

SBA

SOP 00 30 3

**The Forms
Management Program**

Office of Administration
U.S. Small Business Administration



	SMALL BUSINESS ADMINISTRATION STANDARD OPERATING PROCEDURE National		
	SUBJECT: Forms Management Program	S.O.P.	REV
	SECTION 00	NO. 30	3
INTRODUCTION			
1. <u>Purpose.</u> To outline the Agency's Forms Management and Information Collection Program.			
2. <u>Personnel Concerned.</u> All SBA employees.			
3. <u>Directives Canceled.</u> SOP 00 30 2.			
4. <u>Originator.</u> Office of Administrative Services, Office of Administration.			
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Chapter 1

General Overview of SBA's Forms Management

1. What is a Form?

In general, a form is a document or conversation that requires multiple parties to submit similar information. Often, this involves providing information either in response to questions or where a particular data must be computed. A form is not an agency directive, which provides requirements, procedures or guidance to a party or parties, but which does not require the party (ies) to respond with information.

2. What are the Different Types of Forms?

- a. An SBA Public Use Form. An SBA form that requires OMB's approval. This includes all forms that meet the Paperwork Reduction Act (PRA) definition provided in chapter 4, paragraphs 1 and 2.
- b. An SBA Internal Use Form. This includes all forms that do not meet the PRA definition that are intended for use within SBA.
- c. Other types of forms, such as forms developed by the Office of Personnel Management, or other forms developed for intergovernmental use are not covered by this Standard Operating Procedure.
- d. Public use and SBA internal forms can be classified as a new SBA form, i.e., SBA form that is issued by a program office for the first time, a revised SBA form or an obsolete form that is no longer used.

3. What are the Objectives of SBA's Forms Management Program?

The objectives of SBA Forms Management Program are to:

- a. Reduce and simplify paperwork;
- b. Eliminate conflicting, unnecessary, and obsolete forms;

- c. Provide efficient and cost-effective reproduction, distribution, inventory, and stocking of forms;
- d. Reduce the cost of operations; and
- e. Ensure that forms are clear and easy to use.

4. **What Laws and Regulations Govern SBA's Forms Management Program?**

The following laws and regulations govern SBA's Forms Management Program:

- a. Federal Records Act of 1950, as amended, (44 U.S.C.3101 et seq);
- b. Paperwork Reduction Act of 1995, 44 U.S.C. Chapter 35;
- c. Privacy Act of 1974, 5 U.S.C. 552a.(e) (3); and
- d. Government Printing and Binding Regulations (Joint Committee on Printing, February, 1990).

5. **Who is Responsible for Administering the SBA Forms Management Program?**

The Administrative Information Branch (AIB) has been delegated the authority for administering the SBA Forms Management Program.

6. **What are the Responsibilities of the Agency's Forms Manager?**

The SBA Forms Manager in AIB must:

- a. Review and approve new and revised SBA forms;
- b. Analyze, develop, coordinate, and ensure proper policies for SBA forms;
- c. Provide technical assistance to program offices in the design and preparation of SBA forms;
- d. Advise offices on the Office of Management and Budget (OMB) regulations pertaining to public-use forms;
- e. Serve as Agency liaison between SBA and OMB;

- f. Clear all directives that cite forms;
- g. Update all changes made to the electronic forms database;
- h. Offer advice and assistance to program offices on new and revised forms;
- i. Establish and maintain historical, numerical, approved files for forms; and
- j. Publish notices in the Federal Register for public comment on public-use form submissions to OMB.

7. How Do I Find Out About New and Revised Forms?

AIB will issue an Information Notice regarding the approval of all new or revised SBA forms. If you need assistance locating a form, contact the Forms Manager.

8. What is in a Form Reference File?

AIB must maintain a separate reference file for every SBA form. Each file must contain the following:

- a. Current copies of the form;
- b. Copies of all previous editions;
- c. The original SBA Form 58, "Record of Clearance and Approval;"
- d. OMB documents For Public Use forms which include:
 - (1) Notice of OMB Action;
 - (2) A copy of the "Paperwork Reduction Act Submission" package which includes:
 - (a) OMB 83-I;
 - (b) Supporting Statement;
 - (c) Federal Register Comment Notices;
 - (d) Collection of Information; and
 - (e) Pertinent laws and regulations.

9. What are the Program Office's Responsibilities?

The program office must ensure that all of the proper clearances have been obtained on the SBA Form 58 before submitting it and the new or revised form to the SBA Forms Manager.

Chapter 2

New Forms

1. How Do I Get a New SBA Form Approved?

Submit the completed SBA 58 with clearance signatures and the new form to the Agency's Forms Manager in AIB for review and approval.

2. Who Issues Guidance on Designing New SBA Forms?

Contact the SBA Forms Manager in AIB for guidance on designing new forms.

3. What Must be Included on SBA Forms?

SBA forms must include:

- a. SBA Seal located in upper left hand;
- b. SBA form number, which is placed in the lower left hand corner;
- c. The edition date which is placed immediately after the form number, for example, SBA Form 58 (7-05);
- d. One of the following edition date statements, "Previous edition is obsolete" or "Previous edition is to be used until the stock is exhausted"; and

4. Who Must Authorize New SBA Forms?

The Management Board member or his or her designee responsible for the program office issuing the form must sign the SBA Form 58.

5. What Other Offices Must Clear The New Form?

- a. The Office of General Counsel (OGC) must clear all OMB forms, forms with substantive text, forms with significant policy implications, and forms that will materially affect SBA customers and/or resource partners.
- b. OGC and the Office of Inspector General (OIG) if the form requires OMB's approval or if the form is a public use-form.

6. **Who Assigns the Form Numbers and Edition Dates?**

The SBA Forms Manager will assign the form number and edition date once the SBA Form 58 has been approved.

Chapter 3

Revised Forms

1. **How Do I Get a Revised Form Approved?**

Submit an SBA Form 58 to the SBA Forms Manager along with the revised form.

2. **How Do I Change the Design of a Form?**

Submit an SBA Form 58 to the SBA Forms Manager along with an original containing changes to the revised form.

3. **Who Must Authorize the Revised Form?**

The Management Board member or his or her designee responsible for the program office issuing the form must sign the SBA Form 58.

4. **What Other Offices Must Clear the Revised form?**

- a. Any office that uses the form, or could be affected by it; and
- b. OGC and OIG if it is a public use form.

5. **Who Assigns the Form Number and Edition Date?**

The SBA Forms Manager will assign the form number and edition date once the SBA Form 58 has been approved.

Chapter 4

Collections of Information

1. What are Collections of Information?

Under the Paperwork Reduction Act (PRA), as interpreted by OMB, a collection of information is the obtaining, causing to be obtained, soliciting or requiring the disclosure to an agency, third parties or the public of information by or for an agency by means of identical questions posed to, or identical reporting, recordkeeping, or disclosure requirements imposed on, ten or more persons, whether such information is mandatory, voluntary or requested to obtain maintain, retain, report or publicly disclose information.

a. What Does Soliciting of Information Mean?

Soliciting of information includes any requirement or request for persons to obtain, maintain, retain, report, or publicly disclose information.

b. Who is the Public?

The public can be an organization, entities, and/or individuals to whom a collection information request is addressed by the Agency, within a 12-month period.

c. What are Burden Hours?

The total time or financial resources expended by persons to generate, maintain, retain, disclose, or provide information to or for a Federal agency.

d. What are Cost Estimates?

The cost the Government pays for purchasing or contracting out information collection services.

2. What Collections of Information Must be Approved by OMB?

The following collections of information are subject to OMB's approval:

- (1) Report/Application forms;
- (2) Schedules;
- (3) Questionnaires; including standard ones used to monitor Agency compliance;

- (4) Surveys (including customer satisfaction surveys);
- (5) Reporting or recordkeeping requirements;
- (6) Contracts and Agreements;
- (7) Interview Guides, Oral and Written;
- (8) Telegraphic or Telephonic requests; and
- (9) Electronic Systems.

3. What Collections of Information May be Exempt from OMB Approval?

- a. The following collections of information may be exempt from OMB's approval:

These items are likely to be exempt to the extent that they entail no burden other than that necessary to identify the respondent, the date and the respondent's address.

- (1) Affidavits;
- (2) Oaths;
- (3) Affirmations;
- (4) Certifications;
- (5) Receipts;
- (6) Changes of Address; and
- (7) Consents.

- b. If necessary, OMB will make the final determination on these exemptions.

4. What are the Program Office's Responsibilities Regarding Collections of Information?

- a. Program offices are responsible for ensuring their collections do not expire and be cited by OMB as a violation.

- b. Complete the Paperwork Reduction Act submission package. This package consists of:
 - 1. OMB Form 83-I, "Paperwork Reduction Act Submission;"
 - 2. Supporting Statement – The supporting statement explains the circumstances that make the collection of information necessary;
 - 3. Copy of collection of information; (refer to paragraph 2 of this chapter) and
 - 4. Copy of the statutory or regulatory provisions associated with the collection of information.
- c. Obtain clearance from OGC. (All Public-Use forms must also be cleared by OIG.)
- d. Submit completed package to the AIB at least 60 days before expiration to assure the OMB deadlines can be met.

5. What are AIB's Responsibilities in the OMB Clearance Process?

- a. AIB is responsible for:
 - (1) Preparing and submitting all public comment notices to the Federal Register for publication.
 - (2) Providing guidance to program offices on the PRA process.
 - (3) Assisting program offices with the preparation of their PRA submission packages.
 - (4) Providing written notification to program offices at least 180 days prior to the expiration of their collection.
 - (5) Certifying and submitting all PRA submission packages to OMB for approval.
 - (6) Sending "OMB Notice of Action" to program offices informing them of approval.
- b. AIB ensures all approved Public-Use Forms display:
 - (1) An OMB control number and expiration date in the upper right hand corner;

(2) A disclosure statement that must read as follows:

Please Note: The estimated burden for completing this form is (insert time) per response. You are not required to respond to any collection of information unless it displays a currently valid OMB approval number. Comments on the burden should be sent to the U.S. Small Business Administration, Chief, AIB 409 3RD St., S.W., Washington, D.C. 20416 and Desk Officer for the Small Business Administration, Office of Management and Budget, New Executive Office Building, Room 10202, Washington, D.C. 20503. (insert OMB Control Number).

6. **Who Serves as the OMB Liaison for all PRA Matters?**

The Chief, AIB is the Liaison for all SBA paperwork matters.

7. **Who Advises Program Offices on their OMB Submissions?**

The Agency's Forms Manager advises program offices of the necessary information needed to complete the OMB submissions.

8. **What is the Clearance Process for Information Collections?**

- a. OIG must clear all public-use forms.
- b. OGC must clear all PRA submission packages prior to submission to AIB.

9. **What are OMB's Responsibilities?**

- a. OMB must:
 - (1) Notify the Agency of its decision to approve or disapprove within 60 days after receipt of the collection of information.
 - (2) Contact the Chief, AIB, if further action or information on a submission is necessary;
 - (3) Assign an OMB control number and expiration data to all approved Agency forms; and
 - (4) Submit written notification to the Agency liaison of action taken.

10. What is the OMB Clearance Cycle?

- a. 60-day Advance Federal Register Notice. Before any collections of information are forwarded to OMB for approval, AIB must submit a 60-day advance notice for posting in the Federal Register. In this notice, the Agency will solicit comments in the following areas: the need for the information, accuracy of the Agency's burden estimate, and suggestions on ways to minimize burden.
- b. 30-day Federal Register Notice. At the end of the 60-day period, the information clearance package must be forwarded to OMB for approval. At the same time, AIB among other things must notify the public, through a second Federal Register notice, that the collection of information was submitted to OMB for review.
- c. OMB Review Period - Within 60 days from the day the package is submitted (or the 30-day Federal Register notice is published, whichever is later), OMB shall notify the Agency of its decision to approve, to require substantive or material changes, or to disapprove the collection of information and make this decision publicly available. (OMB shall provide at least 30 days for public comments after receipt of the proposed collection of information before making its decision.) If OMB disapproves, OMB may also identify in the remarks section of the Notice of Action the specific changes necessary for approval upon resubmission. This package may be resubmitted without soliciting public comment again.
- d. If approved, OMB submits the Notice of Action to the Agency listing the OMB Control Number and Expiration Date.

11. What is the Public's Protection Regarding Collections of Information?

- a. The public shall not be penalized for failing to comply with a collection of information.
- b. The public does not have to comply with a collection of information, under the provisions of 5 CFR 1320.6, if:
 - (1) The request does not display a current valid OMB control number;
 - (2) The Agency has failed to inform respondents that they are not required to respond unless the information collection displays a current valid OMB control number.

- (3) The request has been disapproved by OMB; or
- (4) The Agency has not modified a collection of information approved by OMB on the assurance that it would be modified.

12. What Steps Must the Program Office Take to Get Emergency Approval from OMB?

- a. Follow procedures identified in 4-4.
- b. Include a written memo to the Chief, AIB explaining the factors cited below.

13. What are the Factors for Determining Whether an Emergency Clearance Is Appropriate?

You must explain how the following factors justify an emergency clearance:

- a. Why the collection of information is essential to the mission of the Agency;
- b. Why your office needs the information before the expiration of the time periods for notice and comment and OMB review; and
- c. Whether your office cannot comply with the normal clearance process because;
 - (i) Public harm is reasonably likely to result if the normal clearance process is followed;
 - (ii) An unanticipated event has occurred; or
 - (iii) The use of the normal clearance procedures is reasonably likely to prevent or disrupt the collection of information or is reasonably likely to cause a statutory or court ordered deadline to be missed.

14. What is the Approval Period for an OMB Approved Collection of Information?

The maximum approval period for an OMB approved collection of information is 3 years.

Chapter 5

Obsolete Forms

1. **How Do I Cancel a Form?**

The initiating program office must notify the Forms Manager in AIB in writing that a form is obsolete and state whether the form will be cancelled or replaced.

2. **Who Can Cancel a Form?**

Only a Management Board member or his or her designee may cancel a form generated by his or her program office with notice to OGC. Cancellation of a Public Use Form also requires notice to OIG.

3. **What Happens to Canceled SBA Forms?**

Once a form has been canceled, it is automatically archived by the Agency's Forms Manager, using the Agency's records deposition schedule in SOP 00 41 2, "Records Management Program."

4. **Does AIB Have to Notify OMB if a Public Use Form has been Cancelled?**

Yes. Once AIB has been notified in writing that a form has been cancelled, AIB will immediately forward a notification to OMB.

Chapter 6

Information Collection Budget

1. **What is the Information Collection Budget (ICB)?**

The PRA and 5 CFR 1320.17 require SBA to develop and submit an annual Information Collection Budget (ICB) to OMB. The ICB is an annual allowance of the total number of burden hours a Federal agency may require the public to expend in providing information to the Agency.

2. **What are the Procedures for Responding to OMB's Request for the ICB?**

- a. AIB issues an Information Notice to Management Board members requesting the following information:
 - (1) Identification of any initiatives that have or will improve program performance by enhancing the efficiency of collections of information and reduce paperwork burden on the public.
 - (2) Listing of all collections of information approved for your office during the fiscal year.
 - (3) Listing of any burden/cost increases or decreases associated with approved collections of information.
- b. All offices initiating collection of information requests that need OMB approval must submit an ICB response to the AIB by a specified deadline.
- c. Any office that plans to initiate a new collection of information within the current or upcoming fiscal year must report this plan to AIB.

3. **Can SBA Amend Its ICB?**

Yes. To do so a program office must submit a written request for an amendment to AIB for approval. Upon review and approval AIB forwards the request to OMB.

Chapter 7

Electronic Forms

1. **How Do I Get a New or Revised SBA Form Designed in Electronic Format?**

Submit an SBA 58, along with the form to the Agency's Forms Manager. The Forms Manager will review it and install it on the Agency's electronic forms system at: <http://yes.sba.gov/forms/indexsba.cfm#sba> and <http://www.sba.gov/tools/forms/index.html>. If the form is a Public Use Form it must undergo clearance by AIB, OGC, OIG and OMB before it can be posted.

2. **Are the Electronic Forms Fillable?**

Yes. All forms on the electronic system are fillable.

3. **How are Electronic Forms Distributed?**

AIB submits changes to OCIO who will handle all distribution.

4. **May I Place an SBA Form on the Intranet or Internet?**

No. All electronic forms requests must be submitted to AIB. Attention: Agency Forms Manager for review, approval and installation on the Intranet and Internet.

5. **Who May Submit Requests to AIB?**

Anyone may submit a form to AIB to be placed on the Agency's electronic forms system, as long as he or she has approval from the Management Board official or his or her designee of that office.


Appendix 1**Index to Forms and Reports****Forms****Paragraph**


1. SBA Form 58, "Record of Clearance and Approval" 1-6
2. OMB-83-I, "Paperwork Reduction Act Submission" 1-6

Reports

Reserved

Appendix 2 SBA Form 58 "Record of Clearance and Approval"

 U.S. SMALL BUSINESS ADMINISTRATION RECORD OF CLEARANCE AND APPROVAL		IDENTIFICATION NO.				
SUBJECT		PERSON TO BE CONTACTED ON ATTACHED				
		NAME	PHONE			
OFFICE						
EXPLANATION						
RELEASED FOR CLEARANCE AND DISTRIBUTION <i>If this document is to be distributed electronically, I certify that the accompanying disk contains only one WordPerfect file, which is identical to the official signed document attached.</i>						
TITLE	SIGNATURE	DATE	DEADLINE DATE FOR CLEARANCE			
CONCURRENCE IS ASSUMED IF NOT RETURNED BY THE DEADLINE DATE						
OFFICE/OFFICIAL	SIGNATURE	DATE	CONCUR		NON-CONCUR	COMMENT ADOPTED
			No Comment	Comment		
APPROVED (TITLE)					ROOM NO.	
			RETURN TO →			

SBA Form 58 (7-95) Use 9-94 Edition Until Exhausted
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Appendix 3
OMB 83-I "Paperwork Reduction Act Submission"
Blank PRA

PAPERWORK REDUCTION ACT SUBMISSION

Please read the instructions before completing this form. For additional forms or assistance in completing this form, contact your agency's Paperwork Clearance Officer. Send two copies of this form, the collection instrument to be reviewed, the Supporting Statement, and any additional documentation to: Office of Information and Regulatory Affairs, Office of Management and Budget, Docket Library, Room 10102, 725 17th Street NW Washington, DC 20503.	
1. Agency/Subagency originating request	2. OMB control number b. <input type="checkbox"/> None a. _____ - _____ _____
3. Type of information collection (check one) a. <input type="checkbox"/> New collection b. <input type="checkbox"/> Revision of a currently approved collection c. <input type="checkbox"/> Extension of a currently approved collection d. <input type="checkbox"/> Reinstatement, without change, of a previously approved collection for which approval has expired e. <input type="checkbox"/> Reinstatement, with change, of a previously approved collection for which approval has expired f. <input type="checkbox"/> Existing collection in use without an OMB control number <i>For b-f, note item A2 of Supporting Statement instructions.</i>	4. Type of review requested (check one) a. <input type="checkbox"/> Regular b. <input type="checkbox"/> Emergency - Approval requested by: _____ c. <input type="checkbox"/> Delegated 5. Small entities Will this information collection have a significant economic impact on a substantial number of small entities? <input type="checkbox"/> Yes <input type="checkbox"/> No 6. Requested expiration date a. <input type="checkbox"/> Three years from approval date b. <input type="checkbox"/> Other Specify: _____
7. Title	
8. Agency form number(s) (if applicable)	
9. Keywords	
10. Abstract	
11. Affected public (Mark primary with "P" and all others that apply with "X") a. <input type="checkbox"/> Individuals or households d. <input type="checkbox"/> Farms b. <input type="checkbox"/> Business or other for-profit e. <input type="checkbox"/> Federal Government c. <input type="checkbox"/> Not-for-profit institutions f. <input type="checkbox"/> State, Local or Tribal Government	12. Obligation to respond (Mark primary with "P" and all others that apply with "X") a. <input type="checkbox"/> Voluntary b. <input type="checkbox"/> Required to obtain or retain benefits c. <input type="checkbox"/> Mandatory
13. Annual reporting and recordkeeping hour burden a. Number of respondents _____ b. Total annual responses _____ 1. Percentage of these responses collected electronically _____ % c. Total annual hours requested _____ d. Current OMB inventory _____ e. Difference _____ f. Explanation of difference 1. Program change _____ 2. Adjustment _____	14. Annual reporting and recordkeeping cost burden (in thousands of dollars) a. Total annualized capital/startup costs _____ b. Total annual costs (O&M) _____ c. Total annualized cost requested _____ d. Current OMB inventory _____ e. Difference _____ f. Explanation of difference 1. Program change _____ 2. Adjustment _____
15. Purpose of information collection (Mark primary with "P" and all others that apply with "X") a. <input type="checkbox"/> Application for benefits e. <input type="checkbox"/> Program planning or management b. <input type="checkbox"/> Program evaluation f. <input type="checkbox"/> Research c. <input type="checkbox"/> General purpose statistics g. <input type="checkbox"/> Regulatory or compliance d. <input type="checkbox"/> Audit	16. Frequency of recordkeeping or reporting (check all that apply) a. <input type="checkbox"/> Recordkeeping b. <input type="checkbox"/> Third party disclosure c. <input type="checkbox"/> Reporting 1. <input type="checkbox"/> On occasion 2. <input type="checkbox"/> Weekly 3. <input type="checkbox"/> Monthly 4. <input type="checkbox"/> Quarterly 5. <input type="checkbox"/> Semi-annually 6. <input type="checkbox"/> Annually 7. <input type="checkbox"/> Biannually 8. <input type="checkbox"/> Other (describe) _____
17. Statistical methods Does this information collection employ statistical methods? <div style="text-align: center;"> <input type="checkbox"/> Yes <input type="checkbox"/> No </div>	18. Agency contact (person who can best answer questions regarding the content of this submission) Name: _____ <div style="text-align: center;"> Signature (Management Board or designee) </div> Phone: _____

OMB 83-I This form was electronically produced by Elite Federal Forms, Inc.

10/95

19. Certification for Paperwork Reduction Act Submissions

On behalf of this Federal agency, I certify that the collection of information encompassed by this request complies with 5 CFR 1320.9.

NOTE: The text of 5 CFR 1320.9, and the related provisions of 5 CFR 1320.8 (b) (3), appear at the end of the instructions. *The certification is to be made with reference to those regulatory provisions as set forth in the instructions.*

The following is a summary of the topics, regarding the proposed collection of information, that the certification covers:

- (a) It is necessary for the proper performance of agency functions;
- (b) It avoids unnecessary duplication;
- (c) It reduces burden on small entities;
- (d) It uses plain, coherent, and unambiguous terminology that is understandable to respondents;
- (e) Its implementation will be consistent and compatible with current reporting and recordkeeping practices;
- (f) It indicates the retention periods for recordkeeping requirements;
- (g) It informs respondents of the information called for under 5 CFR 1320.8 (b) (3):
 - (i) Why the information is being collected;
 - (ii) Use of information;
 - (iii) Burden estimate;
 - (iv) Nature of response (voluntary, required for a benefit, or mandatory);
 - (v) Nature of extent of confidentiality; and
 - (vi) Need to display currently valid OMB control number;
- (h) It was developed by an office that has planned and allocated resources for the efficient and effective management and use of the information to be collected (see note in Item 19 of the instructions);
- (i) It uses effective and efficient statistical survey methodology; and
- (j) It makes appropriate use of information technology.

If you are unable to certify compliance with any of these provisions, identify the item below and explain the reason in Item 18 of the Supporting Statement.

Signature of Authorized Agency Official	Date
Signature of Senior Official or designee	Date

OMB 83-1

10/95

Instructions For Completing OMB Form 83-I

Please answer all questions and have the Senior Official or designee sign the form. These instructions should be used in conjunction with 5 CFR 1320, which provides information on coverage, definitions, and other matters of procedure and interpretation under the Paperwork Reduction Act of 1995.

1. **Agency/Subagency originating request**
Provide the name of the agency or subagency originating the request. For most cabinet-level agencies, a subagency designation is also necessary. For non-cabinet agencies, the subagency designation is generally unnecessary.
2. **OMB control number**
 - a. If the information collection in this request has previously received or now has an OMB control or comment number, enter the number.
 - b. Check "None" if the information collection in this request has not previously received an OMB control number. Enter the four digit agency code for your agency.
3. **Type of information collection (check one)**
 - a. Check "New collection" when the collection has not previously been used or sponsored by the agency.
 - b. Check "Revision" when the collection is currently approved by OMB, and the agency request includes a material change to the collection instrument, instructions, its frequency of collection, or the use to which the information is to be put.
 - c. Check "Extension" when the collection is currently approved by OMB, and the agency wishes only to extend the approval past the current expiration date without making any material change in the collection instrument, instructions, frequency of collection, or the use to which the information is to be put.
 - d. Check "Reinstatement without change" when the collection previously had OMB approval, but the approval as expired or was withdrawn before this submission was made, and there is not change to the collection.
 - e. Check "Reinstatement with change" when the collection previously has OMB approval, but the approval has expired or was withdrawn before this submission was made, and there is change to the collection.
 - f. Check "Existing collection in use without OMB control number" when the collection is currently in use but does not have a currently valid OMB control number.
4. **Type of review requested (check one)**
 - a. Check "Regular" when the collection is submitted under 5 CFR 1320.10, 1320.11, or 1320.12 with a standard 60 day review schedule.
 - b. Check "Emergency" when the agency is submitting the request under 5 CFR 1320.13 for emergency processing and provides the required supporting material. Provide the date by which the agency requests approval.
 - c. Check "Delegated" when the agency is submitting the collection under the conditions OMB has granted the agency delegated.
5. **Small entities**
Indicate whether this information collection will have a significant impact on a substantial number of small entities. A small entity may be (1) a small business which is deemed to be one that is independently owned and operated and that is not dominant in its field of operation; (2) a small organization that is any not-for-profit enterprise that is independently owned and operated and is not dominant in its field; or (3) a small government jurisdiction which is a government of a city, county, town, township, school district, or special district with a population of less than 50,000.
6. **Requested expiration date**
 - a. Check "Three years" if the agency requests a three year approval for the collection.
 - b. Check "Other" if the agency requests approval for less than three years. Specify the month and year of the requested expiration date.
7. **Title**
Provide the official title of the information collection. If an official title does not exist, provide a description which will distinguish this collection from others.
8. **Agency form number(s) (if applicable)**
Provide any form number the agency has assigned to this collection of information. Separate each form number with a comma.
9. **Keywords**
Select and list at least two keywords (descriptors) from the "Federal Register Thesaurus of Indexing Terms" that describe the subject area(s) of the information collection. Other terms may be used but should be listed after those selected from the thesaurus. Separate keywords with commas. Keywords should not exceed two lines of text.
10. **Abstract**
Provide a statement, limited to five lines of text, covering the agency's need for the information, uses to which it will be put, and a brief description of the respondents.
11. **Affected public**
Mark all categories that apply, denoting the primary public with a "P" and all others that apply with "X".
12. **Obligation to respond**
Mark all categories that apply, denoting the primary obligation with a "P" and all others that apply with "X".
 - a. Mark "Voluntary" when the response is entirely discretionary and has no direct effect on any benefit or privilege for the respondent.
 - b. Mark "Required to obtain or retain benefits" when the response is elective, but is required to obtain or retain a benefit.
 - c. Mark "Mandatory" when the respondent must reply or face civil or criminal sanctions.
13. **Annual reporting and recordkeeping hour burden**
 - a. Enter the number of respondents and/or recordkeepers. If a respondent is also a recordkeeper, report the respondent only once.
 - b. Enter the number of responses provided annually. For recordkeeping as compared to reporting activity, the number of responses equals the number of recordkeepers.
 - b1. Enter the estimated percentage of responses that will be submitted/collected electronically using magnetic media (i.e., diskette), electronic mail, or electronic data interaction. Facsimile is not considered an electronic submission.
 - c. Enter the total annual recordkeeping and reporting hour burden.
 - d. Enter the burden hours currently approved by OMB for this collection of information. Enter zero (0) for any new submission or for any collection whose OMB approval has expired.
 - e. Enter the difference by subtracting line d from line c. Record a negative number (d larger than c) within parentheses.
 - f. Explain the difference. The difference in line e must be accounted for in lines f1 and f2.
 - f1. "Program change" is the result of deliberate Federal government action. All new collections and any subsequent revision of existing collections (e.g. the addition or deletion of questions) are recorded as program changes.
 - f2. "Adjustment" is a change that is not the result of a deliberate Federal government action. Changes resulting from new estimates or actions not controllable by the Federal government are recorded as adjustments.
14. **Annual reporting and recordkeeping cost burden (in thousands of dollars)**
The costs identified in this item must exclude the cost of hour burden identified in Item 13.
 - a. Enter total dollar amount of annualized cost for all respondents of any associated capital or start-up costs.
 - b. Enter recurring annual dollar amount of cost form all respondents associated with operating or maintaining systems or purchasing services.
 - c. Enter total (14a + 14b) annual reporting and recordkeeping cost burden.
 - d. Enter any cost burden currently approved by OMB for this collection of information. Enter zero (0) if this is the first submission after October 1, 1995.
 - e. Enter the difference by subtracting line d from line c. Record a negative number (d larger than c) within parentheses.
 - f. Explain the difference. The difference in line e must be accounted for in lines f1 and f2.
 - f1. "Program change" is the result of deliberate Federal government action. All new collections and any subsequent revision or changes resulting from new estimates or actions not controllable by the Federal government are recorded as program changes.
 - f2. "Adjustment" is a change that is not the result of a deliberate Federal government action. Changes resulting from new estimates or actions not controllable by the Federal government are recorded as adjustments.

Supporting Statement for Paperwork Reduction Act Submissions

General Instructions

A Supporting Statement, including the text of the notice to the public required by 5 CFR 1320.5(a)(i)(iv) and its actual or estimated date of publication in the Federal Register, must accompany each request for approval of a collection of information. The Supporting Statement must be prepared in the format described below, and must contain the information specified in Section A below. If an item is not applicable, provide a brief explanation. When Item 17 of the OMB Form 83-1 is checked "Yes", Section B of the Supporting Statement must be completed. OMB reserves the right to require the submission of additional information with respect to any request.

Specific Instructions

A. Justification

1. Explain the circumstances that make the collection of information necessary. Identify any legal or administrative requirements that necessitate the collection. Attach a copy of the appropriate section of each statute and regulation mandating or authorizing the collection of information.
2. Indicate how, by whom, and for what purpose the information is to be used. Except for a new collection, indicate the actual use the agency has made of the information received from the current
3. Describe whether, and to what extent, the collection of information involves the use of automated, electronic, mechanical, or other technological collection techniques or other forms of information technology, e.g. permitting electronic submission of responses, and the basis for the decision for adoption this means of collection. Also describe any consideration of using information technology to reduce burden.
4. Describe efforts to identify duplication. Show specifically why any similar information already available cannot be used or modified for use for the purposes described in Item 2 above
5. If the collection of information impacts small businesses or other small entities (Item 5 of OMB Form 83-1), describe any methods used to minimize burden.
6. Describe the consequence to Federal program or policy activities if the collection is not conducted or is conducted less frequently, as well as any technical or legal obstacles to reducing burden
7. Explain any special circumstances that would cause an information collection to be conducted in a manner:
 - requiring respondents to report information to the agency more often than quarterly;
 - requiring respondents to prepare a written response to a collection of information in fewer than 30 days after receipt of it;
 - requiring respondents to submit more
8. If applicable, provide a copy and identify the date and page number of publication in the Federal Register of the agency's notice, required by 5 CFR 1320.8 (d), soliciting comments on the information collection prior to submission to OMB. Summarize public comments received in response to that notice and describe actions taken by the agency in response to these comments. Specifically address comments received on cost and hour burden.

Describe efforts to consult with persons outside the agency to obtain their views on the availability of data, frequency of collection, the clarity of instructions and record keeping, disclosure, or reporting format (if any), and on the data elements to be recorded, disclosed, or reported.

Consultation with representatives of those from whom information is to be obtained or those who must compile records should occur at least once every 3 years-even if the collection of information activity is the same as in prior periods. There may be circumstances that may preclude consultation in a specific situation. These circumstances should be explained.
9. Explain any decision to provide any payment or gift to respondents, other than re-enumeration of contractors or grantees.
10. Describe any assurance of confidentiality provided to respondents and the basis for the assurance in statute, regulation, or agency policy.
11. Provide additional justification for any questions of a sensitive nature, such as sexual behavior and attitudes, religious beliefs, and other matters that are commonly considered private. This justification should include the reasons why the agency considers the questions necessary, the
 - requiring respondents to retain records, other than health, medical, government contract, grant-in-aid, or tax records for more than three years;
 - in connection with a statistical survey, that is not designed to produce valid and reliable results that can be generalized to the universe of study;
 - requiring the use of a statistical data classifier that has not been reviewed and approved by OMB;
 - that includes a pledge of confidentiality that is not supported by authority established in statute or regulation, that is not supported by disclosure and data security policies that are consistent with the pledge, or which unnecessarily impedes sharing of data with other agencies for compatible confidential use;
 - requiring respondents to submit proprietary trade secret, or other confidential information unless the agency can demonstrate that it has instituted procedures to protect the information's confidentiality to the extent permitted by law.
12. Provide estimates of the hour burden of the collection of information. The statement should:
 - Indicate the number of respondents, frequency of response, annual hour burden, and an explanation of how the burden was estimated. Unless directed to do so, agencies should not conduct special surveys to obtain information on which to base hour burden estimates. Consultation with a sample (fewer than 10) of potential respondents is desirable. If the hour burden on respondents is expected to vary widely because of differences in activity, size, or complexity, show the range of estimated hour burden, and explain the reasons for the variance. Generally, estimates should not include burden hours for customary and usual business practices
 - If this request for approval covers more than one form, provide separate hour burden estimates for each form and aggregate the hour burdens in Item 13 of OMB Form 83-1.
 - Provide estimates of annualized cost to respondents for the hour burdens for collections of information, identifying and using appropriate wage rate categories. The cost of contraction out or paying outside parties for information collection activities should not be included here. Instead, this cost should be included in Item 14.
13. Provide an estimate of the total annual cost burden to respondents or record keepers resulting from the collection of information. (Do not include the cost of any hour burden shown in Items 12 and 14).
 - The cost estimate should be split into two components: (a) a total capital and start-up cost component (annualized over its expected useful life); and (b) a total operation and maintenance and purchase of services component. The estimates should take into account costs associated with generating, maintaining, and disclosing or providing the information. Include descriptions of methods used to estimate major cost factors including system and technology acquisition, expected useful life of capital equipment, the discount rate(s), and the time period over which costs will be incurred. Capital and start-up costs include, among other items, preparations for collecting information such as purchasing computers and software; monitoring, sampling, drilling and testing equipment; and record
 - If cost estimates are expected to vary widely, agencies should present ranges of cost burdens and explain the reasons for the variance. The cost of purchasing or contracting out information collection services should be a part of

consult with a sample of respondents (fewer than 10), utilize the 60-day pre-OMB submission public comment process and use existing economic or regulatory impact analysis associated with the rulemaking containing the information collection as appropriate.

- Generally, estimates should not include purchases of equipment or services, or portions thereof, made: (1) prior to October 1, 1995, (2) to achieve regulatory compliance with requirements not associated with the information collection, (3) for reasons other than to provide information or keep records for the government, or (4) as part of customary and usual business or private practices.
14. Provide estimates of annualized cost to the Federal government. Also, provide a description of the method used to estimate cost, which should include quantification of hours, operational expenses (such as equipment, overhead, printing, and support staff), and any other expense that would not have been incurred without this collection of information. Agencies also may aggregate cost estimates from Items 12, 13, and 14 in a single table.
 15. Explain the reasons for any program changes or adjustments reported in Items 13 or 14 of the OMB Form 83-1
 16. For collections of information whose results will be published, outline plans for tabulation, and publication. Address any complex analytical techniques that will be used. Provide the time schedule for the entire project, including beginning and ending dates of the collection of information, completion of report publication dates, and other actions.

17. If seeking approval to not display the expiration date for OMB approval of the information collection, explain the reasons that display would be inappropriate.
18. Explain each exception to the certification statement identified in Item 19, "Certification for Paperwork Reduction Act Submissions," of OMB Form 83-1.

B. Collections of Information Employing Statistical Methods

The agency should be prepared to justify its decision not to use statistical methods in any case where such methods might reduce burden or improve accuracy of results. When Item 17 on the Form OMB 83-1 is checked "Yes", the following documentation should be included in the Supporting Statement to the extent that it applies to the methods proposed:

1. Describe (including a numerical estimate) the potential respondent universe and any sampling or other respondent selection method to be used. Data on the number of entities (e.g., establishments, State and local government units, households, or persons) in the universe covered by the collection and in the corresponding sample are to be provided in tabular form for the universe as a whole and for each of the strata in the proposed sample. Indicate expected response rates for the collection as a whole. If the collection had been conducted previously, include the actual response rate achieved during the last collection.
2. Describe the procedures for the collection of information including:
 - Statistical methodology for stratification and sample selection,
 - Estimation procedure,
 - Degree of accuracy needed for the purpose described in the justification,
 - Unusual problems requiring specialized sampling procedures, and
 - Any use of periodic (less frequent than annual) data collection cycles to reduce burden.
3. Describe methods to maximize response rates and to deal with issues of non-response. The accuracy and reliability of information collected must be shown to be adequate for intended uses. For collections based on sampling, a special justification must be provided for any collection that will not yield "reliable" data that can be generalized to the universe
4. Describe any tests of procedures or methods to be undertaken. Testing is encouraged as an effective means of refining collections of information to minimize burden and improve utility. Tests must be approved if they call for answers to identical questions from 10 or more respondents. A proposed test or set of tests may be submitted for approval separately or in combination with the main collection of information.
5. Provide the name and telephone number of individuals consulted on statistical aspects of the design and the name of the agency unit, contractor(s), grantee(s), or other person(s) who will actually collect and/or analyze the information for the agency

**Appendix 4
OMB 83-I "Paperwork Reduction Act Submission" Sample**

PAPERWORK REDUCTION ACT SUBMISSION	
Please read the instructions before completing this form. For additional forms or assistance in completing this form, contact your agency's Paperwork Reduction Clearance Officer. Send two copies of this form, the collection instrument to be reviewed, the Supporting Statement, and any additional documentation to: Office of Information and Regulatory Affairs, Office of Management and Budget, Docket Library, Room 10102, 725 17th Street NW, Washington, DC 20503.	
1. Agency/Subagency originating request Small Business Administration, Disaster Assistance	2. OMB control number b. <input type="checkbox"/> None a. <u>3245</u> - <u>0121</u>
3. Type of information collection (check one) a. <input type="checkbox"/> New Collection b. <input type="checkbox"/> Revision of a currently approved collection c. <input checked="" type="checkbox"/> Extension of a currently approved collection d. <input type="checkbox"/> Reinstatement, without change , of a previously approved collection for which approval has expired e. <input type="checkbox"/> Reinstatement, with change , of a previously approved collection for which approval has expired f. <input type="checkbox"/> Existing collection in use without an OMB control number For b-f, note Item A2 of Supporting Statement instructions	4. Type of review requested (check one) a. <input checked="" type="checkbox"/> Regular b. <input type="checkbox"/> Emergency - Approval requested by: <u> </u> / <u> </u> / <u> </u> c. <input type="checkbox"/> Delegated
5. Small entities Will this information collection have a significant economic impact on a substantial number of small entities? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	
6. Requested expiration date a. <input checked="" type="checkbox"/> Three years from the approval date b. <input type="checkbox"/> <u> </u>/<u> </u>/<u> </u>	
7. Title Governor's Request for Disaster Declaration	
8. Agency form number(s) (if applicable) N/A	
9. Keywords Disaster Assistance, Reporting and recordkeeping requirements; Other Terms: Request, Disaster, Declaration	
10. Abstract Before disaster loan assistance can be provided, the Governor of the affected State must make a written request which identifies incident, time, place, and that the criteria has been met for a disaster declaration to be made.	
11. Affected public (Mark primary with "P" and all others with "X") a. <input type="checkbox"/> Individuals or households d. <input type="checkbox"/> Farms b. <input type="checkbox"/> Business or other for-profit e. <input type="checkbox"/> Federal Government c. <input type="checkbox"/> Not-for-profit institutions f. <input checked="" type="checkbox"/> State, Local, or Tribal Government	12. Obligation to respond (Mark primary with "P" and all others that apply with "X") a. <input type="checkbox"/> Voluntary b. <input checked="" type="checkbox"/> Required to obtain or retain benefits c. <input type="checkbox"/> Mandatory
13. Annual reporting and recordkeeping hour burden a. Number of respondents <u>40</u> b. Total annual responses <u>40</u> 1. Percentage of these responses collected electronically <u>0</u> % c. Total annual hours requested <u>800</u> d. Current OMB inventory <u>940</u> e. Difference <u>-140</u> f. Explanation of difference 1. Program change _____ 2. Adjustment <u>-140</u>	14. Annual reporting and recordkeeping cost burden (in thousands of dollars) a. Total annualized capital/startup costs <u>0</u> b. Total annual costs (O&M) <u>0</u> c. Total annualized cost requested <u>0</u> d. Current OMB inventory <u>0</u> e. Difference <u>0</u> f. Explanation of difference 1. Program change _____ 2. Adjustment _____
15. Purpose of information collection (Mark primary with "P" and all others that apply with "X") a. <input checked="" type="checkbox"/> Application for benefits e. <input type="checkbox"/> Program planning or management b. <input type="checkbox"/> Program evaluation f. <input type="checkbox"/> Research c. <input type="checkbox"/> General purpose statistics g. <input type="checkbox"/> Regulatory or compliance d. <input type="checkbox"/> Audit	16. Frequency of recordkeeping or reporting (check all that apply) a. <input type="checkbox"/> Recordkeeping b. <input type="checkbox"/> Third party disclosure c. <input checked="" type="checkbox"/> Reporting: 1. <input checked="" type="checkbox"/> On occasion 2. <input type="checkbox"/> Weekly 3. <input type="checkbox"/> Monthly 4. <input type="checkbox"/> Quarterly 5. <input type="checkbox"/> Semi-annually 6. <input type="checkbox"/> Annually 7. <input type="checkbox"/> Biennially 8. <input type="checkbox"/> Other (describe) _____
17. Statistical methods Does this information collection employ statistical methods? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	18. Agency contact (person who can best answer questions regarding the content of this submission) Name: <u>Herbert L. Mitchell, AA/Disaster Assistance</u> Phone: <u>202-205-6734</u>

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19. Certification for Paperwork Reduction Act Submissions

On behalf of this Federal agency, I certify that the collection of information encompassed by this request complies with 5 CFR 1320.9.

NOTE: The text of 5 CFR 1320.9, and the related provisions of 5 CFR 1320.8 (b) (3), appear at the end of the instructions. *The certification is to be made with reference to those regulatory provisions as set forth in the instructions.*

The following is a summary of the topics, regarding the proposed collection of information, that the certification covers:

- (a) It is necessary for the proper performance of agency functions;
- (b) It avoids unnecessary duplication;
- (c) It reduces burden on small entities;
- (d) It uses plain, coherent, and unambiguous terminology that is understandable to respondents;
- (e) Its implementation will be consistent and compatible with current reporting and recordkeeping practices;
- (f) It indicates the retention periods for recordkeeping requirements;
- (g) It informs respondents of the information called for under 5 CFR 1320.8 (b) (3):
 - (i) Why the information is being collected;
 - (ii) Use of information;
 - (iii) Burden estimate;
 - (iv) Nature of response (voluntary, required for a benefit, or mandatory);
 - (v) Nature of extent of confidentiality; and
 - (vi) Need to display currently valid OMB control number;
- (h) It was developed by an office that has planned and allocated resources for the efficient and effective management and use of the information to be collected (see note in Item 19 of the instructions);
- (i) It uses effective and efficient statistical survey methodology; and
- (j) It makes appropriate use of information technology.

If you are unable to certify compliance with any of these provisions, identify the item below and explain the reason in Item 18 of the Supporting Statement.

Signature of Authorized Agency Official <i>Cynthia G Pitts</i>	Date <i>3/2/04</i>
Signature of Senior Official or designee <i>Stephanie White</i>	Date <i>4/1/04</i>

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Supporting Statement for Paperwork Reduction Act Submission
 OMB Control Number 3245-0121
 Governor's Request for Disaster Declaration

A. Justification

1. Circumstances that make the collection of information necessary. Small Business Administration (SBA) disaster assistance is made available in four ways:
 - a. Presidential declarations in coordination with the Federal Emergency Management Agency (FEMA). Larger, more extensive disasters all result in requests for Presidential declarations through FEMA.
 - b. Upon declaration by the Administrator of SBA. In addition to Presidential declarations, numerous requests are received by the Administrator of SBA from Governors for disaster declarations as a result of damages which are of a lesser magnitude than for Presidential declarations.
 - c. Economic injury upon designation by the Secretary of Agriculture for crop and/or livestock disasters.
 - d. Economic injury upon certification by a Governor of such economic injury in a physical disaster of lesser magnitude than required for the above three.

This information collection is only made under circumstances b and d. Items a and c are covered by the collections of the other Federal agencies that make those declarations. Requests to the Administrator of SBA are made for disaster assistance, but not all requests are approved; some are declined if the criteria have not been met. The information must still be collected in order to make a decision.

For item b above, the State must provide a formal written request that the SBA declare a disaster area and include details regarding the disaster such as date(s), type of disaster, location, the extent of damage to homes and businesses, and the impact on employment in the affected areas.

Information submitted for item d above must include a state certification that at least 5 small business concerns in a disaster area have suffered substantial economic injury as a result of the disaster and are in need of financial assistance not otherwise available on reasonable terms. The certification must be signed by the Governor, must specify the county or counties or other political subdivisions in which the disaster occurred, and must be delivered (with supporting documentation) to the servicing SBA Office within 120 days of the disaster occurrence.

The authority and criteria for these declarations are contained in Section 7(b)(2) of the Small Business Act (as amended) and in Title 13, Section 123.3 of the Code of Federal

Regulations, both of which are attached.

2. How, by whom, and for what purpose information will be used. Information provided by the Governor is evaluated by SBA Office of Disaster Assistance (ODA) staff and is used in conjunction with ODA-conducted damage surveys of the affected area to determine whether the published damage criteria have been met and if disaster loan assistance should be made available as requested by the Governor.
3. Technological collection techniques. The information technology is solely within the jurisdiction of the States. There is no form or standard format for this collection of information; therefore, there is nothing to be made available electronically by ODA. It is our current practice to accept Governors' requests electronically (e.g., fax, e-mail).
4. Efforts to identify duplication. There is no duplication of effort. ODA relies on information which State governments already collect for other purposes such as determining the applicability of State laws to disaster situations.
5. Impact on small businesses or other small entities. No small businesses or other small entities are directly affected by this collection. However, the collection of information affects small businesses and other small entities in that decisions about whether or not a disaster declaration should be made are based on the information provided by the State Government. If information indicates that a declaration should or should not be made, businesses either will or will not be able to apply for assistance.
6. Consequence if collection is not conducted. Information is collected only when a declaration is requested. Less frequent or lack of information collections are as a result of less frequent or lack of declaration requests. Without the limited amount of information currently collected, accurate evaluations of need for assistance would not be possible. By regulation, ODA must receive a request for assistance for Agency declarations.
7. Existence of special circumstances. This collection is generally a one-time only collection. The deadline for submission of information for SBA physical declarations is 60 days from the date the disaster occurred. The deadline for submission of information for Economic Injury declarations (Governor's Certifications) is within 120 days from the date the disaster occurred.

Respondents are not required to respond within 30 days, however, information should be reported to ODA relatively quickly after it is gathered by the affected state. ODA cannot provide assistance to disaster affected areas until information regarding damage is received for evaluation. Ultimately, the sooner the ODA receives the information needed, the more quickly disaster assistance is made available, and, consequently, the more quickly disaster victims can begin to recover from the disaster.

No special circumstances exist.

8. Solicitation of public comment. Federal Register Publication at Volume 71, Number 12, Page 3147 dated January 19, 2006, copy attached. The comment period closed March 20, 2006. No comments were received. ODA maintains continuing liaison with the State governmental departments that are charged with collecting and forwarding this information, particularly when the Governor's office has a request for a declaration under consideration. No major problems were encountered.
9. Payments or gifts to respondents. No payments or gifts are provided to respondents.
10. Assurance of confidentiality. No confidential information is requested or provided.
11. Questions of a sensitive nature. No questions of a sensitive nature are asked.
12. Estimates of the hourly burden. There are no incremental costs to the respondents (State governments) because State governments already collect this information in order to determine the applicability of State laws to disaster situations. Every State has its own disaster laws and provisions for declarations of emergency, and State departments of emergency services or similar governmental units. Periodic discussions with members of various State governments indicate that an average of 20 hours is spent by their employees to gather the information needed. However, it should be noted that the methods of collection and the time spent in collecting this information is solely under the control of the States.

The number of respondents is based on an average of the SBA Administrative declarations and SBA declines for the 3 most recent fiscal years (FY 03, 04 & 05). Only SBA approved disaster declarations (Administrative and Governor's Certification), as well as SBA declines of disaster declarations were calculated. Each submission for a disaster declaration request is considered one respondent.

<u>FY</u>	<u>SBA Declarations</u>	<u>7b2D Declarations</u>	<u>Declines</u>	<u>Total</u>
03	37	12	2	51
04	28	2	3	33
05	32	3	2	37

Total declarations past 3 FYs = 121 divided by 3 = **40** respondents per year

An average of 40 respondents spent an average of 20 hours collecting and compiling information. (40 x 20 = 800) Therefore, **800** annual burden hours are estimated.

No specific forms are required. Information is accepted in whatever format the affected state wishes to provide it.

13. Estimate of total annual cost burden. There is no additional burden imposed on the state to collect this information because State governments already do so for other

purposes.

14. Estimated annualized cost to the Federal Government. The cost to the Federal Government for this information collection is associated with preparing disaster declarations, i.e., reviewing information, preparing recommendations for declaration/decline, and sending for approval. GS-13 personnel are involved in the Agency processing.

The cost is estimated as follows:

Based on direct observation, total processing time per response is 1 hour.

40 respondents x \$35.49 (GS 13, Step 1) per hour	=	\$1,420
Plus overhead cost of 20%	=	\$284
Total estimated annual cost to the Federal Government	=	\$1,704.

15. Explanation of program changes or adjustments in Items 13 and 14 on OMB Form 83-I. The decrease in estimated burden hours is based on the most recent historical activity for the last 3 fiscal years (2003, 2004 and 2005). Fewer requests for declarations were made during this 3-year period than the prior 3-year period. There is no change in the estimated time it takes to gather the information.
16. Collection of information whose results will be published. No publication is anticipated.
17. Expiration date for collection of information. No specific form is used, consequently, display is not applicable.
18. Exceptions to certification statement in Block 19 on OMB Form 83-I. There are no exceptions.

- B. Collections of Information Employing Statistical Methods.

N/A