected officials, businesses and non-profit organizations use basic statistical information that appears in reference books, bulletins and on web sites, often without realizing that this information was provided by the Federal Government and was collected by imposing paperwork burdens. The most well-known and comprehensive Federal collection of statistical information is the Decennial Census.

The Decennial Census provides the only comprehensive portrait of the people living in the United States, Puerto Rico, and the Island Areas. It provides the official population counts that determine how large amounts of Federal funds are allocated. In recent years, for example, official Census data have been used to allocate nearly \$200 billion annually in Federal funds. Many State, local, and tribal programs also rely on Census data. Decennial Census data are used by each State to determine State and local legislative boundaries. At the Federal level, official Census counts determine the allocation to States of seats in the United States House of Representatives and are also used by States to determine boundaries for Congressional seats. These examples illustrate that, while filling out a Census questionnaire may seem burdensome and time-consuming, the resulting official data play a crucial role in the operation of Federal, State, local, and tribal governments.

The Federal Government also sponsors a wide variety of ongoing, specialized statistical data collections that provide useful information for the public. These collections address vital topics such as health, housing, employment, natural resources, energy, environmental quality, highway and vehicle safety, crime, education, agriculture, foreign trade and civil rights. The data from these specialized statistical collections are utilized by policy makers, businesses and citizens interested in these topics. In order to collect valid information on each of these topics, the public bears the burden of responding.

Significant paperwork burdens are imposed on businesses, consumers, workers and investors to collect the basic economic and financial statistics used by agents in the growing American economy. Among the most important economic surveys conducted by the Federal Government are the Economic Census; the Census of Governments; the Manufacturers' Shipments, Inventories, and Orders Survey; the New Residential Construction Survey; and data collected for the U.S. International Trade in Goods and Services Program. Other important economic surveys include the Annual Survey of Manufacturers, the Services Annual Survey, and the Annual Finance Survey. Appendix F of this report provides a brief description of each of these surveys. Although each of these surveys is burdensome for some respondents, there is no question that the resulting information plays an important role in the functioning of the American economy.

## **Application for Government Benefits**

Although filling out application forms can be tedious and frustrating to the public, it is necessary to determine which individuals and organizations are entitled to government benefits. For example, the Federal Government collects information to accurately determine the initial and continued eligibility of applicants and beneficiaries for such programs as Food Stamps, Temporary Assistance for Needy Families (TANF), and the School Lunch Program. The Government collects a constant flow of information to manage the Federal disability and retirement system; the Medicare and Medicaid programs; a variety of agricultural programs that provide farm operating credit, crop insurance, and rural business loans; and loans for small business and physical disaster injury loans authorized in response to the events of September 11th.

An “application for benefits” can also take the form of a request for a license or permit to do something that is regulated or otherwise prohibited, such as the importation of any goods subject to a tariff, the marketing of prescription drugs and medical devices, the broadcast of radio or television programs or the transmission of cable sports programs, and the issuance of patents or trademarks. Similarly, the Federal Government obtains information from employers verifying employment eligibility before it issues a visa or naturalizes an individual as an American citizen.

## **Regulatory and Compliance Reporting**

Perhaps even more burdensome than filling out application forms are Federal Government requests for information to verify compliance with regulatory requirements. For example, businesses and institutions submit environmental reports concerning emissions of air pollutants from industrial facilities, vehicle and engine emissions from manufacturers, hazardous wastes from generators, transporters, and treatment and disposal facilities, oil and hazardous chemical spills from facilities, and constituent levels in drinking water from municipalities. Accredited veterinarians submit health certification information. Surface coal mines provide information on exploration, development, and production plans. Banks provide information on their financial condition, performance, and activities.

The Federal Government also requires individuals and companies to retain certain information for a specified period of time (i.e., a recordkeeping requirement) so that inspectors and other officials can verify compliance with government requirements. The Government also requires individuals and companies to report information to sources other than the Government, i.e., third parties. For example, there is third-party reporting to help tax administration, specifically the filing of the IRS Form W-4 by employees with employers. Employers use the information to determine the correct amount of tax to withhold from the employees’ wages.

In other cases, the Federal Government tries to ensure that people have the information they need to make better decisions, rather than actually regulating their behavior. For example, nutritional labeling on food products is also a form of third-party disclosure. The Government

has requirements for labeling commodities with respect to their identity, their manufacturer or distributor, and the quantity of contents or servings. Similarly, the Government ensures that home buyers, consumers, and investors are informed of the costs of their loans and the nature of the investment opportunities they are considering.

Moreover, the Federal Government imposes paperwork burdens on the public not only when it promulgates regulations that direct or prohibit certain conduct, but also when it undertakes the steps necessary to develop the regulations themselves. Specifically, for many significant rulemakings (and virtually every economically significant regulatory action), Federal agencies rely on information that they have acquired from the public through surveys, data call-ins, and other instruments to identify the nature of the problem to be regulated, and to evaluate the likely impacts of the possible regulatory approaches available to the agency to help solve the problem. This information collection is particularly necessary when an agency prepares a Regulatory Impact Analysis required under Executive Order No. 12866 and risk assessments, which estimate the likely scope and danger of possible health, safety, or environmental risks.

### **Research for Scientific Progress**

The ability to collect a wide variety of information through surveys contributes to much of the research accomplished in our Nation. Collecting information from the public, while seemingly burdensome, provides essential information that is critical to advancing our understanding of the problems faced by our citizens. For example, empirical research on societal and human behavior has contributed to policy and practice in areas ranging from drug abuse to education, health, retirement, and welfare. Similarly, supplementing clinical and biomedical research with empirical investigations of cancer patterns and associated risk behaviors in the population can stimulate prevention and education programs as well as increase our basic knowledge of the causes and effects of this disease. And, while recognizing the paperwork burden that forms and surveys may impose, the collection of agricultural production and marketing data from farmers is key to understanding and addressing issues in the agricultural economy such as genetic engineering and the changing structure of agriculture. These are but a few examples of areas in which the imposition of a paperwork burden facilitates our scientific progress.

### **Tax Returns**

Perhaps the best known and most frustrating paperwork burden is IRS Form 1040, which is used to calculate and declare personal income tax. Taxpayers must both collect and maintain information to determine if the correct amount of taxes, fees and other revenue has been paid and to correct errors that have been identified. It is estimated that the Treasury Department is responsible for 80 percent of all information collection and recordkeeping conducted or required by the Federal Government.

Although tax-related paperwork is burdensome, it is also critical to the revenue flows of the Federal Government. In total, the Treasury Department collects roughly \$2 trillion each year in revenue from various taxes and fees. This figure includes revenues from individual and business income taxes, tariff duties, user fees, excise taxes, registration fees, license fees and

other assessments. Paperwork burdens are an integral part of any revenue-collection process that is linked to income or transactions.

## **Conclusion**

The Federal Government, through its many programs, regulations, and revenue-generating activities, imposes significant paperwork burdens on individuals and organizations of all types. Yet this chapter illustrates a variety of public-interest rationales for paperwork burdens. Thus, efforts to curtail burdensome paperwork requirements must be sensitive to the benefits of governmental activities. To carry out its responsibilities carefully, effectively, fairly and efficiently, the Federal Government needs access to information – lots of information.

## Chapter 2. ORIGINS AND DEVELOPMENT OF FEDERAL PAPERWORK POLICY

As described in Chapter 1, the Federal Government requires information to serve a wide variety of purposes. But, the collection of information is costly and time-consuming for the public. Thus, the Federal Government has developed a formal process to oversee the collection of information. In this chapter, we describe the evolution of that process, including its current state and the requirement that OMB publish an annual information collection budget.<sup>2</sup>

Under the Paperwork Reduction Act, OMB must review and act on — generally approving or disapproving — all proposed collections of information conducted or sponsored by Executive branch agencies, including independent regulatory commissions. OMB has been approving or disapproving proposed agency information collections for almost 60 years in accordance with the Paperwork Reduction Act and its predecessor statutes.

### The Federal Reports Act

OMB<sup>3</sup> was first given the authority to approve Federal information collections in the Federal Reports Act (P.L. 77-831), signed into law by President Roosevelt on December 24, 1942. The rationale for enactment of the Federal Reports Act came with the declaration of World War II and the emergence of war agencies concerned with price control, rationing, and material and manpower allocation. As the Senate Small Business Committee later observed:

With the advent of the war, vast quantities of additional facts were needed by the administrative agencies. Almost all the measures adapted to activate the war programs required paper work.

The Government's billions of dollars of war work could not have been accomplished without a tremendous increase in the number of forms. The allocation of materials and manpower, production control, price control, selective service, and many other policies all required the assembly and use of facts which would permit the executive agencies to carry out their duties. In the absence of adequate review and screening devices, business concerns and others were overwhelmed by paper work. It was almost a daily occurrence to receive some new request from Washington. Many of these requests to a greater or lesser degree duplicated each other and many of them showed no evidence of having been carefully considered. (S. Rpt 79-47, part 2).

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<sup>2</sup> This chapter was adapted from Chapter 2 of the *Information Collection Budget of the United States Government: Fiscal Year 1998*.

<sup>3</sup> In 1970, the Bureau of the Budget was designated as OMB. E.O. 11541, July 1, 1970.

The statement of purpose for the Federal Reports Act reflects these concerns:

It is hereby declared to be the policy of the Congress that information which may be needed by the various Federal agencies should be obtained with a minimum burden upon business enterprises (especially small business enterprises) and other persons required to furnish such information, and a minimum cost to the Government, that all unnecessary duplication of efforts in obtaining such information through the use of reports, questionnaires, and other such methods should be eliminated as rapidly as practicable; and that information collected and tabulated by any Federal agency should insofar as is expedient be tabulated in a manner to maximize the usefulness of the information to other Federal agencies and the public.

Responsibility for reviewing and approving agency collections of information was placed in OMB's Division of Statistical Standards, which continued its work into the 1970s:

The forms clearance responsibilities of [this Division] declined sharply after the end of World War II. The necessity for many questionnaires associated with the war effort from agencies such as the Office of Price Administration and the War Production Board was eliminated. This is illustrated by the fact that, in 1943, the first year after the Federal Reports Act was enacted, about 7,500 questionnaires were submitted for review. By the mid-1950s, the forms clearance volume had diminished to a level of 2,500 to 3,000 requests per year ...

After World War II [this Division] encouraged the agencies to establish internal clearance units to sift out unacceptable reporting proposals. \* \* \* In the 1940s [this Division] was concerned with promoting greater use of sampling and other advanced statistical techniques to reduce costs and to improve the quality of data.

At the end of the 1950s, ... the responsibilities of [the OMB Office of Statistical Standards, as the Division had been renamed] included ... [c]ontrol of data collection activities to achieve maximum efficiency and economy in the Government's statistical programs. \* \* \* Throughout the 1960's, the Office of Statistical Standards continued to employ several ... devices [as instruments for coordinating statistical policy]. These included the traditional review of ... data requests under the Federal Reports Act ...<sup>4</sup>

## **The Commission on Federal Paperwork**

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<sup>4</sup> Revolution in United States Government Statistics, 1926-1976, Department of Commerce, October 1978, pp. 151, 153, 155.

By the early 1970s, the Federal Government's growing need for information led to complaints from the public about paperwork burden. A legislative debate began on how to make the Federal Reports Act work more effectively and usefully to reduce burdens on respondents.<sup>5</sup> In 1974, Congress passed P.L. 93-566 to establish the Commission on Federal Paperwork, stating as its concern that "Federal information reporting requirements have placed an unprecedented paperwork burden upon private citizens, recipients of Federal assistance, businesses, governmental contractors, and State and local governments." Three years later, in October 1977, the Commission on Federal Paperwork concluded that the total costs of Federal paperwork were "more than \$100 billion a year, or about \$500 for each person in this country" — \$43 billion for the Federal Government; \$25 to \$32 billion for private industry; \$5 to 9 billion for State and local governments; \$8.7 billion for individuals; \$350 million for farmers; and \$75 million for labor organizations.<sup>6</sup>

Based on its findings, the Commission made a number of recommendations. Under the category of "Managing Information/Paperwork Resources," the Commission's first general recommendation was that "Executive agencies should establish comprehensive information plans that incorporate all the information needs and resources of the agency." Under the category of "Strengthening the [OMB Paperwork] Clearance Process," the Commission's general recommendations were:

- Congress should remove all exemptions from the clearance requirements of the Federal Reports Act.
- Congress should consolidate the clearance function in a single place, but retain oversight of independent regulatory agency requests.
- Agencies should assume responsibility for 'clearing' forms when they have sufficient expertise to do so and should operate under OMB guidance.

The Commission specifically recommended, "an Executive order requiring all agencies — including those agencies now exempt from the Federal Reports Act — promptly to register their information gathering plans and programs with OMB."<sup>7</sup>

## **The Information Collection Budget**

President Carter responded to the recommendations of the Commission on Federal Paperwork by establishing a new procedure to permit more systematic executive review of

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<sup>5</sup> In 1968, P.L. 90-620 had codified the Federal Reports Act as Chapter 35 in Title 44 of the United States Code. In 1973, Chapter 35 was amended to provide that the General Accounting Office (GAO), rather than OMB, would review the collections of information proposed by the independent Federal regulatory agencies (P.L. 93-153, Sec. 409, adding a new Section 3512 to Title 44).

<sup>6</sup> Final Summary Report, Commission on Federal Paperwork, pg. 5.

<sup>7</sup> Final Summary Report, Commission on Federal Paperwork, pp. 6, 16, 18, 51.



regulatory and other paperwork requirements imposed by agencies. On November 30, 1979, he issued Executive Order 12174, "Paperwork," requiring each agency to establish an annual information collection budget. As he explained in his Message to Congress explaining the new Order:

The Executive Order ... establishes strong management tools for the Executive agencies. First of all, it creates a 'paperwork budget.' Each agency will submit an annual estimate of the number of hours required to fill out all of its forms. The Office of Management and Budget will then hold agencies to that total or order it cut. The process will be similar to the spending budget; it will give agencies incentives to set priorities and to eliminate or streamline burdensome forms.<sup>8</sup>

Following up on this Executive Order, OMB issued a proposed regulation on January 11, 1980, to guide agency implementation of Executive Order 12174 (and provide additional detail on how to prepare the annual information collection budget).<sup>9</sup> Five months later, on June 19, 1980, OMB issued Bulletin 80-11, "Fiscal Year 1981 Information Collection Budget Request," which instructed Federal agencies on how to prepare paperwork budgets for FY 1981 and submit them to OMB "for review and possible modification and revision."<sup>10</sup>

## **The Paperwork Reduction Act of 1980**

President Carter and OMB were not alone in responding to the 1977 recommendations of the Commission on Federal Paperwork. Six months after OMB issued its Bulletin instructing agencies how to prepare the 1981 Information Collection Budget, Congress passed and President Carter signed into law the Paperwork Reduction Act of 1980 (P.L. 96-511, the 1980 PRA), which took effect on April 1, 1981. The 1980 PRA strengthened OMB's paperwork oversight responsibilities in a number of ways.

First, as recommended by the Commission on Federal Paperwork, the 1980 PRA expanded the scope of OMB review. The 1980 PRA eliminated all of the original agency

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<sup>8</sup> 44 FR 69609, December 4, 1979. Section 1-104 of the Order states: "Each agency shall prepare an annual paperwork budget, i.e., an estimate of the total number of hours required to comply with requests for information. The budget should itemize each form used, describe its purpose and identify those affected by it. The Director of the Office of Management and Budget shall review and may modify each agency's proposed budget. After the Director has approved an agency's paperwork budget, it may be increased only by the Director upon request of the head of the agency."

<sup>9</sup> 45 FR 2586. OMB also sought, consistent with Executive Order 12174, to clarify the applicability of the Federal Reports Act to agency rulemaking. Proposed Section 1320.22(a) specifically provided "that provisions of regulation that involve information collections may not be issued as final or otherwise implemented" until they obtain OMB approval.

<sup>10</sup> As recommended by the Commission and as provided in Executive Order 12174, this Bulletin applied to two of the agencies exempt from OMB review under the Federal Reports Act, the Department of the Treasury (including the Internal Revenue Service) and the Federal Energy Regulatory Commission, an independent regulatory agency.

exemptions from the Federal Reports Act, making subject to OMB review the regulatory paperwork of the Internal Revenue Service, bank regulatory agencies, and independent regulatory commissions (subject to an override of an OMB disapproval by a majority vote of the commission members). It also restored the OMB Director as the single point of authority for approving or disapproving Federal collections of information from the public, superseding the clearance functions of the General Accounting Office and the Department of Health, Education, and Welfare. Congress specifically required that OMB review and approve the regulatory paperwork of Federal agencies,<sup>11</sup> included recordkeeping requirements, and made clear that the Act applied to much more than statistical compilations of general public interest.

Second, the 1980 PRA suggested that the “top down” approach of the Federal Reports Act should be blended with a “bottom up” approach stressing the responsibility of the Federal agencies themselves to oversee and manage their activities involving collection of information from the public. As stated in the report of the House Committee on Government Operations, “[the 1980 PRA] clarifies the agencies’ responsibilities by requiring agencies to eliminate duplication, minimize burden, and develop plans for tabulating data before they request OMB approval of proposed information requirements” (H. Rpt. 96-835, p. 19). As explained in the report of the Senate Committee on Government Operations,

[E]ach agency head is to appoint a highly ranking official who is to ensure that the agency carries out effectively its information activities. The Committee’s intent is to establish an identifiable line of accountability for information management activities between the [OMB] Director and individual agencies and within agencies. Not only will this structure enable agencies to better manage their information resources, it enables Congress to pinpoint responsibility for information activities in any legislative oversight activities. For example, senior officials will be responsible for explaining how the related functions of information policy are integrated within an agency to manage information resources more efficiently and to minimize the information burden on the public (S. Rpt. 96-930, p.6).

In other words, it became more explicit that it was each agency’s responsibility to balance its need for a proposed data collection or other paperwork, and the practical utility of the information it might receive,<sup>12</sup> against the burden imposed on respondents and the costs involved.

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<sup>11</sup> 44 U.S.C. 3504(h) (1980 PRA). See remarks by Senator Edward Kennedy, 126 Cong. Rec. S14689 (November 19, 1980).

<sup>12</sup> The 1980 PRA codified the concept of “practical utility” as a specific element in establishing agency need. 44 U.S.C. 3502(15) and 3508 (1980 PRA). This concept had been adopted by OMB in its February 10, 1976, Revision to Attachment A to OMB Circular No. A-40:

“Practical utility (as distinguished from potential utility) also includes the ability of the agency to use the information received. Particular care will be exercised by agencies to insure that, need for information notwithstanding, there are no limitations in staff, in capability to process the information in a timely and useful fashion, or other constraints on the likely use of the information.” (page 5)

Third, the 1980 PRA established an opportunity for the public to make known its views concerning Federal data collection activities. Specifically, it required that agencies justify each proposed regulatory or other paperwork in writing and make their justification available for all to see. To facilitate this, the 1980 PRA required that agencies publish notices in the Federal Register when submitting a clearance request to OMB.

Fourth, the 1980 PRA codified the Information Collection Budget process begun by President Carter, requiring OMB to send to Congress each year a report that included “an analysis by agency ... describing the estimated reporting hours required of persons” by Federal collections of information and “a summary of accomplishments and planned initiatives to reduce burdens” of these collections.<sup>13</sup> With this statutory authority, OMB developed, and continues to use, the Information Collection Budget as a tool for eliminating needless reporting requirements, cutting duplication, streamlining forms, and facilitating comprehensive executive review of agency information collection efforts.

### **Publishing the Information Collection Budget**

After the 1980 PRA was enacted, but before it took effect, OMB published the first “Information Collection Budget of the United States Government, Fiscal Year 1981.” This 1981 Information Collection Budget (1981 ICB) called, in aggregate, for a 4 percent reduction in paperwork burden in FY 1981.

The OMB Director, in his January 13, 1981, memorandum to President Carter transmitting the 1981 ICB, pointed out that President Carter’s Administration had established an unprecedented planning and budgeting approach to paperwork control that “treats all reporting and recordkeeping requirements imposed by the Federal Government as if they cause an expenditure of funds by the non-federal sector of our economy.” As the 1981 ICB explained,

The ICB represents the Federal Government’s first attempt to establish a budgeting control process for non-fiscal resource allocations. Such allocations cover those Federal Government actions that play a significant role in the Federal fiscal budget. During periods of fiscal restraint Federal agencies rely more heavily on non-budget actions such as regulation and reporting requirements to accomplish their objectives. The ICB evolved from the concerns that Federal agencies have in the past considered the public’s time in responding to Government requests for information to be a free commodity rather than a critical resource that should be managed, conserved and economized (Introduction, p. 2).

On June 2, 1981, shortly after the Paperwork Reduction Act of 1980 took effect, the OMB Director issued Bulletin 81-20, “Fiscal Year 1982 Information Collection Budget Request.” OMB issued the 1982 ICB in December 1981. This 1982 ICB called, in aggregate, for a 12.8 percent reduction in paperwork burden in FY 1982. As the OMB Director explained

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<sup>13</sup> 44 U.S.C. 3514(a)(3) & (4) (1980 PRA). See S. Rpt. 96-930, p. 54.

in his transmittal letter to the President, the purpose of the 1982 ICB was “to limit the costs to individuals, private organizations, and State and local governments of filling out forms and records for the Federal Government.”

On September 8, 1982, OMB proposed a regulation designed to implement the 1980 PRA.<sup>14</sup> The proposed rule contained a general requirement for an annual ICB.<sup>15</sup> The preamble to this proposed rule explained the need for the ICB. It pointed out that OMB had a statutory obligation to inventory all collections of information and to set agency goals for reduction of burden, to “evaluate progress toward its statutory goals of paperwork burden reduction,” and “report to Congress on estimated burdens of collection of information by agency and by categories within agencies.” It also described the ICB as “a management tool” to help both OMB and the agencies — to enable OMB to carry out its statutory responsibilities and “facilitate each agency’s examination of its aggregate and comparative paperwork burdens upon the public.”<sup>16</sup> The final OMB rule became effective on May 2, 1983.<sup>17</sup>

In 1986, Congress amended the 1980 PRA<sup>18</sup> in a number of ways.<sup>19</sup> The 1986 amendments also set government-wide paperwork burden reduction goals of 5% for FY 1986–1989. The annual ICBs set individual goals for each agency. The aggregate of the individual agency goals for FY 1986 was -3.11%; FY 1987, -1.73%; FY 1988, -3.51%; FY 1989, -0.75%; FY 1990, -0.93%; FY 1991, -0.13%; FY 1992, +0.65%; FY 1993, +0.27%; FY 1994, +0.54%; and FY 1995, +0.61%. In amending its implementing rule to reflect these 1986 amendments, OMB retained the requirement for an annual ICB.<sup>20</sup>

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<sup>14</sup> 47 FR 39515, 39516, September 8, 1982. This proposal sought to provide OMB oversight of paperwork “over the entirety of the federal paperwork burden, regardless of the particular form or mechanism by which it is imposed.” 47 FR 39519.

<sup>15</sup> The 1980 PRA established Government-wide paperwork burden reduction goals of 15% (from enactment through FY 1982), and 10% (for FY 1983). The annual ICBs set individual goals for each agency. The aggregate of the individual agency goals for FY 1981 was -4%; FY 1982, -12.8%; FY 1983, -8.4%; FY 1984, -6.5%; and FY 1985, -3.3%.

<sup>16</sup> 47 FR 39521. Proposed 5 CFR 1320.10, 47 FR 39527.

<sup>17</sup> 5 CFR 1320, 48 FR 13666 (March 31, 1983). This regulation — the first that OMB had issued to have agencies implement the paperwork clearance process — did much more than establish the annual ICB. 5 CFR 1320.10, 48 FR 13693. This regulation set forth the comprehensive scope of OMB review authority provided by the 1980 PRA, explicitly providing for OMB review of regulatory paperwork, labeling and disclosure requirements, agency audit guides, and requests for proposal or other procurement requirements.

<sup>18</sup> The Paperwork Reduction Reauthorization Act of 1986, P.L. 99-500 (October 18, 1986) and P.L. 99-591 (October 30, 1986), section 101(m).

<sup>19</sup> The 1986 amendments clarified the broad scope of the statute, increased the information the public was to receive in *Federal Register* notices concerning the OMB paperwork clearance process, and stressed the importance at the agencies of coordinated information resources management. Specifically, the 1986 amendment redefined “information collection request” in section 3502(11) (1980 PRA) to include a “collection of information requirement.”

<sup>20</sup> 5 CFR 1320.10, 53 FR 16618, 16627 (May 10, 1988).

## The Paperwork Reduction Act of 1995

In 1995, Congress amended the 1980 PRA in the Paperwork Reduction Act of 1995 (P.L. 104-13, the 1995 PRA). This revision of the Paperwork Reduction Act had a number of stated purposes, including:

- To clarify that the Act “applies to all Government-sponsored collections of information (including disclosure requirements), eliminating any confusion over the coverage of third-party paperwork burdens.”<sup>21</sup>
- To “[r]eaffirm the fundamental purpose of the [1980 PRA] — to minimize the Federal paperwork burdens imposed on the public by Government.”
- To “[e]mphasize the fundamental responsibilities of each Federal agency to minimize paperwork burdens and foster paperwork reduction, by requiring a thorough review of each proposed collection of information for need and practical utility, the Act’s fundamental standards, agency planning to maximize the use of information already available within Government or already collected by the public, and improved opportunity for public comment on a proposed paperwork requirement.”
- To “[s]eek to reduce the paperwork burdens imposed on the public through better implementation of the annual government-wide paperwork reduction goal of 5 percent.”<sup>22</sup>

The legislation passed the House by a vote of 418-0, and the Senate by a vote of 99-0. President Clinton signed the 1995 PRA into law on May 22, 1995, stating, “[t]he Paperwork Reduction Act helps us to conquer a mountain of paperwork that is crushing our people and wasting a lot of time.”

As to the paperwork clearance process, the 1995 PRA stressed the responsibility of the Federal agencies to manage Federal paperwork, specifically strengthening the “bottom up”

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<sup>21</sup> S. Rpt. 104-8, p. 1. In 1990, the Supreme Court had limited the reach of OMB’s paperwork clearance authority, ruling that OMB’s authority to review and disapprove agency information collection activities was limited to information collected by the agency, and did not extend to third-party information disclosure requirements. Dole v. United States of America, 49 U.S. 26 (1990). Five years later, Congress superseded that decision.

<sup>22</sup> S. Rpt. 104-8, pp. 1-2. The bill reported by the Senate Committee on Governmental Affairs “set an annual Government-wide goal ... of at least five percent” (amending section 3505). The bill reported by the House Committee on Government Reform and Oversight changed this annual burden reduction goal to “at least 10 percent” (H. Rpt. 104-37). The Conference Report split the difference, setting the annual Government-wide goal at 10 percent for FY 1996 and FY 1997, and 5 percent for the next four fiscal years. The Conference Report noted, “that the Government-wide paperwork reduction goal is calculated on the basis of a ‘baseline’ which is the aggregate paperwork burden imposed during the prior fiscal year. The conferees also noted that individual agency goals negotiated with OIRA [the Office of Information and Regulatory Affairs in OMB] may differ depending on the agency’s potential to reduce the paperwork burden such agency imposes on the public. Goals negotiated with some agencies may substantially exceed the Government-wide goal, while those negotiated with other agencies may be substantially less” (H. Rpt. 104-99, p. 32).

approach initiated in the 1980 PRA. The Chief Information Officer (CIO),<sup>23</sup> an agency official independent of the agency's program office initiating or sponsoring information collection activities, is specifically required to evaluate the need for the information, its estimated burden, the agency's plans for management and use of the information, and whether each proposed collection meets the other requirements of the 1995 PRA.<sup>24</sup> The 1995 PRA also directed agencies to consult with the public on proposed collections of information and certify to OMB that the required procedures have been followed.<sup>25</sup> The OMB implementing rule, consistent with the 1995 PRA,<sup>26</sup> continued the requirement for an annual ICB.<sup>27</sup>

Specifically, the 1995 PRA requires that OMB approve each collection of information by a Federal agency before it can be implemented. Collections of information include (1) requests for information for transmission to the Government, such as application forms and written report forms, (2) recordkeeping requirements, and (3) third-party or public disclosure requirements. Many information collections, recordkeeping requirements, and third-party disclosure requirements are contained in or authorized by regulations as monitoring or enforcement tools, while others appear in written questionnaires and their accompanying instructions. An underlying goal of the 1995 PRA is to minimize the Federal paperwork burden on the public. At the same time, the 1995 PRA recognizes the importance of information to the successful completion of agency missions, and charges OMB with the responsibility of weighing the burdens of the collection on the public against the practical utility it will have for the agency.

In general terms, the CIO in each agency is required to plan for the development of new collections of information and the extension of ongoing collections of information well in advance of sending the proposals to OMB. Advance planning is necessary because agencies need to estimate potential burdens on respondents, seek public comment through 60-day notice in the Federal Register, and thereafter submit their clearance requests to OMB for review and approval. In a paperwork clearance request, the agency needs to demonstrate to OMB that the collection of information is the least burdensome way of obtaining information necessary for the proper performance of its functions, that the collection is not duplicative of others, and that the

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<sup>23</sup> The "senior official" responsible for information resources management (see 44 U.S.C. 3506(a)(2)(A) and 44 U.S.C. 6(c) (1995 PRA)) was redesignated as "Chief Information Officer" in the Information Technology Management Reform Act of 1996, P.L. 104-106, section 5125(a). P.L. 104-106, section 5605(d) also amended 44 U.S.C. 3507(j)(2) (1995 PRA) to authorize emergency approvals of up to 180 days.

<sup>24</sup> 44 U.S.C. 3506(c) (1995 PRA). This responsibility of the CIO included a specific responsibility to consider, for small business, establishment of differing compliance or reporting requirements that take into account the resources available to respondents. 44 U.S.C. 3506(c)(3)(C) (1995 PRA).

<sup>25</sup> 44 U.S.C. 3506(c)(2) and (3) (1995 PRA).

<sup>26</sup> The 1995 PRA set Government-wide paperwork burden reduction goals of 10% for FY 1996 and FY 1997, and 5% for FY 1998–2001. The ICBs for FY 1996–1997 set individual goals for each agency. The aggregate of the individual agency goals for FY 1996 was -0.8%; and FY 1997, -1.8%.

<sup>27</sup> OMB proposed a comprehensive amendment to its regulation implementing the 1995 PRA on June 8, 1995, 60 FR 30438, and issued it in final on August 29, 1995, 60 FR 44978 (with a correction page published on September 5, 1995, (60 FR 46149)).

collection has practical utility. Additionally, the agency is required to certify that a proposed collection of information “reduces to the extent practicable and appropriate the burden” on respondents,<sup>28</sup> including, for small business, local government, and other small entities, the use of the techniques outlined in the Regulatory Flexibility Act.<sup>29</sup>

To alert the public that OMB review has begun, agencies publish a notice in the Federal Register of the agency’s submission to OMB of a request for approval and tell the public how to comment to OMB regarding the request. The public — during OMB’s review and at any other time — is to have full opportunity to make its views known concerning any Federal data collection, both as to its perceived practical utility and the reporting burdens involved.

Under the 1995 PRA, OMB approval for an agency to use each data collection instrument can last a maximum of three years. Approval is evidenced by granting an OMB control number for the information collection instrument.

### **The 1995 Paperwork Reduction Act – Lessons Learned**

When Congress reauthorized the Paperwork Reduction Act in 1995, it reaffirmed the Act’s underlying goal of reducing reporting burdens that the Federal Government imposes on the public while seeking to ensure that the information that the Government collects and uses is of high quality. The 1995 PRA thus provides a framework for ensuring that Federal agencies obtain the information they need to provide services and protections for Americans in the most efficient manner possible.

The 1995 PRA reinforces the central role of the agencies in achieving its objectives, while giving OMB responsibility for overseeing agency PRA compliance. As noted earlier, the 1995 PRA gives agency CIOs principal responsibility for managing agency information resources constructively. The Act also creates agency responsibilities to identify and address issues presented by individual information collections before they submit them to OMB for approval. The agencies follow procedures that include CIO review and coordination of information collections and a process by which they solicit and consider public comment on proposed collections, all before they submit information collection requests to OMB for review.

The Act thus contemplates that agencies would do most of the work of developing information collections -- and revising them as necessary and appropriate -- before OMB reviews their submissions. As a result, agencies address paperwork utility and burden issues and resolve them before submitting their packages to OMB for review. However, the 1995 PRA specifically charges OMB with the responsibility of weighing the burden of an information collection on the public against the practical utility it will have for the agency.

In reviewing the Federal Government’s experience implementing the 1995 PRA, OMB has learned a number of lessons. First, the Government’s reliance on information to provide

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<sup>28</sup> 44 U.S.C. 3506(c)(3)(C).

<sup>29</sup> 5 U.S.C. chapter 6.

services and implement programs has continued to grow. Second, the need for agencies to perform their missions has in turn made it difficult to achieve the PRA's government-wide burden reduction goals. Finally, CIOs have confronted a number of challenges in meeting their PRA management responsibilities.

**The Government's Need for Information Continues to Grow.** As discussed in Chapter 1, the Federal Government provides the American people with a wide array of protections and services. These include investing in education and training, strengthening health care, protecting the environment, ensuring a sound financial system, enforcing safety requirements, promoting useful research, and supporting the American armed forces. To carry out all of these responsibilities carefully and effectively, the Federal Government collects information. As noted above, Federal agencies must also balance their reliance on information - and the associated burden imposed on the public - against the policy objectives they pursue to meet the needs of the American people. For example, to implement fiscally prudent legislative measures that provide education and child tax benefits to working families who pay taxes, as well as other Tax Code changes targeted to improve fairness and promote economic growth, IRS must collect information on tax returns to ensure compliance with the tax collection provisions of the Tax Code. Moreover, new legislative initiatives and amendments to existing laws typically require more - not less - data collection by affected agencies. In addition, even in the absence of legislative changes, agency statutory and program responsibilities can expand over time due to a number of factors beyond the agency's direct control, such as economic growth and the number of people to be served. Since the PRA was first enacted in 1980, the size of the U.S. population has increased by over a quarter and U.S. gross domestic product has more than tripled.

The 1995 PRA, in its core paperwork review provisions, recognizes that for a burden reduction target to be "practicable," the target must be consistent with the ability of agencies to carry out their statutory and program responsibilities. While an underlying goal of the 1995 PRA is to minimize Federal paperwork burden on the public, it also affirms the importance of information to the successful completion of agency missions. Furthermore, the PRA charges OMB with the responsibility of weighing the burdens of information collection on the public against the practical utility the information will have for the agency. Specifically, the 1995 PRA provides that "[b]efore approving a proposed collection of information, the [OMB] Director shall determine whether the collection of information by the agency is necessary for the proper performance of the functions of the agency, including whether the information shall have practical utility."<sup>30</sup> Under this authority, if an agency information collection request meets the practical utility, burden, and other PRA criteria for approval, OMB will approve it in accordance with the PRA, notwithstanding the effect of this approval on burden reduction targets. The 1995 Act does not grant OMB the authority to disapprove a collection of information simply because an approval would cause the agency to exceed the agency's paperwork burden reduction goal stated in the ICB.

**Burden Reduction Goals Continue to be Difficult to Achieve.** To encourage agencies to achieve the fundamental purposes of the PRA, the 1995 Act reinstated a requirement that OMB, in consultation with the agencies, establish "annual agency goals" to reduce paperwork

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<sup>30</sup> 44 U.S.C. 3508.



burden on the public to the “maximum practicable” extent “in each agency.” These goals called for government-wide reductions of paperwork burdens of 10 percent for FY 1996 and FY 1997, and 5 percent for each of the four following years, FY 1998–2001. The goals served to stimulate agency efforts to reduce paperwork burdens and were implemented through the annual process by which OMB and the agencies developed the Information Collection Budget.

Due to a variety of factors, including those discussed above, agencies did not achieve the 1995 PRA’s Governmentwide burden reduction goals.<sup>31</sup> Although this record may be disappointing, it is important to consider the nature and purpose of these goals. The decision to set targets at 5 and 10 percent was not based on an analysis of the amount of burden reduction that agencies could and should achieve. Rather, Congress set goals that agencies should aspire to meet while also performing their missions. Under the PRA, burden reduction can be achieved only to the extent that it does not interfere with agencies’ ability to meet their programmatic responsibilities. This constraint has affected the Government’s historical performance on burden reduction. Since the initial passage of the Paperwork Reduction Act in 1980, the aggregate of the agencies’ annual paperwork burden reduction goals has met the statutorily set government-wide goal in only one year – 1982.

**CIOs Face Challenges in Meeting Their PRA Responsibilities.** In making CIOs accountable for evaluating agencies’ need for information, estimating reporting burdens, and generally overseeing agency plans for the management and use of information, Congress ensures that senior agency management is focused on PRA compliance. Since the passage of the 1995 PRA, however, CIO responsibilities have expanded, largely as a result of increased E-Gov activities. The attention CIOs pay to information technology, in turn, has made it more difficult for CIOs to focus on their PRA responsibilities. While the objectives of agency IT initiatives overlap considerably with those of the PRA – for example, reducing reporting burdens and disseminating information more efficiently – CIO resources are spread over more areas than was the case when the 1995 PRA was enacted.

Moreover, OMB’s process for reviewing agency information collection requests has proven to be labor-intensive for CIOs and their staffs. The PRA clearance process, for example, includes a public notice of a 60-day public comment period and a second notice of a 30-day OMB review. This workload has been exacerbated by the three-year OMB approval cycle. Currently, OIRA reviews roughly 3,000 PRA clearance packages a year, only a quarter of which are first-time requests to collect information. If the current limit on OMB approval time was extended, agencies would process fewer information collections annually. For example, a four-year OMB approval period would reduce the number of annual OMB clearances by about 19 percent.

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<sup>31</sup>The annual ICBs established individual goals for each agency. The aggregate of the individual agency goals for FY 1996 was -0.77%; FY 1997 -1.83%; FY 1998 +0.96%; FY 1999 +2.6%; FY 2000 +2.3%; and FY 2001 +1.1%.

### **Chapter 3. IMPROVING THE QUALITY OF INFORMATION DISSEMINATED BY FEDERAL AGENCIES**

Federal agencies have disseminated information to the public since their inception. Until recently, agencies have dispersed information principally by making paper copies of documents available to the public. In recent years, Federal information dissemination has grown due to the advent of the Internet, which has ushered in a revolution in communications. The Internet has enabled Federal agencies to distribute an ever-increasing amount of information. Congress has strongly encouraged the Executive Branch's distribution efforts in statutes that include particular dissemination activities and in the government-wide dissemination provisions of the Paperwork Reduction Act of 1995 (the PRA).<sup>32</sup> In addition, the Executive Branch's strong support for information distribution is reflected in the dissemination provisions of OMB Circular A-130, "Management of Federal Information Resources."

In December 2000, Congress directed OMB to issue government-wide guidelines to ensure and maximize the quality of information disseminated by Federal agencies. Specifically, Congress directed the Office of Management and Budget (OMB) to issue, by September 30, 2001, government-wide guidelines that "provide policy and procedural guidance to Federal agencies for ensuring and maximizing the quality, objectivity, utility, and integrity of information (including statistical information) disseminated by Federal agencies."<sup>33</sup> These OMB guidelines are to:

- (1) apply to the sharing by Federal agencies of, and access to, information disseminated by Federal agencies; and
- (2) require that each Federal agency to which the guidelines apply—
  - (A) issue guidelines ensuring and maximizing the quality, objectivity, utility, and integrity of information (including statistical information) disseminated by the agency, by not later than 1 year after the date of issuance of the guidelines under subsection (a);
  - (B) establish administrative mechanisms allowing affected persons to seek and obtain correction of information maintained and disseminated by the agency that does not comply with the guidelines issued under subsection (a); and
  - (C) report periodically to the Director—
    - (i) the number and nature of complaints received by the agency regarding the accuracy of information disseminated by the agency; and

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<sup>32</sup> 44 U.S.C. chapter 35.

<sup>33</sup> Section 515 of the Treasury and General Government Appropriations Act for Fiscal Year 2001 (Public Law 106-554; H.R. 5658). For the text of these information quality guidelines, see Appendix A.

(ii) how such complaints were handled by the agency.

### **The Problem of Poor Quality Information**

Even before Congress passed the Information Quality Act<sup>34</sup>, there was substantial evidence that the quality of the information advanced for use by government decision-makers needed to be improved. In the scholarly literature on what is called “science-policy,” there are entire books of case studies demonstrating technical problems with the information collected, used and published by Federal regulatory agencies.

Science is an evolutionary process where the work of one scientist is enhanced by the criticism of others. In addition, the scientific data may be ambiguous, allowing several equally plausible interpretations. Ensuring sufficient quality for information is an organizational challenge motivated by the reality that scientists and analysts are not perfect. Through the Information Quality Act and the OMB guidelines, OIRA will work with Federal agencies to improve the quality of information disseminated by Federal agencies, including disseminations that must convey scientific ambiguity.

### **Principles Underlying OMB’s Guidelines**

In developing the guidelines to implement this legislative provision, OMB recognized that Federal agencies disseminate many types of information in many different ways. Even numerous examples can only begin to describe the breadth of information disseminated by the Federal Government. Agencies disseminate statistical information, such as the aggregated information from the 2000 Census and the monthly and quarterly economic reports issued by the Bureau of Economic Analysis and the Bureau of Labor Statistics. Agencies disseminate information that aids members of the public in their daily activities, such as the National Weather Service’s weather reports and the Federal Aviation Administration’s air travel advisories. Agencies disseminate information that they collect from regulated entities, such as the Environmental Protection Agency’s dissemination of Toxic Release Inventory information. Agencies also disseminate information that they create or obtain in the course of developing regulations, often involving scientific research and economic analysis. Agencies disseminate information when they issue reports and studies. Moreover, agencies provide the public with basic descriptions of agency authorities, activities and programs, along with contact information for the public to interact with and access that information or those services.

Recognizing the wide variety of information that Federal agencies disseminate and the wide variety of dissemination practices that agencies have, OMB developed the guidelines with several principles in mind.

First, OMB designed the guidelines to apply to a wide variety of government-wide dissemination activities, ranging in importance and scope, through each agency’s issuance of guidelines tailored to that agency’s programs, dissemination activities, and information resources

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<sup>34</sup>Section 515 of the Treasury and General Government Appropriations Act for Fiscal Year 2001 (Public Law 106-554; H.R. 5658).

management and administrative practices. OMB has also designed its guidelines to be generic enough to fit all media, whether they are printed, electronic, or other form. OMB has sought to avoid the problems that would be inherent in attempting to develop detailed, prescriptive, “one-size-fits-all” government-wide guidelines that would artificially require different types of dissemination activities to be treated in the same manner.

Second, OMB designed the guidelines so that agencies will meet basic information quality standards. Given the administrative mechanisms required by the legislative provision as well as the standards set forth in the PRA, it is clear that agencies should not disseminate information that does not meet some basic level of quality. OMB recognizes that some government information may need to meet higher or more specific information quality standards than those that would apply to other types of government information. The more important the information, the higher the quality standards to which it should be held. The guidelines recognize, however, that information quality comes at a cost. Accordingly, the agencies should weigh the costs (for example, including costs attributable to agency processing effort, respondent burden, maintenance of needed privacy, and assurances of suitable confidentiality) and the benefits of higher information quality in the development of such information, and the level of quality to which the information disseminated will be held.

Third, OMB designed the guidelines so that agencies can apply them in a common-sense and workable manner. It is important that these guidelines do not impose unnecessary administrative burdens that would inhibit agencies from continuing to take advantage of the Internet and other technologies to disseminate information that can be of great benefit and value to the public. In this regard, OMB encourages agencies to rely, to the extent possible, upon existing agency processes for evaluating information dissemination activities rather than require the creation of new and potentially duplicative or contradictory processes. The primary example of this is that the proposed guidelines recognize that, in accordance with OMB Circular A-130, agencies already have in place well-established information quality standards and administrative mechanisms that allow concerned individuals or organizations to seek and obtain correction of information that is maintained and disseminated by the agency. Under the guidelines, agencies may continue to rely on such administrative mechanisms if they satisfy the standards in the guidelines. Similarly, agencies may rely on their implementation of the Federal Government’s computer security laws (formerly, the Computer Security Act, and now the computer security provisions of the PRA) to establish appropriate security safeguards for ensuring the “integrity” of the information that the agencies disseminate.

In summary, the OMB information quality guidelines apply to Federal agencies subject to the Paperwork Reduction Act. Agencies are directed to develop information resources management procedures for reviewing and substantiating (by documentation or other means selected by the agency) the quality (including the objectivity, utility, and integrity) of information before it is disseminated. In addition, agencies are to establish administrative mechanisms allowing affected persons to seek and obtain, where appropriate, correction of information disseminated by the agency that does not comply with the OMB or agency guidelines. Consistent with the underlying principles described above, these guidelines stress the importance of having agencies apply these standards and develop their administrative mechanisms so they can be implemented in a common-sense and workable manner. Moreover,

agencies should apply these standards flexibly, and in a manner appropriate to the nature and timeliness of the information to be disseminated, and incorporate them into existing agency information resources management and administrative practices.

**Defining Quality.** The legislative provision denotes four substantive terms regarding information disseminated by Federal agencies: quality, utility, objectivity, and integrity. It is not always clear how each substantive term relates -- or how the four terms in aggregate relate -- to the widely divergent types of information that agencies disseminate. The guidelines provide definitions that attempt to establish a clear meaning so that both the agency and the public can readily judge whether a particular type of information to be disseminated does or does not meet these attributes.

In the guidelines, OMB defines “quality” as the encompassing term, of which “utility,” “objectivity,” and “integrity” are the constituents. “Utility” refers to the usefulness of the information to the intended users. “Objectivity” focuses on whether the disseminated information is being presented in an accurate, clear, complete, and unbiased manner, and as a matter of substance, is accurate, reliable, and unbiased. “Integrity” refers to security -- the protection of information from unauthorized access or revision, to ensure that the information is not compromised through corruption or falsification.

OMB recognizes that information quality is costly to achieve and encourages agencies to think of the social value of better information in different contexts. In this regard, the OMB guidelines draw a conceptual distinction between “influential” information and ordinary information and require agencies to subject “influential” information to higher standards of quality -- standards that presumably will be more costly for the agencies, analysts and researchers to achieve. The OMB guidelines also provide agencies ample authority to reject complaints by affected parties that are groundless or that boil down to a difference of opinion.

With several important exceptions and qualifications, the OMB guidelines require that influential information disseminated by agencies be reproducible by qualified third parties. If influential information is to be disseminated without the capability of reproduction, it is subject to some special robustness and transparency requirements. Nonetheless, the guidelines provide agencies a measure of flexibility in the interpretation and implementation of these expectations.

With regard to scientific, financial and statistical information that is likely to impact important public policies -- “influential” information -- the OMB guidelines provide an initial framework for considering the quality of original data. Agencies are in the best position to establish specific quality standards for the generation of original and supporting data, and thus details are left to agency guidelines. In the case of analytical results, the guidelines insist that such results be reproducible by qualified third parties, barring exceptional circumstances.

OMB’s guidelines should be seen as only scratching the surface of a complex area. Consequently, OMB has organized several interagency panels and has encouraged agencies to commission two workshops at the National Research Council, where the issues can be addressed in more depth.

The first workshop on “Ensuring the Quality of Data Disseminated by the Federal Government” was hosted by the Science, Technology, and Law Program of the National Academy of Sciences on March 21-22, 2002. Over three hundred registrants from a wide variety of Federal agencies, non-profit organizations, and private sector firms participated.

The first workshop provided a broad overview of the intent, scope and applicability of the guidelines, and then focused on the administrative procedures for handling complaints and the threshold for determining influential scientific, statistical, and financial information. The second workshop, scheduled for May 30, 2002, will focus on standards of transparency, reproducibility, and peer review for influential information, and risk information regarding human health, safety, and the environment.

**Specific Efforts to Improve the Quality of Agency Information Dissemination** OMB’s efforts to improve the quality of information that agencies disseminate are not limited to the issuance of the information quality guidelines described above. As the occasion arises, OMB also takes steps to encourage agencies to improve the quality of specific kinds of information.

One way that OMB accomplishes this is through sending an agency a “prompt” letter. The purpose of a prompt letter is to suggest an issue that OMB believes is worthy of agency priority. A prompt letter is sent on OMB’s initiative and contains a suggestion for how the agency could improve its regulations or other matters.

Under the PRA, OMB reviews and approves all collections of information conducted by Federal agencies in order to ensure, among other things, that the data collected have practical utility. In furtherance of that PRA responsibility, OMB recently sent a prompt letter urging that an agency improve the quality of the dissemination of a specific category of information. In the letter sent on March 4, 2002, OMB's Office of Information and Regulatory Affairs (OIRA) requested that the Environmental Protection Agency (EPA) enhance its Toxic Release Inventory (TRI), an annual measure of chemical releases by facilities. In sending this letter, OIRA Administrator John D. Graham noted, "TRI data is widely used by communities and companies throughout the country, and has been credited with stimulating, through voluntary actions, a significant reduction in pollution from industrial facilities. The Administration is committed to increasing the utility of this information."

OIRA suggested several ways EPA might improve the dissemination of TRI data<sup>35</sup>:

It recommended that the agency expedite the release of TRI data by making a greater use of electronic reporting. The OIRA Administrator noted, "The

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<sup>35</sup> TRI data are collected under authority of Emergency Planning and Community Right to Know Act of 1986. Additional reporting requirements were included in the Pollution Prevention Act of 1990. Under the TRI program, covered facilities are required to report annually on their release, broken down by environmental media (for example, air, land and water) and waste management activities (for example, treatment and recycling) of over 600 listed toxic chemicals.

For calendar year 1999, the most recent year for which data are currently available, over 22,000 facilities filed 84,000 chemical release reports. These reports are widely used by government agencies, academic researchers, environmental organizations, and members of the public to track the release of toxic chemicals into the environment.

increased use of electronic reporting reduces the quality control burden on the agency and should allow quicker processing of the data for the public's benefit."

In recent years, there has been a considerable lag in the delivery of TRI data. Official TRI numbers for the year 2000 will not be released until this spring -- almost a year after EPA received the data.

OIRA also encouraged EPA to assign a common identification number to each facility, so performance data could be presented for specific facilities. Community organizations have supported this concept in the past.

## Chapter 4. Expanding E-Government

“Simply put, our goal is to make your Government more accessible to all Americans.”

-- President George W. Bush, March 2002

In his February 2002 budget submission to Congress, President Bush outlined a management agenda for making Government more focused on citizens and results, which includes expanding Electronic Government. E-Government uses improved technology, including the tools of the Internet, to make it easy for citizens and businesses to interact with the Government, save taxpayer dollars, and streamline business-to-Government transactions.

The President’s E-Government Strategy, released by the Office of Management and Budget, has identified 24 high-payoff, cross-agency E-Government initiatives to integrate agency operations and information technology investments. These initiatives will eliminate redundant systems and significantly improve the Government’s quality of service for citizens and businesses. This strategy focuses on four citizen-centered groups, each providing opportunities to transform delivery of services.

**Individuals/Citizens: Government-to-Citizens (G2C):** Build easy to find, easy to use, one-stop points-of-service that make it easy for citizens to access high-quality government services.

**Businesses: Government-to-Business (G2B):** Reduce Government’s burden on businesses by eliminating redundant collection of data and better leveraging E-business technologies for communication.

**Intergovernmental: Government-to-Government (G2G):** Make it easier for States and localities to meet reporting requirements and participate as full partners with the Federal Government in citizen services, while enabling better performance measurement, especially for grants. Other levels of government will see significant administrative savings and will be able to improve program delivery because more accurate data is available in a timely fashion.

**Intra-governmental: Internal Efficiency and Effectiveness (IEE):** Make better use of modern technology to reduce costs and improve quality of Federal Government agency administration, by using industry best practices in areas such as supply-chain management, financial management and knowledge management. Agencies will be able to improve effectiveness and efficiency, eliminating delays in processing and improving employee satisfaction and retention.

### **Government to Citizen Portfolio**

#### **EZ Tax Filing** (Agency Managing Partner: Treasury/IRS)

The initiative would make it easier for citizens to file taxes in a Web-enabled environment.



*Value to Citizen:* Citizens will no longer have to pay for basic, automated tax preparation. Refund checks will be delivered sooner, on-line security will be increased and customer service will be improved.

*Value to the Government:* More information is delivered electronically, reducing data errors. A higher percentage of tax forms are filled out correctly, reducing customer follow-up. Call center receives fewer calls, reducing staffing costs.

**GovBenefits (Formally Eligibility Assistance On-line):** (Agency Managing Partner: Department of Labor)

Through a common Internet portal, citizens (with a focus on high-need demographic groups) will have an on-line tool for identifying government benefit programs from which they may be eligible to receive assistance.

*Value to Citizen:* Each citizen attempting to determine benefits eligibility should save approximately 50 minutes by using this service over current services. Citizens can also learn about benefits they were eligible to receive but might not know about.

*Value to the Government:* Customer service calls will be reduced by approximately 750,000 a year, and the Government will save approximately \$4 million a year through eliminating redundancy.

**Recreation One-Stop** (Agency Managing Partner: DOI)

This initiative will build upon "Recreation.gov" and will provide a one-stop, searchable database of recreation areas nationwide, featuring on-line mapping and integrated transactions, including on-line campground reservations and the purchase of recreational passes, maps and other products. The project will include links to recreational opportunities provided by all levels of government.

*Value to Citizen:* A single source of information through a simpler and more user-friendly site will reduce search time and provide better service to citizens. The value of the service will increase through more detailed information and the ability to conduct transactions on-line. Users will be able to find information and conduct transactions at a single site, rather than searching through multiple agency Web sites.

*Value to the Government:* Through reduced duplication, increased sales and employee timesavings, this project should save Federal agencies approximately \$5 million annually in avoided costs.

### **On-line Access for Loans** (Agency Managing Partner: Education)

The On-line Access for Loans initiative allows citizens and businesses to find the loan programs that meet their needs.

*Value to Citizen:* Citizens will have faster, easier access to loan information and transactions.

*Value to the Government:* Employees will save time in managing the loan process.

### **USA Services** (Agency Managing Partner: GSA)

The USA Services initiative will use best practices in customer relationship management to enable citizens to quickly obtain service on-line, while improving responsiveness and consistency across government agencies. This E-Government Strategy will enable citizens to personalize the combination of services they obtain across multiple programs and agencies in a privacy-protected environment.

*Value to Citizen:* More timely and helpful customer service and more consistent customer service across lines of communication and government programs.

*Value to the Government:* Redundancy of operation will be eliminated across agencies and employees will save time operating customer relationship management tools.

### **Government to Business Portfolio**

#### **One-Stop Business Compliance Information** (Agency Managing Partner: SBA)

This initiative would provide information on laws and regulations that can help users understand compliance information. It would also offer wizards and tutorials to help users determine if rules apply to them and how to proceed. To the maximum extent possible, permits would be completed, submitted and approved on-line.

*Value to Citizen:* Currently, the regulatory burden on small business is \$7,000 per employee. The creation of a single, cross-agency, business compliance portal will reduce the regulatory burden on the private sector.

*Value to the Government:* Streamlined business processes and economies of scale would reduce agency costs for achieving business compliance. Government-wide savings of an estimated \$10 to \$20 million could be realized after full implementation. Additional savings would be realized as a result of staff reductions from on-line permitting.

### **On-line Rulemaking Management** (Agency Managing Partner: DOT)

This initiative will provide access to the rulemaking process for citizens anytime, anywhere. An existing “e-Docket” system would be expanded and enhanced to serve as a government-wide system for agency dockets. Other agency systems would use the system by creating “storefronts” consistent with statutory requirements for each agency under the Administrative Procedure Act. Comments would be organized using knowledge management tools to improve the quality of rules.

*Value to Citizen:* A single portal for businesses and citizens to access the rulemaking process, creating a more collaborative and transparent atmosphere in which to make policy and public safety decisions. It will also improve the quality of policy decision-making by increasing citizen and business participation in the rulemaking process. Public participation is estimated to increase by 600 percent.

*Value to the Government:* Elimination of duplicative and redundant systems that currently exist or are being developed. Estimated \$9.75 million in savings from consolidating space and FTE costs for 57 rulemaking agencies. Without a government-wide e-Docket system, the Federal Government will expend nearly \$1 billion in development and annual operational costs.

### **Expanding Electronic Tax Products for Businesses** (Agency Managing Partner: Treasury /IRS)

This initiative’s goals include decreasing the number of tax-related forms that an employer must file, providing timely and accurate tax information to employers, increasing the availability of electronic tax filing and modeling simplified Federal and State tax employment laws.

*Value to Citizen:* Reduce the burden of compliance with tax laws for businesses. Upon implementation, this initiative offers cost savings of up to \$182 per year, per small business. Aggregated, small businesses stand to save up to \$6.4 billion over six years. Benefits to large and mid-sized companies should be greater as they tend to spend considerably more time and effort on tax preparation.

*Value to the Government:* Increases the accuracy and reliability of tax data, while decreasing the costs associated with paper processing. IRS and SSA may save \$16 million annually in staff and printing/ mailing costs. It also reduces the costs to States for processing wage and tax data by 5.6 percent.

### **Federal Asset Sales** (Agency Managing Partner: GSA)

Prospective customers will be able to find assets that they are interested in, regardless of the agency that holds those assets. Customers will be able to bid and/or make purchases electronically for financial, real and disposable assets.

*Value to Citizen:* The creation of a single, easy-to-find point of access, rather than 150 disparate sites, will lower transaction costs and make it easier to do business with the Government.

*Value to the Government:* An estimated \$15 million may be saved by consolidating 150 Federal Web sites. Additional potential cost savings of approximately \$750 million annually associated with the costs of excess building space could be achieved.

### **International Trade Process Streamlining (Agency Managing Partner: DOC)**

The initiative will create a single customer-focused site where new or existing exporters could be assisted electronically through the entire export process. The 20 current Web sites would be organized and accessed through a single entry point.

*Value to Citizen:* The average export transaction by small to medium exporters (SME) is \$400,000. If 224,000 SMEs increase even by a small amount, exports might increase by a billion dollars or more.

*Value to the Government:* Could streamline 19 agencies involved in trade promotion.

### **Consolidated Health Informatics (business case) (Agency Managing Partner: HHS)**

The initiative will provide the basis for a simplified and unified system for sharing and reusing medical record information among government agencies and their private healthcare providers and insurers. It would enable a single mechanism for making those records accessible.

*Value to Citizen:* Reduce private sector healthcare expenditures for administration (accounts for \$57 billion) and improve healthcare for one-half of the population of the United States.

*Value to the Government:* Order of magnitude savings (from days to minutes) are possible in the area of managing, transporting, copying and exchanging paper medical records. Upon full implementation, this initiative could result in savings of up to \$100 million.

### **Government to Government Portfolio**

#### **E-Grants (Agency Managing Partner: HHS)**

This initiative will create an electronic grants portal for grant recipients and the grant-making agencies that will streamline, simplify and provide an electronic option for grants management across the Government. This effort will include the work of the 26 Federal grant-making agencies to implement P.L.106-107.

*Value to Citizen:* A single grant portal will simplify the application process and increase awareness of grant opportunities resulting in a reduction of time spent preparing and searching for grants.

*Value to the Government:* Save \$1 billion in Federal funds currently devoted to the administration of grants. Consolidated Web site will save as much as \$20 million in postage costs.

### **Geospatial Information One-Stop** (Agency Managing Partner: DOI)

The Geospatial Information One-Stop will provide access to the Federal Government's spatial data assets in a single location and help make State and local spatial data assets more accessible. Federal agencies will also make their planned and future spatial data activities available to State and local governments to promote collaboration and reduce duplicative efforts. Data standards developed through an intergovernmental process will result in data that can be used multiple times for multiple purposes, saving taxpayer money. It will also help empower the private sector by communicating the characteristics of a desired standardized data product.

*Value to Citizen:* Standardized and reliable spatial data can help save hundreds of millions of dollars annually through consolidation and coordination of spatial data acquisition and maintenance. It will reduce search time for geospatial assets from weeks to minutes. Lastly, it can help improve and expedite citizen service by making data more readily available to agencies requiring that information to perform their governmental functions.

*Value to the Government:* Full deployment will result in easier, more reliable access to spatial data that should result in hundreds of millions of dollars saved annually by eliminating redundant data collection and increasing opportunities for cost-sharing partnerships. Consolidation and coordination of spatial data assets are critical enablers for other E-Government initiatives, as well as for the Homeland Security effort.

### **Disaster Assistance and Crisis Response** (Agency Managing Partner: FEMA)

This initiative involves a public, one-stop portal containing information from applicable public and private organizations involved in disaster preparedness, response, recovery and mitigation. This portal will also serve as a single point of application for all disaster assistance programs.

*Value to Citizen:* Accurate and timely data may result in saved lives and reduction in property damage. Tens of millions of dollars will be saved in the reduction of insurance costs and lawsuits. A single point of application for disaster assistance will save time during the application and disbursement process.

*Value to the Government:* Elimination of redundant programs and administrative costs in agencies that provide disaster assistance.

**Wireless Public SAFETY Interoperable COMMUNICATIONS/ Project SAFECOM** (Agency Managing Partner: Treasury)

For public safety officials to be effective in their daily responsibilities, as well as before, during and after an emergency event, public safety agencies throughout all levels of government, i.e., Federal, State and local, must be able to communicate with each other. This initiative will address the Nation's critical shortcomings in efforts by public safety agencies to achieve interoperability and eliminate redundant wireless communications infrastructures. At the same time, it would assist State and local interoperability and interoperability between Federal public safety networks.

*Value to Citizen:* Coordinated public safety/law enforcement communication will result in saved lives, as well as better managed disaster response. Consolidated networks will yield cost savings through reduction in communication devices, management overhead of multiple networks, maintenance and training.

*Value to the Government:* Billions of dollars could be saved through a right-sized set of consolidated, interoperable Federal networks, linked to State wireless networks, resulting in a reduction in communications infrastructure, overhead, maintenance and training.

**e-Vital (business case)** (Agency Managing Partner: SSA)

This initiative will expand the existing vital records on-line data exchange efforts between Federal agencies and State governments.

*Value to Citizen:* Eliminates burden imposed on citizens to obtain and delivers vital record information from local government to the Federal Government. Enables more efficient and effective benefit qualification.

*Value to the Government:* Save millions of dollars annually through fraud detection from computer matching programs as well as from reductions in erroneous payments.

**Internal Efficiency and Effectiveness Portfolio**

**e-Training** (Agency Managing Partner: OPM)

This initiative will provide a repository of government-owned courseware to be made available to all governments (Federal, State and local), to provide high interest and government-required training to government employees at economies of scale pricing. In addition, this would foster development of communities of practice. This initiative supports achievement of the President's Human Capital initiative.

*Value to Citizen:* Easy one-stop access to just-in-time training with more effective development and retention of high-quality, diversified work force.

*Value to the Government:* Low-cost delivery of effective training.

### **Recruitment One-Stop** (Agency Managing Partner: OPM)

This initiative will improve the Federal hiring process by improving the functionality of the Federal automated employment information system. It would provide job seekers with streamlined resume submission, on-line feedback about their status in the employment process and integration with automated assessment tools. The initiative will provide Federal employers with a searchable resume database.

*Value to Citizen:* This process will allow job seekers to enter their resume information once to apply for multiple Federal vacancies and to receive up-to-the-minute information regarding the status of their application(s).

*Value to the Government:* This process will give agencies broader and faster access to resumes and the automated tools needed to select candidates. It makes the Government a competitive player with the private sector in the recruitment market.

### **Enterprise HR Integrations Integrated Human Resources and e-Clearance** (Agency Managing Partner: OPM)

This initiative will eliminate the need for paper employee records, enable strategic decisions regarding the use of human capital and financial resources to improve agency performance and address emerging needs. It will also allow for the electronic transfer of HR data throughout the Federal sector, better protect the rights and benefits of the Federal workforce and streamline and improve government-wide reporting and data analyses. It will reduce the time required to seek and access employee and contractor security clearance information.

*Value to Citizen:* Improves services and protects the rights and benefits of the Federal workforce and provides faster security clearances.

*Value to the Government:* Streamlines reporting, reduces dependency on paper-based processes, while improving HR capabilities and communications, all at a lower cost.

### **e- Payroll/HR (Payroll Processing Consolidation)** (Agency Managing Partner: OPM)

This initiative will simplify and unify elements of the Payroll/HR process in order to consolidate and integrate HR and payroll systems across Government. This effort will provide several hundred million dollars of savings to organizations and significantly reduce future information technology (IT) investments and could foster direct privatization. This initiative supports achievement of the five dimensions of the President's Management Agenda.

*Value to Citizen:* A Government that works more efficiently is one that better serves its citizens.

*Value to the Government:* Allows the Federal Government to consolidate payroll operations to simplify and unify processes, thus saving dollars that would be spent on multiple facilities, systems and management.

**e-Travel** (Agency Managing Partner: GSA)

Agencies will use a common travel management system throughout the Federal Government. Existing travel management resources will be consolidated and processes will be simplified for cheaper, more efficient operation.

*Value to Citizen:* One-stop integrated travel services for all Federal employees.

*Value to the Government:* Reduced cycle time and improved travel and budget information at a lower cost.

**Integrated Acquisition Environment** (Agency Managing Partner: GSA)

Agencies will begin sharing common data elements to enable other agencies to make more informed procurement, logistical, payment and performance assessment decisions. It will also allow agencies to make maximum use of E-market approaches.

*Value to Citizen:* Cost savings to the taxpayer based on a more effective process that leverages scale with more supplier opportunities.

*Value to the Government:* Will make the purchase of goods and services faster and less expensive, while providing more access to small business.

**Electronic Records Management** (Agency Managing Partner: NARA)

This initiative will provide the tools that agencies will need to manage their records in electronic form, addressing specific areas of electronic records management where agencies are having major difficulties. This project will provide guidance on electronic records management applicable government-wide and will provide tools for agencies to transfer electronic records to NARA in a variety of data types and formats so that they may be preserved for future use by the Government and citizens.

*Value to Citizen:* Easier process for creating information, with more reliable storage, that is also in compliance with the Federal Records Act .

*Value to the Government:* More efficient operations that meet the statutory requirements of the Federal Records Act.



## **Initiatives That Address Barriers to E-Government Success**

### **e-Authentication** (Agency Managing Partner: GSA (Infrastructure))

e-Authentication will build and enable the mutual trust needed to support widespread use of electronic interactions between the public and Government and across governments. This will establish a method for satisfactorily establishing “identity,” without which the promise of E-Government will never reach its full potential. The project will establish common interoperable authentication solutions for all of the E- Government initiatives.

*Value to Citizen:* Secure, consistent method of proving identity to the Federal Government.

*Value to the Government:* Eliminate redundancy in electronic signature technology and policy operations, thereby reducing costs and employee time required.

### **Federal Architecture** (Agency Managing Partner: OMB)

This activity, which supports all of the initiatives, will map government processes by line of business. It will develop information, data and application interface standards to eliminate redundancies and yield improved operating efficiency and effectiveness.

*Value to Citizen:* Citizens are best served by an efficient and effective Government.

*Value to the Government:* A well architected Federal information system will provide a more efficient and effective Government by eliminating redundancies.

## **Case Studies in Burden Reduction**

The following initiatives have been identified as case studies to showcase how the 24 e-Government initiatives can significantly reduce the burden on citizens and businesses.

### **EZ Tax Filing**

**Each year the IRS receives well over 200 million tax returns and over 1.3 billion information returns (e.g., W-2s, 1098s, 1099s), issues 92 million individual refunds, handles over 108 million taxpayer assistance calls, and collects \$1.9 trillion.**

Each year, the Internal Revenue Service (IRS) receives well over 200 million tax returns. The majority of these transactions are submitted by standard mail, not electronic filing. While electronic filing is easier and can reduce the amount of time taxpayers spend filling out their returns, it requires citizens to purchase commercial software products that cost an average of \$12.50. Thus, the burden on taxpayers who choose electronic filing has not been eliminated; it has simply been shifted from time to cost.

The Federal Government requires the public to file taxes and is responsible for the tax code's complexity, but the Government also must be responsible for making tax filing as easy as possible. EZ File will reduce the burden on taxpayers who choose electronic filing by removing the costs to the public of filing and preparing taxes electronically. Under this initiative, taxpayers will be able to use the Internet to input data on-line and file their taxes quickly and easily. EZ File, an industry partnership, will give most individuals the option to file and prepare his or her tax return online for free.

In addition to removing costs to the public of filing and preparing taxes electronically, EZ File and the resulting movement of paper to electronic filers will reduce IRS and Department of the Treasury processing costs. Existing electronic filing programs for the 1040 tax form family, including the 1040EZ and 1040A, already reduce direct processing labor costs to approximately 4 cents per return – a savings of roughly \$1.20 per return over paper costs.<sup>36</sup> This figure is only a fraction of total process savings. Further transitioning taxpayers to electronic filing will enable the IRS to re-deploy labor resources to customer service activities. In addition, electronic filing is far less prone to error than traditional paper returns -- a benefit to both the public and the Government.

### **GovBenefits (Formally Eligibility Assistance On-line)**

**Over 80 million people receive government benefits through hundreds of Federal domestic assistance programs and federally funded programs managed by State and local governments. Currently, information about these programs is spread across 31 million Federal Government web pages.**

Over 80 million people receive government benefits through hundreds of Federal domestic assistance programs (e.g., Social Security) and federally funded programs managed by State and local governments (e.g., unemployment insurance). Yet, there is no single on-line

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<sup>36</sup> IRS Study Cost of Electronic Filing, March 2000

information source where citizens can go to determine which benefits they are eligible to receive. To obtain benefit information on-line today, citizens must know which agency operates the program they are interested in or face the prospect of navigating through a maze of government websites to obtain the information they need.

GovBenefits will provide potential beneficiaries, local aid providers, and others instant access to eligibility information for all government benefit programs and services through a single website, GovBenefits.gov. The initial site release, scheduled for April 2002, will provide descriptions and contact information for specific Federal benefit programs. GovBenefits.gov users will also be able to access an easy-to-use on-line screening tool to determine their eligibility for a range of government programs by answering basic questions about items such as age, income, marital or employment status.

Future releases will gradually include all government benefit programs. Further enhancements will include site features that move beyond benefits search and information distribution to enable individuals to apply for benefits on-line. Another feature being contemplated is giving interested persons the ability to create personalized profiles through which they can review the status of applications and claims, and receive important information about benefit program developments.

GovBenefits will slash the time and frustration individuals now must devote to seeking the information they need about government benefit programs. It will also create a direct link between beneficiaries and specific programs of interest, which will increase citizen satisfaction and improve benefit service delivery. Additionally, GovBenefits will improve the ability of government agencies to assess program performance and penetration into targeted population groups and pinpoint duplicative or redundant services, which will create new opportunities for more efficient resource allocation.

## **One-Stop Business Compliance Information**

American businesses, particularly small businesses, must comply with numerous Federal, State, and local laws and regulations. According to the Small Business Administration (SBA), the average "highly regulated" business (e.g., restaurants, gas stations, dry cleaners) needs to apply for, and receive, an average of 10 to 15 licenses and permits. Determining which laws and regulations apply -- and submitting the appropriate information to ensure compliance -- can be difficult, time-consuming, and ultimately very costly for businesses of every size. Complying with laws and regulations costs small firms nearly half a trillion dollars, or \$7,000 per employee in firms with fewer than 20 employees, according to the SBA.

Business Compliance One-Stop will help businesses by creating a one-stop point of service web portal where they can easily access information about laws and regulations. The site, which will initially focus on four areas (environment, workplace health and safety, employment, and taxes) will provide businesses with the following:

- *Information about Laws and Regulations.* Businesses will be able to easily get information about the Federal, State, and local laws and regulations that apply to them.
- *Compliance Assessment Tools.* Businesses will have access to on-line tools that will help them determine applicable laws and regulations, whether they are in compliance with such laws and regulations, and what to do/where to go to achieve compliance.
- *On-line Transactions.* Businesses will be able to register on-line, at the State level, and apply to receive selected Federal, State, and local licenses and permits.

By providing quick access to information about laws and regulations, compliance assessment tools, and the ability to perform on-line transactions, Business Compliance One-Stop will offer real value-added service to the business community. Estimates indicate that businesses will save \$58 million annually by searching for information in an organized, user-friendly manner in one portal.<sup>37</sup>

## **E-Grants**

**The Federal Government awards over \$300 billion in grants each year to State, local, and tribal governments, universities, and non-profit organizations.**

The Federal Government awards over \$300 billion in grants each year to State, local, and tribal governments, universities, and non-profit organizations. These grants are awarded through 26 major “grant-making” agencies in over 500 programs. Grant administration varies from agency to agency, program to program, and information about grants – and how to apply for them – is scattered in printed materials and across the Internet. As a result, potential recipients face a complex and burdensome task in trying to apply for Federal grants.

The E-Grants initiative seeks to make it easier for potential recipients to obtain information about Federal grants. Specifically, E-Grants will create a single, on-line portal for all Federal grant customers to access grant information. The portal will consolidate much of the grants information currently available on-line and will eliminate many of the paper-based processes that serve as hurdles to organizations attempting to find grant opportunities as well as apply for and manage grants. Additionally, E-Grants will:

- Make transactions with the Government or obtaining financial assistance from the Government easier, cheaper, quicker, and more comprehensible.
- Eliminate submission of redundant information for organizational profile information.
- Standardize the collection of financial report data in support of agency audit and performance measurement activities.

By simplifying grants processes, standardizing data, and unifying the mechanisms for interaction with grant-making agencies, E-Grants will transform the grant process for the Federal Government and grant recipients. For recipients, common applications and management

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<sup>37</sup> This calculation is based on 8 million businesses with employees, with 60 percent of those having Internet access and 30 percent of those using the Internet for compliance information. One hour is worth \$40. (8 million x 60% x 30% x \$40 = \$58 million)

processes will minimize the burden of the application process. Time spent looking up procedures and filling out redundant information can be used on the actual grant-related work. For grant administrators, electronic processing of applications will facilitate the review process, and enable agencies to make awards more efficiently.

## Timeline for Deployment of E-Government Initiatives

Project	Milestone	Date
<b>Government to Citizen</b>		
Recreation One Stop	Revised Recreation.gov deployed	Completed
	First version of Volunteer.gov on-line	4/30/02
	RFPs or agreements with private sector reached on implementation of new recreation on-line projects	TBD
	Additional recreation projects (reservations, searchable maps, more recreation information, etc.) available on-line	TBD
Eligibility Assistance On-line	Initial release of on-line screening tool for 20 benefit programs	4/30/02
	On-line screening tool for 100 benefit programs	9/30/02
	Targeted consolidation of on-line benefit application and customer relationship management	TBD
On-line Access for Loans	Deploy "seek and find" methodology to make it easier for the public to find loan information	TBD
USA Services	Enable citizens to personalize the combination of services they obtain across multiple programs	TBD
	Enable a case to be created and acted upon by multiple agencies	TBD
	Implement a multi-channel contact center to facilitate easy access to information and service	TBD
EZ Tax Filing	Internet fact of filing and refund	4/30/02
	Initial deployment of industry partnership free e-filing solution for 2003 season	12/31/02
<b>Government to Business</b>		
On-line Rulemaking Management	Develop capability assessment of "top ten" rulemaking agencies' docket systems – who has the best existing solution	3/30/02
	Create a page, through FIRSTGOV, that links to all agency's docket sites	4/15/02
	Complete study of requirements for moving rulemaking agencies to an integrated on-line rulemaking system	8/30/02
	Deploy unified cross-agency public comment site	TBD
	Deploy a single on-line rulemaking docket application to include integration with the RISC/OIRA Consolidated Information System (ROCIS)	TBD
Expanding Electronic Tax Products for Businesses	Begin deployment of filing of W2s on the internet	2/01/02
	Complete XML or non EDI formats (schemas) for electronic filing of 94x	8/31/02
	Begin deployment of the interim solution for on-line EIN by November 2002 (IRS)	11/30/02
	By January 2004 target initial implementation of 1120 efile for business to facilitate end to end tax administration	1/15/04
Federal Asset Sales	Re-host Federal Sales	3/31/02
	Develop pilot business integration	9/30/02
	Pilot transaction platform	3/31/03
International Trade Process Streamlining	Complete EX-IM Working Capital Automation Project and Integrate into Export.gov	4/15/02
	Deploy on-line collaborative workspace that consolidates all of the information gathering by trade specialists and disseminates it through export.gov to SMEs.	8/15/02
	Simplify EX-IM Insurance filing processes and products and integrate them into Export.gov	1/15/03
One-Stop Business Compliance Information	Pilot/test prototype content management tool for Businesslaw.gov. Conduct full inventory/registry of regulatory agency's "plain language" compliance assistance tools	8/1/02
	Prototype seamless intergovernmental licensing and permitting	11/30/02

	tool to include Internet EIN	
	Complete 30 expert tools (from multiple agencies to include OSHA, EPA, IRS, INS, DOT, DOE) designed to help businesses to comply with relevant regulations in the environment, health and safety, employment, and taxes.	5/1/03
<b><i>Government to Government</i></b>		
Geospatial Information One-Stop	Complete draft standards for critical spatial data themes (framework data)	9/30/02
	Identify Federal inventories of framework data	9/30/02
	Deploy first iteration of the Geospatial One-Stop	TBD
e-Grants	Finalize the E-Grants business case in support of partner requirements and other participant input	4/15/02
	Evaluate the use or expansion of interagency and agency specific capabilities for discretionary grant programs	6/1/02
	Pilot a simple, unified way to find Federal grant opportunities via the Web	7/1/02
	Define application data standards	10/1/02
	Deploy simple, unified grant application mechanism	10/1/03
Disaster Assistance and Crisis Response	Finalize the business case in support of partner requirements and other participant input	05/15/02
	Deploy a single portal for citizens, public and private institutions that provides access to information and services relating to Disaster and Crisis Management	TBD
Wireless Public Safety Interoperable Communications – Project SAFECOM	Define the communications concept of operations for interaction that identifies the communications requirements to address the two highest probable threat scenarios: Bio terrorism and natural disasters.	05/31/2002
	Develop an integrated public safety response solution that addresses the top two threat scenarios by using existing infrastructure augmented by available commercial capability.	09/30/02
	Complete a gap analysis of existing inventories of public safety wireless communications at Federal, State, and local level.	12/31/02
	Implement Priority Wireless Access.	TBD
e-Vital	Finalize the business case in support of partner requirements and other participant input, and submit to the PMC	05/15/02
	Deploy electronic process for Federal and State agencies to collect, process, analyze, and disseminate Electronic Verification of Vital Events (EVVE) records.	TBD
	Deploy an electronic process for Federal and State agencies to collect, process, analyze, and disseminate Electronic Death Registration (EDR) records	TBD
<b><i>Internal Efficiency &amp; Effectiveness</i></b>		
E-Training	Initial e-Training system operational with mandatory government courses (module 1) -	10/15/02
	Expanded e-Training system with fee-for-service courses (Module 2)	4/30/03
	Enhanced e-Training system contains user and managerial tools (such as virtual classrooms and evaluation tools (Modules 2 and 3)	11/01/03
Recruitment One-Stop	Implement simple front-end – Improved appearance and usability that mirrors popular private sector internet recruiting sites	6/30/02
	Applicant status applicant database mining, intake of paper resumes/applications, and capability to link to Federal agency's assessment tools.	1/31/03
	Integration with agency assessment tools.	6/30/03

Integrated Human Resources	HR Logical Data Model including metadata, extended markup language (XML) tags, including proposal for standard Federal HR data	9/30/02
	Prototype Analytical Tools Enabling Integrated Resource Management, Workforce Planning, and Policy Analysis	12/31/02
	Design notional architecture for HR initiatives integration to include financial management	11/30/02
E-Clearance	Clearance Verification System which creates a common, source of investigative info to support employee assignment	12/31/02
	Implement e-QIP to reduce error rejection rate, eliminate manual data transfers	6/30/03
	Connect OPM & DoD security clearance indexes	12/31/02
e- Payroll/HR (Payroll Processing Consolidation)	<b>Complete and submit business case to the PMC</b>	3/31/02
	Integrated Enterprise Architecture	TBD
	Strengthening Payroll Service Delivery	TBD
e-Travel	Government wide web-based end to end solutions initial capabilities assessment (ICA)	10/01/02
	E-Travel Customer Care Implemented	12/01/02
	Web Travel Authorization and Voucher System (TAVS)	6/30/03
	Integrated Solution	12/30/03
Integrated Acquisition Environment	Integrated Vendor Profile Network – IVPN Single point of vendor registration, initial capability	6/30/02
	Consolidated eCatalog –Implement a directory of GWAC and MAC contracts to simplify selection and facilitate leverage of government buying, initial capability	9/30/02
	Federal Acquisition Management Information System – FAMIS Implement a new web-based Federal Management Information System that is integrated with legacy systems and provides useful real-time data, initial capability	9/30/03
Electronic Records Management	With partners, finalize ERM initiative work plan and types of ERM guidance and tools to be developed in initiative	5/31/02
	Issue first ERM guidance product (subsequent products to be identified with their timelines under the first milestone)	9/30/02
	Issue first lessons learned/best practices model	9/30/02
	Complete RM and archival XML schema	2/28/03
	Develop ERM requirements that agencies can incorporate in their system designs	04/30/03
	Issue final guidance products and tools	9/30/03
<b><i>Cross Cutting Initiatives</i></b>		
E-Authentication	Define operational concept including critical success factors and requirements for 12 of the projects.	7/1/02
	Initial authentication gateway prototype	9/30/02
	Full deployment	9/30/03
	Government-wide authentication guidance	TBD
Federal Enterprise Architecture	Produce a set of generally accepted, component-based technology models to guide the target and transition architectures of the currently approved E-Government initiatives	3/15/02
	Identify opportunities, based upon agreed criteria measuring impact and value to the citizen, for additional e-Government initiatives (Budget Year 2003/2004)	4/30/02
	Deliver a Federal EA repository with high level business and data architecture in 4 focus areas: Homeland Security, Social Services, Economic Stimulus, and Back Office Operations	4/30/02





## **Chapter 5. THE ANNUAL INFORMATION COLLECTION BUDGET**

### **Introduction**

The PRA requires the Director of OMB to report to Congress on Federal activities under the Act, based upon performance results reported by agencies. The Information Collection Budget (ICB) is OMB's annual report on the Federal Government's information collection activities under the Act. The report covers changes to information collections that improve the efficiency and effectiveness of the Federal Government, as well as progress on reducing the information collection burden on the public.

The ICB provides a mechanism for measuring and managing the burdens of the Federal information collections imposed on individuals, businesses, and State, local, and tribal governments. As a management tool, it plays an important role in the further development of effective and efficient Federal information collections.

Historically, the ICB has discussed agency burden accounting numbers, significant paperwork reductions and increases, and overall compliance with the PRA. Each of these topics is discussed briefly in this chapter and is described in much greater detail in the following Appendices.

One of these topics, the government-wide accounting of the past year's information collection activities, has often been the focus of previous ICB reports. This PRA report represents an effort to shift the focus from aggregate accounting numbers to meaningful agency efforts at reducing paperwork burden on the public and improving the efficiency of information collection activities.

OMB recognizes that the PRA's effectiveness in reducing the time the public spends on information collections cannot be captured simply by looking at burden hours. Sometimes, agencies make significant efforts at improving program efficiency and effectiveness, yet these improvements increase the amount of time the public as a whole spends on information collections. For example, consider an agency that improves its program performance by making its services accessible over the Internet. Obviously, this effort would benefit the public by making the services more convenient and by reducing the effort needed to learn about the services. However, if this enhanced service promotes increased use, the total burden hours might increase. This is only one example of many illustrating that while measurement of burden hours may be useful in tracking the amount of information the Government collects, it is an imperfect tool which does not give a full picture of agency efforts at reducing burden.

Recognizing this situation, OMB believes that a more effective way to oversee agency information collection improvement efforts is to encourage agencies to develop specific initiatives and urge agencies to devote focused energies on these efforts. Through this type of meaningful effort, the public will benefit from enhanced information quality, program performance, and government efficiency. The following section describes OMB's efforts to

promote this type of effort and highlights various burden reduction initiatives proposed by agencies.

### **Selected Agency Burden Reduction Initiatives**

As described in the instructions to agencies explaining how they should submit materials to help OMB prepare the FY 2002 ICB, OMB asked agencies to “describe your agency’s proposed initiatives to improve program performance by enhancing the efficiency of information collections and reducing burden on the public.” Specifically, OMB asked agencies to propose at least two initiatives that:

- Improve program performance by enhancing the efficiency of information collections;
- Significantly reduce the burden per response on the public; or
- Lead to a comprehensive review of an entire program, including regulations and procedures.

In response, agencies noted a variety of burden-reduction initiatives, which have the potential to make meaningful improvements for the public. While these initiatives generally fall into two broad categories -- incorporating information technology and simplifying information collection activities -- the majority involve the use of some type of information technology. This is not unexpected given the evolving nature of information technology capabilities and potential to improve the vast amount of information collection activities by the Federal Government through harnessing these capabilities. The various initiatives that agencies developed are identified below.

**Incorporating information system technologies.** By providing electronic reporting options to respondents and using information technology to manage information, agencies are easing reporting burdens on respondents and improving information quality.

- *Loan Deficiency Payments (LDP) Program Enhancement* - LDPs are payments made to eligible producers who, though eligible to obtain a marketing assistance loan, agree to forgo the loan in return for an LDP. Currently, producers requesting LDPs must: (1) provide a Department of Agriculture (USDA) county-based service center a CCC-633 LDP request, in person or by fax; (2) meet the marketing assistance loan eligibility requirements for the producer and commodity; and (3) agree to accept such payment in lieu of obtaining marketing assistance loans. Through this initiative, USDA is simplifying program policies and developing a new Internet-based delivery system for processing “eLDP.”
- *Bureau of Export Administration (BXA) ECASS2000+ Redesign* - This Department of Commerce initiative ties in with the government-wide initiative on Trade Streamlining. It will provide improved query capabilities to accommodate export enforcement agents and analysts as well as increase the control of BXA’s export licensing and export enforcement core business processes. The system redesign will benefit any person or company that exports or re-exports items within the jurisdiction of the Export Administration Regulations

(EAR), including those required to submit Anti-Boycott Reports. It will also improve information use within BXA and BXA interactions with DoD, DOS, DOE, FBI and CIA.

- *Bureau of the Census Automated Export System (AES)* - This Department of Commerce initiative is also tied to the Trade Streamlining initiative. AES will allow for electronic filing of Shipper's Export Declarations (SEDs), resulting in a significant reduction in the number of paper SEDs.
- *Military Health System Enhancement* - Three Department of Defense information collection forms are the primary information requirements imposed upon the public by the Military Health System. This initiative will promote greater use of electronic transactions, providing significant savings to the health care industry.
- *Data Quality Certification* - As the Department of Education (ED) seeks to establish shared data definitions, it will also establish data quality standards for information used and disseminated by ED and its programs. To enhance data utility, ED plans to certify at least 50% of major agency and program databases for data quality by September 30, 2002. ED plans to continue this work into FY 2003 toward the establishment of a Department-certified relational database from which all program offices will draw their program management information. State and local agencies are expected to join ED as partners in this project.
- *Electronic Reporting Option for Electric Power Companies* - For this initiative, the Department of Energy's Energy Information Administration (EIA) has developed a new, completely electronic reporting option for 2002 that respondents may use to complete the electric power surveys using EIA's web site. The electric power forms collectively cover the entire range of companies involved in the generation, transmission, distribution, and sales of electricity.
- *Adverse Event Reporting System* - The Department of Health and Human Services' (HHS) medical device reporting system currently provides a capability for some manufacturers to electronically submit files of reports to the Food and Drug Administration. An initial pilot test of the electronic submission of alternate summary reports has just begun. The pilot will be expanded. It is anticipated that electronic reporting will reduce administrative processing costs, including data submission, entry and quality control. The receipt of adverse event information will be more rapid and data entry errors will be reduced or eliminated.
- *Electronic Research Administration (eRA)* - eRA ( Electronic Research Administration) is the National Institutes of Health's (NIH) comprehensive redesign and re-engineering of the entire administrative process of application, initial peer review, secondary Council review, award and post-award operations from a paper to an electronic medium. In scope, it affects the entire NIH extramural award program, totaling over 40,000 competing and noncompeting awards annually with a total dollar amount in excess of \$18 billion annually.
- *Use of Electronic Collection/Signatures for 10 Collections* - HHS's Centers for Medicare & Medicaid Services (CMS) have identified 10 collections, representing 6 million

<b>Box 1.1 Planned Burden Reductions at the Internal Revenue Service (IRS)</b>
many business forms, schedules and statements electronically. Providing the ability (infrastructure and software) to electronically file forms in the 1120/1120S family supports the Service's goal of reaching the Congressional mandate that 80% of returns be electronically filed by 2007.
<i>Project to Redesign Form 941.</i> IRS is working with a contractor to redesign the widely used Form 941, Employer's Quarterly Federal Tax Return. IRS's goal is to create a document that
<i>Contract to Improve Burden Measurement.</i> IRS has hired a contractor to replace its current
specific goals of the new methodology include
<ul style="list-style-type: none"> <li>legislative and administrative proposals; and</li> <li>providing a tool to explain current levels of taxpayer burdens and the changes in those burdens due to administrative or statutory changes.</li> </ul>

annual responses, which could be enhanced to significantly reduce burden on the public and improve program performance if electronic collection/signatures could be obtained.

- *eLoan Origination (Single Family Intergration)* - The Department of Housing and Urban Development's (HUD) eLoan origination streamlines the single family integration insurance process. Prospective homebuyers seeking Federal Housing Administration mortgage insurance and lenders are expected to benefit from this simplification.
- *PIH eGovernment Application* - The Public and Indian Housing (PIH) Information Center (PIC) is a current HUD eGovernment application allowing PIH business partners to collect

and process information in an Internet environment. HUD plans to enhance this initiative to automate paper-based transactions.

- *Automated I-94 Process* - Currently, the INS collects and stores arrival and departure information on certain non-immigrant classes. The INS collects this information via the Arrival/Departure Form I-94 and stores it in the Non-immigrant Information System (NIIS), which contains approximately 25 million non-immigrant files each year. The INS plans to eliminate the paper Form I-94 with electronic data created by the Advanced Passenger Information (API), which is currently submitted by several airlines.
- *Electronic Reporting Initiative* - Titles II and III of the Labor-Management Reporting and Disclosure Act (LMRDA) require the filing of various reports by labor organizations, union officers and employees, employers, labor relations consultants, and surety companies. This Department of Labor electronic reporting initiative will enhance the efficiency of agency information collection by permitting reporting entities to submit these reports electronically. This capability will allow reporting entities to better file reports on time and with improved accuracy.
- *Student Verification of Enrollment* - Currently, student enrollment verification imposes 146,000 annual burden hours on the public and generates 2,190,000 responses annually. Respondents are currently allowed to submit the verification of enrollment information using one of the several methods. The Department of Veterans Affairs (VA) plans to encourage use of electronic submission, potentially reducing the annual respondent burden hours from 146,000 to 73,000 hours.
- *VONAPP* - Currently, most claimants now file for compensation, pension and vocational rehabilitation benefits using paper forms. VA has an Internet site, the Veterans On-line Applications (VONAPP), from which applicants can view, print and submit electronically various VA benefits application forms. Currently, VA is receiving five percent of total claims received via VONAPP. Through this initiative, VA's goal is to increase to 10 percent of total claims received via VONAPP during fiscal year 2002.
- *TRI-ME* - This Environmental Protection Agency initiative involves the Office of Environmental Information's Toxics Release Inventory-Made Easy (TRI-ME) software system. The TRI-ME software is an interactive, user-friendly intelligent software that guides facility managers through the entire process of completing their annual reports for their releases and waste management activities for over 600 toxic chemicals. This intelligent software eliminates much of the analysis required to determine if a facility is subject to the TRI reporting requirements under the Emergency Planning and Community Right-to-Know Act (EPCRA).

**Simplifying, consolidating, and reducing information collection.** Agencies are reducing burden by consolidating information collections to simplify the information collection process and avoid collecting similar information several times from the same people.

- *Special Nutrition Program Review* - USDA's Food and Nutrition Service plans to undertake a review of all of the data elements that it currently collects from the State and tribal agencies that operate the Special Nutrition Programs and from the local organizations that deliver benefits. In addition to examining the datasets collected, the review will closely scrutinize the collection instruments and processes used to assemble and finalize program data.
- *DOD Acquisition Process Review* - This information collection encompasses 24 million hours of burden (about 26% of the Department's total) and involves applications for benefits/contracts, including the acquisition of goods and services under the Defense Federal Acquisition Regulation Supplement. The initiative will review these information collection requirements with the intent of reducing burden by 10 percent.
- *Common Data Definitions* - In order for the Department of Education (ED) to communicate between and among its external education partners and with its own programs, there needs to be a common language underpinned by common data definitions. The collections approved under the Paperwork Reduction Act and the data elements comprising them are being analyzed to develop consensus definitions and code sets. Both State and local education agencies will join ED as partners in this project. Ultimately, this effort will eliminate duplicative requests for information and reduce the total volume of data collected while ensuring that ED collects higher quality and more useful data.
- *Well Permit and Report System Pilot* - The Department of Interior's (DOI) Minerals Management Service's (MMS's) Offshore Minerals Management (OMM) program plans to conduct a pilot (Well Permit and Report System Pilot) that focuses on streamlining the information collections and operations associated with regulatory compliance and the conduct of well drilling/completion/workover operations on the Outer Continental Shelf (OCS). These efforts are expected to be one of several initial steps in OMM's e-Government Transformation Project.
- *Mining Forms Consolidation* – DOI's Office of Surface Mining Reclamation and Enforcement (OSM) is planning to improve program performance by enhancing the efficiency of agency information collections across agencies. An effort to combine forms related to coal tonnage and/or accident information at coal mining sites into a single mineral industry report system is being considered by OSM, the Mine Safety and Health Administration (MSHA), and the Energy Information Administration (EIA).

## **Box 1.2 Planned Burden Reductions at the Department of Transportation (DOT)**

The Department of Transportation is undertaking a number of initiatives during FY2002 that will reduce burden:

*Registration Process Streamlining* - Section 13908 of the Interstate Commerce Commission Termination Act of 1995 (ICCTA) directed the Secretary of Transportation to create a single, on-line Federal system to replace the systems for issuing DOT numbers, licensing/registration, financial responsibility, and single-state registration. A Notice of Proposed Rulemaking (NPRM), which FMCSA expects to release in the very near future, will propose to make the regulatory changes necessary to comply with the requirements of 49 U.S.C. 13908. This initiative would consolidate many of the collections that cover motor carrier identification (all motor carriers) and registration, insurance, and licensing (for-hire motor carriers).

*Aeronautical Study Project* - The FAA currently conducts over 50,000 aeronautical studies a year. The Obstruction Evaluation Airport Airspace Analysis (OE/AAA) program issues determinations with input from air traffic, flight procedures, flight standards, airports, airway facilities, and the military. The new OE/AAA automation program is a web-based application that is accessed through the FAA's Intranet via the user's workstation browser. It is expected to reduce the normal 30-day timeframe associated with an aeronautical study.

*ACRA* - ACRA is a computer based program that automates the airman certification process and allows Designated Examiners (DEs), FAA Aviation Safety Inspectors (ASIs), and Aviation Safety Technicians (ASTs) to electronically capture and validate airman information. This information is required to complete the airman application and the other certification documents including the appropriate temporary airman certificate, thereby ensuring an applicant meets all the most recent regulatory and policy requirements prior to conducting an airman certification and issuing the appropriate certification document.

*National Bridge Inventory (NBI)* - The NBI system is under development and will replace an existing system that operates on a mainframe in Austin, Texas. The NBI will be a web-enabled system that will be hosted on servers owned by FHWA. A relational database, intuitive reporting tools and a windows-based system will make the system more user-friendly and efficient.

*National Transit Database* - Each year, NTD data are used in statutory formulae to apportion over \$4 billion in FTA funds to public transit agencies in urban areas of over 50,000 persons. Approximately 600 transit agencies submit annual data to the NTD each year. A new NTD system will streamline reporting, thereby reducing burden. It also provides new safety and security tracking systems for local agencies. The new system has generated such interest that many States have volunteered to be participants.

*Electronic Hours of Duty Recordkeeping* - Through this initiative, DOT plans to encourage increased use of electronic recordkeeping for railroads. Conversions of paper to electronic records has been a longstanding, ongoing, and important initiative for the agency to improve the performance of this program while also reducing the burden on affected railroads.

*Electronic Waiver Recordkeeping* - This Federal Railroad Administration project would involve converting waiver record retention from paper to electronic records. This conversion could reduce the burden total by an estimated 95,333 hours.



- *Mine Act Regulation Streamlining* - The Mine Act and Title 30, Code of Federal Regulations require the coal mine operator to continuously maintain an average concentration of respirable coal mine dust in the mine atmosphere. The Department of Labor's MSHA plans to publish a final joint dust rule that will result in a reduction in burden hours of 40,690. Currently, MSHA estimates that 96% (42,694) of mine operators do their own sampling. Another 1,779 mine operators contract the service. By MSHA taking the sampling, mine operators might save approximately 40,690 hours and \$1,597,852 in costs.
- *RCRA Review* - The EPA's Office of Solid Waste (OSW) recently completed a comprehensive review of the reporting and recordkeeping requirements of the Resource Conservation and Recovery Act (RCRA) program, and plans to propose a rule to streamline or eliminate many of these requirements. This OSW effort will streamline data collection for RCRA's Biennial Report, which is a major information collection mechanism for hazardous waste generation and management.

### **Hours Needed for Information Collection Activities in FY 2001**

In FY 2001, citizens spent an estimated 7.65 billion hours providing Federal agencies the information needed to fulfill agency responsibilities. Appendix B has a complete description of the burden hours required in FY 2001. Among the Cabinet departments and EPA, the Department of Housing and Urban Development reported the greatest percentage reduction due to agency actions or new statute (-3.9 percent). The Department of Justice reported the greatest increase at 8.3 percent, largely due to several new collections or modifications to existing collections that resulted from the Legal Immigration Family Equity Act of 2000 (LIFE Act), Public Law 106-553.

### **Significant Paperwork Reductions and Increases – FY 2001 and FY 2002**

Similar to previous ICB reports, we asked agencies to identify significant paperwork reductions and increases for FY 2001 and FY 2002. In Appendix C, these agency examples are organized into various burden reduction or increase categories: streamlining regulations, eliminating redundancy, simplifying forms, using information technology, statutory reductions/increases, and other. By illustrating the broad range of agency information collection activities and burden reduction efforts, this Appendix provides a useful source of ideas and guidance on what agencies are doing to reduce paperwork burdens.

### **Agency Compliance with the PRA**

The PRA requires Federal agencies to request OMB approval before collecting information from the public. OMB can approve a data collection for no more than three years, at which point the agency must resubmit the collection for re-approval. Sometimes, an agency fails to submit a request for re-approval before its existing approval expires. This is a violation of the PRA. Other times, agencies collect information without OMB approval or significantly modify

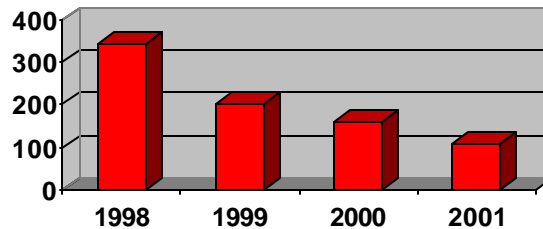
existing collections without receiving OMB approval. Both scenarios represent violations of the PRA.

In last year's ICB (FY 2001), OMB documented 487 violations of the PRA, of which 191 remained unresolved as of the cut-off date for the ICB's publication. For the Departmental agencies and EPA, there were 161 unresolved violations at publication time for the FY 2001 ICB. While these figures do represent a continuation in the recent downward trend in the number of PRA violations, the situation cannot continue.

To ensure that the Federal Government is in full compliance with the PRA, OMB has aggressively pushed agencies to fully comply with the information collection provisions of the PRA. In a November 14, 2001, Memorandum to agency Chief Information Officers and General Counsels and Solicitors, OMB asked the agencies to provide a timetable to resolve each violation listed in the FY 2001 ICB and to describe the procedures in place to prevent future violations. For the full text of this Memorandum, see Appendix E.

Largely as a result of these efforts, we report only 109 unresolved violations as of March 12, 2002, the cut-off date for this year's PRA report (See Appendix D). As illustrated in the chart below, the Federal Government has made significant progress in reducing the number of PRA violations in recent years. While this reduction in violations does demonstrate some progress, we cannot be satisfied. OMB will continue to work with agency CIOs to resolve existing violations and take whatever steps are necessary to avoid future violations.

**Unresolved Departmental Agency  
and EPA Violations --  
FY 1998-2001**





## **Appendix A. Guidelines for Ensuring and Maximizing the Quality, Objectivity, Utility, and Integrity of Information Disseminated by Federal Agencies.<sup>38</sup>**

I. OMB Responsibilities. Section 515 of the Treasury and General Government Appropriations Act for FY2001 (Public Law 106-554) directs the Office of Management and Budget to issue government-wide guidelines that provide policy and procedural guidance to Federal agencies for ensuring and maximizing the quality, objectivity, utility, and integrity of information, including statistical information, disseminated by Federal agencies.

II. Agency Responsibilities. Section 515 directs agencies subject to the Paperwork Reduction Act (44 U.S.C. 3502(1)) to –

1. Issue their own information quality guidelines ensuring and maximizing the quality, objectivity, utility, and integrity of information, including statistical information, disseminated by the agency no later than one year after the date of issuance of the OMB guidelines;
2. Establish administrative mechanisms allowing affected persons to seek and obtain correction of information maintained and disseminated by the agency that does not comply with these OMB guidelines; and
3. Report to the Director of OMB the number and nature of complaints received by the agency regarding agency compliance with these OMB guidelines concerning the quality, objectivity, utility, and integrity of information and how such complaints were resolved.

III. Guidelines for Ensuring and Maximizing the Quality, Objectivity, Utility, and Integrity of Information Disseminated by Federal Agencies.

1. Overall, agencies shall adopt a basic standard of quality (including objectivity, utility, and integrity) as a performance goal and should take appropriate steps to incorporate information quality criteria into agency information dissemination practices. Quality is to be ensured and established at levels appropriate to the nature and timeliness of the information to be disseminated. Agencies shall adopt specific standards of quality that are appropriate for the various categories of information they disseminate.
2. As a matter of good and effective agency information resources management, agencies shall develop a process for reviewing the quality (including the objectivity, utility, and integrity) of information before it is disseminated. Agencies shall treat information quality as integral to every step of an agency's development of information, including creation, collection, maintenance, and dissemination. This process shall enable the

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<sup>38</sup> 67 FR 369 (January 3, 2002). Corrections to the January 3 publication were published February 5, 2002 (67 FR 5365). The final guidelines were reprinted in corrected form on February 22, 2002 (67 FR 8452).

agency to substantiate the quality of the information it has disseminated through documentation or other means appropriate to the information.

3. To facilitate public review, agencies shall establish administrative mechanisms allowing affected persons to seek and obtain, where appropriate, timely correction of information maintained and disseminated by the agency that does not comply with OMB or agency guidelines. These administrative mechanisms shall be flexible, appropriate to the nature and timeliness of the disseminated information, and incorporated into agency information resources management and administrative practices.
  - i. Agencies shall specify appropriate time periods for agency decisions on whether and how to correct the information, and agencies shall notify the affected persons of the corrections made.
  - ii. If the person who requested the correction does not agree with the agency's decision (including the corrective action, if any), the person may file for reconsideration within the agency. The agency shall establish an administrative appeal process to review the agency's initial decision, and specify appropriate time limits in which to resolve such requests for reconsideration.
4. The agency's pre-dissemination review, under paragraph III.2, shall apply to information that the agency first disseminates on or after October 1, 2002. The agency's administrative mechanisms, under paragraph III.3, shall apply to information that the agency disseminates on or after October 1, 2002, regardless of when the agency first disseminated the information.

#### IV. Agency Reporting Requirements.

1. Agencies must designate the Chief Information Officer or another official to be responsible for agency compliance with these guidelines.
2. The agency shall respond to complaints in a manner appropriate to the nature and extent of the complaint. Examples of appropriate responses include personal contacts via letter or telephone, form letters, press releases or mass mailings that correct a widely disseminated error or address a frequently raised complaint.
3. Each agency must prepare a draft report, no later than May 1, 2002, providing the agency's information quality guidelines and explaining how such guidelines will ensure and maximize the quality, objectivity, utility, and integrity of information, including statistical information, disseminated by the agency.<sup>39</sup> This report must also detail the administrative mechanisms developed by that agency to allow affected persons to seek and obtain appropriate correction of information maintained and disseminated by the agency that does not comply with the OMB or the agency guidelines.

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<sup>39</sup> OMB changed the deadline for agency preparation of draft agency guidelines from April 1 to May 1, 2002 (67 FR 9797 (March 4, 2002)).

4. The agency must publish a notice of availability of this draft report in the **Federal Register**, and post this report on the agency's website, to provide an opportunity for public comment.
5. Upon consideration of public comment and after appropriate revision, the agency must submit this draft report to OMB for review regarding consistency with these OMB guidelines no later than July 1, 2002. Upon completion of that OMB review and completion of this report, agencies must publish notice of the availability of this report in its final form in the **Federal Register**, and post this report on the agency's web site no later than October 1, 2002.
6. On an annual fiscal-year basis, each agency must submit a report to the Director of OMB providing information (both quantitative and qualitative, where appropriate) on the number and nature of complaints received by the agency regarding agency compliance with these OMB guidelines and how such complaints were resolved. Agencies must submit these reports no later than January 1 of each following year, with the first report due January 1, 2004.

#### V. Definitions.

1. "Quality" is an encompassing term comprising utility, objectivity, and integrity. Therefore, the guidelines sometimes refer to these four statutory terms, collectively, as "quality."
2. "Utility" refers to the usefulness of the information to its intended users, including the public. In assessing the usefulness of information that the agency disseminates to the public, the agency needs to consider the uses of the information not only from the perspective of the agency but also from the perspective of the public. As a result, when transparency of information is relevant for assessing the information's usefulness from the public's perspective, the agency must take care to ensure that transparency has been addressed in its review of the information.
3. "Objectivity" involves two distinct elements, presentation and substance.
  - a. "Objectivity" includes whether disseminated information is being presented in an accurate, clear, complete, and unbiased manner. This involves whether the information is presented within a proper context. Sometimes, in disseminating certain types of information to the public, other information must also be disseminated in order to ensure an accurate, clear, complete, and unbiased presentation. Also, the agency needs to identify the sources of the disseminated information (to the extent possible, consistent with confidentiality protections) and, in a scientific, financial, or statistical context, the supporting data and models, so that the public can assess for itself whether there may be some reason to question the objectivity of the sources. Where appropriate, data should have full, accurate, transparent documentation, and error sources affecting data quality should be identified and disclosed to users.

b. In addition, “objectivity” involves a focus on ensuring accurate, reliable, and unbiased information. In a scientific, financial, or statistical context, the original and supporting data shall be generated, and the analytic results shall be developed, using sound statistical and research methods.

i. If data and analytic results have been subjected to formal, independent, external peer review, the information may generally be presumed to be of acceptable objectivity. However, this presumption is rebuttable based on a persuasive showing by the petitioner in a particular instance. If agency-sponsored peer review is employed to help satisfy the objectivity standard, the review process employed shall meet the general criteria for competent and credible peer review recommended by OMB-OIRA to the President's Management Council (9/20/01)

([http://www.whitehouse.gov/omb/inforeg/oira\\_review-process.html](http://www.whitehouse.gov/omb/inforeg/oira_review-process.html)), namely, “that (a) peer reviewers be selected primarily on the basis of necessary technical expertise, (b) peer reviewers be expected to disclose to agencies prior technical/policy positions they may have taken on the issues at hand, (c) peer reviewers be expected to disclose to agencies their sources of personal and institutional funding (private or public sector), and (d) peer reviews be conducted in an open and rigorous manner.”

ii. If an agency is responsible for disseminating influential scientific, financial, or statistical information, agency guidelines shall include a high degree of transparency about data and methods to facilitate the reproducibility of such information by qualified third parties.

A. With regard to original and supporting data related thereto, agency guidelines shall not require that all disseminated data be subjected to a reproducibility requirement. Agencies may identify, in consultation with the relevant scientific and technical communities, those particular types of data that can practicably be subjected to a reproducibility requirement, given ethical, feasibility, or confidentiality constraints. It is understood that reproducibility of data is an indication of transparency about research design and methods and thus a replication exercise (i.e., a new experiment, test, or sample) shall not be required prior to each dissemination.

B. With regard to analytic results related thereto, agency guidelines shall generally require sufficient transparency about data and methods that an independent reanalysis could be undertaken by a qualified member of the public. These transparency standards apply to agency analysis of data from a single study as well as to analyses that combine information from multiple studies.

*i.* Making the data and methods publicly available will assist in determining whether analytic results are reproducible. However, the objectivity standard does not override other compelling interests such as privacy, trade secrets, intellectual property, and other confidentiality protections.

*ii.* In situations where public access to data and methods will not occur due to other compelling interests, agencies shall apply especially rigorous robustness checks to analytic results and document what checks were undertaken. Agency guidelines shall, however, in all cases, require a disclosure of the specific data sources that have been used and the specific quantitative methods and assumptions that have been employed. Each agency is authorized to define the type of robustness checks, and the level of detail for documentation thereof, in ways appropriate for it given the nature and multiplicity of issues for which the agency is responsible.

C. With regard to analysis of risks to human health, safety and the environment maintained or disseminated by the agencies, agencies shall either adopt or adapt the quality principles applied by Congress to risk information used and disseminated pursuant to the Safe Drinking Water Act Amendments of 1996 (42 U.S.C. 300g-1(b)(3)(A) & (B)). Agencies responsible for dissemination of vital health and medical information shall interpret the reproducibility and peer-review standards in a manner appropriate to assuring the timely flow of vital information from agencies to medical providers, patients, health agencies, and the public. Information quality standards may be waived temporarily by agencies under urgent situations (e.g., imminent threats to public health or homeland security) in accordance with the latitude specified in agency-specific guidelines.

4. “Integrity” refers to the security of information -- protection of the information from unauthorized access or revision, to ensure that the information is not compromised through corruption or falsification.
5. “Information” means any communication or representation of knowledge such as facts or data, in any medium or form, including textual, numerical, graphic, cartographic, narrative, or audiovisual forms. This definition includes information that an agency disseminates from a web page, but does not include the provision of hyperlinks to information that others disseminate. This definition does not include opinions, where the agency’s presentation makes it clear that what is being offered is someone’s opinion rather than fact or the agency’s views.
6. “Government information” means information created, collected, processed, disseminated, or disposed of by or for the Federal Government.
7. “Information dissemination product” means any book, paper, map, machine-readable material, audiovisual production, or other documentary material, regardless of physical form or characteristic, an agency disseminates to the public. This definition includes any electronic document, CD-ROM, or web page.
8. “Dissemination” means agency initiated or sponsored distribution of information to the public (see 5 C.F.R. 1320.3(d) (definition of “Conduct or Sponsor”). Dissemination does not include distribution limited to Government employees or agency contractors or grantees; intra- or inter-agency use or sharing of Government information; and responses



to requests for agency records under the Freedom of Information Act, the Privacy Act, the Federal Advisory Committee Act or other similar law. This definition also does not include distribution limited to correspondence with individuals or persons, press releases, archival records, public filings, subpoenas or adjudicative processes.

9. “Influential”, when used in the phrase “influential scientific, financial, or statistical information”, means that the agency can reasonably determine that dissemination of the information will have or does have a clear and substantial impact on important public policies or important private sector decisions. Each agency is authorized to define “influential” in ways appropriate for it given the nature and multiplicity of issues for which the agency is responsible.
10. “Reproducibility” means that the information is capable of being substantially reproduced, subject to an acceptable degree of imprecision. For information judged to have more (less) important impacts, the degree of imprecision that is tolerated is reduced (increased). If agencies apply the reproducibility test to specific types of original or supporting data, the associated guidelines shall provide relevant definitions of reproducibility (e.g., standards for replication of laboratory data). With respect to analytic results, “capable of being substantially reproduced” means that independent analysis of the original or supporting data using identical methods would generate similar analytic results, subject to an acceptable degree of imprecision or error.

## Appendix B. Information Collection Budget Table

In FY 2001, citizens spent an estimated 7.65 billion hours providing federal agencies the information needed to fulfill agency responsibilities. This appendix describes in aggregate terms how that number changed from FY 2000. It also provides further explanation of some of the terms used throughout this report to describe these changes.

### Information Collection “Hours”

The aggregate totals presented in Table B are stated in terms of annual “hours needed.” In developing an information collection for public comment and OMB review, an agency estimates the amount of time a respondent will need to provide the requested information. The estimated hours needed include the time spent reading and understanding the information collection itself and any instructions, as well as time spent compiling, recording, reviewing, and submitting the information.

### Changes in the Hours Needed

The total hours needed to complete an agency’s information collections can change from year to year for a variety of reasons. OMB, through a computer system that tracks the information collections it reviews and approves, categorizes hour changes as resulting from either “program changes” or “adjustments.” The distinction between these two categories is the presence or absence of agency action. A program change results from an agency action of some type, such as adding or deleting questions from a form or reducing the frequency of reporting. An adjustment results from other factors that are beyond agency control. An example of an adjustment would be the increased number of people applying for Federal benefits because of greater needs. OMB tracks approved information collections over time using this distinction in why hours change. The sum of the changes in these two categories accounts for the change between one fiscal year total and the next. The tables in this appendix list program changes and adjustments for each agency for FY 2001.

*Program Changes:* Program changes are hour changes that result from an agency action that affects the time required to complete an information collection. Such agency actions generally are deliberate. For example, an agency might change a regulation or re-design the collection form. The program changes include three different types of agency transactions:

- **Changes due to New Statutes.** These include the creation of new collections or the material revision or elimination of existing collections that an agency must undertake because a recent statute requires the action.
- **Changes due to Agency Action.** These include the creation of new collections or the material revision or elimination of existing collections that an agency undertakes without a specific and recent statutory mandate. This type of transaction includes changes due to new or revised policies and collections that are authorized but not explicitly required by statute.

- **Changes due to Lapse of OMB Approval.** This kind of transaction occurs when an agency allows OMB approval for a collection to expire even though the agency continues to conduct or sponsor the collection. The figures include the hours for the collection removed from the computer tracking system upon expiration as well as the hours added upon reinstatement. These lapses are reported in Appendix D.

OMB distinguishes among these three kinds of program changes through the preparation of the ICB and with the input of the agencies. In the tables in this report, however, only Changes due to New Statutes or Changes due to Agency Action are listed. The Changes due to Lapse of OMB Approval are not listed because they do not reflect changes to the time spent by the public on Federal information collections but rather agency failure to maintain OMB approval of an ongoing collection as required by the PRA. Again, these lapses are captured in Appendix D.

*Adjustments:* Often the hours needed for a particular information collection will vary from year to year. For example, a strong economy leads to increased filing of tax returns. Increased immigration leads to a higher number of naturalization applications. Such circumstances can produce significant changes in aggregate burden hours. These changes are characterized as “adjustments.” Adjustments, while often having large effects on estimates, do not represent Government efforts either to expand or reduce an information collection.

### **Explanation of the Table**

Table B starts with the FY 2000 Totals, as printed in the FY 2001 Information Collection Budget of the United States Government.

The second column is “FY 2001 Program Changes,” as carried in the OMB computer tracking system and determined in consultation with the agencies. This column includes *all* program changes due to agency actions, due to new statutes, and due to lapses of OMB approvals. The third column is FY 2001 Program Changes expressed as a percentage of the FY 2000 Total Hours Needed.

The fourth column, “FY 2001 Changes Due to New Statute or Agency Action,” represents the second column minus burden hour changes resulting from lapses of OMB approval, which are detailed in Appendix D. The fifth column is the FY 2001 Program Changes Due to New Statute or Agency Action expressed as a percentage of the FY 2000 Total Hours Needed. This calculation is a more accurate measure of agency activity with respect to information collection.

The sixth column is “FY 2001 Adjustments,” as carried in the OMB computer tracking system and determined in consultation with the agencies. The sum of this column and the “FY 2001 Program Changes” is the difference between the FY 2001 Total and the FY 2000 Total. The seventh column presents FY 2001 Adjustments as a percentage of the FY 2000 Total.

The eighth column gives the “FY 2001 Total Hours Needed,” the sum of the hours needed for all collections approved by OMB on October 2, 2001.

**Table B: FY 2001 Information Collection Totals  
(millions of hours)**

	FY 2000 Total Hours Needed	FY 2001 Program Changes		FY 2001 Changes Due to New Statute or Agency Action		FY 2001 Adjustments		FY2001 Total Hours Needed
<b>Government Total</b>	7,361.72	158.70	2.2%			104.85	1.4%	7,651.42
<b>Agency</b>								
Agriculture	75.19	5.77	7.7%	2.08	2.8%	5.86	7.8%	86.72
Commerce*	38.57	-28.60	-74.1%	-28.59	-74.1%	0.45	1.2%	10.29
Defense	93.62	-0.68	-0.7%	-0.65	-0.7%	-0.19	-0.2%	92.05
Education	41.98	-1.45	-3.4%	-1.57	-3.7%	-0.01	0.0%	40.49
Energy	2.92	0.97	33.1%	-0.02	-0.7%	-0.04	-1.4%	3.85
Health and Human Services	173.71	2.19	1.3%	1.57	0.9%	10.93	6.3%	186.61
Housing and Urban Development	12.46	-0.45	-3.6%	-0.48	-3.9%	0.04	0.3%	12.05
Interior	5.64	1.87	33.2%	-0.02	-0.4%	-0.17	-3.0%	7.56
Justice	36.82	0.25	0.7%	3.07	8.3%	3.45	9.4%	40.53
Labor	181.59	-0.04	0.0%	-2.41	-1.3%	4.71	2.6%	186.11
State	29.19	-0.08	-0.3%	-0.11	-0.4%	-13.84	-47.4%	16.56
Transportation**	117.65	-42.39	-36.0%	1.07	0.9%	5.11	4.3%	80.34
Treasury	6,156.80	214.17	3.5%	214.46	3.5%	44.79	0.7%	6,415.85
Veterans Affairs	5.98	-0.01	-0.2%	-0.05	-0.8%	-0.72	-12.0%	5.31
Environmental Protection Agency	128.75	0.94	0.7%	0.72	0.6%	1.18	0.9%	130.77

\*Note that a large portion of Commerce's decrease in burden is attributed to the periodic nature of Census collections.

\*\* Due to a PRA violation, the program change total for FY 2001 includes a reduction of 42,464,327 hours. DOT inadvertently allowed OMB's approval of a Federal Motor Carrier Safety Administration collection, Driver's Record of Duty Status, to expire on September 30, 2001. DOT continued to use this collection in violation of the PRA until it obtained a reinstatement of OMB's approval on March 4, 2002.



## Appendix C. Significant Paperwork Reductions and Increases—FY 2001 & 2002

The Paperwork Reduction Act of 1995 (PRA) requires the head of each agency, supported by his or her Chief Information Office (CIO), to be responsible for the agency's information collection activities. This includes reducing the amount of paperwork required of the public. Agencies are to develop and coordinate initiatives that will produce meaningful improvements for the public. This appendix highlights the significant improvements agencies have made and where further improvement is needed.

The examples of significant burden reductions are organized into 6 categories:

- **Streamlining Regulations.** Revising existing regulations to eliminate unnecessary requirements.
- **Eliminating Redundancy.** 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 across agencies to share information.
- **Using Information Technology.** Using automated systems to speed and simplify the exchange of information between the Government and the public and allowing respondents to use their own information technology to ease reporting burdens.
- **Statutory Reductions.** Reducing burden because of recently enacted statutes.
- **Other.** Any other agency efforts to reduce burden.

The examples of significant burden increases are organized into two categories:

- **Statutory Increases.** Increasing burden due to new statutory requirements.
- **Other.** Increasing burden due to other factors.

Using these categories to illustrate the broad range of agency information collection activities and burden reduction efforts, this appendix serves several important goals. First, the examples highlight agency accomplishments in improving how information is collected and reducing burden on the public. Second, the examples provide a source of ideas and guidance on what agencies can do to reduce paperwork. Third, the examples identify areas where more work can be done to yield further benefits.

## FY 2001 Reductions

### Streamlining Regulations

**Agency:** Department of Defense  
**OMB Control No.:** 0702-0112  
**Title:** Report on the Use of Employees of Non-Federal Entities  
**Purpose of the Collection:** The information collected provided the number of direct labor and indirect labor work year equivalents performed by contractors providing services.  
**How Reduction Achieved:** The collection was discontinued because the non-standard clause had a significant impact beyond the internal operating procedures of the Army, and might have a significant cost or administrative impact on contractors.  
**Change in Burden:** -33,928 hours

**Agency:** Department of Defense  
**OMB Control No.:** 0704-0363  
**Title:** Reporting, Redistribution, and Disposal of Contractor Property  
**Purpose of the Collection:** Information used by inventory managers, contractors, and contracting officers to ensure that military property is demilitarized to preclude its use for its originally intended military purpose.  
**How Reduction Achieved:** Discontinued information collection pending development of new procedures.  
**Change in Burden:** -56,250 hours

**Agency:** Environmental Protection Agency  
**OMB Control No.:** 2050-0120  
**Title:** General Hazardous Waste Facility Standards (EPA ICR #1571.06)  
**Purpose of the Collection:** Section 3004 of the Resource Conservation and Recovery Act (RCRA), as amended, requires that EPA develop standards for hazardous waste treatment, storage, and disposal facilities (TSDFs) as may be necessary to protect human health and the environment. The regulations implementing these requirements are codified in 40 CFR Parts 264 and 265. The collection of this information enables EPA to properly determine whether owners/operators or hazardous waste treatment, storage, and disposal facilities meet the requirements of Section 3004(a) of RCRA.  
**How Reduction Achieved:** Burden decreased by eliminating need for certain hazardous waste generators to have a manifest. This decrease is reflected in a modification to the approved ICR.  
**Change in Burden:** -14,014 hours

**Agency:** Environmental Protection Agency  
**OMB Control No.:** 2060-0104  
**Title:** Motor Vehicle Emission Standards and Emission credits Provisions under the Tier 2 Rule (EPA ICR #0783.40)  
**Purpose of the Collection:** Insuring that vehicle designs meet applicable emission standards for their useful lives.  
**How Reduction Achieved:** Reductions in the number of durability demonstrations and tests required; increased flexibility in how demonstrations are conducted.  
**Change in Burden:** -445,918 hours

**Agency:** Environmental Protection Agency  
**OMB Control No.:** 2060-0012  
**Title:** NSPS for VOC Equipment Leaks in the Synthetic Organic Chemical Industry (EPA ICR #0662.06)  
**Purpose of the Collection:** Regulatory or Compliance.  
**How Reduction Achieved:** The reduction was achieved by promulgating a less burdensome rule [40 CFR Part 65, the Consolidated Air Rule (CAR)] that may be used to comply with 40 CFR Part 60, Subpart VV (the underlying rule for OMB Control Number 2060-0012).  
**Change in Burden:** -280,495 hours

**Agency:** Environmental Protection Agency  
**OMB Control No.:** 2060-0068  
**Title:** NESHAP for Equipment Leaks (Fugitive Emission Sources) (EPA ICR #1153.07)  
**Purpose of the Collection:** Regulatory or Compliance.  
**How Reduction Achieved:** The reduction was achieved by promulgating a less burdensome rule [40 CFR Part 65, the Consolidated Air Rule (CAR)] that may be used to comply with 40 CFR Part 61, Subpart V (the underlying rule for OMB Control Number 2060-0068).  
**Change in Burden:** -71,516 hours

**Agency:** Environmental Protection Agency  
**OMB Control No.:** 2060-0074  
**Title:** NSPS for Volatile Organic Liquid Storage Vessels - Subpart Kb (EPA ICR #1132.06)  
**Purpose of the Collection:** Regulatory or Compliance.  
**How Reduction Achieved:** The reduction was achieved by promulgating a less burdensome rule [40 CFR Part 65, the Consolidated Air Rule (CAR)] that may be used to comply with 40 CFR Part 61, Subpart Ka (the underlying rule for OMB Control Number 2060-0121).  
**Change in Burden:** -54,138 hours

**Agency:** Environmental Protection Agency  
**OMB Control No.:** 2060-0197  
**Title:** Standards of Performance of Volatile Organic Compound (VOC) Industry (SOCMI), Air Oxidation Unit Processes, Subpart III (EPA ICR #0998.06)  
**Purpose of the Collection:** Regulatory or Compliance.  
**How Reduction Achieved:** The reduction was achieved by promulgating a less burdensome rule [40 CFR Part 65, the Consolidated Air Rule (CAR)] that may be used to comply with 40 CFR Part 60, Subparts III & NNN (the underlying rules for OMB Control Number 2060-0197).  
**Change in Burden:** -142,375 hours

**Agency:** Environmental Protection Agency  
**OMB Control No.:** 2060-0269  
**Title:** Standards of Performance of Volatile Organic Compound (VOC) Industry (SOCMI), Reactor Processes, Subpart RRR.  
**Purpose of the Collection:** Regulatory or Compliance.  
**How Reduction Achieved:** The reduction was achieved by promulgating a less burdensome rule [40 CFR Part 65, the Consolidated Air Rule (CAR)] that may be used to comply with 40 CFR Part 60, Subpart RRR (the underlying rule for OMB Control Number 2060-0269).  
**Change in Burden:** -15,287 hours



**Agency:**  
**OMB Control No.:**  
**Title:**

**Environmental Protection Agency**  
2070-0112  
Polychlorinated Biphenyls (PCBs) Program; Consolidated Information Collection Request (ICR) (EPA ICR #1446.07)

**Purpose of the Collection:**

Section 6(e) of the Toxic Substances Control Act (TSCA), 15 USC 2605(e), specifically directs EPA to regulate the marking, disposal, manufacturing, processing, distribution in commerce, and use of PCBs. Since 1978, EPA has promulgated numerous rules addressing all aspects of the life cycle of PCBs as required by the statute. All of the information collection activities associated with the PCB regulations found at 40 CFR Part 761 have been approved by OMB. The data are needed to ensure PCBs and PCB wastes are managed in an environmentally safe manner and that activities are being conducted in compliance with the PCB regulations. The data will be used to: assess the efficacy of disposal technologies, evaluate exemption requests and exclusion notices, target compliance inspections, ensure the proper management of PCBs, and ensure adequate storage and disposal capacity exists nationwide and that environmental releases are managed properly. Data will be made available to EPA regional inspectors, or their agents, for compliance purposes. Respondents include: owners/users of PCBs/PCB Items, individuals who generate PCB waste, PCB waste handlers (owners of PCB storage and disposal facilities, transporters), chemical analysis labs, and individuals engaged in PCB manufacturing, processing and distribution in commerce activities.

**How Reduction Achieved:**

In 1998, EPA promulgated significant changes to the PCB regulations to: 1) provide flexibility in selecting disposal technologies for PCB wastes and to expand the list of prescribed, self-implementing decontamination procedures; 2) provide less burdensome mechanisms for obtaining EPA approval for a variety of activities; 3) clarify and/or modify the regulations where ambiguity may exist; 4) modify the requirements in light of concerns associated with the use/maintenance, distribution in commerce, storage, and disposal of PCB equipment; and 5) address outstanding issues associated with the notification and manifesting of PCB wastes and changes in the operation of commercial storage facilities. At the time that these amendments were promulgated, since the information collection activities related to the PCB regulations were approved under six separate ICRs, EPA did not attempt to estimate the net program change in the ICRs related to these amendments, and did not therefore revise each of these ICRs. Instead, EPA submitted a new ICR to OMB that contained all of the new information collection activities related to the amendments, with a commitment to subsequently consolidate the new burden into the existing ICRs.

In FY2001 EPA consolidated the following PCB related ICRs into this ICR:

OMB#	EPA#	Existing Burden
2070-0003	1000	24,906
2070-0008	1001	1,030
2070-0011	1012	10,688
2070-0021	857	18
2070-0112	1446	175,453
2070-0159	1729	<u>1,786,153</u>
Total to be consolidated:		1,998,248

As a part of the consolidation effort, EPA also reviewed the information collections contained in the regulations and reevaluated all the burden estimates. The results of the Agency's consolidation effort is a revised total burden of 741,261 burden hours for the PCB regulations, which results in a net reduction from the burden currently approved. OMB approved the consolidated ICR on 08/29/01.

**Change in Burden:** -1,256,987 hours

**Agency:** **Department of Justice**  
**OMB Control No.:** 1115-0192  
**Title:** TVS Pilot Non-Citizen Employees Employment Status Rep  
**Purpose of the Collection:** The Telephone Verification System (TVS) allowed employers to confirm the employment eligibility of their newly hired non-citizen employees. The system removed the guesswork from document review during the Form I-9 process and protected jobs for authorized U.S. workers. The TVS information was used by the INS to determine which regional center(s) should participate in the pilot program.  
**How Reduction Achieved:** This information collection was part of a pilot program which was terminated by the INS program September 2000.

**Change in Burden:** -32,016 hours

**Agency:** **Department of Transportation**  
**OMB Control No.:** 2115-0613  
**Title:** Waste Management Plans, Refuse Discharge Logs, and  
**Purpose of the Collection:** The information is collected from owners, operators, masters, and persons-in-charge of vessels. This is a record-keeping requirement. Vessels operators of oceangoing ships of 40 feet in length or more are required to maintain refuse record books.  
**How Reduction Achieved:** Changes occurred when three collections were combined, which have been modified to harmonize with MARPOL 73/78. A proposed rulemaking titled "Pollution Prevention for oceangoing Ships and Certain Vessels in Domestic Service" would change the requirements in 33 CFR 151.55 from ships 12.2 meters in length and engaged in domestic and international voyages to ships that are 400 gross tons and engaged in international voyages. The rule decreased the annual number of respondents and responses.

**Change in Burden:** -466,971 hours

**Agency:** **Department of Labor**  
**OMB Control No.:** 1215-0072  
**Title:** OFCCP Record-keeping and Reporting Requirements.  
**Purpose of the Collection:** The Office of Federal Contract Compliance Programs (OFCCP) is responsible for the administration of equal opportunity programs prohibiting employment discrimination and requiring affirmative steps to ensure equal employment opportunity. All record-keeping, forms, and reporting requirements originate from the regulations implementing these programs. The OFCCP regulations impose a record-keeping and a reporting burden on Federal contractors. Federal contractors must develop, update, and maintain Affirmative Employment Plans. Federal contractors also must file the annual required EEO-1 Report.  
**How Reduction Achieved:** Streamlining regulations.

**Change in Burden:** -2,835,510 hours

**Eliminating Redundancy**

**Agency:** Department of the Treasury  
**OMB Control No.:** 1545-1512  
**Title:** Form 1040 IRS e-file Program  
**Purpose of the Collection:** Revenue Procedure 98-50 informed those who participate in the Form 1040 IRS e-file Program of their obligations to the Internal Revenue Service, taxpayers, and other participants.  
**How Reduction Achieved:** Revenue Procedure 98-50 along with Revenue Procedure 98-51 was eliminated.  
**Change in Burden:** -2,273,932 hours

**Agency:** Department of the Treasury  
**OMB Control No.:** 1545-0092  
**Title:** U.S. Income Tax Return for Estates and Trusts  
**Purpose of the Collection:** Form 1041 is used by the IRS to determine that the estates, trusts, and beneficiaries filed the proper returns and paid the correct tax.  
**How Reduction Achieved:** Form 1041 (Schedule D) was revised and simplified to make it easier for taxpayers to compute capital gains and losses.  
**Change in Burden:** -4,549,925 hours

**Simplifying Forms**

**Agency:** Department of Interior  
**OMB Control No.:** 1010-0140 (replaces #1010-0022)  
**Title:** Report of Sales and Royalty Remittance (Form MMS-2014)  
**Purpose of the Collection:** Form MMS-2014 is used for reporting oil and gas royalties, certain rents, and other lease-related transactions to MMS.  
**How Reduction Achieved:** During the reengineering of the Minerals Revenue Management's core business processes, the MMS developed a new Form MMS-2014 to incorporate revised reporting requirements that reduced the volume of lines reported and processed, and minimized errors and related error correction workloads. This new form will replace the existing Form MMS-2014 that is approved under OMB Control #1010-0022.  
**Change in Burden:** -55,229 hours

**Using Information Technology**

**Agency:** Department of Education  
**OMB Control No.:** 1845-0001  
**Title:** Free Application for Federal Student Aid (FAFSA)  
**Purpose of the Collection:** Application collects identifying and financial information from students applying for Federal student aid for post-secondary education.  
**How Reduction Achieved:** Although ED adjusted the projected application volumes based on actual 2000-2001 data, a further reduction was due to the ongoing changes in the type of application filed. More students selected the electronic and/or Renewal formats in lieu of the more burdensome paper FAFSA.  
**Change in Burden:** - 402,118 hours

**Agency:** Department of the Treasury  
**OMB Control No.:** 1545-1309  
**Title:** U.S. Individual Income Tax Return 1040PC Format  
**Purpose of the Collection:** Form 1040PC was a computer-generated tax return answer sheet format prepared by tax preparation software. Form 1040PC was an alternative method of filing Form 1040. It offered direct deposit for taxpayers to have their refunds deposited into their personal savings or checking accounts  
**How Reduction Achieved:** IRS dropped the paper 1040PC format in 2001 by a News Release dated May 23, 2000, so that the users would take steps to file electronically.  
**Change in Burden:** -1,875,681 hours

**Statutory Reductions**

**Agency:** Department of Agriculture  
**OMB Control No.:** 0584-0009  
**Title:** Food Stamp Accountability Report, FNS-250  
**Purpose of the Collection:** Accounting for Food Stamp Program coupon inventory  
**How Reduction Achieved:** Congress mandated use of Electronic Benefit Transfer (EBT) system, which eliminates the need for coupons.  
**Change in Burden:** -40,032  
**Statute Title and PL#:** P. L. 104-193, section 825, Personal Responsibility and Work Opportunity Reform Act

**Agency:** Environmental Protection Agency  
**OMB Control No.:** 2050-0144  
**Title:** Risk Management Program Requirements and Petitions to Modify the List of Regulated Substances under Section 112(r) of the Clean Air Act (CAA) (EPA ICR # 1656.06)  
**Purpose of the Collection:** Under Section 112(r) of the CAA, as amended, sources must register, document risk management programs, and submit risk management plans to EPA by June 21, 1999. These regulations are codified in 40 CFR Part 68. EPA modified the regulations to conform to the fuels provision of the Chemical Safety Information, Site Security and Fuels Regulatory Act. The rule revised the list of regulated flammable substances to exclude those substances when used as a fuel or held for sale as a fuel at a retail facility.  
**How Reduction Achieved:** About half of the regulated universe was dropped because of this modification to the rule, therefore the burden was reduced.  
**Change in Burden:** -63,200 hours  
**Statute Title and PL#:** Chemical Safety, Information, Site Security and Fuels Regulatory Act.

**Agency:** Department of Labor  
**OMB Control No.:** 1205-0308  
**Title:** Planning and Reporting Requirements for JTPA, Section 401, Indian and Native American Grantees (Both Title IV-A and Title II-B)  
**Purpose of the Collection:** Used to evaluate the overall progress of the program and to ensure compliance with applicable laws and regulations.  
**How Reduction Achieved:** Program Change - Job Training Partnership Act Program Expired.  
**Change in Burden:** -95,935 hours  
**Statute Title and PL#:** Job Training Partnership Act, PL 102-367, 20 CFR, Part 632

**Agency:** Department of Labor

**OMB Control No.:** 1210-0114  
**Title:** Disclosures by Insurers to General Account Policyholders  
**Purpose of the Collection:** The purpose of the information collection included in the regulation at 29 CFR 2550.401c-1 is to clarify which assets held by insurers constitute assets of the plan for purposes of Part 4 of Title I of ERISA.  
**How Reduction Achieved:** The Small Business Job Protection Act of 1996 amended the Employee Retirement Income Security Act of 1974 (ERISA) by adding a new section 401(c), which clarified the application of ERISA to insurance company general accounts. The new provision required that certain steps be taken by insurance companies that offer and maintain policies for private sector employee benefit plans where assets are held in the general account, and required the Department to issue interpretive guidance. The final rule requires that certain disclosures be provided at the outset of the contract and annually, and that other disclosures be provided on request. The burden reduction reflects the fact that the one-time disclosures required by the January 5, 2000 final rule would have been completed. The remaining burden is for ongoing disclosure requirements.  
**Change in Burden:** -737,702 hours  
**Statute Title and PL#:** Employee Retirement Income Security Act as amended (Pub. L. 93-406), Small Business Job Protection Act of 1996 (Pub. L. 104-188)

**Agency:** **Department of Labor**  
**OMB Control No.:** 1218-0245  
**Title:** Ergonomic Program Standard - (29 CFR 1910, Subpart Y)  
**Purpose of the Collection:** Collection discontinued.  
**How Reduction Achieved:** Under the Congressional Review Act, Congress passed, and President signed, Public Law 107-5, disapproving OSHA's final Ergonomics Program  
**Change in Burden:** -40,582,309 hours  
**Statute Title and PL#:** Congressional Review Act, Public Law 107-5

**Other Reductions**

**Agency:** **Department of Commerce**  
**OMB Control No.:** 0607-0176  
**Title:** Survey of Pollution Abatement Costs & Expenditures  
**Purpose of the Collection:** This survey collects information on capital expenditures and operating costs for pollution prevention and treatment from sample establishments in manufacturing, mining, and electrical utilities.  
**How Reduction Achieved:** The decrease in burden is attributable to the survey expiring during FY 2001. It will not be conducted during FY 2002.  
**Change in Burden:** -90,125 hours

**Agency:** **Department of Commerce**  
**OMB Control No.:** 0607-0778  
**Title:** Long Term Care Survey  
**Purpose of the Collection:** The LTC will seek to gather information from elderly persons interviewed in previous LTC surveys and newly included elderly sample respondents on their health and functional status, informal care support, socio-demographics, housing, health service use and economic status.

Duke University will use the data and combine it with the data collected from prior LTC surveys to determine how people's health care

needs change over time. Duke will also link the survey data to Medicare Part A files and Medicaid files (under agreement with the Health Care Financing Administration) for additional analyses concerning the interrelationships between health status and use of services. Planners and policy makers also use data from the survey to conduct research to improve Medicare services and to plan for a sound future for the Medicare program.

**How Reduction Achieved:** The decrease in burden is attributable to the survey expiring during FY 2001. It will not be conducted during FY 2002.  
**Change in Burden:** -10,131 hours

**Agency:** **Department of Education**  
**OMB Control No.:** 1840-0740  
**Title:** Application Package for Gaining Early Awareness and Readiness for Undergraduate Programs (Gear-up)  
**Purpose of the Collection:** The application package requests programmatic and budgetary information needed to evaluate new applications, make funding decisions, and evaluate the performance of grantees.  
**How Reduction Achieved:** The application will not be needed since there will be no competition in 2002.  
**Change in Burden:** - 42,000 hours

**Agency:** **Department of Housing and Urban Development**  
**OMB Control No.:** 2502-0082  
**Title:** Recertification of Family Income & Composition  
**Purpose of the Collection:** The Secretary is authorized to make assistance payments to qualified homeowners annually (or more frequently as deemed necessary) for the purpose of adjusting the amount of assistance payments. The recertification information is submitted by homeowners to mortgagees to determine their continued eligibility for assistance and to determine the amount of assistance a homeowner is to receive.  
**How Reduction Achieved:** The Section 235 Program has been eliminated due to lack of funding.  
**Change in Burden:** -92,287 hours

**Agency:** **Department of Commerce**  
**OMB Control No.:** 0607-0809  
**Title:** Generic Clearance for MAF & TIGER Updating Activity  
**Purpose of the Collection:** The Census Bureau maintains a generic clearance for a number of activities it conducts to create and update its Master Address File (MAF) and maintain the linkage between the MAF and the Topologically Integrated Geographic Encoding and Referencing (TIGER) database of address ranges and associated geographic information. The Census Bureau plans to use the MAF for post-Census 2000 evaluations and as a sampling frame for the American Community Survey and our other demographic current surveys. In the past, the Census Bureau has built a new address list for each decennial census. The MAF built during Census 2000 is meant to be kept current thereafter, eliminating the need to build a completely new address list for future censuses and surveys. The TIGER is a geographic system that maps the entire country in Census Blocks with applicable address range of living quarter location information. Linking MAF and TIGER allows us to assign each address to the appropriate Census Block, produce maps as needed and publish results at the appropriate level of geographic detail.  
**How Reduction Achieved:** The decrease in burden is attributable to reduced activity under the generic clearance since the conclusion of Census 2000.

**Change in Burden:** -234,509 hours

**Agency:** Department of Commerce  
**OMB Control No.:** 0607-0856  
**Title:** U.S. Census 2000  
**Purpose of the Collection:** The United States Constitution mandates that a census of the Nation's population and housing be taken every ten years. Census data are used to reapportion the House of Representatives and redraw legislative district boundaries, ensuring that political representation is distributed accurately, and to determine funding allocations for the distribution of billions of dollars of Federal and State funds each year. Census data tell us what we know about our country; they are the definitive benchmark for virtually all demographic information used by State, local, and tribal governments, policy makers, educators, journalists, and community and nonprofit organizations.

**How Reduction Achieved:** The decrease in burden is attributable to the collection expiring during FY 2001. It will not be conducted during FY 2002.

**Change in Burden:** -26,761,200 hours

**Agency:** Department of Commerce  
**OMB Control No.:** 0607-0858  
**Title:** Census 2000 of Puerto Rico  
**Purpose of the Collection:** The United States Constitution mandates that a census of the Nation's population and housing be taken every 10 years. Title 13 of the United States Code specifies that in addition to the 50 States and the District of Columbia, the census should include Puerto Rico, the U.S. Virgin Islands, American Samoa, Guam, and the Commonwealth of the Northern Mariana Islands. Puerto Rico census data are used to redraw legislative district boundaries to ensure that political representation is distributed accurately and to determine funding allocations for the distribution of Federal and Puerto Rico funds each year. Census data will tell us what we know about Puerto Rico; they are a definitive benchmark for virtually all demographic information used by the Federal, Puerto Rico and local governments, policy makers, educators, journalists, and community and nonprofit organizations.

**How Reduction Achieved:** The decrease in burden is attributable to the collection expiring during FY 2001. It will not be conducted during FY 2002.

**Change in Burden:** -453,504 hours

**Agency:** Department of Commerce  
**OMB Control No.:** 0607-0860  
**Title:** Census 2000 of the Island Areas  
**Purpose of the Collection:** The United States Constitution mandates that a census of the Nation's population and housing be taken every 10 years. Title 13 of the United States Code specifies that in addition to the 50 States and the District of Columbia, the census should include Puerto Rico, the U.S. Virgin Islands, American Samoa, Guam, and the Commonwealth of the Northern Mariana Islands. These areas, with the exception of Puerto Rico, are collectively referred to as the Island Areas. Island Areas census data will be used by Federal agencies to fulfill many statutory data requirements and by the Island Areas to administer governmental programs.

**How Reduction Achieved:** The decrease in burden is attributable to the collection expiring during FY 2001. It will not be conducted during FY 2002.

**Change in Hours** -76,621hours

**Agency:** Department of Commerce  
**OMB Control No.:** 0607-0863  
**Title:** Census 2000, Accuracy & Coverage Evaluation  
**Purpose of the Collection:** The ACE is a national survey of sample block clusters within the 50 States, the District of Columbia, and Puerto Rico. The Bureau of the Census developed the ACE approach for measuring coverage of the population in the decennial census. In ACE, we independently count a sample of housing units and the people living in those units, then compare those results to the census. We then use this comparative information to produce final estimates of the coverage for Census 2000.  
**How Reduction Achieved:** The decrease in burden is attributable to the collection expiring during FY 2001. It will not be conducted during FY 2002.  
**Change in Burden:** -70,513 hours

**Agency:** Department of Commerce  
**OMB Control:** 0607-0869  
**Title:** Census 2000, Content Reinterview Survey  
**Purpose of the Collection:** As part of its plan to evaluate the quality of data collected in the Census 2000, the Census Bureau plans to conduct the Census 2000 Content Reinterview Survey (CRS). The evaluation of the quality of data collected in the Census 2000 is important for both data users and census planners.

Data users must have knowledge of the accuracy and reliability of the data in order to make informed decisions about how errors in the data may affect the conclusions they draw from analyzing the data. Census planners require similar information to develop and test methods to improve the overall quality of the data produced in future censuses.

The purpose of the CRS is twofold. First, it will be used to estimate response variance for most items on the census long form. To measure response variance, the reinterview will re-ask the same set of questions applying, to the extent possible, similar survey procedures and replicating a similar set of conditions. Secondly, the reinterview will be used to make historical comparisons to previous studies of census content error.

**How Reduction Achieved:** The decrease in burden is attributable to the collection expiring during FY 2001. It will not be conducted during FY 2002.  
**Change in Burden:** -10,000 hours

**Agency:** Department of Labor  
**OMB Control No.:** 1205-0360  
**Title:** Evaluation of the Impacts of Job Corps on Participants' Post-program Labor Market and Related Behaviors, Follow-up Questionnaire.  
**Purpose of the Collection:** Questionnaires will be used to measure impacts of Job Corps on participants' earnings and related behavior. Data used to estimate the benefits and cost of Job Corps.  
**How Reduction Achieved:** Program Change - Evaluation completed 10/2000.  
**Change in Burden:** -26,512 hours

**Agency:** Department of Labor  
**OMB Control No.:** 1220-0032  
**Title:** Annual Refiling Survey (ARS) (formerly called the Standard Industrial Classification (SIC) forms)  
**Purpose of the Collection:** To verify the accuracy of industry codes for business establishments covered by State Unemployment Insurance (U.I.) programs.



**How Reduction Achieved:** Fewer establishments were surveyed in Fiscal Year 2001 because the survey was limited in scope.  
**Change in Burden:** -60,299 hours

**Agency:** **Department of Labor**  
**OMB Control No.:** 1220-0042  
**Title:** Report on Occupational Employment  
**Purpose of the Collection:** The Report on Occupational Employment is a Federal/State sample survey of employment and wages by occupation of non-farm establishments that is used to produce data on current occupational employment and wages. The survey is a component in the development of employment and training programs and occupational information.

**How Reduction Achieved:** The decrease in hours was due to a small decrease in the survey sample compared to previous years and the elimination of the Response Analysis Survey (RAS).  
**Change in Burden:** -24,861 hours

#### FY 2001 Increases

##### Statutory Increases

**Agency:** **Department of Commerce**  
**OMB Control No.:** 0607-0354  
**Title:** Current Population Survey, Annual Demo Supplement  
**Purpose of the Collection:** The Census Bureau conducts the Annual Demographic Survey (ADS) every year in March in conjunction with the Current Population Survey (CPS). The Census Bureau, the Bureau of Labor Statistics, and the Department of Health and Human Services sponsor this supplement. In the ADS, we collect information on work experience, personal income and non-cash benefits, household non-cash benefits, health insurance coverage, participation in welfare reform benefits, race, and migration. ADS data are used by social planners, economists, government officials, and market researchers to gauge the social and economic well-being of the Nation.

**Why Increase Occurred:** We increased the sample size for the ADS by approximately 30,550 respondents. Congressional passage of the State Children's Health Insurance Program (SCHIP), also known as Title XXI, as part of the Balanced Budget Act of 1997, instructs the U.S. Census Bureau to provide more reliable estimates of those individuals participating in SCHIP. In response, the Census Bureau selected the CPS to be the vehicle for measuring the estimates and to increase the sample size.

**Change in Hours:** +12,730 hours  
**Statute Title and PL#:** State Children's Health Insurance Program (SCHIP), also known as Title XXI

**Agency:** **Department of Commerce**  
**OMB Control No.:** 0607-0757  
**Title:** 2002 New York City Housing & Vacancy Survey  
**Purpose of the Collection:** The Census Bureau plans to conduct the 2002 New York City Housing and Vacancy Survey (NYCHVS) under contract for the City of New York. The purpose of the survey is to measure the supply, condition, and vacancy rate of housing in the City. Vacancy rate is the primary factor in determining the continuation of rent control regulations. Other survey information is used by city and State agencies for

planning purposes as well as the private sector for business decisions. The laws of New York require such a survey to be conducted every three years.

**Why Increase Occurred:** The increase in burden is attributable to the survey being submitted as a reinstatement of a previously conducted collection.

**Change in Burden:** +11,200 hours

**Statute Title and PL#:** Local Emergency Housing Rent Control Act (Chapter 8603, Laws of New York, 1963 as amended by Chapter 657, Laws of New York, 1967) and Sections 26-414 and 26-415 of the Administrative Code of the City of New York.

**Agency:**

**OMB Control No.:**

**Title:**

**Purpose of the Collection:**

**Department of Agriculture**

0560-0052

Standards for Approval of Warehouses

CCC requires warehouse operators to meet the Standards for Approval of Warehouses to assure that CCC-owned and loan commodities are stored and handled by qualified warehouse operators with the necessary financial resources and managerial skills.

**Why Increase Occurred:** Approval of existing collection in use without an OMB control number.

**Change in Burden:** +60,546 hours

**Statute Title and PL#:** 7 CFR 1421; 7 CFR 1423; 7 CFR 1427

**Agency:**

**OMB Control No.:**

**Title:**

**Purpose of the Collection:**

**Department of Agriculture**

0581-0191

National Organic Program - Final Rule

Annually, producers/handlers of organically produced agricultural products must apply for certification to accredited USDA agents who will document adherence to the standards as verified by on-site inspectors. The certifying agents must request accreditation annually by sending documents to USDA that demonstrate compliance to regulations as verified by on-site reviews.

**Why Increase Occurred:** New program mandated by Congress.

**Change in Burden:** +574,877 hours

**Statute Title and PL#:** Organic Foods Production Act of 1990, Title XXI of the Food, Agriculture, Conservation and Trade Act of 1990 (Farm Bill), U.S.C. Title 7 Section 6503(a).

**Agency:**

**OMB Control No.:**

**Title:**

**Purpose of the Collection:**

**Department of Defense**

0704-0415

Application for DoD Common Access Card

Collected from DoD contractors is used to verify eligibility for the DoD Common Access Card. The implementation of smart card technology will provide and control access to facilities and computers.

**Why Increase Occurred:** New collection of information required by statute.

**Change in Burden:** +100,000 hours

**Statute Title and PL#:** P.L. 106-65, Section 373

**Agency:**

**OMB Control No.:**

**Title:**

**Purpose of the Collection:**

**Department of Defense**

0720-0025

TRICARE for Life Beneficiary Information Update

The information collected provides Medicare and other health insurance data in support of the TRICARE for Life Program. This information allows DoD to accurately interface with Medicare to validate Medicare Part A and Part B coverage prior to extending TRICARE benefits to eligible personnel.

**Why Increase Occurred:** New collection of information required by statute.  
**Change in Burden:** +99,600 hours  
**Statute Title and PL#:** P.L. 106-398, Section 712

**Agency:** **Environmental Protection Agency**  
**OMB Control No.:** 2040-0224  
**Title:** Information Collection Request for Filter Backwash Recycle Rule (Final Rule) (EPA ICR # 2052.01)

**Purpose of the Collection:** The Filter Backwash Recycling Rule (FBRR) requires all Public Water Systems using surface water as a source that use conventional or direct filtration to return recycled filter backwash water, sludge thickener supernatant, or liquids from dewatering process to a location where all steps in a system's conventional or direct filtration are carried out. The system must collect and maintain information on their recycling practice for review by the State. The Agency will use this information to carry out its monitoring and enforcement responsibilities under the Safe Drinking Water Act (SDWA).

**Why Increase Occurred:** New statutory requirement.  
**Change in Burden:** +66,363 hours  
**Statute Title and PL#:** Safe Drinking Water Act (P.L. 104-182)

**Agency:** **Environmental Protection Agency**  
**OMB Control No.:** 2040-0228  
**Title:** Information Collection Request for National Primary Drinking Water Regulations: Radionuclides (EPA ICR # 1972.01)

**Purpose of the Collection:** Monitoring, reporting and record-keeping requirements from public water systems and primacy agencies that apply to community water systems and State officials, which track radioactive drinking water contaminants.

**Why Increase Occurred:** The December 7, 2000 final rule establishes additional monitoring requirements and adds a standard for uranium.  
**Change in Burden:** +342,873 hours  
**Statute Title and PL#:** Safe Drinking Water Act (P.L. 104-182)

**Agency:** **Environmental Protection Agency**  
**OMB Control No.:** 2040-0236  
**Title:** Operator Certification Guidelines and Operator Certification Expense Reimbursement Grants Program (EPA ICR #1955.01)

**Purpose of the Collection:** The purpose of this information collection is to determine if States are meeting the requirements of EPA's operator certification guidelines. EPA is required under SDWA Section 1419 to make an annual determination on whether to withhold 20 percent of a State's Drinking Water State Revolving Fund (DWSRF) allotment. Information is requested from 50 States and Puerto Rico.

**Why Increase Occurred:** New statutory requirement  
**Change in Burden:** +100,808 hours  
**Statute Title and PL#:** Safe Drinking Water Act (P.L. 104-182)

**Agency:** **Environmental Protection Agency**  
**OMB Control No.:** 2070-0024  
**Title:** Tolerance Petitions for Pesticides on Food/Feed and New Inert Ingredients (EPA ICR #0597.07)

**Purpose of the Collection:** The collection of information covered by this ICR is needed to ensure that the statutory requirements related to tolerances can be met by the public and EPA. Food or feed commodities found to contain residues

of a pesticide without or in excess of established tolerances are considered adulterated, and are subject to seizure by FDA, and may result in civil penalties.

**Why Increase Occurred:** New statutory requirements under FQPA require EPA to consider new factors when setting pesticide tolerances.

**Change in Burden:** +42,600 burden hours.

**Statute Title and PL#:** Section 3 of the Federal Insecticide, Fungicide, and Rodenticide Act amended by the Food Quality Protection Act of 1996 (P.L. 104-170).

**Agency:** **Environmental Protection Agency**

**OMB Control No.:** 2070-0057

**Title:** Data Call-Ins for the Special Review and Registration Review Programs (EPA ICR #0922.06)

**Purpose of the Collection:** This information collection activity, which supports the Agency's Pesticide Special Review Program and Registration Review programs, is designed to provide EPA with the necessary data to assess whether the continued registration of an existing pesticide causes an unreasonable adverse effect on human health or the environment.

**Why Increase Occurred:** This collection was amended during the renewal to include a component covering the new Registration Review Program. The Registration Review Program is part of new statutory requirements mandated by section 3(g) of the Federal Insecticide, Fungicide, and Rodenticide Act, as amended by the Food Quality Protection Act which directs EPA to periodically review existing pesticide registrations.

**Change in Burden:** + 63,780 hours

**Statute Title and PL#:** Section 3 of the Federal Insecticide, Fungicide, and Rodenticide Act as amended by the Food Quality Protection Act of 1996 (P.L. 104-170).

**Agency:** **Environmental Protection Agency**

**OMB Control No.:** 2070-0107

**Title:** Data Generation for Pesticide Reregistration (EPA ICR #1504.04)

**Purpose of the Collection:** Collection needed to implement the pesticide reregistration program to determine whether active pesticide ingredients initially registered before November 1, 1984, are eligible for reregistration.

**Why Increase Occurred:** This increase occurred because of program changes and adjustments related to phase 5 reregistration activities and tolerance reassessment activities mandated by the Food Quality Protection Act of 1996 (FQPA) amendments to the Federal Insecticide, Fungicide and Rodenticide Act (FIFRA) Section 4, which offset the anticipated pre-FQPA respondent burden reductions, resulting in the net increase.

**Change in Burden:** +51,843 hours

**Statute Title and PL#:** Section 4 of the Federal Insecticide, Fungicide, and Rodenticide Act as amended by the Food Quality Protection Act of 1996 (P.L. 104-170).

**Agency:** **Environmental Protection Agency**

**OMB Control No.:** 2070-0164

**Title:** Data Acquisition for Anticipated Residue and Percent Crop Treated (EPA ICR #1911.01)

**Purpose of the Collection:** Collection needed to re-evaluate the Agency's original tolerance decisions to assess whether the existing pesticide registration poses an unreasonable risk to human health or the environment. The collection and verification of data is necessary to comply with the law.

**Why Increase Occurred:** The Federal Food, Drug, and Cosmetic Act (FFDCA 408(b)(2)(E)(I) and 408(b)(2)(F)), as amended by the Food Quality Protection Act of 1996, authorizes the EPA to use anticipated or actual residue (ARs) data and the percent crop treated (PCT) data to establish, modify,

maintain, or revoke a tolerance for a pesticide residue. However, the new law also requires that tolerance decisions based on ARs or PCT data be verified to ensure that residues in or on food are not above the residue levels relied on for establishing the tolerance.

**Change in Burden:** +29,807 hours  
**Statute Title and PL#:** Sections 408(b)(2)(E)(I) and 408(b)(2)(F) of The Federal Food Drug and Cosmetic Act as amended by the Food Quality Protection Act (P.L. 104-170).

**Agency:** **Department of Justice**  
**OMB Control No.:** 1115-0071  
**Title:** Petition for Alien Fiancé(e)  
**Purpose of the Collection:** This form is used by a United States citizen to facilitate the entry of his/her fiancé(e) into the U.S. so that a marriage may be concluded. This form is also used to allow the spouse or child of a U.S. citizen to enter the U.S. as a non-immigrant.  
**Why Increase Occurred:** This form now covers two benefits. Previously, it was used only for the fiancé(e)s of United States (U.S) citizens who were seeking admission. Now it is used for the spouses of U.S. citizens seeking admission as a non-immigrant, in accordance with provisions of the Legal Immigration Family Equity Act (LIFE), section 101(a)(15)(K) of the Immigration and Nationality Act.  
**Change in Burden:** +90,000 hours  
**Statute Title and PL#:** Legal Immigration Family Equity Act (LIFE), section 101(a)(15)(K) of the Immigration and Nationality Act.

**Agency:** **Department of Justice**  
**OMB Control No.:** 1115-0163  
**Title:** Application for Employment Authorization  
**Purpose of the Collection:** The INS uses the information collected on Form I-765 to determine an applicant's statutory eligibility to receive a new or replaced Employment Authorization Document (EAD).  
**Why Increase Occurred:** The increase in burden hours for this collection is attributed to implementation of Pub. L. 106-553, Legal Immigration Family Equity Act (LIFE Act) which allowed additional aliens to use this form to apply for legalization.  
**Change in Burden:** +2,154,702 hours  
**Statute Title and PL#:** Legal Immigration Family Equity Act of 2000 (LIFE Act), Public Law 106-553

**Agency:** **Department of Justice**  
**OMB Control No.:** 1115-0166  
**Title:** Application for Benefits under the Family Unity Program  
**Purpose of the Collection:** This application provides for an automatic stay of removal and employment authorization for the spouse or unmarried child of an alien who has been granted either permanent resident status, or eligibility, or applied for adjustment of status pursuant to Section 1104(B) of Pub.L. 106-553, the Legal Immigration Family Equity Act (LIFE Act).  
**Why Increase Occurred:** The increase is attributed to implementation of the LIFE Act, Pub.L. 106-553, which provides for voluntary departure and work authorization. Additionally, after a thorough review of the process, the INS determined that the amount of time needed to complete the application had increased.  
**Change in Burden:** +47,925 hours  
**Statute Title and PL#:** Legal Immigration Family Equity Act of 2000 (LIFE Act), Public Law 106-553

<b>Agency:</b> <b>OMB Control No.:</b> <b>Title:</b> <b>Purpose of the Collection:</b>	<b>Department of Justice</b> 1115-0237 Supp. A to Form I-539 (Filing Instructions) This form is used by non-immigrants to apply for extension of stay or change of non-immigrant status or for obtaining V non-immigrant classification. The INS will use the data on this form to determine eligibility for extension of stay or change of status.
<b>Why Increase Occurred:</b>	This is a new information collection established by implementation of section 1102 of the Legal Immigration Family Equity Act of 2000, Pub.L. 106-553
<b>Change in Burden:</b> <b>Statute Title and PL#:</b>	+213,500 hours Legal Immigration Family Equity Act of 2000 (LIFE Act), Public Law 106-553
<b>Agency:</b> <b>OMB Control No.:</b> <b>Title:</b> <b>Purpose of the Collection:</b>	<b>Department of Justice</b> 1115-0239 LIFE Legalization Supplement to Form I-485 Instructions This form is used by certain class action participants applying for an adjustment in status pursuant to Pub.L. 106-553 and 8 CFR 245(a). The information collected on this form, in combination with the data collected on the Form I-485, is used by the INS to determine eligibility for the adjustment in status
<b>Why Increase Occurred:</b>	This is a new information collection established by implementation of section 1104 of the Legal Immigration Family Equity Act of 2000, Pub.L. 106-553
<b>Change in Burden:</b> <b>Statute Title and PL#:</b>	+400,000 hours Legal Immigration Family Equity Act of 2000 (LIFE Act), Public Law 106-553
<b>Agency:</b> <b>OMB Control No.:</b> <b>Title:</b> <b>Purpose of the Collection:</b>	<b>Department of Justice</b> 1115-0241 Request for Premium Processing Service The data collected on Form I-907 is used by the INS to process requests for premium processing of certain employment-based petitions or applications within 15 days in accordance with Section 286(u) of the District of Columbia Appropriations Act of 2001.
<b>Why Increase Occurred:</b>	This is a new information collection established upon implementation of the District of Columbia Appropriations Act of 2001, Pub. L. 106-553, 114 Stat. 2762, Section 286(u).
<b>Change in Burden:</b> <b>Statute Title and PL#:</b>	+40,000 hours District of Columbia Appropriations Act of 2001, Public Law 106-553; 114 Stat. 2762, Section 286(u).
<b>Agency:</b> <b>OMB Control No.:</b> <b>Title:</b> <b>Purpose of the Collection:</b>	<b>Department of Justice</b> 1121-0245 Program Guidance of EPA/NEPA This collection is required to assure that grantees under the Violent Offender Incarceration/Truth-in-Sentencing Incentive Grant Program achieve compliance with the National Environmental Policy Act of 1969 (NEPA) and related environmental statutes and executive orders. Such compliance is necessary because grant funding of construction projects constitutes a Federal action as defined under the NEPA statute. This collection was initiated following a detailed review and analysis of whether NEPA applies to this and other Department of Justice grant programs.

**Why Increase Occurred:** Prior to FY 2000, the Department of Justice did not require NEPA compliance of grantees receiving funds under formula programs. However, due to increasing Federal involvement in construction accomplished with formula funds and other factors, the Department revisited this policy and determined that compliance must be achieved. This collection was initiated as a necessary aspect of achieving compliance.

**Change in Burden:** +416,150 hours  
**Statute Title and PL#:** National Environmental Policy Act of 1969

**Agency:** **Department of Labor**  
**OMB Control No.:** 1205-0310  
**Title:** Labor Condition Application and Requirements for Employer Using Non-immigrants on H-1B Visas

**Purpose of the Collection:** Used by employers seeking to employ H-1B non-immigrants in specialty occupations and as fashion models will permit the DOL to meet its statutory responsibilities.

**Why Increase Occurred:** Program Change - Increase in burden hours due to an increase in applications necessitated by the 2000 Amendments to the Immigration and Nationality Act.

**Change in Burden:** +467,373 hours  
**Statute Title and PL#:** Immigrant and Nationality Act, 8USC 1101(a)(15)(H)(I)(b), 1182(n)

**Agency:** **Department of Labor**  
**OMB Control No.:** 1205-0420  
**Title:** Workforce Investment Act (WIA) Management Information and Reporting System

**Purpose of the Collection:** Selected standardized information pertaining to participants in WIA Title IB programs will be collected and reported for the purposes of general program oversight, evaluation and performance assessment.

**Why Increase Occurred:** Program Change - Information collected in this reporting system will be used in the preparation and maintenance of performance measurements for WIA grantees as required by WIA.

**Change in Burden:** +709,193 hours  
**Statute Title and PL#:** WIA, Section 185(d)(2))

**Agency:** **Department of Labor**  
**OMB Control No.:** 1205-0420  
**Title:** Workforce Investment Act (WIA) Management Information and Reporting System

**Purpose of the Collection:** Selected standardized information pertaining to participants in WIA Title IB programs will be collected and report for the purposes of general program oversight and performance assessment.

**Why Increase Occurred:** Program Change - Approval includes the customer satisfaction survey portion of the WIA performance report that was submitted but not approved in the original package to OMB.

**Change in Burden:** +49,043 hours  
**Statute Title and PL#:** WIA, Section 185(d)(2), 188

**Agency:** **Department of Labor**  
**OMB Control No.:** 1215-0197  
**Title:** Energy Employees Occupational Illness Compensation Program Act (EEOICPA) Forms.

**Purpose of the Collection:** To collect demographic, factual, medical and billing information necessary to determine entitlement to benefits under the EEOICPA.

**Why Increase Occurred:** The Energy Employees Occupational Illness Compensation Act of

2000 was enacted on October 30, 2000. The purpose of the statute is to provide for timely, uniform, and adequate compensation to covered employees and, where applicable, survivors of such employees who suffer from illnesses incurred in the performance of duty for the Department of Energy and certain of its contractors and subcontractors. The forms were developed as a result of the new Program.

**Change in Burden:** +126,693 hours  
**Statute Title and PL#:** Energy Employees Occupational Illness Compensation Program Act, P.L.106-398

**Agency:** **Department of Labor**  
**OMB Control No.:** 1218-0246  
**Title:** Bloodborne Pathogen Standard (Needlestick Safety and Prevention Act)

**Purpose of the Collection:** The changes to the Bloodborne Pathogen Standard reduce needlestick among healthcare workers and others who handle sharps.

**Why Increase Occurred:** Changes were mandated by the Needlestick Safety and Prevention Act.  
**Change in Burden:** +1,236,764 hours  
**Statute Title and PL#:** Needlestick Safety and Prevention Act, Public Law 107-121

**Agency:** **Department of Transportation**  
**OMB Control No.:** 2132-0561  
**Title:** 49 CFR Part 611 Major Capital Investment Projects  
**Purpose of the Collection:** Program evaluation and planning and regulatory compliance.  
**Why Increase Occurred:** New program.  
**Change in Burden:** +47,200 hours  
**Statute Title and PL#:** Transportation Equity Act for the 21st Century

**Agency:** **Department of Transportation**  
**OMB Control No.:** 2137-0605  
**Title:** Pipeline Integrity Mgmt in High Consequence Area  
**Purpose of the Collection:** To increase the protection to liquid pipelines for operators with less than five hundred miles of hazardous liquid pipelines that could have high consequences for pipeline accidents.  
**How Reduction Achieved:** New burden as a result of new legislation.  
**Change in Burden:** +486,000 hours  
**Statute Title and PL#:** 49 USC 60102

**Agency:** **Department of the Treasury**  
**OMB Control No.:** 1545-0099  
**Title:** U.S. Return of Partnership Income  
**Purpose of the Collection:** Form 1065 is used by IRS to verify correct reporting of partnership items and for general statistics. The information is used by partners to determine the income, loss, credits, etc., to report on their tax returns.  
**Why Increase Occurred:** The changes to Form 1065 (Schedules and Schedule K-1) were due to legislation. Changes were made for 2002 throughout the form, schedules, and instructions by adding lines, form attachments, and Code references, and deleting lines and Code references.  
**Change in Burden:** +15,444,451 hours  
**Statute Title and PL#:** Taxpayer Relief Act of 1997 P.L. 106-519; P.L. 106-170; P.L. 106-573; P.L. 106-554

**Agency:** **Department of the Treasury**  
**OMB Control No.:** 1545-0092  
**Title:** U.S. Income Tax Return for Estates and Trusts  
**Purpose of the Collection:** Form 1041 is used by the IRS to determine that the estates, trusts, and



**Why Increase Occurred:** beneficiaries filed the proper returns and paid the correct tax. The changes to Form 1041 were added due to IRC section 1(h)(2)(A), which resulted to the addition of 6 lines, 1 form attachment, and 3 Code sections.

**Change in Burden:** +13,935,330 hours  
**Statute Title and PL#:** Existing Code sections.

**Agency:** **Department of the Treasury**  
**OMB Control No.:** 1545-0197  
**Title:** Application for Employee Benefit Plan  
**Purpose of the Collection:** Form 5300 provides the IRS with the information necessary to verify that the sponsor (employer) has a qualified plan and may make tax deductible.

**Why Increase Occurred:** The changes are due to legislation. Form 5300 was revised to help filers and the Service better manage the volume of applications. The Service simplified its application procedures for determination letters on the qualification of pension, profit-sharing, and stock options.

**Change in Burden:** +2,621,900 hours  
**Statute Title and PL#:** P.L. 103-465; P.L. 103-353; P.L. 104-188; P.L. 105-34; P.L. 105-206;

**Agency:** **Department of the Treasury**  
**OMB Control No.:** 1545-0200  
**Title:** Application of Master or Prototype or Volume Plans  
**Purpose of the Collection:** Form 5307 provides the IRS with the information necessary to determine that the plan meets all the requirements of the applicable sections of the

**Why Increase Occurred:** The changes are due to legislation. Form 5307 was revised to help filers and the Service better manage the volume of applications. The Service simplified its application procedures for determination letters on the qualification of pension, profit-sharing, and stock options.

**Change in Burden:** +3,819,430 hours  
**Statute Title and PL#:** P. L. 103-465; P. L. 103-353; P. L. 104-188; P. L. 105-34; P. L. 105-206; and P. L. 106-554.

**Agency:** **Department of the Treasury**  
**OMB Control No.:** 1545-0675  
**Title:** Income Tax Return for Single and Joint Filers  
**Purpose of the Collection:** Form 1040EZ is used by individuals who are single or married filing a joint return with no dependents to report income subject to tax and to compute their correct tax liability.

**Why Increase Occurred:** Changes were made to Form 1040EZ and instructions by adding lines and a worksheet, and deleting a line.

**Change in Burden:** +4,099,855 hours  
**Statute Title and PL#:** P.L. 107-16, Economic Growth and Tax Relief Reconciliation Act of 2001

**Agency:** **Department of the Treasury**  
**OMB Control No.:** 1545-1620  
**Title:** Additional Child Tax Credit  
**Purpose of the Collection:** Form 8812 is used to verify that respondents correctly figured the refundable credit.

**Why Increase Occurred:** Changes were made due to legislation. The burden for the Form 8812 and instructions changed due to the number of filers (change in law) and the addition of 7 lines.

**Change in Burden:** +6,185,000 hours

<b>Statute Title and PL#:</b>	Economic Growth and Tax Relief Reconciliation Act of 2001
<b>Agency:</b>	<b>Department of the Treasury</b>
<b>OMB Control No.:</b>	1545-1621
<b>Title:</b>	Form W-8 Series
<b>Purpose of the Collection:</b>	Form W-8 Series has changed the manner in which foreign persons (individuals, businesses, and other for-profit organizations, partnerships, and tax-exempt organization) must submit certifications to a withholding agent for reduction of, or exemption from, U.S. tax withholding.
<b>Why Increase Occurred:</b>	Changes were due to regulations. The changes that occurred in the four forms and instructions were the addition of 1 line, 67 Code references, and the deletion of 8 lines and 22 Code references.
<b>Change in Burden:</b>	+7,165,833 hours
<b>Statute Title and PL#:</b>	Existing Code sections
<b>Agency:</b>	<b>Department of the Treasury</b>
<b>OMB Control No.:</b>	1545-1722
<b>Title:</b>	Extraterritorial Income Exclusion
<b>Purpose of the Collection:</b>	Form 8873 - The IRS uses the information to determine who is claiming the exclusion and the amount excluded.
<b>Why Increase Occurred:</b>	Form 8873 is a new form. The FSC Repeal and Extraterritorial Income Exclusion Act of 2000 added section 114 to the Internal Revenue Code. Section 114 provides for an exclusion from gross income for certainty transaction occurring after September 30, 2000, with respect to foreign trading gross receipts.
<b>Change in Burden:</b>	+27,640,000 hours
<b>Statute Title and PL#:</b>	FSC Repeal and Extraterritorial Income Exclusion Act of 2000
<b>Agency:</b>	<b>Department of Treasury</b>
<b>OMB Control No.:</b>	1557-0220
<b>Title:</b>	Consumer Protections for Depository Institution Sales of Insurance
<b>Purpose of the Collection:</b>	Section 305 requires the banking agencies to prescribe consumer protection regulations that disclose certain information to consumers. Consumers use the disclosures to understand the risks of insurance products or annuities and some of their rights. The agencies use the information to determine compliance with the requirements.
<b>Why Increase Occurred:</b>	OCC issued regulation to implement statute.
<b>Change in Burden:</b>	+19,490 hours
<b>Statute Title and PL#:</b>	Gramm-Leach-Bliley Act, Public Law 106-102
<b>Agency:</b>	<b>Department of Treasury</b>
<b>OMB Control No.:</b>	1557-0222
<b>Title:</b>	Fair Credit Reporting Regulation - 12 CFR 41
<b>Purpose of the Collection:</b>	Section 506 of the Gramm-Leach-Bliley Act requires the banking agencies to prescribe regulations that provide notice to consumers regarding information sharing among affiliates. Consumers will use the information to determine whether they want personal information disclosed and to inform the institution of their wishes.
<b>Why Increase Occurred:</b>	OCC issued regulation to implement statute.
<b>Change in Burden:</b>	+7,855,921 hours
<b>Statute Title and PL#:</b>	Gramm-Leach-Bliley Act, Public Law 106-102
<b>Agency:</b>	<b>Department of Treasury</b>
<b>OMB Control No.:</b>	1550-0106
<b>Title:</b>	Consumer Protect. for Depository Institution Sales of Insurance
<b>Purpose of the Collection:</b>	Requires depository institutions and persons acting on their behalf to

**Why Increase Occurred:** provide certain disclosures to consumers in connection with sales of insurance.  
**Change in Burden:** Statute implemented.  
**Statute Title and PL#:** +47,286 hours  
Federal Deposit Insurance Act (section 47), 12 U.S.C. 1831x Pub. L. No. 106-102, Sec. 305

**Agency:** **Department of Treasury**  
**OMB Control No.:** 1550-0107  
**Title:** Fair Credit Reporting  
**Purpose of the Collection:** Provide disclosure to customers about institution's policy on disclosing personal information to affiliates and allow customers to opt out of sharing personal information.

**Why Increase Occurred:** Statute implemented.  
**Change in Burden:** +4,164,867 hours  
**Statute Title and PL#:** Fair Credit Reporting Act, 15 U.S.C. 1681s

**Other Increases**

**Agency:** **Department of Commerce**  
**OMB Control No.:** 0607-0876  
**Title:** Census 2000, Race Question Evaluation  
**Purpose of the Collection:** This survey is the principal vehicle for evaluating fundamental changes to the questions on race and Hispanic origin used in Census 2000. This survey is critical to implementing the OMB guidance on Aggregate and Allocation of Data on Race for Use in Civil Rights Monitoring.

**Why Increase Occurred:** The increase in burden is attributable to the survey being submitted as new in FY 2001.  
**Change in Burden:** +20,833 hours

**Agency:** **Department of Commerce**  
**OMB Control No.:** 0607-0879  
**Title:** Census 2000, Count Question Resolution Program  
**Purpose of the Collection:** After the release of Census 2000 redistricting data, some governmental entities may seek to challenge these official Census 2000 counts. The Census Bureau implemented the Census 2000 Count Question Resolution program (CQR) to address boundary, geocoding, and coverage errors that may arise through this challenge process.

**Why Increase Occurred:** The increase in burden is attributable to the survey being submitted as new in FY 2001.  
**Change in Burden:** +15,600 hours

**Agency:** **Department of Commerce**  
**OMB Control:** 0607-0883  
**Title:** 2002 Economic Census Classification Report  
**Purpose of the Collection:** The Census Bureau implemented the new North American Industry Classification System (NAICS) for the 1997 Economic Census to replace the 1987 Standard Industrial Classification (SIC) system. The NAICS has been revised for the 2002 Economic Census. Many of the revisions significantly impact the Construction Sector. In order to provide detailed construction industry statistics reflecting NAICS revisions for the 2002 Economic Census, the Census Bureau will use the NC- 99026, 2002 Economic Census Classification Report, to collect additional information from a sample of construction businesses. Specifically, the Census Bureau will select a sample from the following groups of establishments: (1) any single-unit

construction establishment that is only partially coded or (2) any single-unit construction establishment that is currently classified in a NAICS industry that will be split into two or more NAICS industries for the 2002 Economic Census. The information collected will be used to assign the appropriate NAICS codes, update the Business Register (Standard Statistical Establishment List (SSEL)) and mailing list, improve the sampling frame, and ensure that the correct form is delivered during the initial mailing for the census. This information will be collected in 2001 (prior to the census).

During the 2002 Economic Census, the NC-99026 questionnaire also will be used to obtain classification information from partially coded small single-unit manufacturing, mining, and construction establishments, and construction establishments not receiving either a classification report form in 2001 or a more detailed Census of Construction form in the 2002 Economic Census.

**Why Increase Occurred:**

The increase in burden is attributable to the survey being submitted as new in FY 2001.

**Change in Burden:**

+13,333 hours

**Agency:**

**Department of Commerce**

**OMB Control No.:**

0607-0884

**Title:**

2002 Economic Census General Classification Report

**Purpose of the Collection:**

Accurate and reliable industry and geographic codes are critical to the Census Bureau's economic statistical programs. New businesses are assigned industry classifications by the Social Security Administration (SSA). Approximately 4 percent of these businesses cannot be assigned industry codes because insufficient information is provided on the Internal Revenue Service (IRS) Form SS-4. Since the 1997 Economic Census, the number of unclassified businesses has grown to almost 250,000. In order to provide detailed industry data for the 2002 Economic Census and the Business Register (Standard Statistical Establishment Listing (SSEL)), these unclassified businesses must be assigned North American Industry Classification System (NAICS) codes. During the 2002 Economic Census, the NC-99023, 2002 Economic Census General Classification Report will be used to collect information from unclassified single-unit establishments. In 2001, the year prior to the census, this form will be used to collect information from: 1) establishments with a significant amount of receipts but no payroll; 2) new businesses with a large amount of payroll, but insufficient industry classification; and 3) establishments that have been previously classified as farms, but report large amounts of non-farm payroll.

Establishments with significant receipts but no payroll are normally excluded from the economic census. This data collection will determine accurate NAICS codes and identify whether or not these establishments are within the scope of the 2002 Economic Census. New business classifications by the SSA are not always fully coded because of insufficient information. This operation will assign NAICS codes to the unclassified units and ensure that the appropriate form will be mailed to the businesses during the census. In addition, establishments currently classified as farms but reporting substantial amounts of non-farm payroll may be incorrectly classified and excluded from the 2002 Economic Census.

**Why Increase Occurred:**

The increase in burden is attributable to the survey being submitted as

new in FY 2001.  
**Change in Burden:** +38,333 hours

**Agency:** Department of Commerce  
**OMB Control No.:** 0607-0888  
**Title:** 2002 Census of Governments, Local Govt. Directory  
**Purpose of the Collection:** The Local Government Directory Survey will be used to update the universe list of public sector entities for the 2002 Census of Governments. Each of the 90,000 county governments, consolidated city-county governments, independent cities, towns, townships, special district governments, and public school systems designated for the census will be sent an appropriate form. Respondents will be asked to verify or correct the name and mailing address of the government.

**Why Increase Occurred:** The increase in burden is attributable to the survey being submitted as new in FY 2001.

**Change in Burden:** +22,500 hours

**Agency:** Department of Agriculture  
**OMB Control No.:** 0584-0064  
**Title:** FS Application Reporting Systems, and Notices  
**Purpose of the Collection:** The Food Stamp Act of 1977, as amended, requires certain administrative requirements on State agencies in administering the Program. Information must be collected from households to assure they are eligible for the Program and that they receive the correct amount of food stamp benefits.

**Why Increase Occurred:** Several laws were enacted that shifted responsibility for some of the collections and directly or indirectly reduced burden for some of the collections, but also added new collection items.

**Change in Burden:** +909,448 hours

**Agency:** Department of Agriculture  
**OMB Control No.:** 0579-0101  
**Title:** Scrapie Flock Certification  
**Purpose of the Collection:** This information is for the implementation and operation of the Voluntary Scrapie Flock Certification Program. The program uses animal identification, flock management strategies, restrictions on interstate movement, and indemnification to prevent the interstate spread of scrapie, an infectious disease of sheep and goats.

**Why Increase Occurred:** Because the final rule contains an information collection requirement that was not included in the proposed rule. Additional requirements were placed on owners, changes in definitions expanded the number of animals affected by program requirements, and changes from a fixed rate indemnity procedure to a market value approach required increased information from producers.

**Change in Burden:** +65,680 hours

**Agency:** Department of Agriculture  
**OMB Control No.:** 0579-0158  
**Title:** Importation of Fruits and Vegetables  
**Purpose of the Collection:** This collection provides assurance that fruits and vegetables imported into the U.S. have been inspected, are considered to be free from plant pests, and are otherwise eligible for importation under U.S. phytosanitary laws and regulations.

**Why Increase Occurred:** USDA determined that use of phytosanitary certificates, an internationally accepted assurance of pest mitigation would increase protection against incursion and dissemination of destructive plant

pests in the U.S.  
+11,400 hours

**Change in Burden:**

**Agency:** Department of Agriculture  
**OMB Control No.:** 0581-0031  
**Title:** Reporting and Record-keeping Requirements Under PACA  
**Purpose of the Collection:** To establish a code of fair trading practices covering the marketing of fresh & frozen fruits and vegetables. It protects growers, shippers, & distributors by prohibiting unfair practices.  
**Why Increase Occurred:** New category of respondents. As the result of a court decision, restaurants were found to be dealers under PACA, and were therefore subject to PACA licensing requirements.  
**Change in Burden:** +36,767 hours

**Agency:** Department of Defense  
**OMB Control No.:** 0704-0418  
**Title:** Personnel Security Clearance Change Notification  
**Purpose of the Collection:** The form is used by contractors participating in the National Industrial Security Program to report various changes in employee personnel clearance status or identification information.  
**Why Increase Occurred:** New collection of information.  
**Change in Burden:** +45,160

**Agency:** Department of Education  
**OMB Control No.:** 1810-0639  
**Title:** Applications for Grants under the Teaching American History Program  
**Purpose of the Collection:** The Teaching American History Program competitively awards grants to local educational agencies to raise student achievement by improving teacher's knowledge, understanding and appreciation of American history. The application provides key information used to make decisions regarding the awarding of grants to local education agencies for the purpose of upgrading the quality of American history instruction.  
**Why Increase Occurred:** This application form is a new collection that was developed to request the information needed to evaluate applicants for the grants.  
**Change in Burden:** +30,000 hours

**Agency:** Department of Education  
**OMB Control No.:** 1840-0762  
**Title:** Annual Performance Report for the Upward Bound, Upward Bound Math/Science, and Veterans Upward Bound Programs  
**Purpose of the Collection:** The information collected on this report is used to evaluate grantees.  
**Why Increase Occurred:** This is a new collection that was developed to meet the need to consider an applicant's prior experience as well as collect quantifiable data needed to respond to the requirements of GPRA. (The form that had been used was primarily in narrative format and did not adequately meet these needs.)  
**Change in Burden:** +13,500 hours

**Agency:** Department of Education  
**OMB Control No.:** 1875-0195  
**Title:** Redesignation of Students Served by Title VII Projects  
**Purpose of the Collection:** The Redesignation form collects data, student characteristics, and provides a student count for students who have exited Title VII projects.

**Why Increase Occurred:** This is a new collection that was developed to collect information on the rate at which students transition from special language programs into mainstream classes.

**Change in Burden:** +15,408 hours

**Agency:** **Environmental Protection Agency**  
**OMB Control No.:** 2040-0230  
**Title:** Information Collection Request for Best Management Practices Alternatives, Effluent Limitations Guidelines and Standards, Oil and Gas Extraction Point Source Category (40 CFR Part 435) (EPA ICR # 1953.02)

**Purpose of the Collection:** The information collection requirements are related to the optional use of Best Management Practices (BMPs) in order to reduce cuttings monitoring for the Oil and Gas Extraction Point Source Category (40 CFR Part 435). BMPs include methods to prevent toxic and hazardous pollutants from reaching receiving waters and may also include the universe of pollution prevention encompassing production modifications, operational changes, material substitution, materials and water conservation, and other such measures.

**Why Increase Occurred:** EPA published final effluent limitations guidelines and standards for the Oil and Gas Extraction Point Source Category on January 22, 2001 (66 FR 6850). This new regulation included these new burden changes.

**Change in Burden:** +47,168 hours

**Agency:** **Environmental Protection Agency**  
**OMB Control No.:** 2040-0231  
**Title:** National Primary Drinking Water Regulations: Arsenic and Clarifications to Compliance and New Source Contaminants Monitoring (EPA ICR # 1948.02)

**Purpose of the Collection:** Arsenic final rule: Adds monitoring reporting and recordkeeping requirements that apply to the owners and operators of drinking water systems and State officials who track arsenic in drinking water.

**Why Increase Occurred:** The January 22, 2001, final rule lowered the arsenic standard and added another group of drinking water systems who are subject to the standard.

**Change in Burden:** +667,179 hours

**Agency:** **Environmental Protection Agency**  
**OMB Control No.:** 2050-0139  
**Title:** Reporting and Recordkeeping Requirements under WasteWise Program (EPA ICR #1698.04)

**Purpose of the Collection:** The WasteWise program is an EPA voluntary program that encourages companies; trade associations; non-profit organizations; Federal, State, local, and tribal governments; schools, colleges, and universities to engage in waste reduction activities. WasteWise focuses on three waste reduction areas: waste prevention, recycling collection, and purchasing or manufacturing recycled-content products.

**Why Increase Occurred:** WasteWise is a voluntary program that gets new partners every year. The ICR assumes an increase in the number of respondents based on past years.

**Change in Burden:** +24,193 hours

**Agency:** **Environmental Protection Agency**  
**OMB Control No.:** 2050-0172  
**Title:** Distribution of Off-site Consequence Analysis Information under Section 112(r) of the Clean Air Act (EPA ICR #1981.01)

**Purpose of the Collection:** Under Section 112(r) of the CAA, as amended, sources must register, document risk management programs, and submit risk management plans (RMP) to EPA by June 21, 1999. These regulations are codified in 40 CFR Part 68. The RMP includes information on the off-site consequence analysis (OCA), as well as other elements of the risk management program. EPA has made all RMP data except the OCA information available to the public on the Internet through system called RMPInfo. EPA published a final rule to provide access to OCA information for the members of the public, provided they meet certain criteria (ex: provide personal identification and sign-in at Federal reading rooms). This ICR also includes burden on State and local officials deciding to obtain OCA information by submitting a written request to EPA for OCA information.

**Why Increase Occurred:** Burden increased from estimating the members of the public to provide identification and the State and local officials to submit written request to EPA for OCA information.

**Change in Burden:** +99,518 hours

**Agency:** **Environmental Protection Agency**  
**OMB Control No.:** 2060-0264  
**Title:** Application Requirements for the Approval and Delegation of Federal Air Toxics Programs to State, Territorial, Local, and Tribal Agencies (EPA ICR #1643.04)

**Purpose of the Collection:** The 40 CFR part 63, subpart E amended regulations offer five options for State, territorial, local, and tribal agencies to accept delegation of the section 112 standards. The State, local, and tribal agencies must demonstrate to the EPA that it has the ability to implement the Federal standards in an effective manner.

**Why Increase Occurred:** New requirements.  
**Change in Burden:** +21,912 hours

**Agency:** **Environmental Protection Agency**  
**OMB Control No.:** 2060-0427  
**Title:** Small Spark Ignition Engine Manufacturers Production Line Testing (EPA ICR #1845.02)

**Purpose of the Collection:** Conduct routine emission testing and submit results from production line engines.

**Why Increase Occurred:** New program.  
**Change in Burden:** +80,383 hours

**Agency:** **Environmental Protection Agency**  
**OMB Control No.:** 2060-0434  
**Title:** National Emission Standard for Hazardous Air Pollutants: Manufacture of Amino/Phenolic Resins (EPA ICR #1869.02)

**Purpose of the Collection:** Respondents are owners and operators of Amino/Phenolic Resin production operations. Respondents must submit one-time reports of initial performance tests and semiannual reports of noncompliance. Recordkeeping of parameters related to air pollution control technologies is required. The reports and records will be used to demonstrate compliance with the standards.

**Why Increase Occurred:** New requirement  
**Change in Burden:** +32,252 hours

**Agency:** **Environmental Protection Agency**  
**OMB Control No.:** 2060-0445



**Title:** Emission Requirements for Ozone SIP Revisions (or Associated Federal Implementation Plans) Relating to Statewide Budgets for Nox Emissions to Reduce the Regional Transport of Ozone (EPA ICR #1857.02)

**Purpose of the Collection:** Statewide ozone season NO<sub>x</sub> emissions budgets, based on the recommendations of the Ozone Transport Assessment Group (OTAG), are required for 21 States and the District of Columbia. Starting in 2003, these States are required to electronically report data to EPA to demonstrate progress toward achieving their budgets, which must be met by 2007. To facilitate the emissions reductions, EPA will encourage sources to participate in an emissions trading program with associated reporting requirements.

**Why Increase Occurred:** New reporting requirements.

**Change in Burden:** +284,746 hours

**Agency:** **Environmental Protection Agency**

**OMB Control No.:** 2060-0450

**Title:** Reporting and Recordkeeping Requirements for Standards of Performance for the New Stationary Sources: Commercial and Industrial Solid Waste Incineration (CISWI) Units (Subpart CCC) (EPA ICR #1926.02)

**Purpose of the Collection:** Respondents are owners or operators of CISWI units. All respondents must conduct initial and annual stack tests, establish and continuously monitor operating parameters, prepare a waste management plan, prepare a siting analysis, and conduct operator training and qualification. The information will be used to ensure that the new source performance standards for commercial and industrial solid waste incineration units are being achieved on a continuous basis.

**Why Increase Occurred:** New requirement

**Change in Burden:** +11,209 hours

**Agency:** **Environmental Protection Agency**

**OMB Control No.:** 2060-0443

**Title:** Reporting and Record-keeping Requirements of the Consolidated Federal Air Rule for the Synthetic Organic Chemical Manufacturing Industry (EPA ICR # 1854.02)

**Purpose of the Collection:** Regulatory or Compliance.

**Why Increase Occurred:** This was a rule-related ICR, so the increase in the burden hours is attributed to the promulgation of a new rule. The new regulation (40 CFR Part 65) was effective as of 12/14/00 and the final rule-related ICR approved 1/19/01.

**Change in Burden:** +427,046 hours

**Agency:** **Environmental Protection Agency**

**OMB Control No.:** 2070-0072

**Title:** Asbestos Abatement Worker Protection Rule Amendment (EPA ICR#1246.08)

**Purpose of the Collection:** EPA's asbestos worker protection rule (40 CFR Part 763 subpart G) is designed to provide occupational exposure protection to State and local government employees who are engaged in asbestos abatement activities and other asbestos-related work activities in States that do not have State plans approved by the Occupational Safety and Health Administration (OSHA). The rule provides protection for public employees not covered by the OSHA standard from the adverse health effects associated with occupational exposure to asbestos.

**Why Increase Occurred:** EPA amended the asbestos worker protection rule to provide the same level of protection to State and local government employees not covered by an OSHA-approved State plan as non-government employees and State and local government employees covered by an OSHA-approved State plan. EPA provides this protection by incorporating OSHA's Asbestos Standards for Construction and for General Industry in the asbestos worker protection rule.

**Change in Burden:** +389,156 hours

**Agency:** **Department of Housing and Urban Development**  
**OMB Control No.:** 2577-0237  
**Title:** Public Housing Assessment System (PHAS)  
**Purpose of the Collection:** A Public Housing Agency (PHA) which is designated troubled or substandard under the Public Housing Agency System (PHAS) must enter into a Memorandum of Agreement with HUD to outline its planned improvements. Plans are designed to address deficiencies in a PHA's operations found through the PHAS assessment process.

**Why Increase Occurred:** Regulations established seven specific indicators and directed the Secretary to develop no more than five other factors deemed appropriate to assess the management performance of PHAs in all major areas of management operations. This is a new program.

**Change in Burden:** +34,026 hours

**Agency:** **Department of Interior**  
**OMB Control No.:** 1010-0145  
**Title:** Survey—Gulf of Mexico Labor Needs  
**Purpose of the Collection:** The oil and natural gas exploration and production industry affects local community and regional economies primarily through their wage and salary payments and expenditures for goods and services. For this reason, accurate measures of the labor and industrial activities resulting from MMS's Outer Continental Shelf (OCS) program are critical to the agency management process. This information is also important to State and local governments concerned about possible impacts from rapid growth in the oil and natural gas industry. This survey will provide regularly updated (5-year intervals) valid and reliable data for the model used to project the regional economic effects of OCS lease sales.

**Why Increase Occurred:** New socio-economic survey.  
**Change in Burden:** +10,792 hours

**Agency:** **Department of Interior**  
**OMB Control No.:** 1018-0109  
**Title:** Federal Aid Grant Application Booklet – 50 CFR 80  
**Purpose of the Collection:** Information from the application is used by the FWS to consider granting Federal assistance under the grant programs authorized by the Federal Aid in Wildlife Restoration Act, the Federal Aid in Sport Fish Restoration Act, the Anadromous Fish Conservation Act, the Endangered Species Act, the Clean Vessel Act, the Sportfishing and Boating Safety Act, and the Coastal Wetlands Planning, Protection and Restoration Act.

**Why Increase Occurred:** An internal DOI review identified this as an ongoing collection without OMB approval, which was obtained in January 2001. The newly reported and approved hours are not new burden on the public, but more accurately reflect ongoing FWS information collection activities.

**Change in Burden:** +283,500 hours

<b>Agency:</b>	<b>Department of Interior</b>
<b>OMB Control No.:</b>	1029-0048
<b>Title:</b>	Permanent program performance standards – underground mining activities -- 30 CFR 817
<b>Purpose of the Collection:</b>	The regulations at 30 CFR Part 817 implement sections 516, 517(b), and 720 of SMCRA by establishing performance standards governing the surface effects and hydrologic impacts of underground mining operations, replacement of water supplies adversely impacted by those operations, and correction of subsidence-related material damage to lands and structures. The information collected is used by the regulatory authority to monitor and inspect surface coal mining activities to ensure that they are conducted in compliance with the requirements of the Act.
<b>Why Increase Occurred:</b>	OSM inadvertently omitted some burden associated with third-party record-keeping requirements and coal mine operator responsibility for preparing findings and surveys. This programmatic change did not increase burden on respondents, merely identified those burdens not previously reported.
<b>Change in Burden:</b>	+ 16,603 hours
<b>Agency:</b>	<b>Department of Interior</b>
<b>OMB Control No.:</b>	1029-0115 (replaces #1029-0041)
<b>Title:</b>	Requirements for permits and permit processing -- 30 CFR 773
<b>Purpose of the Collection:</b>	This collection activity requires that permit applications be reviewed by the regulatory authority prior to their approval or denial. It also ensures that the public has the opportunity to review permit applications prior to their approval, and that applicants or their associates who are in violation of the Surface Mining Control and Reclamation Act do not receive surface coal mining permits pending resolution of their violations.
<b>Why Increase Occurred:</b>	Part of OSM re-engineering effort for final rules on Ownership and Control, which impose increased burden for this part.
<b>Change in Burden:</b>	+9,363 hours (+11,272 hours for #1029-0115 and -1,909 hours for #1029-0041)
<b>Agency:</b>	<b>Department of Interior</b>
<b>OMB Control No.:</b>	1076-0154
<b>Title:</b>	Funds Held in Trust for Tribes and Individuals -- 25 CFR 115
<b>Purpose of the Collection:</b>	Revised regulation to make managing the trust accounts easier to understand and to ensure the funds are safeguarded.
<b>Why Increase Occurred:</b>	Part of the Assistant Secretary's trust initiative. This collection was not done while the revisions were underway.
<b>Purpose of the Collection:</b>	+1,577,125 hours
<b>Agency:</b>	<b>Department of Interior</b>
<b>OMB Control No.:</b>	1076-0159 (replaces #1076-0100)
<b>Title:</b>	25 CFR 151, Acquisition of Title to Land in Trust and Tribal Land Acquisition Area
<b>Purpose of the Collection:</b>	To obtain requests to place lands into trust status.
<b>Why Increase Occurred:</b>	New BIA regulations will provide two separate processes -- one for lands on reservation, one for lands off-reservation.
<b>Change in Burden:</b>	net +31,235 hours (+68,035 hours for #1076-0159 and -36,800 hours for #1076-0100)
<b>Agency:</b>	<b>Department of Justice</b>
<b>OMB Control No.:</b>	1110-0035

**Title:** State POC Final Determination Electronic Submission

**Purpose of the Collection:** The State POC Final Determination Electronic Submission is a means to obtain final status for transactions initiated by POC States. This information will be used for statistical purposes, for use in the Bureau of Alcohol, Tobacco and Firearms (ATF) inspections of Federal Firearms Licensees (FFLs) records, to assist in the National Instant Criminal Background Checks System (NICS) appeal process, and to enhance the performance of the NICS by giving the system the same information about determination on the checks processed by POC States, that the system has about the determination on the checks processed by the FBI.

**Why Increase Occurred:** This is a new collection.

**Change in Burden:** +74,000 hours

**Agency:** **Department of Labor**

**OMB Control No.:** 1205-0245

**Title:** Benefits Accuracy Measurement (BAM)

**Purpose of the Collection:** This data collection measures the accuracy of denied claims for Unemployment Compensating as part of the existing BAM program, which currently includes only paid Unemployment Insurance claims and interstate claims in the BAM samples of paid claims.

**Why Increase Occurred:** Program Change - The data collected in accordance with BAM methodology enables the BAM program to meet its statutory objective of strengthening the controls that prevent errors and/or fraud and abuse in the payment of Unemployment Insurance benefits.

**Change in Burden:** +180,375 hour

**Agency:** **Department of Labor**

**OMB Control No.:** 1205-0414

**Title:** Management Information System (MIS) Requirements for Youth Opportunity Grants

**Purpose of the Collection:** The MIS requirements for grantees includes collecting demographic information on enrollees, documenting services received by enrollees, and following up on enrollees as prescribed by law for at least two years after placement. Grantees will be required to provide monthly reports to the Department of Labor (DOL) on participant characteristics, services being provided and placement rates, quarterly reports to DOL on employment and earnings at follow-up.

**Change in Burden:** Program Change - In order to manage Youth Opportunity Grants and report to OMB and to Congress on the effective use of these funds, DOL will collect information on characteristics of youth enrolled, services provided, and program outcomes. Section 169 of WIA requires the use of performance measures to determine the effectiveness of the grantees.

**Purpose of the Collection:** +51,840 hours

**Agency:** **Department of Labor**

**OMB Control No.:** 1205-0421

**Title:** (Occupational Information Network) O\*NET Data Collection Program

**Purpose of the Collection:** O\*NET is replacing the Dictionary of Occupational Titles and will be used for a wide range of purposes relating to employment and training program administration, career counseling and development, training curriculum design, Employment Service job matching and referral, development of Labor Market Information, rehabilitation and disability programs, and private sector human resources functions.

**Why Increase Occurred:** Program Change - Data collection will yield information needed on worker and job characteristics to populate the O\*NET database.  
**Change in Burden:** +23,305 hours

**Agency:** Department of Labor  
**OMB Control No.:** 1205-0422  
**Title:** Reporting and Performance Standards System for Indian and Native American Programs Under Title I, Section 166 of the Workforce  
**Purpose of the Collection:** Data collection contains the basis of the new performance standards system for WIA section 166 grantees. Also includes Supplement Youth Services as well as the Comprehensive Services Program authorized  
**Purpose of the Collection:** Program Change - Used to evaluate the overall progress of the program and to ensure compliance with applicable laws and regulations. Data reported by section 166 grantees will be used to provide background material for the *Annual Employment and Training Report of the President*. It will also be used to respond to Congressional inquiries, support Congressional testimony, and indicate areas of possible improvement in performance and service to client populations.  
**Change in Burden:** +78,615 hours

**Agency:** Department of Labor  
**OMB Control No.:** 1205-0425  
**Title:** Reporting and Performance Standards System for Migrant and Seasonal Farmworker Programs Under Title I, Section 167 of the Workforce Investment Act (WI)  
**Purpose of the Collection:** Will evaluate the overall performance of the program and ensure compliance with applicable laws and regulations.  
**Why Increase Occurred:** Program Change - Used as the primary reporting and performance measurement vehicle for enrolled individuals, their characteristics, training and services provides, outcomes, including job placement and employability enhancements.  
**Change in Burden:** +88,899 hours

**Agency:** Department of Labor  
**OMB Control No.:** 1205-0426  
**Title:** Placement Verification and Follow-up of Job Corps (JC) Participants  
**Purpose of the Collection:** Follow-up data on individuals who are no longer actively participating in JC is collected. The instruments are comprised of modules that include questions designed to obtain the following information: re-verification of initial job and/or school placements; employment and educational experiences; job search activities of those who are neither working no in school; and information about former participants' satisfaction with the program.  
**Why Increase Occurred:** Program Change - To provide the National Office of Job Corps with information on the status of placed graduates (those reported as placed based on meeting specified thresholds for employment or education upon separation from the center) and re-verifies initial work and/or school placements is consistent with the recommendation by the Office of the Inspector General.  
**Change in Burden:** +17,485 hours

**Agency:** Department of Labor  
**OMB Control No.:** 1210-0039  
**Title:** Summary Plan Description Requirements under ERISA

**Purpose of the Collection:** Statutory provisions and related regulations provide employee benefit plan administrators with guidance on information required to be furnished to participants and beneficiaries of the plans so that they may be informed about the provisions of the plan, and protected in their rights.

**Why Increase Occurred:** In November of 1997 the President's Advisory Commission on Consumer Protection and Quality in the Health Care Industry issue recommendations to the President. The President subsequently directed the Secretary of Labor to implement those recommendations that fell within the Department's regulatory authority. A proposal was published in 1998, followed by the final rule on November 21, 2000. The final rule implemented certain clarifications and additions to information disclosure rules for group health plans, as recommended by the Advisory Commission.

**Change in Burden:** +66,535 hours

**Agency:** Department of Labor

**OMB Control No.:** 1210-0053

**Title:** Employee Benefit Plan Claim Procedures under the Employee Retirement Income Security Act of 1974 (ERISA)

**Purpose of the Collection:** ERISA requires employee benefit plans to establish reasonable procedures for making claims for benefits. Regulations provide guidance to plan administrators concerning what constitutes a reasonable claim procedure so that administrators will know what constitutes compliance, and claimants will know how to claim their benefits and pursue their claims effectively.

**Why Increase Occurred:** In November of 1997 the President's Advisory Commission on Consumer Protection and Quality in the Health Care Industry issued recommendations to the President. The President subsequently directed the Secretary of Labor to implement those recommendations that fell within the Department's regulatory authority. A proposal was published in 1998, followed by the final rule on November 21, 2000. The final rule implemented new standard for the processing of claims under group health plans, and clarified existing standards for other types of benefit plans. The new standards were intended to ensure more timely benefit determinations, to improve access to information on which a benefit determination is made, and to assure a full and fair review of all denied claims. The final rule will result in the modification of claim procedures and processes.

**Change in Burden:** +162,000 hours

**Agency:** Department of Labor

**OMB Control No.:** 1218-0180

**Title:** Bloodborne Pathogens -- 1910.1030

**Purpose of the Collection:** The information-collection requirements specified in the Bloodborne Pathogen Standard protect employees from the adverse health effects that can result from exposure to bloodborne pathogens, including the human immunodeficiency virus (HIV) and hepatitis B virus (HBV).

**Why Increase Occurred:** 29 CFR 1910.1030 (f) (ii) requires that employers ensure that all medical evaluations and procedures including the hepatitis B vaccine and vaccination series and post-exposure evaluation and follow-up, including prophylaxis are provided according to recommendations of the U.S. Public Health Service current at the time these evaluations and procedures take place. The Information Collection Request was updated to reflect the most current U.S. Public Health Service recommendations.

**Change in Burden:** +75,052 hours

**Agency:** **Department of Labor**  
**OMB Control No.:** 1218-0245  
**Title:** Ergonomic Program Standard - (29 CFR 1910, Subpart Y)  
**Purpose of the Collection:** The agency published an Ergonomic Program Standard to reduce the number and severity of musculoskeletal disorders associated with workplace exposure to workplace risk factors that constitute material impairments of both health and functional capacity.

**Why Increase Occurred:** Publication of a final rule.  
**Change in Burden:** +40,582,309 hours

**Agency:** **Department of Labor**  
**OMB Control No.:** 1219-0133  
**Title:** Hazard Communication  
**Purpose of the Collection:** To ensure that the mine operator develops and has in place a Hazard Communication program to inform miners of all hazards to which they are exposed, relevant symptoms and emergency treatment, and proper conditions of safety use or exposure through the use of labels or other forms of warning signs.

**Why Increase Occurred:** Prior to MSHA's Interim Final Rule on HazCom, Office of Occupational Safety and Health Administration's (OSHA's) Hazard Communication Standards (HCS) were enforced in the mining industry and in some larger mines operators implemented programs as company policy. MSHA's interim final rule on HazCom establishes uniform Federal requirements for hazard communication in the mining industry.  
**Change in Burden:** +511,721hours

**Agency:** **Department of Labor**  
**OMB Control No.:** 1220-0171  
**Title:** Survey of Respirator Use and Practice  
**Purpose of the Collection:** The National Institute for Occupational Safety and Health (NIOSH) has a need for more in-depth data that are required to evaluate the respirator certification and research program. The information obtained by the BLS from the survey will be used to help NIOSH assure that workers are properly protected when wearing respirators and that they are provided with correct and needed products. The respondents will be private sector entities.  
**Why Increase Occurred:** This is a new survey.  
**Change in Burden:** +20,000 hours

**Agency:** **Department of Labor**  
**OMB Control No.:** 1293-0009  
**Title:** VETS 300 Cost Accounting Report and Manager's Report  
**Purpose of the Collection:** The purpose of this collection is to provide data on State public employment service program expenditures. This data is used by the Veterans' Employment and Training Service (VETS) for program budgeting and administration purposes and to meet mandated reporting requirements to the President and to Congress. The Manager's Report addresses the local office compliance and performance with Federal laws.

**Why Increase Occurred:** With the implementation of the One-Stop delivery system, and the participation of partner agencies in the delivery of services to veterans, the Manager's Report had become more complex, given the time needed to research and analyze data reflecting the services provided to

veterans.  
**Change in Burden:** +19,465 hours

**Agency:** **Department of Transportation**  
**OMB Control No.:** 2120-0656  
**Title:** Airport Security, 14 CFR part 107  
**Purpose of the Collection:** Information requirements in the regulations providing for the security persons and property airports operating in commercial air transportation.  
**Why Increase Occurred:** There was a complete rewrite of the applicable regulations.  
**Change in Burden:** +512,426 hours

**Agency:** **Department of Transportation**  
**OMB Control No.:** 2120-0665  
**Title:** Safe Deposition of Life-Limited Aircraft Parts  
**Purpose of the Collection:** The purpose of this new collection is to ensure the safe control and safe disposition of life-limited parts after they have reached their mandatory operating life limits.  
**Why Increase Occurred:** Before this rule, regulations only required that records be maintained showing the current status of life remaining and are not as comprehensive as the new rule.  
**Change in Burden:** +52,000 hours

**Agency:** **Department of Transportation**  
**OMB Control No.:** 2126-0013  
**Title:** Motor Carrier Identification Report  
**Purpose of the Collection:** Motor carriers are required to complete and submit to the FMCSA a Motor Carrier Identification Report before commencing operations. The information on the Motor Carrier Identification Report is used by the FMCSA to identify its regulated entities, to help prioritize the agency's activities, and for statistical purposes.  
**Why Increase Occurred:** Interim Final Rule: Motor Carrier Identification Report (published 11/24/00, 65 FR 70509, RIN AA57) -- increase of 44,583; Final Rule on CMV definitions, effective 4/13/01, increased burden by an additional 7,000 hours.  
**Change in Burden:** +52,000 hours

**Agency:** **Department of Transportation**  
**OMB Control No.:** 2137-0018  
**Title:** Inspection & Testing of Portable Tanks & IBCs  
**Purpose of the Collection:** The requirements assure portable tanks and intermediate bulk containers (IBCs) meet required performance standards prior to being authorized for use as bulk packaging for hazardous materials.  
**Why Increase Occurred:** Docket HM-215D, Final Rule, Harmonization with the UN Recommendations, ICAO Technical Instructions, IMDG Code. This final rule revised standards for these packaging to harmonize DOT regulations with international air and vessel standards noted above.  
**Change in Burden:** +15,050 hours

**Agency:** **Department of the Treasury**  
**OMB Control No.:** 1545-0099  
**Title:** U.S. Return of Partnership Income  
**Purpose of the Collection:** Form 1065 is used by IRS to verify correct reporting of partnership items and for general statistics. The information is used by partners to determine the income, loss, credits, etc., to report on their tax returns.  
**Why Increase Occurred:** Other increases - The changes were requested by IRS. Form 1065



(Schedules K- and K-1) 7 lines were added. Also, other changes were made for 2001 to the form, schedules, and instructions resulting in a net addition of 14 lines and 23 Code sections.

**Change in Burden:** +75,219,946 hours

**Agency:** Department of the Treasury  
**OMB Control No.:** 1545-0115  
**Title:** Form 1099-MISC, Miscellaneous Income  
**Purpose of the Collection:** Form 1099-MISC is used to verify compliance with the reporting rules and to verify that the recipient has included the proper amount of income on his or her income tax return.  
**Why Increase Occurred:** Form 1099-MISC was revised to provide larger boxes and additional boxes for improved processing, resulting in a program increase of 1,546,359 hours. Also, in reviewing our previous burden computations, we discovered errors in the number of line items, resulting in a program change increase of 2,319,539.

**Change in Burden:** +3,865,898 hours

**Agency:** Department of the Treasury  
**OMB Control No.:** 1545-0123  
**Title:** U.S. Corporation Income Tax Return  
**Purpose of the Collection:** Form 1120 is used by corporations to compute their taxable income and tax liability.  
**Why Increase Occurred:** The changes were made by IRS. A Schedule N was added. Also, changes were made for 2001 throughout the form, schedule, and instructions, lines were added and deleted, form attachments added, and Code references were added and deleted.

**Change in Burden:** +3,891,413 hours

**Agency:** Department of the Treasury  
**OMB Control No.:** 1545-0123  
**Title:** U.S. Corporation Income Tax Return  
**Purpose of the Collection:** Form 1120 is used by corporations to compute their taxable income and tax liability.  
**Why Increase Occurred:** The changes were requested by IRS. Changes occurred for 2001 throughout the form, schedules, and instructions by adding 5 lines, 3 Code references, and 1 form attachment.

**Change in Burden:** +2,880,941

**Agency:** Department of the Treasury  
**OMB Control No.:** 1545-0123  
**Title:** U.S. Corporation Income Tax Return  
**Purpose of the Collection:** Form 1120 is used by corporations to compute their taxable income and tax liability.  
**Why Increase Occurred:** The changes were requested by IRS. Changes occurred for 2002 throughout the form, schedules, and instructions, adding 11 lines, 2 form attachments, and 11 Code references, and deleting 15 lines and 1 form attachment.

**Change in Burden:** +7,322,105 hours

**Agency:** Department of the Treasury  
**OMB Control No.:** 1545-0130  
**Title:** U.S. Income Tax Return for an S Corporation  
**Purpose of the Collection:** Form 1120 S and its schedules are used by S corporations to figure their tax liability and report their income and other tax-related information. IRS uses the information to determinate the correct tax

for S corporations and their shareholders.

**Why Increase Occurred:** The changes occurred at the request of IRS. Changes were made for 2002 throughout the form, schedules, and instructions by adding 8 lines, 2 form attachments, and 6 Code references, and the deletion of 6 lines and 1 Code reference.

**Change in Burden:** +10,843,060 hours

**Agency:** **Department of the Treasury**  
**OMB Control No.:** 1545-0130  
**Title:** U.S. Income Tax Return for an S Corporation  
**Purpose of the Collection:** Form 1120 S and its schedules are used by S Corporations to figure their tax liability and report their income and other tax-related information. IRS uses the information to determine the correct tax for S corporations and their shareholders.

**Why Increase Occurred:** The changes were requested by IRS. Changes were made for 2001 to Form 1120S, Schedule D, and Schedule K-1 and instructions by adding a net of 7 lines, 5 Code references, and 1 form.

**Change in Burden:** +11,275,350 hours

**Agency:** **Department of the Treasury**  
**OMB Control No.:** 1545-0675  
**Title:** Income Tax Return for Single and Joint Filers  
**Purpose of the Collection:** Form 1040-EZ is used by individuals who are single or married filing a joint return with no dependents to report income subject to tax and to compute their correct tax liability.

**Why Increase Occurred:** Changes were requested by IRS. Three lines were added for the "Third Party Designee".

**Change in Burden:** +1,387,355 hours

**Agency:** **Department of the Treasury**  
**OMB Control No.:** 1545-1110  
**Title:** Employer's Annual Federal Unemployment Tax Return  
**Purpose of the Collection:** Form 940-EZ is a simplified version of Form 940 that most employers with uncomplicated tax situations can use to pay their FUTA tax.

**Why Increase Occurred:** The changes were requested by IRS. Four lines were added for the "Third Party Designee".

**Change in Burden:** +4,053,346 hours

**Agency:** **Department of the Treasury**  
**OMB Control No.:** 1545-1708  
**Title:** Handbook for Authorized IRS e-file-Providers  
**Purpose of the Collection:** Publication 1345 informs those who participate in the IRS e-file Program for Individual Income Tax Returns of their obligations to the Internal Revenue Service, taxpayers, and other participants.

**Why Increase Occurred:** The changes were requested by IRS. Publication 1345 modifies and replaces Revenue Procedures 98-50 (1545-1512) and Revenue Procedure 98-51 (1545-1513).

**Purpose of the Collection:** +2,924,627 hours

**Agency:** **Department of the Treasury**  
**OMB Control No.:** 1545-1729  
**Title:** REG- 107186-00, Electronic Payee Statements  
**Purpose of the Collection:** REG-107186-00 - This information will be used to determine that the tax has been calculated correctly.  
**Why Increase Occurred:** The regulations state that furnishers may provide the written statements in an electronic format in lieu of a paper format. In addition, the

regulations provide furnishers with a method to furnish a statement in connection with a Form 1098-T or Form 1098-E or a Form W-2 electronically using website technology.

**Change in Burden:**

+2,844,950 hours

**Agency:**

**Department of the Treasury**

**OMB Control No.:**

1545-1734

**Title:**

Terminal Operator Report

**Purpose of the Collection:**

Form 720-TO - The information will be used to determine potential areas of noncompliance on Form 720. Form 720-TO is an information return that will be used by terminal operators to report their monthly receipts and disbursements of products.

**Why Increase Occurred:**

Form 720-TO is a new form.

**Change in Burden:**

+2,285,280 hours

**Agency:**

**Department of Treasury**

**OMB Control No.:**

1557-0081

**Title:**

(MA)-Reports of Condition and Income

**Purpose of the Collection:**

The OCC needs the information to ensure individual bank and banking system safety and soundness. The OCC uses the information to identify trends in the banking system and to determine the safety and soundness of individual national banks.

**Why Increase Occurred:**

The agencies and the FFIEC streamlined the information into two reports (FFEIC 031 and 041), by replacing FFEIC Forms 032, 033, and 034. The program change reflects new items in the Call Report.

**Change in Burden:**

+10,884 hours

## FY 2002 Planned Reductions

### Streamlining Regulations

**Agency:** Department of Defense  
**OMB Control No.:** 0704-0351  
**Title:** Joint Recruiting Advertising Program (JRAP)  
**Purpose of the Collection:** 10 USC 503 directs the Secretary of Defense to conduct recruiting campaigns for the Armed Forces. The Joint Recruiting Advertising Program supports recruitment efforts through cost-effective advertising and market research on youth attitudes and opinions.  
**How Reduction Achieved:** Discontinued information collection in accordance with 10 USC 503(a)(2).  
**Change in Burden:** -13,239 hours

**Agency:** Department of Education  
**OMB Control No.:** 1810-0036  
**Title:** Application for Assistance (Sections 8002 and 8003) Impact Aid Program  
**Purpose of the Collection:** Application to determine eligibility to receive Impact Aid payments under Sections 8002 and 8003 of the Elementary and Secondary Education Act (ESEA).  
**How Reduction Achieved:** The program statute was amended and re-authorized on October 30, 2000 by The Impact Aid Reauthorization Act of 2000. The statutory changes made decreased the total burden hours. The changes can be attributed to a decrease in the number of applicants filing annually, as well as the removal of statutory authority for payment for children with severe disabilities.  
**Change in Burden:** -100,623 hours

### Eliminating Redundancies

**Agency:** Department of Treasury  
**OMB Control No.:** 1550-0098  
**Title:** Privacy & Accuracy of Customer Account Information  
**Purpose of the Collection:** Inform public of policy of protecting customer information and provide way for customers to react.  
**How Reduction Achieved:** Discovered redundancy with two other information collections: Privacy of Consumer Financial Information (1550-0103) and Minimum Security Devices and Procedures (1550-0062).  
**Change in Burden:** -49,200 hours

### Simplifying Forms

**Agency:** Department of Transportation  
**OMB Control No.:** 2115-0514  
**Title:** Submissions of Continuous Discharge Book, Revised M  
**Purpose of the Collection:** The information is collected from Merchant Mariners. The information is use to determine eligibility for issuance of a Coast Guard credential, i.e. license, certificate of registry or merchant mariner document.  
**How Reduction Achieved:** Three new forms created for this collection, seven forms deleted and two existing forms revised. New forms were created to facilitate the entire application process. Forms were revised to specifically reduce the error rate for existing forms. The revisions to these forms

specifically address the problem areas of the existing forms. The forms were revised to specifically reduce the error rate of incomplete/improper submissions.

**Change in Burden:** -61,969 hours

**Agency:** **Department of the Treasury**  
**OMB Control No.:** 1545-0710  
**Title:** Annual Return/Report of Employee Benefit Plan  
**Purpose of the Collection:** Form 5500 - The IRS uses this information to determine if the plan appears to be operating properly as required under the law, or whether the plan should be audited.  
**How Reduction Achieved:** Form 5500 reduces burden by simplifying and streamlining the form. Form 5500 and schedules were completely revised for 1999 and subsequent plan years and were approved by OMB under control number 1545-1610. Only delinquent filers would have need for the 1998 (or prior) year versions of these forms.  
**Change in Burden:** -26,928,784 hours

### Using Information Technology

**Agency:** **Department of Commerce**  
**OMB Control:** 0607-0152  
**Title:** Shippers Export Declaration Program  
**Purpose of the Collection:** The SED form and the AES electronic equivalent are the means by which the Census Bureau collects and compiles U.S. trade statistics. The official export statistics provide a basic component for the compilation of the U.S. position on merchandise trade.  
**How Reduction Achieved:** The AES takes only 3 minutes on average to complete, whereas the paper SED form takes over 11 minutes. We are making an extensive effort to encourage shippers and freight forwarders to switch to using the AES. As more and more respondents use the AES, the burden keeps decreasing.  
**Change in Burden:** -340,761 hours

**Agency:** **Department of Labor**  
**OMB Control No.:** 1220-0134  
**Title:** Multiple Work-site Report and the Report of Federal Employment and Wages (ES-202 Program)  
**Purpose of the Collection:** States use the Multiple Work-site Report to collect employment and wages data by work-site from employers covered by State Unemployment Insurance that are engaged in multiple operations within a State. These data are used for sampling, benchmarking, and economic analysis.  
**How Reduction Achieved:** This initiative will enhance the use of information technology using electronic data interchanges for transaction-based processing. This initiative will also evaluate the use of Internet to support Small Business communities that may not employ IT experts to process.  
**Change in Burden:** -10,656 hours

### Statutory Reductions

**Agency:** **Department of Labor**  
**OMB Control No.:** 1218-0241  
**Title:** Steel Erection -- Subpart R, 29 CFR 1926.750 through 1926.761

**Purpose of the Collection:** These provisions ensure that designated parties, especially steel erectors, receive notice that building material components, steel structures, and fall protection equipment are safe for specific uses; and employees exposed to fall hazards receive the required training in the recognition and control of fall protection.

**How Reduction Achieved:** Decrease occurred because OSHA removed burden hours for employers to develop a certification record of the pre-shift inspection of hoisting equipment; this requirement is not in the final Subpart.

**Change in Burden:** -56,848 hours

**Statute Title and PL#:** Occupational Safety and Health Act of 1970, Public Law 91-596

**Other Reductions**

**Agency:** **Department of Commerce**

**OMB Control No.:** 0607-0151

**Title:** Boundary and Annexation Survey

**Purpose of the Collection:** The Census Bureau conducts the Boundary and Annexation Survey (BAS) annually to collect information on the creation of newly incorporated municipalities, minor civil divisions (MCDs), counties, federally recognized American Indian areas (AIAs) which include reservations and/or off-reservation trust lands, and Alaska Native Regional Corporations (ANRCs), the dissolution of incorporated municipalities and MCDs, and changes to the boundaries of counties, incorporated municipalities, MCDs, AIAs, and ANRCs. The BAS information is used to provide an appropriate record for reporting the results of the decennial and economic censuses and the Census 2000 Long Form Transitional Database, to support the annual population estimates program, to update the municipal, MCD, county, AIA, and ANRC inventory for the Federal Information Processing Standards (FIPS) program managed by the U.S. Geological Survey (USGS) for the National Institute of Standards and Technology, and to update the Geographic Names Information System (GNIS) maintained by the USGS.

**How Reduction Achieved:** The decrease in burden is attributable to decennial cycling; in years other than those ending in 8, 9 and 0, fewer entities are included in the universe.

**Change in Burden:** -77,055 hours

**Agency:** **Department of Commerce**

**OMB Control No.:** 0607-0757

**Title:** 2002 New York City Housing & Vacancy Survey

**Purpose of the Collection:** The Census Bureau plans to conduct the 2002 New York City Housing and Vacancy Survey (NYCHVS) under contract for the City of New York. The purpose of the survey is to measure the supply, condition, and vacancy rate of housing in the City. Vacancy rate is the primary factor in determining the continuation of rent control regulations. Other survey information is used by city and State agencies for planning purposes as well as the private sector for business decisions. The laws of New York require such a survey to be conducted every three years.

**How Reduction Achieved:** The decrease in burden is attributable to the collection expiring during FY 2002. It will not be conducted during FY 2003.

**Change in Burden:** -11,200 hours

**Agency:** **Department of Commerce**

**OMB Control No.:** 0607-0838  
**Title:** Survey of Program Dynamics  
**Purpose of the Collection:** The SPD provides the basis for an overall evaluation of how well welfare reforms are achieving the aims of the Administration and the Congress and meeting the needs of the American people. This survey simultaneously measures the important features of the full range of welfare programs, including programs that are being reformed and those that are unchanged, and the full range of other important social, economic, demographic, and family changes that will facilitate or limit the effectiveness of the programs.

**How Reduction Achieved:** The decrease in burden hours is attributable to a decrease in sample size because of cost constraints.

**Change in Burden:** -11,885 hours

**Agency:** **Department of Commerce**  
**OMB Control No.:** 0607-0862  
**Title:** Census 2000 Testing Program  
**Purpose of the Collection:** The Census Bureau plans to test several methodologies, techniques, and strategies for improving the way we conduct the decennial census in a "census environment." It is important to examine innovative ideas in the environment for which they are intended to accurately measure effectiveness and feasibility. The Census Bureau plans four separate tests in 2000. They are referred to as the Alternative Questionnaire Experiment (AQE2000), the Administrative Records Census in 2000 Experiment (AREX2000), the Social Security Number, Privacy Attitudes, and Notification (SPAN) Experiment.

**How Reduction Achieved:** The decrease in burden is attributable to the collection expiring during FY 2002. It will not be conducted during FY 2003.

**Change in Burden:** -10,106 hours

**Agency:** **Department of Commerce**  
**OMB Control No.:** 0607-0866  
**Title:** Census 2000, Accuracy & Coverage Evaluation  
**Purpose of the Collection:** The ACE is a national survey of sample block clusters within the 50 States, the District of Columbia, and Puerto Rico. The Bureau of the Census developed the ACE approach for measuring coverage of the population in the decennial census. In ACE, we independently count a sample of housing units and the people living in those units, then compare those results to the census. We then use this comparative information to produce final estimates of the coverage for Census 2000.

**How Reduction Achieved:** The decrease in burden is attributable to the collection expiring during FY 2002. It will not be conducted during FY 2003.

**Change in Burden:** -103,162 hours

**Agency:** **Department of Commerce**  
**OMB Control No.:** 0607-0876  
**Title:** Census 2000, Race Question Evaluation  
**Purpose of the Collection:** This survey is the principal vehicle for evaluating fundamental changes to the questions on race and Hispanic origin used in Census 2000. This survey is critical to implementing the OMB guidance on Aggregate and Allocation of Data on Race for Use in Civil Rights Monitoring.

**How Reduction Achieved:** The decrease in burden is attributable to the collection expiring during FY 2002. It will not be conducted during FY 2003.

**Change in Burden:** -20,833 hours

**Agency:** Environmental Protection Agency  
**OMB Control No.:** 2040-0203  
**Title:** Industry Screener Questionnaire: Phase 1 Cooling Water Intake Structures (EPA ICR #1828.02)  
**Purpose of the Collection:** The screener questionnaire is the first step of a two-step regulatory information collection effort to support the Section 316(b) regulatory development. Primarily, EPA will use the information collected to design a sample frame for the detailed industry questionnaire that EPA intends to administer after the screener questionnaire. The respondents cover a broad spectrum of industries. The respondents for the screener questionnaire are as follows: nonutility power producers, paper and allied products, chemical and allied products, petroleum and coal products, and primary metals.  
**How Reduction Achieved:** EPA decided not to reissue the information collection because the need for the information is no longer required.  
**Change in Burden:** -25,870 hours

**Agency:** Department of Housing and Urban Development  
**OMB Control No.:** 2577-0157  
**Title:** Modernization of Public Housing  
**Purpose of the Collection:** Eligible Public Housing Agencies (PHAs) submit an application for Comprehensive Grant Program (CPG) funds for modernization assistance for 250 or more units owned or operated by the PHA. Grantees report the status of the grant. The CGP has been replaced by the Public Housing Capital Improvement Program.  
**How Reduction Achieved:** This program has been replaced.  
**Change in Burden:** -54,320 hours

**Agency:** Department of Justice  
**OMB Control No.:** 1110-0035  
**Title:** State POC Final Determination Electronic Submission  
**Purpose of the Collection:** The State POC Final Determination Electronic Submission is a means to obtain final status for transactions initiated by POC States. This information will be used for statistical purposes, for use in the Bureau of Alcohol, Tobacco and Firearms (ATF) inspections of Federal Firearms Licensees (FFLs) records, to assist in the National Instant Criminal Background Checks System (NICS) appeal process, and to enhance the performance of the NICS by giving the system the same information about determination on the checks processed by POC States, that the system has about the determination on the checks processed by the FBI.  
**How Reduction Achieved:** The fiscal year 2001 burden hours from this collection originally totaled 74,000; however a change will be made to this collection to revise the burden hours to 1,466. This change will occur when the NICS process is changed to require POCs to submit only 2 percent of denials instead of all denials, resulting in a burden reduction.  
**Change in Burden:** -72,534 hours

**Agency:** Department of Labor  
**OMB Control No.:** 1220-0011  
**Title:** Report on Employment, Payroll, and Hours  
**Purpose of the Collection:** The Current Employment Statistics program provides current monthly statistics on employment, hours, and earnings by industry. The statistics are fundamental inputs in economic decision processes at all levels of government, private enterprise, and organized labor.  
**How Reduction Achieved:** The decrease is due to the introduction of a probability-based sample.



Some additional quota sample units needed to produce estimates in smaller metropolitan areas are being retained until research on small area estimation is completed.

**Change in Burden:**

-88,530 hours

**Agency:**

**Department of the Treasury**

**OMB Control No.:**

1545-0074

**Title:**

U.S. Individual Income Tax Return

**Purpose of the Collection:**

Form 1040 is used by individual taxpayers to report their taxable income and calculate their correct tax liability.

**How Reduction Achieved:**

Form 1040 (Schedule D) was revised and simplified to make it is easier for the taxpayer to compute their capital gains and losses.

**Change in Burden:**

-2,925,214 hours

## FY 2002 Planned Increases

### Statutory Increases

<b>Agency:</b>	<b>Environmental Protection Agency</b>
<b>OMB Control No.:</b>	2040-NEW
<b>Title:</b>	“BEACH” Act Grants Program (EPA ICR Number 2048.01)
<b>Purpose of the Collection:</b>	EPA proposes reporting requirements and burden estimates for States to meet grant conditions, under the Beaches Environmental Assessment and Coastal Health (BEACH) Act, to collect beach monitoring and notification data and submit the data to EPA. The “BEACH” Act authorizes \$30 million to EPA to award grants to eligible coastal and Great Lakes States, territories, and tribes to develop and implement beach monitoring and notification programs. The Act also requires EPA to collect, store, and display beach monitoring and notification data to maintain a public-right-to-know pollution occurrence database and report to Congress on the status of the Nation’s waters. As a condition of a receipt of a “BEACH” Grant, States must annually report beach monitoring and notification data to EPA.
<b>Why Increase Occurred:</b>	The “BEACH” Act passed October 2000 and initiated an annual reporting requirement for States, as a condition of receipt of a grant.
<b>Change in Burden:</b>	+69,755 hours
<b>Statute Title and PL#:</b>	Beaches Environmental Assessment and Coastal Health Act, P.L. 106-284, 114 Stat. 970 (2000) amends the Clean Water Act to include Section 406, “Coastal Recreation Water Quality Monitoring and Notification.”
<b>Agency:</b>	<b>Environmental Protection Agency</b>
<b>OMB Control No.:</b>	2040-0229
<b>Title:</b>	Information Collection Request for Long Term 1 Enhanced Surface Water Treatment Rule (Final Rule) (EPA ICR # 1928.03)
<b>Purpose of the Collection:</b>	To determine appropriate requirements for specific systems and to evaluate compliance, through the collection of turbidity monitoring data and microbial inactivation parameters. The information will come from public water systems (PWS) serving fewer than 10,000 people that are either using surface water or ground water under the influence of surface water (GWUDI) as a source. The information collection will involve a total of 10,074 PWS respondents and 56 State respondents. The Agency will use this information to carry out its monitoring and enforcement responsibilities under the Safe Drinking Water Act.
<b>Why Increase Occurred:</b>	The Long Term 1 Enhanced Surface Water Treatment Rule (LT1ESWTR) was promulgated on January 14, 2002 in accordance with Section 1412 (b) (2) (C). LT1ESWTR will improve control of microbial pathogens in drinking water for PWSs serving fewer than 10,000 to address the public health threat posed by Cryptosporidium.
<b>Change in Burden:</b>	+330,329 hours
<b>Statute Title and PL#:</b>	Safe Drinking Water Act, (P.L. 104-182)
<b>Agency:</b>	<b>Environmental Protection Agency</b>
<b>OMB Control No.:</b>	2070-0133

**Title:** Pesticide Management and Disposal: Standards for Pesticide Containers and Containment; Final Rule (RIN 2070-AB95) (EPA ICR#1632)

**Purpose of the Collection:** This information collection is related to a pending rulemaking that is expected to be finalized in FY2002. In 1994, EPA proposed a rule pursuant to section 19 of the Federal Insecticide, Fungicide and Rodenticide Act (FIFRA). FIFRA section 19 gives EPA the authority to regulate the management of pesticides and their containers, including storage, transportation and disposal. As proposed, this rule would establish standards for removal of pesticides from containers and for rinsing containers; facilitate the safe use, refill, reuse, and disposal of pesticide containers by establishing standards for container design, labeling and refilling; and establish requirements for containment of stationary bulk containers and for containment of pesticide dispensing areas.

**Why Increase Occurred:** EPA expects to issue a final rule in FY2002 implementing this provision of the law.

**Change in Burden:** +500,000 hours

**Statute Title and PL#:** Section 19 of the Federal Insecticide, Fungicide and Rodenticide Act (FIFRA) (7 USC 136q).

**Agency:** **Environmental Protection Agency**

**OMB Control No.:** 2070-0164

**Title:** Data Acquisition for Anticipated Residue and Percent of Crop Treated [Addendum] (EPA ICR #1911.01)

**Purpose of the Collection:** Collection needed to re-evaluate the Agency's original tolerance decisions to assess whether the existing pesticide registration poses an unreasonable risk to human health or the environment. The collection and verification of data is necessary to comply with the law, in compliance with new requirements under the Food Quality Protection Act of 1996 (FQPA).

**Why Increase Occurred:** This increase to the currently-approved ICR is to account for additional burden hours for respondents who must comply with Federal Food, Drug, and Cosmetic Act (FFDCA) sections 408(b)(2)(E) (ii) and 408(b)(2)(F) tolerance actions reviewed under the reregistration program within EPA's Office of Pesticide Programs. This modification increases the estimated number of respondents from 33 to 81, an increase of 48 respondents. The corresponding increase in the total burden hours changes from 29,807 to 74,616, an increase of 44,809 hours.

**Change in Burden:** +44,809 hours

**Statute Title and PL#:** Section 3 of the Federal Insecticide, Fungicide, and Rodenticide Act as amended by the Food Quality Protection Act of 1996 (P.L. 104-170).

**Agency:** **Department of Transportation**

**OMB Control No.:** 2100-0019

**Title:** American with Disabilities Act

**Purpose of the Collection:** The purpose of the information collection requirements is to provide data that the Department can use in its regulatory review and to assist the Department in its oversight of compliance by bus companies.

**Why Increase Occurred:** Statutory Rulemaking

**Change in Burden:** +316,126 hours

**Statute Title and PL#:** Transportation For Individuals With Disabilities - Accessibility of Over-The-Road-Buses (OTRBs)

**Agency:** Department of Transportation  
**OMB Control No.:** 2137-0596  
**Title:** Pipeline Mapping  
**Purpose of the Collection:** To map all gas and liquid pipeline systems.  
**Why Increase Occurred:** Pilot program was extended to all transmission lines.  
**Change in Burden:** +40,000 hours  
**Statute Title and PL#:** Accountable Pipeline Safety Act of 1992, USC 60102

**Agency:** Department of Transportation  
**OMB Control No.:** 2137-0604  
**Title:** Integrity Mgmt Program - Large Pipeline Operators  
**Purpose of the Collection:** To increase the protection of liquid pipelines for large operators of hazardous liquid pipelines that could have high consequences for pipeline.  
**Why Increase Occurred:** New burden as a result of new legislation  
**Change in Burden:** +245,980 hours  
**Statute Title and PL#:** 49 USC 60102

**Agency:** Department of Transportation  
**OMB Control No.:** 2137-New  
**Title:** Gas Operators Integrity Management  
**Purpose of the Collection:** Greater protection to the public from gas transmission line accidents.  
**Why Increase Occurred:** New IC Proposed for year 2002  
**Change in Burden:** +600,000 hours  
**Statute Title and PL#:** Accountable Pipeline Safety Act of 1992, USC 60102

**Agency:** Department of Transportation  
**OMB Control No.:** 2115-0633  
**Title:** Licensing and Manning Requirements for Officers on  
**Purpose of the Collection:** The information is collected from Mariners licensed to operate towing vessels, prospective towing vessels' officers and companies employing these mariners. The information collection requires the crewmembers of towing vessels to maintain a training- and assessment-record book.  
**Why Increase Occurred:** This collection was revised for officers of towing vessels. The rulemaking creates new licenses with levels of qualification and with enhanced training and operating experience, including practical demonstration of skills. The rulemaking addressed public comments and recommendations by the Towing Advisory Committee (TSAC). This resulted in an increase in the population to require recording of towing officer assessment record. Industry comments prompted change, so that competent and established licensed mariners are not required to attend simulator training or other training mechanisms at a substantial cost.  
**Change in Burden:** +13,748 hours  
**Statute Title and PL#:** 46 CFR Parts 10 and 15

**Agency:** Department of the Treasury  
**OMB Control No.:** 1545-0074  
**Title:** U.S. Individual Income Tax Return  
**Purpose of the Collection:** Form 1040 is used by individual taxpayers to report their taxable income and calculate their correct tax liability.  
**Why Increase Occurred:** Changes were made throughout Form 1040, schedules and instructions by adding lines, new worksheets, and Code references and deleting lines and Code references due to legislation.  
**Change in Burden:** +18,744,806  
**Statute Title and PL#:** Economic Growth and Tax Relief Reconciliation Act of 2001

**Agency:** Department of the Treasury  
**OMB Control No.:** 1545-0085  
**Title:** U.S. Individual Income Tax Return  
**Purpose of the Collection:** Form 1040A is used by individual taxpayers to report their taxable income and calculate their correct tax liability.  
**Why Increase Occurred:** Changes were made throughout Form 1040A, schedules and instructions by adding lines and new worksheets and deleting lines due to legislation.  
**Change in Burden:** +6,966,893 hours  
**Statute Title and PL#:** Economic Growth and Tax Relief Reconciliation Act of 2001 P.L. 107-16

**Agency:** Department of the Treasury  
**OMB Control No.:** 1545-0090  
**Title:** U.S. Self-Employment Tax Return  
**Purpose of the Collection:** Forms 1040-SS and 1040-PR are used to determine whether the proper amount of self-employment tax is reported.  
**Why Increase Occurred:** Forms 1040-SS and 1040-PR were revised to allow bona fide residents of Puerto Rico to claim the additional child tax credit due to legislation. Also, due to a change in law, the number of filers increased.  
**Change in Burden:** +2,656,120 hours  
**Statute Title and PL#:** P.L. 105-34, Economic Growth and Tax Relief Reconciliation Act of 2001

**Agency:** Department of Treasury  
**OMB Control No.:** 1512-0129  
**OMB Control No.:** Firearms Transaction Record, Part I, Over the Counter  
**Title:** ATF F 4473 is used to determine the eligibility of a person to receive a firearm from a Federal firearms licensee.  
**Why Increase Occurred:** The change in burden hours were necessary to address the new questions on the ATF F 4473 that pertain to non-immigrant aliens and other required information.  
**Change in Burden:** +586,765 hours  
**Statute Title and PL#:** Omnibus Consolidated and Emergency Supplemental Appropriations Act, 1999 Relating to Firearms Disabilities for Non-immigrant Aliens, Public Law

**Agency:** Department of Treasury  
**OMB Control No.:** 1557-New  
**Title:** USA Patriot Act Paperwork Requirements  
**Purpose of the Collection:** Records and disclosures needed to implement the various provisions of The Uniting and Strengthening America by Providing Appropriate Tools Required to Intercept and Obstruct Terrorism Act (USA Patriot Act).  
**Why Increase Occurred:** OCC may issue regulations to implement new law.  
**Change in Burden:** +50,000 hours  
**Statute Title and PL#:** The Uniting and Strengthening America by Providing Appropriate Tools Required to Intercept and Obstruct Terrorism Act (USA Patriot Act), Public Law 107-56 (October 26, 2001).

**Other Increases**

**Agency:** Department of Commerce  
**OMB Control No.:** 0607-0368  
**Title:** Special Census Program

**Purpose of the Collection:** The Special Census Program is a reimbursable service offered and performed by the Census Bureau for the government of any State; county, city, or other political subdivision within a State; for the government of the District of Columbia; and for the government of any possession or area over which the U.S. exercises jurisdiction, control, or sovereignty, and other governmental units which require current population.

**Why Increase Occurred:** The increase in burden is attributable to the Special Census Program being reinstated during FY 2002 after a period of activity during the 2000.

**Change in Burden:** +113,527 hours

**Agency:** **Department of Commerce**  
**OMB Control No.:** 0607-0452  
**Title:** Government Employment Forms  
**Purpose of the Collection:** The forms are used during census and non-census years to collect data on government employment, pay, and hours.  
**Why Increase Occurred:** The increase in burden is attributable to the forms' upcoming usage in the 2002 Census of Governments.  
**Change in Burden:** +61,083 hours

**Agency:** **Department of Commerce**  
**OMB Control No.:** 0607-0585  
**Title:** Government Finance Forms  
**Purpose of the Collection:** The forms are used during census and non-census years to collect data on government finances.  
**Why Increase Occurred:** The increase in burden is attributable to the forms' upcoming usage in the 2002 Census of Governments.  
**Change in Burden:** +92,278 hours

**Agency:** **Department of Commerce**  
**OMB Control No.:** 0607-0810  
**Title:** American Community Survey  
**Purpose of the Collection:** This survey will collect long-form data every month and provide tabulations of these data on a yearly basis. In the past, the long-form data were collected only at the time of each decennial census. The American Community Survey will allow the Census Bureau to remove the long form from the 2010 Census, thus reducing operational risks.  
**Why Increase Occurred:** The increase in burden is attributable to an increase in sample size as a result of the ACS going to full implementation.  
**Change in Burden:** +1,322,200 hours

**Agency:** **Department of Commerce**  
**OMB Control No.:** 0607-0889  
**Title:** 2002 Economic Census, Commodity Flow Survey  
**Purpose of the Collection:** The 2002 Commodity Flow Survey produces key information about the transportation of freight in the United States. This survey provides a crucial set of statistics on the value, weight, mode, and distance of commodities shipped by mining, manufacturing, wholesale, and selected other businesses.  
**Why Increase Occurred:** The increase in burden is attributable to the collection being submitted as new in FY 2002.  
**Change in Burden:** +400,000 hours

**Agency:** **Department of Agriculture**  
**OMB Control No.:** 0584-0492

**Title:** Repayment Demand and Program Disqualification  
**Purpose of the Collection:** Comply with the Food Stamp Act and Food Stamp Program Regulations by initiating collection action for repayment of over-issued benefits and proceed against those suspected of committing an Intentional Program Violation (ITP).  
**Why Increase Occurred:** Previous OMB approval did not include the requirement for IPV acquittal notices and the Disqualified Recipient Subsystem (DRS).  
**Change in Burden:** +12,079 hours

**Agency:** **Department of Agriculture**  
**OMB Control No.:** 0584-0006  
**Title:** 7 CFR Part 210, National School Lunch Program  
**Purpose of the Collection:** After School Snack. Implement provisions to allow reimbursement for snacks served in after school care programs in the Child and Adult Care Food Program (CACFP) and the National School Lunch Program.  
**Why Increase Occurred:** After School Snack. Burden hours increase is due to State agency processing claims for reimbursement and also sponsors and institutions meeting the eligibility requirements and complying with licensing/approval criteria.  
**Change in Burden:** +437,547 hours

**Agency:** **Department of Agriculture**  
**OMB Control No.:** 0584-0055  
**Title:** 7 CFR Part 226, Child & Adult Care Food Program  
**Purpose of the Collection:** Integrity - Implements requirements designed to improve Program Operations and monitoring at the State and sponsor levels and to streamline and simplify Program requirements for State agencies and CACFP institutions. After School Snack - Implements provisions to allow reimbursement for snacks served in after school care programs in the NSLP and CACFP. The Disclosure of F/R Price - Establishes requirements for the disclosure of eligibility information to State Medicaid and SCHIP.  
**Why Increase Occurred:** Integrity - Burden hours increase is due to change in requirements when a State agency denies an application or terminates and institution that is seriously deficient and also sponsoring organizations must now provide a copy of the serious deficiency notice to their respective State agency. After School Snack - Burden hours increase in due to State agency processing claims for reimbursement and also sponsors and institutions meeting the eligibility requirements and complying with licensing/approval criteria. The Disclosure of F/R Price - Burden hour increase is due to State agency and childcare institutions entering into an agreement with the party requesting the information. The requesting party must obtain consent and give notice for the use of the information.  
**Change in Burden:** +104,442 hours

**Agency:** **Department of Education**  
**OMB Control No.:** 1810-0576  
**Title:** Consolidated State Application  
**Purpose of the Collection:** The purpose of this collection is to gather baseline information about a student's achievement and to provide a plan to improve that achievement.  
**Why Increase Occurred:** This is an increase in burden hours since it is a reinstatement of the Consolidated Application, OMB # 1810-0576 that expired several years ago. However, there is an actual reduction in burden for States that apply for funds on a consolidated application, as compared to the

burden of an individual application. If, as anticipated, a large number of States use this Consolidated Application (rather than individual applications), there will ultimately be a significant burden reduction.  
+12, 000 hours

**Change in Burden:**

**Agency:**

**OMB Control No.:**

**Title:**

**Purpose of the Collection:**

**Why Increase Occurred:**

**Department of Education**

1810-0614

Consolidated State Performance Report and State Self-Review

The Performance Report is used by the States for reporting annual school year data to the Department of Education (ED).

Although ED has reinstated the previous 137,086 expired burden hours, it is important to note that there is a reduction of 2,318 burden hours from the revised collection. Certain portions of the collection have been eliminated or modified, and sections have been added to cover newly authorized programs. In FY 2002, the Office of Elementary and Secondary Education (OESE) will be developing a successor to this current Consolidated Report that will further reduce the amount of information States need to report. As a result of this effort, significant burden hour reductions are anticipated.

**Change in Burden:**

+134,768 hours

**Agency:**

**OMB Control No.:**

**Title:**

**Purpose of the Collection:**

**Why Increase Occurred:**

**Change in Burden:**

**Department of Education**

1840-NEW

Annual Performance Report for Titles III and V

In order for ED to make a determination if grantees have made substantial progress in obtaining their objectives, ED must receive a report on their progress. The purpose of this collection is to obtain information concerning the use of Federal funds that will assist in making determinations of progress/performance for Title III and V programs.

This is a new collection.

+12,700 hours

**Agency:**

**OMB Control No.:**

**Title:**

**Purpose of the Collection:**

**Why Increase Occurred:**

**Change in Burden:**

**Department of Education**

1850-NEW

Small Business Innovation Research Program

This collection will be a solicitation of discretionary grant applications. Small business firms, such as firms with strong research capabilities in educational technology, science, or engineering in any of the topic areas listed will be invited to submit research applications under the Small Business Innovation Research (SBIR) Program. The objectives of this program include stimulating technological innovation in the private sector, strengthening the role of small business in meeting Federal research and development (R&D) needs, increasing the commercial application of ED-supported research results, and improving the return on investment from federally-funded research for economic and social benefits to the Nation.

This is a new collection for grants.

+10,000 hours

**Agency:**

**OMB Control No.:**

**Title:**

**Environmental Protection Agency**

2040-NEW

Minimum Monitoring Requirements for Direct and Indirect

Discharging Mills in the Bleached Papergrade Kraft and Soda

Subcategory of the Pulp, Paper, and Paperboard Point Source Category

(EPA ICR #1878.01)



**Purpose of the Collection:** EPA has imposed minimum monitoring requirements on bleached paper-grade kraft and soda mills as part of the final Cluster Rules. These provisions require these mills to monitor their effluent for certain pollutants, including chloroform, at specified frequencies. (In as separate action, EPA also is amending the Cluster Rules to allow these mills to demonstrate compliance with applicable chloroform discharge standards by certifying to certain process conditions. The net result associated with voluntarily certifying is expected to be a substantial savings in burden and costs that would otherwise be incurred for minimum monitoring. See write-up for EPA ICR 2015.01).

**Why Increase Occurred:** All mills are currently required to perform monitoring with minimum frequencies for pollutants controlled.

**Change in Burden:** +36,858 hours

**Agency:** **Environmental Protection Agency**  
**OMB Control No.:** 2040-0235  
**Title:** Pollution Prevention Compliance Alternative; Transportation Equipment Cleaning (TEC) Point Source Category (40 CFR Part 442) (EPA ICR # 2018.01)

**Purpose of the Collection:** This final rule included a regulatory compliance option which allows certain facilities to develop a Pollutant Management Plan (PMP) in lieu of meeting numeric standards. Facilities have the option to develop this plan if it would be a more beneficial compliance alternative. The PMP is only available for indirect dischargers, who have until August 14, 2003 to comply with the regulations.

**Why Increase Occurred:** The Pollutant Management Plan includes requirements for record keeping and paperwork that were not previously included in the burden estimate for the TEC industry. The final rule was promulgated August 14, 2000.

**Change in Burden:** + 19,144 hours

**Agency:** **Environmental Protection Agency**  
**OMB Control No.:** 2040-0240  
**Title:** 2000 Aquatic Animal Production Industry (detailed survey) (EPA ICR # 2038.01)

**Purpose of the Collection:** The detailed survey or questionnaire is the second step of a two- step regulatory information collection effort to support the aquatic animal production effluent guideline development. The technical data collected with this survey will be used to determine technologies for consideration in developing standards for the industry including cost and the estimated economic impacts of the regulation.

**Why Increase Occurred:** Court order deadline to develop the rule and need to collect the information for rule development.

**Change in Burden:** +19,840 hours

**Agency:** **Environmental Protection Agency**  
**OMB Control No.:** 2040-0241  
**Title:** Cooling Water Intake Structures New Facility Final Rule (EPA ICR #1973.02)

**Purpose of the Collection:** On December 18, 2001, EPA published the New Facility Rule under Section 316(b) of the Clean Water Act, 33 U.S.C., Section 1326(b). The information requested will be included in permit application and will be used by a permitting authority to assess the facility-level compliance with the requirements of the final rule. The information requested regarding location, design, and structure of cooling water intake structures, velocity, flow, technologies to minimize, to reduce

impingement mortality and entrainment and the restoration technologies would help the permitting authorities to determine whether a facility has minimized the adverse environmental impacts from the operation of the cooling water intake structure.

**Why Increase Occurred:** The increase occurred because of regulating these new industries (regulation implements Section 316(b) of the CWA for new facilities).  
**Change in Burden:** +40,376 hours

**Agency:** **Environmental Protection Agency**  
**OMB Control No.:** 2070-0033  
**Title:** TSCA Existing Chemical Test Rules, Consent Orders, Test Rule Exemptions, and Voluntary Test Data Submissions (EPA ICR#1139.06)

**Purpose of the Collection:** Test rules and consent orders collect the information which the Agency is required to collect under section 4 of the Toxic Substances Control Act (TSCA). Section 4 of the TSCA (40 CFR 790) was designed to assure that those chemicals which may pose serious risks to human health or the environment are tested by manufacturers and processors. If this information collection activity was not carried out after having determined that data was needed to assess risks associated with manufacture, processing, or disposal of a chemical, EPA would not have enough data to support necessary regulatory action and would be violating the requirements of section 4 of TSCA.

**Why Increase Occurred:** The Chemical Right-to-Know Initiative was announced by Vice President Al Gore on the eve of Earth Day, 1998. This Initiative responds to an EPA study that found that very little basic toxicity information is publicly available on most of the high production volume (HPV) commercial chemicals made and used in the United States. Without this basic hazard information, it is hard to make sound judgments about what potential risks these chemicals could present to people and the environment. The HPV Challenge Program is a voluntary initiative under which manufacturers of HPV chemicals will voluntarily develop and/or submit certain Organization for Economic Cooperation and Development (OECD) screening level studies for the chemicals they manufacture. EPA believes that the development and/or submission of such data represent costs and burdens not captured in existing information collections. OMB approved the ICR on 10/15/01.  
**Change in Burden:** +1,106,124 hours

**Agency:** **Environmental Protection Agency**  
**OMB Control No.:** 2070-0033  
**Title:** Final Rule Pending - Certain High Production Volume (HPV) Chemicals Test Rule [SAN #3990; RIN 2070-AD16] [EPA ICR #1139.07]

**Purpose of the Collection:** Test rules collect the information that EPA is required to collect under section 4 of the Toxic Substances Control Act (TSCA). Section 4 (40 CFR Part 790) was designed to assure that those chemicals that may pose serious risks to human health or the environment are tested by manufacturers and processors. If this information collection activity was not carried out after having determined that data were needed to assess risks associated with manufacture, processing or disposal of a chemical, EPA would not have enough data to support necessary regulatory action and would be violating the requirements of section 4 of TSCA.  
This rule will require testing and record keeping requirements for certain chemicals for which industry does not voluntarily agree to

provide testing in a timely manner. The action is part of the Chemical Right-to-Know Initiative, which is described in the Regulatory Plan. Industry has volunteered to conduct needed testing on over 2,155 high production volume (HPV) chemicals. The first rule proposed testing for 37 unsponsored HPV chemicals with substantial worker exposure. The proposed rule was published in the Federal Register on December 26, 2000.

**Why Increase Occurred:**

This action is related to a challenge to industry announced by former Vice President Al Gore on the eve of Earth Day, 1998, to come forward quickly with needed test data on HPV chemicals. This responds to an EPA study that found that very little basic toxicity information is publicly available on most HPV commercial chemicals made and used in the United States. This encompasses approximately 2,800 chemicals that are manufactured (including imported) in the aggregate at more than 1 million pounds on an annual basis. Without basic hazard information, including acute toxicity, repeat dose toxicity, developmental and reproductive toxicity; mutagenicity; ecotoxicity and environmental fate, it is hard for EPA to make sound judgments about what potential risks these chemicals could present to people and the environment. This is an ambitious effort to tackle the problem by rapidly testing chemicals and making this important data available to scientists, policy makers, industry and the public. This first test rule will require testing 37 of these chemicals. The chemical testing program will require the submission of letters of intent to test (or exemption applications), study plans and test results.

**Change in Burden:**

+14,444 hours

**Agency:**

**Environmental Protection Agency**

**OMB Control No.:**

2070-0155

**Title:**

Final Rule Pending - Notification Requirements for Lead-Based Paint Abatement Activities and Training [SAN #4172; RIN 2070-AD31] (EPA ICR #1715.03)

**Purpose of the Collection:**

EPA is issuing this rule under the authority of Section 407 of the Toxic Substances Control Act (TSCA) to establish notification procedures for lead abatement professionals (certified under 40 CFR Part 745.226) conducting lead-based paint activities, and training programs (accredited under 40 CFR Part 225) providing lead-based paint activities courses. Specifically, this rule seeks to establish procedures to notify the Agency prior to commencement of lead-based paint abatement activities as required by 40 CFR part 745.227(e)(4). In addition, this rule seeks to establish provisions that would require training programs accredited under 40 CFR part 745.225 to notify the Agency under the following conditions: 1) prior to providing lead-based paint activities, training, and 2) following completion of lead-based paint activities courses. These notification requirements are necessary to provide EPA compliance monitoring and enforcement personnel with information necessary to track compliance activity and to prioritize inspections. This rule supports 40 CFR Part 745, subpart L to ensure that lead abatement professionals who inspect, assess and remove lead-based paint, dust or soil are well qualified, trained and certified to conduct these activities.

**Why Increase Occurred:**

As mentioned above, EPA developed standards for performing lead-based paint activities which include notification to EPA prior to the commencement of lead-based paint abatement activities (40 CFR part 745.227(e)(4)). However, EPA did not detail specific notification procedures, choosing instead to wait and formalized the notification

procedures at a later date. This rule introduces these notification requirements, and this ICR represents the additional burden associated with these requirements. The information provided under these requirements is vital to the successful implementation of lead-based paint activities regulations codified at 40 CFR Part 745 subpart L. + 21,254 hours.

**Change in Burden:**

**Agency:**

**Environmental Protection Agency**

**OMB Control No.:**

2070-NEW

**Title:**

Final Rule Pending - Management & Disposal of Lead-based Paint Debris [SAN #3508; RIN 2070-AC72] (EPA ICR #1822)

**Purpose of the Collection:**

This ICR covers the information collection requirements contained in the proposed rule addressing lead-based paint (LBP) debris management and disposal (hereafter, the "debris rule"). The Agency is proposing this rule pursuant to §§402 and 404 of the Toxic Substances Control Act (TSCA). Section 404 allows any State that seeks to administer and enforce standards and regulations comparable to those developed under §402 to submit an application to EPA for authorization of a State program (Indian Tribes and Alaskan Native Villages may also submit such applications).

The rule proposal requires: 1) program authorization application materials and reporting keeping from States/Tribes/Alaskan Native Villages (hereafter, the term "States" includes Tribes and Villages); 2) notification and record keeping for any party who transfers LBP debris to any other party for any reason; and, 3) record keeping for any party who receives LBP debris from another party for any reason.

**Why Increase Occurred:**

LBP debris is currently subject to RCRA Subtitle C and is therefore subject to the hazardous waste disposal requirements at 40 CFR parts 260 to 265. Included among the hazardous waste regulations are requirements for manifesting hazardous waste and for keeping and maintaining records of tests, analyses, and other waste determinations. Under the proposed RCRA exemption these requirements will no longer be applied to LBP debris, resulting in a reduction in paperwork burdens and costs for generators, transporters, and disposal facilities who handle LBP debris. This reduction is off-set by the paperwork component proposed under TSCA. Although the net result is a burden increase, the net result in costs is a significant reduction.

**Change in Burden:**

+1,590,980 hours.

**Agency:**

**Environmental Protection Agency**

**OMB Control No.:**

2070-NEW

**Title:**

Final Rule Pending - TSCA Inventory Update Rule Amendments [SAN #3301; RIN 2070-AC61](EPA ICR #1884)

**Purpose of the Collection:**

This ICR covers the information collection requirements contained in the pending final rule to amend the Inventory Update Rule (IUR). The amendment modifies the types and amount of information collected and the number and types of respondents. The ICR represents the incremental estimated burden and costs associated with these amendments to IUR reporting. The burden and costs associated with the existing IUR ICR are already approved by OMB under OMB Control No. 2070-0070 (EPA ICR #1011). Once the amendments are finalized, the information collection requirements contained in the final rule will be incorporated into the ICR for the current IUR. The IUR requires submission of information on mostly organic chemicals produced or imported in volumes greater than 10,000 pounds per year.

**Why Increase Occurred:**

EPA is proposing to amend the IUR for three principle reasons: (1) to tailor the chemical substance reporting requirements to more closely match the Agency's information needs without unreasonably increasing the reporting burdens on industry; (2) to obtain updated information relating to the potential human and environmental exposures of chemical substances listed on the TSCA Inventory; and (3) to improve the utility of the information reported under the IUR. The amendments contained in this proposal are intended to obtain critical information that will enable EPA and other government agencies, industry and the public to better screen and assess chemical exposures and risks. A primary user of this information will be EPA. Other Federal Agencies, States, industry groups and the public are also expected to use this information.

EPA currently maintains the information collected through IUR on the Chemical Update System (CUS) database. This database will be modified to incorporate the new information. Although this represents an increase for this ICR, EPA expects to be able to use this information to help set priorities for reviewing chemicals for further evaluation of potential risks, including the imposition of other collection mandates. Note that the burden associated with this collection can be off-set by 65,640 hours with the elimination of EPA ICR #1011, which will no longer be needed after this ICR is in place.

**Change in Burden:**

+564,000 hours

**Agency:**

**Environmental Protection Agency**

**OMB Control No.:**

2070-NEW

**Title:**

Data Submissions for the Voluntary Children's Chemical Evaluation Program (VCCEP) [SAN #2865; RIN 2070-AC27] (EPA ICR# 2055)

**Purpose of the Collection:**

EPA is engaged in an effort jointly with stakeholders to design and develop a voluntary program to evaluate commercial chemicals to which children may have a high likelihood of exposure. The purpose of the voluntary program is to obtain toxicity and exposure data needed to assess the risk of childhood exposure to commercial chemicals. EPA launched a pilot of this program on December 26, 2000. Manufacturers of 23 chemicals have been asked voluntarily to sponsor evaluations of their chemicals in the pilot. This collection addresses the reporting activities necessary to effect a Voluntary Children's Chemical Evaluation Program as described above.

**Why Increase Occurred:**

This will be a new information collection activity to obtain voluntary submissions of toxicity and exposure data on chemicals to which children may be especially exposed.

**Change in Burden:**

+152,000 hours

**Agency:**

**Department of Housing and Urban Development**

**OMB Control No.:**

2502-NEW

**Title:**

Real Estate Settlement Procedures Act (RESPA)

**Purpose of the Collection:**

The Real Estate Settlement Procedures Act of 1974 (RESPA), 12 U.S.C. 2601 et.seq., and the implementing Regulation X, codified at 24 CFR 3500, require settlement providers to give homebuyers certain information disclosures at or before settlement and pursuant to the servicing of the loan or escrow account. The information collection will include a Special Information Booklet, a Good Faith Estimate, an Initial Servicing Disclosure, the Form HUD-1 or Form HUD-1A, and when applicable an Initial Escrow Account Statement, an Annual Escrow Account Statement, an Escrow Account Disbursement, and an

**Why Increase Occurred:** Affiliated Business Arrangement Disclosure. This information collection combines six disclosure requirements under the Real Estate Settlement Procedures Act. Although the combination of these information collections resulted in over 12.7 million burden hours, as a result of certain regulations and statutes, the overall increase will only be 6.7 million burden hours. The combination of the information collections should result in timely reporting in the future.

**Change in Burden:** +6,773,906 hours

**Agency:** **Department of Housing and Urban Development**  
**OMB Control No.:** 2502-NEW  
**Title:** Computation of Surplus Case Distributions  
**Purpose of the Collection:** This information collection will review and monitor all projects with HUD-Insured and HUD-held mortgages, including the Section 202 Program projects. The information is collected 100% electronically from the HUD Chart of Accounts through the Financial Assessment Sub System.

**Why Increase Occurred:** This is a new collection. A Project's Agreement provides that assets of the mortgagor, held under HUD control, can be disbursed when a Residual Receipts Account is maintained.

**Change in Burden:** +40,000 hours

**Agency:** **Department of Interior**  
**OMB Control No.:** 1024-0018  
**Title:** National Register of Historic Places Registration Form; Continuation Sheet; Multiple Property Documentation Form -- 36 CFR 60 and 63  
**Purpose of the Collection:** Application forms to add properties to National Register of Historic Places.

**Why Increase Occurred:** Renewal of unintentionally expired collection in support of ongoing program, with adjustment.

**Change in Burden:** +56,700 hours

**Agency:** **Department of Interior**  
**OMB Control No.:** 1028-new  
**Title:** North American Breeding Bird Survey  
**Purpose of the Collection:** The North American Breeding Bird Survey is a long-term, large-scale avian monitoring program that tracks the status and trends of continental bird populations. These data provide an index of population abundance that can be used to estimate population trends and relative abundances at various geographic scales. Declining population trends act as an early warning system to galvanize research to determine the causes of these declines and reverse them before populations reach critically low levels.

**Why Increase Occurred:** During a program review, the USGS discovered this collection in use without OMB approval. As such, the reported "increase" in burden hours is not actually new burden on the public, but more accurately reflects ongoing USGS collection activities.

**Change in Burden:** +12,500 hours

**Agency:** **Department of Labor**  
**OMB Control No.:** 1205-0430  
**Title:** Resource Justification Model  
**Purpose of the Collection:** This program would replace the current methodologies for budget formulation and grant allocation to the States for the unemployment insurance program.

**Why Increase Occurred:** Program Change - Data used to build the Unemployment Insurance

	budget from the bottom up and thus ties together formulation and allocation.
<b>Change in Burden:</b>	+12,349 hours
<b>Agency:</b>	<b>Department of Labor</b>
<b>OMB Control No.:</b>	1205-0431
<b>Title:</b>	Unemployment Insurance Data Validation Program
<b>Purpose of the Collection:</b>	This program requires States to implement and operate a system for ascertaining the validity (adherence to Federal reporting requirements) of specified unemployment insurance data they submit to the ETA on certain reports they are required to submit monthly or quarterly. Some of these data are used to assess performance or determine States' grants for UI administration.
<b>Why Increase Occurred:</b>	Program Change - The Department will use the UI Data Validation information as a performance measure in the State Quality Service Plan (SQSP) process. States that inaccurately report data on which key UI PERFORMS or GPRA measures are based will be required to include a corrective action plan to ensure their accuracy as part of the SQSP.
<b>Change in Burden:</b>	+30,187 hours
<b>Agency:</b>	<b>Department of Labor</b>
<b>OMB Control No.:</b>	1218-0176
<b>Title:</b>	Recording and Reporting Occupational Injuries and Illnesses -- 29 CFR Part 1904
<b>Purpose of the Collection:</b>	To develop and maintain an effective program of collection, compilation, and analysis of occupational safety and health statistics. This collection is the Nation's only comprehensive collection of occupational injury and illness data.
<b>Why Increase Occurred:</b>	Through the rulemaking process, OSHA revised the injury and illness record-keeping requirements.
<b>Change in Burden:</b>	+2,196,002 hours
<b>Agency:</b>	<b>Department of Labor</b>
<b>OMB Control No.:</b>	1220-0032
<b>Title:</b>	The Annual Refiling Survey (ARS) (formerly called the Standard Industrial Classification (SIC) forms)
<b>Purpose of the Collection:</b>	To verify the accuracy of industry codes for business establishments covered by State Unemployment Insurance (U.I.) programs.
<b>Why Increase Occurred:</b>	The increase in burden hours for FY 2002 reflects a return to the normal ARS survey criteria of verifying one-third of approximately 7.8 million responses.
<b>Change in Burden:</b>	+53,852 hours
<b>Agency:</b>	<b>Department of Transportation</b>
<b>OMB Control No.:</b>	2120-0673
<b>Title:</b>	Criminal History Records Check 14 CFR 107/108
<b>Purpose of the Collection:</b>	PL 106-528 provided for fingerprinting of all individuals on and after 12/23/2000 who receive unescorted access and those individuals who perform certain screening functions at Category X airports. This emergency rule requires that the airport operators and aircraft operators fingerprint those covered individuals at all categories of airports who before 11/14/01 were not subject to a criminal history records check.
<b>Why Increase Occurred:</b>	Terrorists attacks of 9/11/01 caused the FAA to expand the population from which fingerprints were collected.
<b>Change in Burden:</b>	+123,471 hours

<b>Agency:</b>	<b>Department of Transportation</b>
<b>OMB Control No.:</b>	2120-New
<b>Title:</b>	Certification of Airports 14 CFR part 139
<b>Purpose of the Collection:</b>	The information will be used by the FAA to determine an airport operator's compliance with part 139 safety and operational requirements.
<b>Why Increase Occurred:</b>	14 CFR part 139 was revised.
<b>Change in Burden:</b>	+52,993 hours
<b>Agency:</b>	<b>Department of the Treasury</b>
<b>OMB Control No.:</b>	1545-1758
<b>Title:</b>	IRS e-file Signature Authorization
<b>Purpose of the Collection:</b>	Form 8879 is used to allow taxpayers to either authorize the Electronic Return Originators (ERO) to enter the taxpayer's Personal Identification Number (PIN ) on the electronically filed tax return, or designate that the taxpayer will enter his or her own PIN on the electronic tax return.
<b>Why Increase Occurred:</b>	The changes were made at the request of IRS. This is a new form.
<b>Change in Burden:</b>	+5,440,000 hours
<b>Agency:</b>	<b>Department of the Treasury</b>
<b>OMB Control No.:</b>	1545-0074
<b>Title:</b>	U.S. Individual Income Tax Return
<b>Purpose of the Collection:</b>	Form 1040 is used by individual taxpayers to report their taxable income and calculate their correct liability.
<b>Why Increase Occurred:</b>	The changes were requested by IRS. Three lines were added for the "Third Party Designee". Also, lines and Code references were added throughout the form, schedules, and instructions.
<b>Change in Burden:</b>	+3,192,112 hours
<b>Agency:</b>	<b>Department of the Treasury</b>
<b>OMB Control No.:</b>	1545-0085
<b>Title:</b>	U.S. Individual Income Tax Return
<b>Purpose of the Collection:</b>	Form 1040A is used by individual taxpayers to report their taxable income and calculate their correct tax liability.
<b>Why Increase Occurred:</b>	The changes were requested by the IRS. Three lines were added for the "Third Party Designee". Also, lines and Code references were added throughout the form, schedules, and instructions.
<b>Change in Burden:</b>	+1,723,011 hours
<b>Agency:</b>	<b>Department of Treasury</b>
<b>OMB Control No.:</b>	1557-0224
<b>Title:</b>	Debt Cancellation Contracts and Debt Suspension
<b>Purpose of the Collection:</b>	12 CFR 37 requires banks to make certain disclosures to customers prior to the purchase of debt cancellation contracts and debt suspension agreements (DCCs and DSA). The disclosures are intended to establish standards to promote the protection of customers who buy DCCs.
<b>Why Increase Occurred:</b>	OCC issued Part 37 to ensure that national banks providing DCCs and DSAs do so on a safe and sound basis and to promote the protection of customers who purchase DCCs and DSAs.
<b>Change in Burden:</b>	+23,000 hours





## Appendix D. Paperwork Reduction Act Compliance

Section 5(C) of OMB Bulletin No. 02-02 (October 17, 2001) asked each agency to document its compliance with the information collection provisions of the PRA. Appendix C of OMB Bulletin No. 02-02 indicated that OMB is required to report to Congress all violations of the PRA and its implementing regulations.

Agencies were asked to report (1) the title of the information collection, (2) the nature of the violation, and (3) how the violation was discovered and remedied. The violations reported are described in three lists. This document lists 406 violations of the Paperwork Reduction Act, only 109 of which remain unresolved as of March 12, 2002 (the cut-off date for preparing these lists). This is a substantial improvement over the number of violations identified in the FY 2001 ICB.

The first list, "FY 2001 Lapses in OMB Approval, Resolved as of March 12, 2002," identifies by agency (and agency division) those ongoing collections of information for which OMB approval had expired. The Departments of Agriculture and Housing and Urban Development had a significant number of entries on this table, 76 and 40 respectively. These high numbers reflect significant progress during the last year resolving previously identified problems.

The second list, "FY 2001 Lapses in OMB Approval, Unresolved as of March 12, 2002," identifies ongoing agency use of an expired information collection. Agencies with a large number of entries include the Departments of Agriculture, Housing and Urban Development, and Veterans Affairs with 21, 37, and 11 respectively.

The third list, "FY 2001 Violations: Collections without OMB approval or modified without OMB approval," identifies 28 agency uses of an information collection (or substantive or material modification thereof)<sup>40</sup> without having first obtained OMB approval under the PRA.

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<sup>40</sup> "An agency may not make a substantive or material modification" of an already approved collection of information without obtaining OMB approval for that modification. 44 U.S.C. 3507(h)(3), 5 CFR 1320.5(g).

**Table D.1: FY 2001 Lapses in OMB Approval  
Resolved as of March 12, 2002**

OMB Control Number	Collection Title	Date of Expiration	Date of Reinstatement	Date Discontinued
<i>Department of Agriculture</i>				
Animal and Plant Health Inspection Service				
0579-0010	National Agricultural Pest Information System	8/31/2000	2/1/2001	
0579-0013	Virus Serum Toxin Act & Related Regulations	9/30/2001	3/12/2002	
0579-0015	Prohibited and Restricted Importation of Meats, Animal Byproducts, Poultry, Organisms, and Vectors into the	7/31/2001	3/12/2002	
0579-0055	Request for Credit Account Approval for Reimbursable Services	4/30/2001	8/14/2001	
0579-0072	Exotic Bee Diseases and Parasites	9/30/2001	3/12/2002	
0579-0116	Exotic Newcastle Disease in Birds and Poultry Chlamydia in Poultry	8/31/2001	1/18/2002	
0579-0121	Kamal Bunt	7/31/2000		1/17/2002
0579-0126	Compensation for Wheat Seed and Straw in the 1995-1996 Crop Season	7/31/2000		1/31/2002
0579-0129	Importation of Fresh Hass Avocado Fruit	1/31/2001	1/8/2002	
0579-0130	Export Certification, Accreditation of Non-Government Facilities	4/30/2001	3/12/2002	
0579-0132	Mexicali Valley, Kamal Bunt	7/31/2001	11/16/2001	
0579-0162	West Nile Virus Surveillance Project	6/30/2001	9/27/2001	
Farm Service Agency				
0560-0026	Application for Payment of Amounts Due Persons Who Have Died, Disappeared, or Have Been Declared Incompetent	8/31/2000	9/28/2001	
0560-0040	Regulations for Cooperative Marketing Associations-- 7 CFR Part 1425	5/31/2000	1/18/2001	
0560-0058	Tobacco Marketing Quota and Price Support Programs	9/30/1997	9/21/2001	
0560-0092	Forms for Participation in Price Support and Production Adjustment Programs	10/31/1998	9/28/2001	
0560-0157	Insured Farm Ownership Loan Policies, Procedures, and Authorizations	6/30/2000	1/18/2001	
0560-0162	Operating Loans; Policies, Procedures, and Authorizations- 7CFR Part 1941	6/30/2000	2/2/2001	
0560-0165	Agricultural Loan Mediation Program	3/31/1998	2/1/2001	
0560-0179	Livestock Indemnity Program	1/31/2000	6/26/2001	
Food and Nutrition Service				
0584-0081	State Coupon Issuance and Participation Estimates-- Form FCS 388	2/29/2000	11/17/2000	

<b>OMB Control Number</b>	<b>Collection Title</b>	<b>Date of Expiration</b>	<b>Date of Reinstatement</b>	<b>Date Discontinued</b>
Food Safety and Inspection Service				
0583-0092	Official Marking Devices, Labeling, and Packaging Material	12/31/1997	9/28/2001	
Forest Service				
0596-0009	Fuelwood and Post Assessment	7/31/2000	3/15/2001	
0596-0017	Collection and Analysis of Timber Purchasers' Cost and Sales Data	12/31/1998	4/24/2001	
0596-0019	Visitor Permit and Visitor Registration Card	1/31/2000	11/8/2000	
0596-0025	State and Private forestry Accomplishment Report	10/31/1999	5/2/2001	
0596-0080	Volunteer Application for Natural Resource Agencies	1/31/1998	4/2/2001	
0596-0081	Disposal of Mineral Materials	8/31/2000	5/25/2001	
0596-0086	Timber Sale Operating Plans	8/31/2000	1/26/2001	
0596-0087	Commercial Use of "Woody Owl" Symbol	10/31/1999	3/15/2001	
0596-0089	Application for Prospecting Permit	8/31/2000	11/14/2000	
0596-0099	Application for the Senior Community Service Employment Program	11/30/1999	12/8/2000	
0596-0149	Public Information Survey for the Recreation Fee Demonstration Program at Sedona, Arizona, on the Coconino National Forest and the Pacific Northwest	3/31/2000	3/27/2001	
National Agricultural Statistical Service				
0535-0020	Milk and Milk Products	6/30/2001	9/28/2001	
National Resources Conservation Service				
0578-0018	Application for Payment	9/30/1998	10/30/2000	
Office of the Chief Information Officer				
0503-0005	Millennium Green Projects Registration	8/31/2000		1/20/2001
Rural Housing Service				
0575-0119	Offset of Federal Payments to USDA Borrowers	2/28/2001	10/10/2001	
0575-0158	Supervised Bank Account	10/31/2000	1/11/2002	
Rural Utilities Service				
0572-0089	Wholesale Contracts for the Purchase & Sale of Electric Power	10/31/1997	1/31/2001	
0572-0109	WWD Loans and Grants	1/31/1998	9/29/2001	
<b><i>Department of Commerce</i></b>				
National Oceanic and Atmospheric Administration				
0648-0075	Foreign Fishing Reporting Requirements	11/30/2000	7/9/2001	
0648-0090	Interim Capital Construction Fund Agreement and Certificate Family of Forms	3/31/2001	6/26/2001	
0648-0119	Coastal Zone Management Program Administration	8/31/2001	11/28/2001	
0648-0151	Applications and Reporting Requirements for Small Takes of Marine Mammals by Specified Activities Under the Marine Mammal Protection Act	11/30/2000	3/29/2001	

<b>OMB Control Number</b>	<b>Collection Title</b>	<b>Date of Expiration</b>	<b>Date of Reinstatement</b>	<b>Date Discontinued</b>
0648-0157	NOAA Space-Based Data Collection System (DCS) Agreements	1/31/2001	5/2/2001	
0648-0175	Marine Fisheries Initiative (MARFIN)	9/30/2001	3/11/2002	
0648-0178	Marine Mammal Stranding Reports	1/31/2000	3/30/2001	
0648-0202	Northeast Region Logbook Family of Forms	11/30/2000	3/29/2001	
0648-0223	Pacific Albacore Logbook	8/31/2001	3/11/2002	
0648-0259	Information for Share Transfer in Wreckfish Fishery	5/31/2001	8/28/2001	
0648-0329	Foreign Fishing Vessels Operating in Internal Waters	5/31/2000	2/22/2001	
0648-0330	At-Sea Scale Certification Program	9/30/2000	2/22/2001	
0648-0335	Fisheries Certificate of Origin	11/30/2000	3/29/2001	
0648-0345	Southeast Region Bycatch Reduction Device Certification Family of Forms	8/31/2001	3/11/2002	
0648-0348	High Seas Fishing Vessel Identification Requirements	9/30/2001	3/11/2002	
0648-0349	High Seas Fishing Vessel Reporting Requirements	9/30/2001	3/11/2002	
0648-0401	American Fisheries Act Recordkeeping and Reporting	7/31/2000	12/5/2000	
<b><i>Department of Defense</i></b>				
Departmental and Others				
0704-0194	DoD Security Agreement, Appendage, and Certificate Pertaining to Foreign Interests	12/31/2000	6/5/2001	
0704-0398	Substitutions for Military Federal Specifications, DFARS Section 211.273	1/31/2001	8/6/2001	
<b><i>Department of Education</i></b>				
Office of the Under Secretary				
1875-0106	Application for Federal Education Assistance	9/30/2001	11/9/2001	
<b><i>Department of Energy</i></b>				
Office of Administration				
1910-0300	Environment, Safety, and Health	8/31/2000	2/2/2001	
1910-0500	Financial Management	8/31/2000	2/2/2001	
1910-1400	Compliance Statement: Energy/Water Conservation Standards for Appliances	8/31/2000	2/2/2001	
1910-1800	Safeguards and Security	9/30/2000	2/2/2001	
1910-5102	Reporting and Recordkeeping Requirements for Make-or-Buy Plans	8/31/2000	2/2/2001	
1910-5103	Reporting and Recordkeeping Requirements for Safety Management System	8/31/2000	2/2/2001	
<b><i>Department of Health and Human Services</i></b>				
Administration for Children and Families				
0970-0060	Low Income Energy Assistance Program (LIHEAP) Household Report	6/30/2000	10/2/2000	

<b>OMB Control Number</b>	<b>Collection Title</b>	<b>Date of Expiration</b>	<b>Date of Reinstatement</b>	<b>Date Discontinued</b>
<b>Food and Drug Administration</b>				
0910-0213	Recordkeeping for Electronic Products, Specific Product	11/30/2000	12/7/2000	
0910-0279	Year 2001 Updates of a National Survey of Prescription Drug Information Provided to Parents	5/31/1999	6/23/2001	
0910-0339	Substances Prohibited from Use in Animal Food or Feed; Animal Proteins Prohibited in Ruminant Feed, 21 CFR 589.2000	7/31/2000	2/2/2001	
0910-0345	Food Safety Survey	11/30/2000	3/12/2001	
<b>Health Care Financing Administration</b>				
0938-0042	Request for Medicare Payment-- Ambulance	10/31/2000	3/2/2001	
0938-0062	Intermediate Care Facility for the Mental Retarded or Persons with Related Conditions ICF/MR Survey Report Form (3070G-1) and Supporting Regulations 42 CFR 431.52, 431.151, 435, 1009	4/30/2000	11/14/2000	
0938-0357	Home Health Services Under Hospital Insurance, Manual Instructions and Supporting Regulations in 42 CFR 409.40, 410.36, 410.170, 411.4-.15, 421.100, 424.22, 484.18, and 489.21	11/30/2000	6/20/2001	
0938-0372	ESRD Beneficiary Selection and Supporting Regulations	11/30/2000	3/2/2001	
0938-0386	Conditions for Coverage of Suppliers of ESRD Services and Supporting Regulations	1/31/2001	4/17/2001	
0938-0469	Health Maintenance Organizations and Competitive Medical Plans and Supporting Regulations	8/31/2001	12/10/2001	
0938-0501	Medicare Qualification Statement for Federal Employees and Supporting Regulations	1/31/2001	4/16/2001	
0938-0697	Medicaid Report on Payables and Receivables	9/30/2000	12/6/2000	
0938-0700	Incentive Arrangement Disclosure Form and Supporting Regulations	11/30/2000	4/13/2001	
0938-0708	Evaluation of the State Medicare Reform Demonstrations and Evaluation of the Medicaid Health Reform Demonstrations	11/30/2000	4/23/2001	
0938-0732	The Medicare Managed Care CAHPS Survey and Supporting Regulations	1/31/2001	5/17/2001	
0938-0742	Adjusted Community Rate (ACR)	1/31/2001	4/17/2001	
0938-0753	Medicare Plus Choice Program	10/31/2000	8/1/2001	
0938-0778	Medicare + Choice Organization Appeals and Grievance Data Disclosure Requirements and Supporting	1/31/2000	12/19/2000	
0938-0807	Oxygen Consumer Survey: Medical Equipment and Consumer Survey	2/28/2001	7/30/2001	
0938-0817	Survey of Medicare Beneficiaries Who Involuntarily Disenroll from their Health Plan	6/30/2001	11/30/2001	
<b>Health Resources and Services Administration</b>				
0915-0028	Scholarship Program for Students of Exceptional Financial Need and Program of Financial Assistance for Disadvantaged Health Professions Students: Regulatory Requirements	9/30/1999	3/31/2001	
<b>Indian Health Service</b>				

<b>OMB Control Number</b>	<b>Collection Title</b>	<b>Date of Expiration</b>	<b>Date of Reinstatement</b>	<b>Date Discontinued</b>
0917-0002	HIS Contract Health Service Report	4/30/2001	1/28/2002	
0917-0006	HIS Scholarship Application	7/31/2001	12/5/2001	
0917-0007	HIS Urban Indian Health Program Common Reporting Requirements	6/30/2000	12/7/2000	
Office of Human Development Services				
0980-0017	Head Start Program	5/31/2001	11/14/2001	
<b><i>Department of Housing and Urban Development</i></b>				
Government National Mortgage Association				
2503-0004	Issuer's Monthly Accounting	10/31/2000	7/27/2001	
2503-0010	Schedule of Pooled Mortgages	9/30/1999	8/31/2001	
2503-0015	Issuer's Monthly Remittance Advice and Issuer's Monthly Serial Note Remittance Advice	11/30/2000	6/12/2001	
2503-0018	Prospectus	10/31/1999	4/12/2001	
Office of Administration				
2535-0102	Grant Payment Request Voucher/Voice Resonse Access Authorization on VRS LOCCS IDIS	8/31/2000	1/4/2001	
Office of Community Planning and Development				
2506-0077	Community Development Block Grant (CDBG) Entitlement Program	9/30/2000	1/18/2001	
2506-0080	Rental Rehabilitation Program	9/30/2000	1/4/2001	
2506-0085	State CDBG Program	11/30/2000	10/31/2001	
2506-0087	Environmental Review Procedures for Entities Assuming HUD Environmental Responsibilities	9/30/2001	11/26/2001	
2506-0133	Housing Opportunities for Persons with AIDS (HOPWA) Program	7/31/2000	11/7/2000	
2506-0151	24 CFR Part 55, Floodplain Management	1/31/2001	8/29/2001	
2506-0169	Rural Housing & Economic Development Program	8/31/1999	11/7/2000	
2506-0173	Designation of Round III Empowerment Zones and Renewal Communities	7/31/2001	12/18/2001	
Office of Fair Housing and Equal Opportunity				
2529-0033	Fair Housing Initiatives Program Application Kit	5/31/2000	10/27/2000	
Office of Housing				
2502-0011	Request for Construction Change	1/31/1996	1/18/2001	
2502-0012	Rental Schedule, Low Rent Housing	3/31/2000	11/20/2000	
2502-0016	Final Endorsement of Credit Instrument	3/31/1996	2/26/2001	
2502-0029	Application for M/F Housing Project	9/30/1997	7/27/2001	
2502-0041	Mortgage Default Status Report on Multifamily Housing Projects	1/31/2000	1/4/2001	
2502-0058	Supplement to Subscription Agreement for Cooperative Housing Applications Under Section 213 and 221 (D)(3)	11/30/1996	1/17/2001	
2502-0059	Request for Credit Approval of Substitute Mortgage	7/31/2000	7/19/2001	

<b>OMB Control Number</b>	<b>Collection Title</b>	<b>Date of Expiration</b>	<b>Date of Reinstatement</b>	<b>Date Discontinued</b>
2502-0082	Rexertification of Family Income and Composition, Sec. 235(b)	11/30/2000	6/11/2001	
2502-0097	Application for Insurance of Advance of Mortgage	4/30/1995	3/16/2001	
2502-0108	Monthly Reports for Establishing Net Income	11/30/1999	1/18/2001	
2502-0118	Previous Participation Certification	10/31/2000	3/8/2002	
2502-0182	Housing Owners Certification and Application for Housing Assistance Payment Schedule of Tenant Assistance Payments Due	2/29/2000	11/20/2000	
2502-0189	Compliance Inspection Report, Mortgagee's Assurance Completion	7/31/1998	10/31/2001	
2502-0190	Application for Homeownership Assistance under Section 235 of the NHA	1/31/2001	10/17/2001	
2502-0204	Owner/Tenant Certification for Multifamily Housing Programs	7/31/2001	10/5/2001	
2502-0210	Certification of Need for Health Facility	11/30/1994	2/26/2001	
2502-0306	Conveyance (Acquisition) Disposition/SF Property Disposition Officer/Teacher Next Door	1/31/2000	6/12/2001	
2502-0342	Pet Ownership in Assisted Rental Housing for the Elderly or Handicapped	3/31/2000	7/27/2001	
2502-0369	MF Physical Inspection Reporting Requirements	6/30/2000	1/4/2001	
2502-0382	Housing Development Grant Program Project Settlement Procedures	10/31/1994	2/26/2001	
2502-0392	Actions to Reduce Losses in FHA Programs – FR 2491	9/30/1999		10/31/2001
2502-0412	Leased and Sale of HUD-Acquired Single Family Properties for the Homeless	7/31/1999	1/4/2001	
2502-0414	Mortgage Insurance Termination; Application for Premium Refund of Distribute Share Payment	10/31/1999	2/22/2001	
2502-0419	Mortgagee's Application for Insurance Benefits, Multifamily Mortgage	3/31/1999	2/22/2001	
2502-0420	Multifamily Coinsurance Claims Package 223(f)	10/31/1999	2/26/2001	
2502-0421	Risk-Based Annual Premiums: Monthly Remittance Summary	9/30/1998		5/31/2001
2502-0422	Mortgage Record Change	7/31/1999	7/27/2001	
2502-0423	Single Family Premium Collection Subsystem Upfront	4/30/2000	1/17/2001	
2502-0424	Pre-authorization Debit	4/30/1996	12/28/2001	
2502-0427	Mortgagee's Application for Partial Settlement Multifamily Mortgage	11/30/1999	12/28/2001	
2502-0460	Reporting Requirements for the Auction of Section 221(g)(4) Multifamily Mortgages	9/30/1998	1/11/2002	
2502-0462	Section 811 Supportive Housing for Persons with Disabilities	6/30/1998	1/11/2002	
2502-0485	Congregate Housing Services	10/31/2000	11/26/2001	
2502-0486	Single Family Acquired Asset Management Systems (SAMS)	11/30/1999	12/18/2000	



<b>OMB Control Number</b>	<b>Collection Title</b>	<b>Date of Expiration</b>	<b>Date of Reinstatement</b>	<b>Date Discontinued</b>
2502-0494	HUD Conditional Commitment/Direct Endorsement Statement of Appraised Value	7/31/1999	6/12/2001	
2502-0505	Comprehensive Needs Assessment (CNA)	8/31/1997	11/30/2000	
2502-0527	208(k) Rehabilitation Mortgage Insurance	10/31/2000	4/12/2001	
2502-0540	Application & Re-certification Packages for Approval of Nonprofit Organizations in FHA Activities	5/31/2000	10/27/2000	
2502-0541	Lender Qualifications for Multifamily Accelerated Processing (MAP)	8/31/2000	2/26/2001	
2502-0545	Review of Health Care Facility Portfolios	7/31/2001	10/5/2001	
<b>Office of Public and Indian Housing</b>				
2577-0021	Consolidated Public Housing Certificate of Completion	10/31/2000	6/11/2001	
2577-0024	Life-Cycle Cost Analysis of Utility Combinations in Public Housing	3/31/2000	11/20/2000	
2577-0036	Public Housing Agency (PHA) Development Cost Budget/Cost Statement	10/31/2000	5/7/2001	
2577-0039	Public & Indian Housing, Contract Administration	7/31/2000	3/16/2001	
2577-0044	Comprehensive Improvement Assistance Program (CIAP) Budget/Progress Report	3/31/2000	4/12/2001	
2577-0045	Insurance Information-- Form 5460	9/30/2000	5/7/2001	
2577-0067	Insurance Information	7/31/2000	10/17/2001	
2577-0078	Pet Ownership in Public Housing for the Elderly or Handicapped: Notification to Applicants	6/30/2001	10/5/2001	
2577-0088	Contract and Subcontract Activity	10/31/2000	6/13/2001	
2577-0090	Annual Lead-Based Paint Activity Report	11/30/2000	6/11/2001	
2577-0094	General Condition of the Contract for Construction	2/29/2000	11/20/2000	
2577-0133	Public Housing Drug Elimination Program-- Technical Assistance Consultant Application	6/30/2000	2/22/2001	
2577-0157	Modernization of Public Housing Under the Comprehensive Grant Program (CGP)	8/31/2000	11/22/2000	
2577-0166	Public and Indian Housing LOCCS Voice Response System (LOCCS/FRS) Payment Vouchers	6/30/2000	2/23/2001	
2577-0186	Financial Standards for Housing Authority-- Owned Insurance	7/31/2000	4/30/2001	
2577-0192	Requirements for Designations of Public Housing Projects: The Housing Opportunity Program Extension	8/31/2000	6/12/2001	
2577-0201	Section 5(h) Homeownership Program: Resident Application	9/30/2001	1/7/2002	
2577-0211	Economic Development and Supportive Services Program: Application Funding Requirements	6/30/2000	4/12/2001	
2577-0220	Admission To and Continued Occupancy of Public Housing, Policies on Applicant Admission, Verification, Communication, Screening, Waiting Lists	6/30/2000	11/30/2001	

<b>OMB Control Number</b>	<b>Collection Title</b>	<b>Date of Expiration</b>	<b>Date of Reinstatement</b>	<b>Date Discontinued</b>
2577-0229	Resident Opportunities Self Sufficiency (ROSS) Program/Application, Evaluation, Assessment	10/31/1999	11/26/2001	
Office of the Secretary				
2501-0014	Restrictions on Assistance to Noncitizens – FR-2383 Policy Development and Research	10/31/1998	12/5/2000	
2528-0165	Low Income Housing Tax Credit Database	11/30/2000	6/12/2001	
<b><i>Department of Interior</i></b>				
Bureau of Indian Affairs				
1076-0020	Direct Loan Guaranty Program Applications - 25 CFR	7/31/1995	11/21/2000	
1076-0094	Law and Order on Indian Reservations	3/31/1995	11/6/2001	
1076-0101	Higher Education Grant Program Application	5/31/1998	10/26/2001	
1076-0106	Higher Education Annual Report-- 25 CFR 40, Subchapter E	1/31/2000	10/26/2001	
1076-0108	Indian School Equalization Program Student Membership Form	7/31/1993	12/21/2001	
1076-0114	Application for Admission to two Indian colleges, Forms BIA-6222 and BIA-6223	1/31/1994	11/30/2001	
1076-0122	Student Enrollment Application, Form VIA-6248	12/31/1993	12/21/2001	
National Park Service				
1024-0018	National Register of Historic Places Registration Form	5/31/1999	1/16/2002	
1024-0021	Application for a Public Gathering Permit	7/31/1998	4/13/2001	
1024-0038	Procedures for State, Tribal, and Local Government Historic Preservation Programs-- 36 CFR 61	8/31/2000	7/10/2001	
<b><i>Department of Justice</i></b>				
General Administration				
1103-0027	Universal Hiring Grant Program Application	5/31/2001	1/3/2002	
Immigration and Naturalization Service				
1115-0018	Application for Certificate of Citizenship	8/31/2000	2/20/2001	
1115-0018	Application for Certificate of Citizenship, N-600	8/31/2000	2/20/2001	
1115-0053	Application to Register Permanent Residence or Adjust Status, and Supplementa A to Form I-485	6/30/2001	10/3/2001	
1115-0093	Application to Extend/Change Non Immigrant Status	4/30/2000	7/5/2001	
1115-0104	Health and Human Services Statistical Data for Refugee/Asylee	5/31/1998	1/29/2001	
1115-0152	Application for Citizenship Certificate on Behalf of an Adopted Child	8/31/2000	2/20/2001	
1115-0168	Petition for non Immigrant Worker	8/31/2001	9/20/2001	
1115-0211	Arrival Record	9/30/2000	10/23/2000	

<b>OMB Control Number</b>	<b>Collection Title</b>	<b>Date of Expiration</b>	<b>Date of Reinstatement</b>	<b>Date Discontinued</b>
<b>Office of Justice Programs</b>				
1121-0098	Survey of Inmates in Local Jails, 2001, Pretest	6/30/1996	3/9/2001	
1121-0149	2000 National Survey of Prosecutors	4/30/1998	3/6/2001	
1121-0218	Census of Juveniles in Residential Placement	11/30/2000	7/18/2001	
<b><i>Department of Labor</i></b>				
<b>Employment and Training Administration</b>				
1205-0033	Job Corps Health Questionnaire	1/31/2000	1/10/2001	
1205-0035	Job Corps Placement and Assistance	9/30/1998	2/5/2001	
1205-0398	Workforce Investment Act Planning Guidance	8/31/1999	5/30/2001	
<b>Pension and Welfare Benefits Administration</b>				
1205-0030	Job Corps Allotments	1/31/2000	2/12/2001	
<b><i>Department of State</i></b>				
1405-0068	Medical History & Examination for Foreign Service Dependent (DS-1622 & DS-1843)	10/31/1994	4/13/2001	
1405-0095	Shrimp Exporter's Declaration	9/30/1999	12/5/2000	
1405-0104	United States Department of State Request for Customs Clearance of Merchandise	6/30/2001	2/14/2002	
<b><i>Department of the Treasury</i></b>				
1505-0088	Treasury International Capital Form BL-3, "Intermediary's Notification of Foreign Borrowing Denominated in	1/31/2001	4/10/2001	
1505-0146	Survey of U.S. Ownership of Foreign	8/31/2000	8/31/2001	
1505-0174	Financial Subsidiaries (Interim Final Rule)	9/30/2000	6/13/2001	
1505-0181	Community Adjustment and Investment Program Grant Program Application	7/31/2001	12/18/2001	
<b>Community Development Financial Institutions</b>				
1559-0005	Bank Enterprise Award Program Application, Final Reporting Form	4/30/2001	11/16/2001	
1559-0007	Presidential Awards for Excellence in Microenterprise Development Program	4/30/2001	11/26/2001	
1559-0008	Bank Enterprise Award (BEA) Program Survey	2/28/2001	11/16/2001	
<b>Financial Management Service</b>				
1510-0007	Direct Deposit Sign-Up Form	11/30/2000	2/21/2001	
1510-0029	Depositor's Application for Payment	7/31/2001	10/3/2001	
<b>Office of Thrift Supervision</b>				
1550-0072	Mutual Holding Company	7/31/2000	10/10/2000	
1550-0104	Asset Securitization	10/31/2000	11/9/2000	
<b>U.S. Customs Service</b>				
1515-0218	Automated Clearinghouse Credit	3/31/2001	2/7/2002	

<b>OMB Control Number</b>	<b>Collection Title</b>	<b>Date of Expiration</b>	<b>Date of Reinstatement</b>	<b>Date Discontinued</b>
1515-0225	African Growth and Opportunity Act Certificate of Origin	3/31/2001	8/9/2001	
1515-0226	United States-Caribbean Basin Trade Partnership Act	3/31/2001	8/9/2001	
<b><i>Department of Transportation</i></b>				
Federal Motor Carrier Safety Administration				
2126-0001	Hours of Service of Drivers Regulations	9/30/2001	3/4/2002	
2126-0018	Request for Revocation of Authority Granted	1/31/2001	4/10/2001	
National Highway Traffic Safety Administration				
2127-0008	Consumer Complaint/Recall Audit Information	9/30/2001	2/20/2002	
2127-0043	Manufacturers' Identification -- 49 CFR Part 566	9/30/2001	2/7/2002	
2127-0044	Names and Addresses of First Purchasers of Motor	9/30/2001	2/7/2002	
2127-0045	Petitions for Inconsequentiality-- 49 CFR 556	9/30/2001	2/7/2002	
2127-0052	Brake Hose Manufacturers Identification	9/30/2001	1/22/2002	
2127-0576	Voluntary Child Safety Seat Registration Form	9/30/2001	1/22/2002	
Office of the Secretary				
2105-0531	Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals and Other Non-Profit Organizations	6/30/2001	8/17/2001	
U.S. Coast Guard				
2115-0015	Shipping Articles	11/30/2000	3/30/2001	
2115-0073	Alternative Compliance for International and Inland Navigation Rules-- 33 CFR Parts 81 and 89	7/31/2001	9/17/2001	
2115-0580	Outer Continental Shelf Activities-- Emergency Evacuation Plans for Manned OCS Facilities; Design & Plan Approvals; In-Service Inspection & Letter of	2/28/2001	4/12/2001	
<b><i>Department of Veterans Affairs</i></b>				
2900-0002	Income, Net Worth, and Employment Statement, VA Form 21-527	6/30/2000	5/10/2001	
2900-0012	Application for Cash Surrender or Policy Loan, VA Form 29-1546	3/31/2001	7/12/2001	
2900-0017	Fiduciary Account Book, VA Form 21-4718, and Fiduciary Account, VA Form 21-4706	9/30/1998	10/3/2000	
2900-0018	a. Application for Accreditation as Service Organization Representative, VA Form 21 b. Appointment of Individual as Claimant's Representative, VA Form 22a	9/30/1999	4/10/2001	
2900-0021	Notice of Default; Notice of Default and Intention to Foreclose; Notice of Intention to Foreclose, VA Forms 26-6850, 6850a, 6851	12/31/2000	5/4/2001	
2900-0034	Trainee Request for Leave - Chapter 31, Title 39, U.S.C., VA Form 28-1905h	6/30/1997	10/19/2000	
2900-0042	Statement of Accredited Representative in Appealed Case, VA Form 646	4/30/2000	10/26/2000	

<b>OMB Control Number</b>	<b>Collection Title</b>	<b>Date of Expiration</b>	<b>Date of Reinstatement</b>	<b>Date Discontinued</b>
2900-0059	Statement of Person Claiming to Have Stood in Relation of Parent, VA Form 21-524	9/30/1998	3/1/2002	
2900-0080	Funeral Arrangements, VA Form 10-2065	10/23/1998	10/4/2001	
2900-0090	Application for Voluntary Service, VA Form 10-7055	7/31/1997	11/15/2000	
2900-0092	Counseling Record-- Personal Information VA Form 28-1902	1/30/2000	5/21/2001	
2900-0117	Inquiry Concerning Applicant for Employment, VA FL 5-127	1/31/1997	7/2/2001	
2900-0176	Monthly Record of Training and Wages, VA Form 20-1905c	2/29/2000	3/14/2001	
2900-0219	CHAMPVA Claim Form and Application for Medical Benefits for Dependents or Survivors, VA Forms 10-10d and 10-7895a	6/30/1996	7/26/2001	
2900-0222	Application for Standard Government Headstone or Marker, VA Form 40-1330	12/31/2000	4/13/2001	
2900-0249	Loan Service Report, VA Form 26-6808	5/31/2001	8/9/2001	
2900-0265	Application for Counseling, VA Form 28-8832	9/30/1998	10/19/2000	
2900-0319	Fiduciary Agreement, VA Form 27-4703	8/31/1998	10/19/2000	
2900-0335	Dental Record Authorization and Service for Outpatient Services, VA Form 10-2570d	4/30/1996	3/30/2001	
2900-0365	Request for Disinterment, VA Form 40-4970	10/31/2000	6/27/2001	
2900-0376	Agent Orange Registry Code Sheet, VA Form 10-9009	4/30/1996	3/14/2001	
2900-0394	Certification of School Attendance-- REPS, VA Form 21-8926	6/30/2000	12/5/2000	
2900-0400	Complaints 38 CFR 18.55452, Notice of Subrecipient 38 CFR 18.532	7/31/1998		11/17/2000
2900-0438	List of Names and Addresses- 38CFR 1.519(A)	12/31/2000	4/25/2001	
2900-0442	Request for Armed Forces Separation Records, VA Form Letter 21-80e	8/31/1997	10/16/2001	
2900-0445	VAAR Subpart 819.70, Veteran-Owned and Operated Small Business (Exceptions to Standard Forms 18 and	4/30/2000	10/3/2000	
2900-0455	Equal Opportunity Compliance Review, Supplement to Equal Opportunity Compliance Review Report, VA Forms 26-8734 and 27-8734a	12/31/2000	9/13/2001	
2900-0459	Property Management Consolidated Invoice, VA Form 26-8974	9/30/1999	11/20/2000	
2900-0466	Certificate of Balance on Deposit, VA Form 27-4718a	9/30/1998	10/3/2000	
2900-0474	Loan Guaranty Funding Fee Transmittal, VA Forms 26-8986 and 26-8986-1	11/30/2000	12/5/2001	
2900-0495	Marital Status Questionnaire, VA Form 21-0537	3/31/2001	10/2/2001	
2900-0518	Income Verification Forms, VA Forms 21-0161 and 21-0161a	6/30/1996	5/9/2001	

<b>OMB Control Number</b>	<b>Collection Title</b>	<b>Date of Expiration</b>	<b>Date of Reinstatement</b>	<b>Date Discontinued</b>
2900-0521	Credit Underwriting Standards and Procedures for Processing VA Guaranteed Loans (38 CFR 36.4337), VA Forms 26-8497, 26-8497a, 26-1820	12/31/1997	10/2/2001	
2900-0524	VA Police Officer Pre-Employment Screening Checklist, VA Form 0120	7/30/2000	10/27/2000	
2900-0546	Adjacent Gravesite Set-Aside Survey (2-Yaer), VA FL 40-40	3/31/2001	8/14/2001	
2900-0548	Generic Clearance for Board of Veterans' Appeals	8/31/2000		11/17/2000
2900-0554	Application for VA Homeless Providers Grant and Per Diem Program, VA Form 10-0362	3/31/2000	4/23/2001	
2900-0559	State Cemetery Data, VA Form 40-0241	9/30/2000	6/20/2001	
2900-0562	Survey of Health Promotion and Preventative Medicine Services, VA Form 10-21000 (NR)	9/30/1999		11/17/2000
2900-0567	PMC Insert, VA Form 40-0247	10/31/2000	2/14/2001	
2900-0572	Application for Spina Bifida Benefits, VA Form 21-0304	7/31/2000	5/9/2001	
2900-0573	Application for Extension of Eligibility Period under Survivors' and Dependents' Educational Assistance (Title 38 CFR 21.3047)	7/31/2000		10/23/2001
2900-0574	Loan Guaranty: VA Guaranteed Loans on the Automatic Basis, Requirements, and Elimination of Late Reporting Waivers, VA Forms 26-8736 and 26-8736A	8/31/2000		11/17/2000
2900-0578	Provision of Health Care to Vietnam Veterans' Children with Spina Bifida	11/30/2000	7/27/2001	
2900-0583	Informed Consent for Patient Care - Title 38 CFR 17.32	10/31/2000	11/19/2001	
2900-0585	Department of Veterans Affairs Acquisition Regulations Clause 852.211-77, Brand Name or Equal	12/31/2000	8/14/2001	
2900-0586	Department of Veterans Affairs Acquisition Regulations Provision 852-211-75, Technical Industry Standards	12/31/2000	8/22/2001	
2900-0587	Department of Veterans Affairs Acquisition Regulations Clause 852.211-70, Service Data Manual	10/21/1997	8/14/2001	
2900-0588	Department of Veterans Affairs Acquisition Regulations Provision 852.211-74, Special Notice	12/31/2000	8/14/2001	
2900-0589	Department of Veterans Affairs Acquisition Regulations Provision 852.270-3, Shellfish	12/31/2000	8/17/2001	
2900-0593	Department of Veterans Affairs Acquisition Regulations Provision 852.214-70, Caution to Bidders - Bid	12/31/2000	8/22/2001	
2900-0596	Claim for Educational Assistance - 38 CFR 21.1030	8/31/2001		10/23/2001
2900-0598	National Health Survey of Gulf War Era Veterans and their Families Phase III Physical Examinations	9/30/1998		11/17/2000

***Environmental Protection Agency***

**Air and Radiation**

2060-0360	MACT for Primary Aluminum Reduction Plants, 40 CFR Part 63, Subpart GGG	12/31/2000	9/25/2001	
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**Table D.2: FY 2001 Lapses in OMB Approval  
Unresolved as of March 12, 2002**

<b>OMB Control Number</b>	<b>Collection Title</b>	<b>Date of Expiration</b>
<b><i>Department of Agriculture</i></b>		
Animal and Plant Health Inspection Service		
0579-0047	Brucellosis Program Cooperative Agreements	9/30/2001
0579-0048	Certificate for Poultry and Hatching Eggs for Export	9/30/2001
0579-0049	Foreign Quarantine Notices	9/30/2001
0579-0052	Phytosanitary Export Certification	8/31/2001
0579-0071	Field Epidemiology Data System	9/30/2001
0579-0088	Domestic Quarantines	11/30/2000
0579-0102	Imported Fire Ant	8/31/2001
0579-0119	Foreign Quarantine Notices, Logs, and Lumber	9/30/2001
0579-0122	Asian Long-Horned Beetle	1/31/2001
0579-0131	Importation of Tomatoes from France, Morocco and Western Sahara, Chile and Spain	4/30/2001
Farm Service Agency		
0560-0004	Report of Acreage	6/30/1997
0560-0087	General Regulations Governing Commodity Loans for 1996 and Subsequent Crops-- 7 CFR part 1421	3/31/2000
0560-0121	Payer's Request for Identifying Number	10/31/2000
0560-0177	Offer Forms and Shipment Information Log	1/31/2001
0560-0183	Assignment of Payments and Joint Payment	2/28/2001
Food Safety and Inspection Service		
0583-0103	Pathogen Reduction, Hazard Analysis and Critical Control Point (HACCP) Systems	2/28/1999
Forest Service		
0596-0141	Small Business Timber Sale Set-Aside Program: Appeal Procedures on Recomputation of Shares	8/31/2000
National Resources Conservation Service		
0578-0024	Volunteer Program - Earth Team	12/31/1998
Office of the Chief Financial Officer		
0505-0009	USDA Applicant Supplemental Sheet	10/31/2000
Rural Utilities Service		
0572-0059	Electric and Telephone Standards/Specifications Acceptance, Telephone Field Trials, and Telephone Contract Forms	9/30/1997
0572-0076	REA Specification for Quality Control and Inspection of Timber	9/30/1997
<b><i>Department of Commerce</i></b>		

<b>OMB Control Number</b>	<b>Collection Title</b>	<b>Date of Expiration</b>
National Oceanic and Atmospheric Administration		
0648-0078	Certificate of Exemption Renewal	8/31/2001
0648-0079	Subsequent Purchaser Reports	8/31/2001
0648-0179	Applications and Reports for Registration as a Tanner or Agent	9/30/2001
0648-0228	U.S. Fishermen Fishing in Russian Waters	8/31/2001
0648-0346	List of Gear by Fisheries and Fishery Management	8/31/2001

### ***Department of Defense***

Department of the Navy		
0703-0028	NROTC Applicant Questionnaire	9/30/2001
Departmental and Others		
0704-0261	DoD Standard Tender of Freight Services	7/31/2001
0704-0370	DoD Dependents Schools Overseas Employment Opportunities for Educators	6/30/2001
Office of the Assistant Secretary for Health Affairs		
0720-0013	Health Insurance Claim Form HCFA 1450	6/30/2000
0720-0013	Health Insurance Claim Form HCFA-1450	6/30/2000
U.S. Army Corps of Engineers		
0710-0012	Customer Service Survey, Regulatory Program U.S. Army Corps of Engineers	9/30/2001

### ***Department of Education***

Office of Postsecondary Education		
1840-0700	Cancellation and Deferment Request Forms for the Federal Direct Student Loan	2/28/1998
Office of Special Education and Rehabilitative Services		
1820-0577	Report of Program Settings Early Intervention Services	12/31/1997
Office of Vocational and Adult Education		
1830-0510	Adult Education General Reporting Requirements	10/31/1994

### ***Department of Health and Human Services***

Administration for Children and Families		
0970-0145	Temporary Assistance to Needy Families (TANF) State	3/31/1997
0970-0159	Statewide Automated Child Welfare Information System-Assesment Review Guide (SACWIS)	2/28/2001
Health Care Financing Administration		
0938-0679	Durable Medicare Equipment Regional Carrier, Certificates of Medical Necessity	10/31/2001
0938-0701	HEDIS 3/0 and Supporting Regulations	12/31/2000

### ***Department of Housing and Urban Development***

Office of Community Planning and Development



<b>OMB Control Number</b>	<b>Collection Title</b>	<b>Date of Expiration</b>
2506-0020	HUD-Administered Small Cities Program Application for CDBG Funds & Performance Assessment Report	1/31/2000
2506-0121	Relocation and Real Property Acquisition	8/31/1997
Office of Housing		
2502--265	Good Faith Estimate and Special Information Booklet	10/31/2001
2502-0010	HUD Survey Instructions and Report for Insured Multifamily Projects	3/31/2001
2502-0028	Contractor's Requisition Project Mortgages	12/31/2000
2502-0036	Request for Credit Approval of Substitute Mortgage	7/31/1999
2502-0047	Construction Complaint (HUD-92556), Request for Financial Assistance	9/30/1999
2502-0060	Monthly Delinquent Loan Report	8/31/2000
2502-0094	Assistance Payment Contract - Notice of (1) Termination, (2) Suspension, or (3) Reinstatement	9/30/1998
2502-0112	Mortgagor's Certificate of Actual Cost	1/31/2001
2502-0121	Mortgagee Questionnaire	12/31/1999
2502-0141	Application for Mortgage Insurance	10/31/2000
2502-0178	Management Reviews of Multifamily Projects	1/31/2000
2502-0301	Deed-in-Lieu of Foreclosure	4/30/1998
2502-0302	Local Appeals to Single-family Mortgage Limits	2/29/2000
2502-0314	Loan Servicing of All Three Coinsurance Programs: Section 223(f), Section 221(d), and Section 232	9/30/1998
2502-0340	Section 248 Single-Family Mortgage Insurance on Indian Reservations & Other Restricted Lands	3/31/2001
2502-0395	Flexible Subsidy, Capital Improvement Loan Program	1/31/2001
2502-0409	Section 8 Housing Assistance Payment (HAP) Contract, Part II	9/30/1999
2502-0410	Survey of Tenants in Certain Properties with HUD-Held and Foreclosed Mortgages	3/31/2001
2502-0446	Procedures for Appealing Section 8 Rent Adjustments	6/30/2000
2502-0456	Mortgagee Letter: "Revision to the Sec. 235(r) Refinancing Procedures"	3/31/2001
2502-0458	Disclosure of Probable Transfer of Loan Servicing	11/30/1997
2502-0470	Application Submissions Requirements, Conditional Commitment Through Final Closing, Section 202 Housing for the Elderly, Section 811 Housing for Persons with Disabilities	12/31/1996
2502-0501	Initial Escrow Account Statement, Annual Escrow Account Statement	6/30/2000
2502-0507	AAF Rent Increase Requirement Pursuant to the Housing	7/31/2001
2502-0516	Affiliated Business Disclosure (Formerly Controlled Business)	10/31/2000

<b>OMB Control Number</b>	<b>Collection Title</b>	<b>Date of Expiration</b>
2502-0517	Escrow Account Disbursement	10/31/2000
2502-0520	Safe Neighborhood Grants (SNG)	11/30/2000
2502-0523	Loss Mitigation Evaluation- FR-4032	12/31/2000
<b>Office of Public and Indian Housing</b>		
2577-0006	Lease Requirements - 24 CFR Part 966.4	9/30/2001
2577-0026	Operating Budget, Supporting Schedules and Board Resolution	6/30/2001
2577-0028	Report on Occupancy for Public and Indian Housing	5/31/2001
<b>Office of the General Counsel</b>		
2510-0006	Legal Instructions Concerning Applications for Full Insurance Benefits, Assignment of Multifamily Mortgage to the Secretary	12/31/1996
2510-0009	Information Report to Owners and Managers of all HUD Assisted Housing in the Boston Metropolitan Statistical Area	7/31/1997
2510-0010	Guide for Opinion of Counsel to the Mortgage	3/31/1997
<b>Office of the Secretary</b>		
2501-0009	Record of Employee Interview	1/31/2000
<b><i>Department of Justice</i></b>		
<b>Executive Office for Immigration Review</b>		
1125-0009	Application for Suspension of Deportation	8/31/2001
<b>General Administration</b>		
1103-0036	Police Corps Service Agreement	7/31/2001
1103-0043	Regional Community Policing Institute Quarterly Projection Report	3/31/2001
<b>Office of Justice Programs</b>		
1121-0094	Annual Survey of Jails	9/30/2001
1121-0224	National Youth Gang Survey	1/31/2001
<b><i>Department of State</i></b>		
1405-0046	Marine Note of Protest	9/30/1986
1405-0052	Seaman Action Certificate, Form FS-0463	10/31/1988
1405-0077	Denial of Passports to Certain Persons Convicted of Drug Trafficking, Form Rpt.-7	6/30/1990
1405-0079	Application for Benefits for US Hostages (Check), Form DSP-108	3/31/1991
1405-0097	Ground Rules for U.S. Initiative on Joint Implementation, Form Rprt-2	1/31/1997
1405-0117	Camp Counselor Exchanges-- Rulemaking No. 102	7/31/2000
1405-0121	Certificate of Eligibility for Exchange Visitor Status (J-1 Visa)	4/30/2000
47-R0178	Statement of Non-Receipt of Passport	9/1/1978

<b>OMB Control Number</b>	<b>Collection Title</b>	<b>Date of Expiration</b>
<b><i>Department of the Interior</i></b>		
Bureau of Reclamation		
1006-0003	Procedure to Process and Recover Value of Rights-of-Use and Administrative Costs	7/31/1994
<b><i>Department of Veterans Affairs</i></b>		
2900-0261	Application for Refund of Educational Contribution	11/30/1993
2900-0393	VA Acquisition Regulations, (VAAR), 48 CFR Chapter 8, Parts 813, A, B, C, 814, and 815	11/30/1996
2900-0418	Department of Veterans Affairs Acquisition Regulations, Sections 809.106-1, 809-504(d) and Clause 852.209-70	9/30/1996
2900-0422	Department of Veterans Affairs Acquisition Regulations	9/30/1996
2900-0568	Submission of School Catalog to the State Approving Agency	4/30/2000
2900-0579	Application of Spina Bifida Vocational Rehabilitation - Title 38 CFR 21.8014	11/30/2000
2900-0580	Request for Transportation Expense Reimbursement - Title 38 CFR 21.8370	11/30/2000
2900-0581	Election of Benefits Between Benefits under 38 U.S.C. Chapter 35 and Vocational Training benefits for Vietnam Veterans' Children Suffering from Spina Bifida- Title 38 CFR 21.8016	11/30/2000
2900-0594	Election to Apply Selected Reserves Services to either Montgomery GI Bill-Active Duty or to the Montgomery GI Bill-Selected Reserve - 38 CFR 21.7042 and 21-7540	1/31/2001
2900-0595	Election to Receive Dependents' Education assistance Instead of Dependency and Indemnity Compensation - 38 CFR 21.3023©	1/31/2001
2900-0597	Monthly Verificatin of Pursuit of Training under the Montgomery GI Bill, Selected Reserve-38 CFR 21.7654 and 21.7656(a)	8/31/2001

**Table D.3: FY 2001 Violations  
Collections Without OMB Approval or Modified Without OMB Approval**

OMB Control Number	Collection Title	Description of Violation	How Discovered and Remedied
<i>Department of Agriculture</i>			
<i>Agricultural Research Service</i>			
--	--	Unapproved collection.	OMB brought this violation to the attention of the Department. The agency has pulled the web site off-line until OMB grants approval and is in the process of announcing a notice to seek intent for approval of the new information collection.
<i>National Agricultural Statistics Service</i>			
0535-0235	Childhood Injury and Adult Occupational Injury Survey	Unapproved collection.	OMB brought this violation to the attention of the Department. The agency conducted a pilot test of the survey without OMB approval. The pilot concluded; therefore no approval was sought. Approval for the full study was previously approved and was submitted for renewal on 11/14/2001.
<i>Farm Service Agency</i>			
--	--	Unapproved collection.	In conjunction with implementation of the Freedom to E-File Act, the Farm Service Agency (FSA) was working to obtain OMB approval to post program forms on the Internet. In reviewing two such forms B the FFAS-12, Electronic Funds Transfer Hardship Waiver Request, and the CCC-361, Undertaking of Indemnity Replacement of Negotiable Instrument of the Commodity Credit Corporation B it was discovered that no OMB approval had ever been obtained. FSA staff is currently working on two new submissions that

OMB Control Number	Collection Title	Description of Violation	How Discovered and Remedied
			will resolve the outstanding violations.
--	Standards for Approval of Warehouses	Unapproved collection.	During the review of a revision package for the information collection, it was discovered that several forms in use had never received OMB approval. OMB approved an information collection approval request including all forms used by the program on 04/29/2001.
<b>Animal and Plant Health Inspection Service</b>			
B	TB Cooperative Agreements	Unapproved collection.	OMB brought this to violation to the attention of the Department after reviewing the agency's web site. The agency plans to submit an approval request for the information collection by 6/02.
<b>Food and Nutrition Service</b>			
--	--	Unapproved collection.	Through discussions with various program staff, the Office of the Chief Information Officer (OCIO) discovered that various grant programs were being operated without OMB approval. OCIO worked with FNS, with input from OMB, to develop a generic approval request for Non-Entitlement Discretionary Grants. The collection was submitted to OCIO in December 2001 and is under review.
<i>Department of Health and Human Services</i>			
<b>Health Resources and Services Administration</b>			
0915-0028	Scholarship Program for Students of Exceptional Financial Need and Program of Financial Assistance for Disadvantaged Students: Regulatory Requirements	Program was going to be discontinued. However, the Program was not abolished and the forms remained in use without	Program notified the clearance office in November 2000. New data collection was approved on 3/21/2001.

OMB Control Number	Collection Title	Description of Violation	How Discovered and Remedied
		approval	
0915-0149	Scholarships for Disadvantaged Students B Application	Unapproved on-line collection.	Clearance office became aware of violation. New data collection was approved on 11/29/2000.
--	Healthy Start Data Reporting Requirements	Unapproved collection.	Clearance office became aware of violation. The FR 60-Day Notice was published on 12/28/2001. The Program will submit a clearance package by July 2002..
<b>Substance Abuse and Mental Health Services Administration</b>			
0930-0195	Participant Feedback for the Mental Health Care Provider Education in HIV/AIDS: Program II and III	Modified race/ethnicity categories in a way not consistent with OMB standards.	Discovered at time of submission for extension of OMB approval for groups in Program II; categories were corrected for use with Program III participants.
--	Call Record Form and Follow-up Survey	Unapproved collection.	Agency OMB reports clearance officer found procurement document; OMB received the clearance package January 4, 2002.
<b>Center for Disease Control and Prevention</b>			
--	The Sentinel Surveillance for Chronic Liver Disease	There were a several irregularities spotted in the data collection instrument and with the procedures used in conducting the data collection. These irregularities were not approved in the original OMB clearance.	The violation was discovered during the routine task of renewing the package. The survey was suspended once the violation was discovered. All issues regarding the violation were addressed. Data collection did not resume until the package was cleared on October 17, 2001. Guidelines were established within the agency to avoid a repeat of this type of violation in the future.
<b>Food and Drug Administration</b>			

<b>OMB Control Number</b>	<b>Collection Title</b>	<b>Description of Violation</b>	<b>How Discovered and Remedied</b>
0910-0485	Medical Device Labelling Regulations	Unapproved collection.	Approved by OMB 3/22/02.
<i>Department of the Interior</i>			
Bureau of Reclamation			
--	Summary of Water Requirements for Crops on Eligible Lands	Unapproved collection.	Identified in a letter from Congressman Ose. WBR will seek to obtain OMB approval before next collection of information in May 2002.
--	WBR Form LS-922	Unapproved collection.	Identified in a letter from Congressman Ose. WBR discontinued use of this form.
U.S. Fish and Wildlife Service			
1018-0109	Federal Aid Grant Application Booklet-- 50 CFR 80	Unapproved collection.	Discovered by an internal DOI review. Approved by OMB on 1/18/2001.
National Park Service			
1024-0236	Application for a Scientific Research and Collecting Permit	Unapproved collection.	NPS discovered forms in use during a program review. Approved by OMB on 4/13/2001.
Office of Surface Mining Reclamation and Enforcement			
1029-0120	Technical Training Program Course Nomination and Payment for Travel and Per Diem Forms	Unapproved collection.	OSM discovered forms in use while reviewing a related information collection. Approved by OMB on 1/8/01.
<i>Department of Justice</i>			
General Administration			
--	Tribal Resource Grant Program Hiring Progress Report.	Unapproved collection.	Discovered during component inventory of information collections. Component is preparing the ICR for submission to OMB for approval
--	Tribal Resource Grant Program Equipment & Training Progress Report	Unapproved collection.	Discovered during component inventory of information collections. Component is preparing the ICR for

<b>OMB Control Number</b>	<b>Collection Title</b>	<b>Description of Violation</b>	<b>How Discovered and Remedied</b>
			submission to OMB for approval.
--	Mental Health & Community Safety Initiative Application Kit	Unapproved collection.	Discovered during component inventory of information collections. Component is preparing the ICR for submission to OMB for approval.
--	Universal Hiring Program Application Update Form	Unapproved collection.	Discovered during component inventory of information collections. Component is preparing the ICR for submission to OMB for approval.
--	COPS in Schools Annual Report	Unapproved collection.	Discovered during component inventory of information collections. Component is preparing the ICR for submission to OMB for approval.
<i>Department of Labor</i>			
<b>Employment and Training Administration</b>			
1205-0033	Job Corps Health Questionnaire	Revised information collection requirements in effect without OMB approval.	Discovered by ETA staff. Approved by OMB on 01/10/01.
1205-0035	Job Corps Placement and Assistance Record	Unapproved collection.	Discovered by ETA staff. Approved by OMB on 02/06/01.
1205-0420	WIA Management Information and Reporting System	ETA collected customer satisfaction information in the WIA Title I pilot study without OMB approval.	Discovered by OMB and DOL during the clearance process. Approved by OMB on 11/14/00.
<b>Occupational Safety and Health Administration</b>			
--	State Plans for the Development and Enforcement of Standards	Unapproved collection.	This violation resulted from a Court challenge on the paperwork associated with the State Plan requirements which delayed the submission of the information collection request to OMB. Discovered by OSHA



OMB Control Number	Collection Title	Description of Violation	How Discovered and Remedied
			staff. Submitted to OMB for review on 12/19/01.
<i>Environmental Protection Agency</i>			
Office of Air and Radiation			
<b>B</b>	Non-conformance Penalty Cost Survey	Unapproved Collection.	EPA conducted this collection in June 2001 as part of its development of a proposed rule establishing non-conformance penalties for heavy-duty truck engines. OMB discovered this collection in the process of reviewing the proposed rule. Because the collection had already occurred, the violation could not be remedied.

## **Appendix E. PRA Violations Memorandum**



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

NOV 14 2001

MEMORANDUM FOR CHIEF INFORMATION OFFICERS  
GENERAL COUNSELS AND SOLICITORS

FROM:

John D. Graham *JAG*  
Administrator  
Office of Information and Regulatory Affairs

Jay P. Lefkowitz *JPL*  
General Counsel

SUBJECT:

Ensuring Full Compliance with the Information Collection Provisions  
of the Paperwork Reduction Act

We are writing to you to emphasize the importance of the Federal Government complying fully with the information collection provisions of the Paperwork Reduction Act of 1995 (PRA), and to ask for your assistance in eliminating existing PRA violations and preventing future violations.

The PRA requires agencies and OMB to ensure that information collected from the public minimizes burden and maximizes practical utility. The Act assigns to each agency's Chief Information Officer (CIO) the responsibility for ensuring that the agency complies with the PRA. The attached paper summarizes the PRA and its requirements for public, agency, and OMB review of collections of information. OMB's review is conducted by the Office of Information and Regulatory Affairs (OIRA).

In this year's *Information Collection Budget* (ICB), OMB documented 487 violations of the PRA, of which 191 remained unresolved as of the cut-off date for the ICB's publication. While these figures do represent a continuation in the recent downward trend in the number of PRA violations, we cannot allow this situation to continue. Our objective is to ensure that the Federal Government is in full compliance with the PRA by no later than the end of this fiscal year.

OMB would therefore like to work with each of your agencies to resolve existing violations and take whatever actions are necessary to avoid future violations.

As a first step, we are asking the CIOs of the 27 agencies identified in the *Information Collection Budget* to provide the following information to your agency's OIRA desk officer:

- For each violation of the PRA described in Appendix B.2 (i.e., the continued use of collections for which OMB approval has expired), please indicate affirmatively whether your agency (1) has already requested a reinstatement of the OMB approval, (2) is planning to request a reinstatement of the OMB approval, or (3) has discontinued its use. Each of these collections that falls into categories (1) or (2) represents a violation of the PRA until its approval is reinstated. Provide a timetable for resolution, including publication of all relevant *Federal Register* notices and submission to OMB, for each collection that your agency plans to continue using.
- For each violation of the PRA described in Appendix B.3 (i.e., for collections for which OMB approval has never been given), provide a timetable of resolution, including publication of all relevant *Federal Register* notices and submission to OMB.
- Describe the procedures that you (and your agency) have in place to prevent future violations, both through your monthly review of OMB's computer-generated reports and through your general oversight and participation in the agency's programmatic functions.

Please provide this information to your OIRA Desk Officer by December 14th.

In addition, as part of this effort, we are asking agency General Counsels and Solicitors to take whatever actions you can to assist the CIOs in ensuring your agency's full compliance with the PRA. Please inform personnel in your agency that OMB-OIRA is approving a very high percentage of the well-supported information collection requests and thus concern about OMB approval is not a legitimate basis for avoiding OMB review of a worthy information collection.

We are aware that OIRA has not always responded to PRA requests in a timely fashion. We are working diligently to correct this problem and to respond to all requests within the time frame described in the statute.

If you have any questions about this effort, please contact us directly or have agency staff contact your OIRA Desk Officer.

#### Attachments

cc: Lloyd A. Blanchard  
James Capretta  
Robin Cleveland  
Marcus Peacock

## Paperwork Reduction Act

The Paperwork Reduction Act of 1995 (44 U.S.C. chapter 35; see 5 CFR Part 1320) requires that the Office of Management and Budget approve all collections of information by a Federal agency from the public before they can be implemented. Collections of information include (1) requests for information for transmission to the government, such as application forms and written report forms, (2) reporting or recordkeeping requirements, and (3) third-party or public disclosure requirements. Many information collections, recordkeeping requirements, and third-party disclosure requirements are contained in or authorized by regulations as monitoring or enforcement tools, while others appear in questionnaires and their accompanying instructions. An underlying goal of the Act is to minimize the Federal paperwork burden on the public. The Act also recognizes the importance of information to the successful completion of agency missions, and charges OMB with the responsibility of weighing the burdens of the collection on the public against the practical utility it will have for the agency.

In general terms, the 1995 Act requires agencies to plan for the development of new collections of information and the extension of ongoing collections of information well in advance of sending the proposal to OMB. Advance planning is necessary because agencies need to estimate potential burdens on respondents, prepare to disclose certain additional information to the public (e.g., time limits for recordkeeping requirements), seek public comment through 60-day notice in the Federal Register, and thereafter submit their clearance requests to OMB for review and approval. In developing a paperwork clearance request, the agency needs to demonstrate to OMB that the collection of information is the least burdensome way of obtaining information necessary for the proper performance of its functions, that the collection is not duplicative of others, and that the collection has practical utility. Additionally, the agency is required to certify that a proposed collection of information "reduces to the extent practicable and appropriate the burden" on respondents, including, for small business, local government, and other entities, the use of the techniques outlined in the Regulatory Flexibility Act.

To alert the public that OMB review has begun, agencies publish a notice in the *Federal Register* of the agency's submission to OMB of a request for approval and tell the public how to comment to OMB regarding the request. The public -- during OMB's review and at any other time -- is to have full opportunity to make its views known concerning any Federal data collection, both as to its perceived practical utility and the reporting burdens involved.

Under the Act, OMB approval for an agency to use each data collection instrument can last for a maximum of three years. Approval is evidenced by OMB granting an OMB control number for the information collection instrument. The Act prohibits agencies from penalizing those who fail to respond to Federal collections of information that do not display valid OMB control numbers. The Act also prohibits agencies from penalizing those who have not been informed that a response is not required unless the collection of information displays a valid control number. Both of these public protections "may be raised in the form of a complete defense, bar, or

otherwise at any time during the agency administrative process or judicial action applicable thereto" (44 U.S.C. 3512(b)). Recent court cases discussing the Act and its "public protection" provision include Center for Auto Safety v. NHTSA, 244 F.3d 144 (D.C. Cir. 2001), and Saco River Cellular Inc. v. FCC, 133 F.3d 25 (D.C. Cir. 1998).



## **Appendix F. Examples of Economic Surveys and Censuses Conducted by the U.S. Bureau of the Census**

**The Economic Census** -- This census is the major economic statistical program of the United States. It constitutes the chief source of data about the structure and functioning of the Nation's economy, and provides the foundation and framework for a host of other statistical endeavors by public and private sector alike. The Economic Census profiles the U.S. economy every five years, from the national to the local level. The 2002 Economic Census forms will be sent to 5 million businesses in December 2002, asking for information about business activity during calendar 2002.

**The Census of Governments** -- This census provides the primary source of facts about the structure and function of the public sector of the U.S. economy. Data are obtained on government organizations, finances, and employment. Organization data include location, type, and characteristics of local governments and officials. Finances and employment data are the same as in comparable annual surveys and include revenue, expenditure, debt, assets, employees, payroll, and benefits. The public sector universe is a major economic force, totaling about 11 percent of the Gross Domestic Product and 13 percent of the civilian labor force population.

**The New Residential Construction Survey** -- This survey provides statistics on the five phases of a residential construction project. For construction of new privately-owned residential structures in the U.S., data are collected for housing units authorized to be built by a building or zoning permit, housing units authorized to be built, but not yet started, housing units started, housing units under construction, and housing units completed. New residential construction statistics exclude group quarters (such as dormitories and rooming houses), transient accommodations (such as transient hotels, motels, and tourist courts), "HUD-code" manufactured (mobile) homes, moved or relocated buildings, and housing units created in an existing residential or nonresidential structure. Statistics are based upon reports submitted by local building permit officials in response to a mail survey.

**The Manufacturers' Shipments, Inventories, and Orders Survey** -- This survey provides broad-based, monthly statistical data on economic conditions in the domestic manufacturing sector. The survey measures current industrial activity and provides an indication of future business trends. Data are used by various Federal agencies for developing economic, fiscal, and monetary policy, the Bureau of Economic Analysis as components of the gross domestic product estimates, and trade associations, corporate economists, and other members of the business community as an analytical tool for assessing the current and future economic condition of the country.

**U.S. International Trade in Goods and Services** -- The foreign trade statistics programs provide official monthly statistics on imports, exports, and balance of trade for all types of merchandise and commodities moving between the United States and its international trading partners. It is unique among the Census Bureau's economic statistics



programs in that the information is not collected from forms sent to respondents soliciting responses as in the case of surveys. Rather, the information is compiled from forms and automated reports filed initially with the U.S. Customs Service or, in some cases, directly with the Census Bureau, for virtually all shipments leaving (exports) or entering (imports) the United States. The trade statistics are a principal economic indicator for the U.S. and provides national performance indicators critical to understanding our economy as well as our economic relationship with the rest of the world. They are released within 50 days of the data month.

**The Annual Survey of Manufactures (ASM)** -- The ASM collects information from a sample of 52,000 manufacturing plants and presents comprehensive information on over 474 manufacturing industries. Data include employment, payroll, fringe benefits, costs of materials, capital expenditures, fuels consumed, value of shipments by product class, and inventories by stage of fabrication. Beginning with calendar year 1999, the program also collected data on e-commerce shipments and purchases. Shipments and employment data are also provided at the State level. This program is the primary source of comprehensive data on the manufacturing sector for the years between Economic Censuses.

**The Services Annual Survey (SAS)** – The SAS collects information from a sample of 51,000 service businesses and provides revenue and other measures for some 250 service industries. The industry coverage and detailed information have been expanded over the past decade and now cover about two thirds of the industries covered in the Economic Census. Data include information on operating revenue for both taxable and tax-exempt firms, sources of revenue and expenses by type for selected industries, and operating expenses for tax-exempt firms. Starting with the 1999 survey we also collect information on on-line sales. SAS is the primary source of information on the rapidly changing service sector of our economy.

**The Annual Finance Survey** – The Annual Finance Survey collects data from approximately 8,000 State and local government entities and presents comprehensive information on their expenditures, revenues, indebtedness, and assets. The revenue data include detailed tax data by the major categories of property, sales, income, and licenses. The annual report also provides detailed information on intergovernmental receipts by source of funds; the expenditures data also are shown by functional category. This survey is the only source of detailed information on the activities of the Nation's 90,000 governmental units.