

INFORMATION COLLECTION BUDGET

**OF THE
UNITED STATES
GOVERNMENT**



FISCAL YEAR 1999

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

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The Fiscal Year 1999 Information Collection Budget

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Introduction and Summary

In this Information Age, the Federal government has come to rely more and more on information to perform its most basic functions. Information is the key to an effective government that provides its citizens with necessary services — national security; a sound financial system; health, safety and environment protections — in the least intrusive and most efficient manner possible. With a population that is geographically dispersed, highly mobile, and demographically diverse; with an economy that is robust, innovative, and operating on a global scale; and with a society that is living through the development of the computer as a primary personal and commercial tool — one of the American government’s primary functions is to manage information. Although the Federal government has always depended on accurate and timely information, in today’s complex, rapid-pace, globalized world, the ability of the government to process and use information is more critical than ever before.

The successful management of information is thus necessary for the government to fulfill its missions. “Information Resources Management” (IRM) includes management of the entire life cycle of information, from creation or collection, through use and public dissemination, to storage in permanent archives or disposal. The Federal government’s policy for managing information is articulated in the Paperwork Reduction Act of 1995 (PRA), which sets forth the basic responsibility of agencies to coordinate and oversee their IRM activities. This far-reaching statute, along with its companion legislation, the Information Technology Management Reform Act of 1996 (the Clinger-Cohen Act), provide guidance to the government in its management of information. The purposes of the PRA include:

“[To] coordinate, integrate, and to the extent practicable and appropriate, make uniform Federal information resources management policies and practices as a means to improve the productivity, efficiency, and effectiveness of Government programs, including the reduction of information collection burdens on the public and the improvement of service delivery to the public;”

“[To] minimize the paperwork burden for individuals, small businesses, educational and nonprofit institutions, Federal contractors, State, local and tribal governments, and other persons resulting from the collection of information by or for the Federal Government;”

“[To] provide for the dissemination of public information on a timely basis, on equitable terms, and in a manner that promotes the utility of the information to the public and makes effective use of information technology;” and

“[To] improve the responsibility and accountability of the Office of Management and Budget and all other Federal agencies to Congress and to the public for implementing the information collection review process, information resources management, and related policies and guidelines established under this chapter.”

Management of Information Collection Activities

Under the PRA, the Office of Management and Budget (OMB) is charged with responsibility for overseeing efforts by each agency's Chief Information Officer (CIO) to weigh the burdens imposed by collections of information on the public against the usefulness — or practical utility — of the information received. OMB is also charged with responsibility for the development of an annual Information Collection Budget (ICB). This report, the *Fiscal Year 1999 Information Collection Budget of the United States Government*, describes the Federal government's efforts to monitor and reduce the paperwork burden it imposes on the general public. This annual report is part of a comprehensive effort to manage the collection of information by the Federal government.

The PRA directs OMB to “set an annual Governmentwide goal for the reduction of information collection burdens by at least ... 5 percent during each of fiscal years ... 1999 [and] 2000.” The PRA also directs OMB to develop this ICB through a process under which OMB, in consultation with each agency, sets “annual agency goals to reduce information collection burdens imposed on the public that represent the maximum practicable opportunity in each agency” and to improve agency management of the paperwork review process. In addition, the OMB FY 1999 appropriations directs OMB, by March 31, 1999, to issue a report to Congress that “identifies specific paperwork burden accomplishments expected, constituting annual five percent reductions in paperwork expected in fiscal year 1999 and fiscal year 2000.” In fulfillment of these statutory responsibilities, this ICB describes each agency's accomplishments during the preceding fiscal year as well as planned initiatives for the current fiscal year and the next fiscal year to minimize paperwork burden, as well as the Federal government's progress toward the statutory burden reduction goals.

CIOs in each agency use the ICB to evaluate the totality of the agency's collection of information activities planned for the forthcoming year and assess information collection priorities as part of their agency's internal planning and control processes. OMB uses the ICB as a management tool and as an adjunct to its transaction-by-transaction review of agency requests for approval of each of their collections of information.

Dissemination of Information

In economic terms, information is a scarce economic good. Like all goods, it has costs of production as well as benefits of use. Thus, it is the responsibility of the agency's CIO to balance the agency's need for a proposed data collection or other paperwork and the practical utility of the resulting information against the burden and costs imposed on respondents. The annual ICB is a means to help the agencies' CIOs better manage the agencies' information collections and help the public better understand agency efforts and successes in this regard.

In the same vein, the information that the Federal government holds is valuable. Thus, the Federal government has a responsibility to share with the public the information it collects and develops on its behalf and inform the public of its activities. This responsibility requires not only making information available on request, but also that agencies distribute information on their own initiative. These dissemination activities are also a part of the CIO's information resource management responsibilities.

Multiple Challenges in Information Resources Management

In addition to the ongoing challenges that are the subject of this report, there are presently four major information resources management challenges to which the CIOs have been forced to devote their attention.

- C Y2K. The greatest immediate challenge is the Year 2000 computer problem. The challenge for each agency CIO is to keep the agency focused on this overriding priority so that the critical missions and services that the American people depend upon continue uninterrupted across the century change. Agencies are working to meet this unavoidable deadline to the exclusion of much else.
- C Capital Planning and Investment Control. The Clinger-Cohen Act reforms in this area are having a beneficial effect on the practices of Federal agencies. The CIOs need to continue assisting their agencies in using the budget process, and working through the CIO Council, to assure that agency information technology investments produce real improvements in mission performance.
- C Information Security. Agencies' and the public's increasing dependence on computers means the Federal government needs to spend significant resources improving the security of automated information systems, the information in those systems, and the infrastructures that connect and support them. The challenge is two-fold. Policy must be developed that supports the use of secure electronic communications among agencies and between agencies and the public; and awareness of the importance of computer security must be increased among the Federal agencies.
- C Information Policy. Rapidly changing technology creates many challenging issues for Federal agencies in the areas of privacy, information dissemination and publishing, and records management. CIOs are working with various groups to identify solutions and assist in developing and implementing appropriate policies. Recent passage of the Government Paperwork Elimination Act and announcement of the Administration's "Access America" vision raise the bar further. Advancing the development of privacy policies and practices for the government in its relationship with the public, in coordination with the new Chief Counselor for Privacy, is critical for maintaining public trust in, and the smooth functioning of, government programs.

Against this backdrop, OMB believes that the Federal government, through the CIOs, has made significant progress in reducing burden where practical and as conflicting priorities allow.

Summary

Chapter 1 of this report describes the information collection burden the Federal government imposed on the public during the fiscal year 1998 and expected information collection burden for fiscal years 1999 and 2000. This chapter also describes some selected successes of the Paperwork Reduction Act for these years.

Chapter 2 is a discussion of the competing goals of the Paperwork Reduction Act and the practical limits for attaining the statutory governmentwide goals in light of the requirements of the Paperwork Reduction Act and other statutes.

In chapter 3, the Office of Information and Regulatory Affairs seeks to initiate a conversation within the Federal government and with the public on the appropriate way to measure and describe burden under the Paperwork Reduction Act. This is the beginning of a multi-year effort to assess the way the Federal government thinks about and accounts for information collection burden.

Chapter 4 provides an agency-by-agency discussion, describing its need for information, internal management of information collections, burden reduction efforts, and specific changes in information collection burden for FY 1998 and expected changes for FY 1999 and FY 2000. It also lists statutory mandates that have affected or will affect information collection burden during these three years.

Chapter 5 summarizes the substance of domestic Federal information policy as it has developed over the past decade and as reflected in the Paperwork Reduction Act of 1995 and OMB Circular A-130. It also summarizes agency activities in this area, pointing out how agencies are making more and more government information available to the public. The growth and increasing popularity of the Internet and the World Wide Web have greatly facilitated this trend.

Chapter 1. Information Collection Budget of the Federal Government for FY 1998, FY 1999, and FY 2000

Introduction

The Paperwork Reduction Act of 1995 (PRA) gives an agency's Chief Information Officer (CIO) responsibility for the agency's information collection activities, as part of their overall information resources management duties. In addition, the PRA requires the Office of Management and Budget (OMB) to review and approve every information collection conducted or sponsored by the Federal government. This responsibility ensures oversight of the agencies' information collection activities. OMB and the CIOs work together "to improve the efficiency and effectiveness of governmental operations to serve agency missions, including burden reduction and service delivery to the public."¹

The PRA also requires the Director of OMB to report to Congress on Federal activities under the Act, based upon performance results reported by the agencies. The Information Collection Budget (ICB) is OMB's annual report on the Federal government's information collection activities under the Act. This includes 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. This chapter presents the information collection burden for FY 1998, broken down by Federal agency.

The PRA also requires the Director to set, in consultation with the agencies, annual agency goals to both reduce information collection burdens imposed on the public and improve information resources management in ways that increase the productivity, efficiency and effectiveness of Federal programs, including service delivery to the public.² This chapter sets these goals, including targets for the information collection burdens for FY 1999 and FY 2000, and discusses some of the more important agency initiatives to fulfill the purposes of the PRA. The PRA also requires the Director to set, in consultation with the agencies, an annual governmentwide goal for the reduction of information collection burden by at least 5 percent for FY 1999 and FY 2000. This chapter discusses this goal and reports on impediments to achieving it.

OMB Review of Information Collections

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. The 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.

¹ 44 U.S.C. 3504(a)(1).

² 44 U.S.C. 3505(a)(1).

The PRA gives each agency's Chief Information Officer (CIO) responsibility of the agency's information collection activities. The CIO or a designee signs each package before it is sent to OMB to indicate that the CIO reviewed the package to ensure it meets the purposes of the PRA; 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,³ including, for small business, local government, and other small entities, the use of the techniques outlined in the Regulatory Flexibility Act.⁴

Some opportunities for burden reduction are never manifest because some burdens are never imposed on the public. The agencies first review information collections to minimize burden and improve overall function of the programs. Then OMB reviews the information collections to similar purposes. The intent of the PRA is to prevent unduly burdensome information collections from ever being implemented, and OMB believes it has fulfilled this intent.

The Annual Information Collection Budget

Development of the Information Collection Budget. The annual 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.

The first requirement of the ICB is an accounting of the past year's activities. OMB and the agencies review all of the transactions approved by OMB during the previous fiscal and report on significant improvements, burden increases, or burden decreases. A summary of this activity is shown in table 1.1. A more detailed explanation of agency activities during FY 1998 are in chapter 4.

Also as part of the ICB, the total inventory of agency information collections is examined and adjusted at the end of each fiscal year to determine the agency's actual imposition of paperwork burden hours for that year. Each agency's final, adjusted paperwork burden inventory is then used as the "base" for preparing its ICB for the following fiscal year. The ICB process enables both agencies and OMB to target paperwork reduction strategies more effectively, to manage the reviews of individual information collection proposals better, and to assess the effect of information resources management initiatives on the paperwork burden borne by the public more accurately.

The ICB is also the mechanism by which OMB and the CIOs establish agency targets for the coming year. This requires balancing the burden on the public of supplying information and the practical utility of that information in furthering the program needs of the Federal agency seeking it. Based upon the prior year's experience and the best estimates of "burden hours" imposed by each form, survey, and other information collection, each agency submits to OMB a proposed budget of total burden hours and burden costs for the new fiscal year, together with a description of changes in existing information collections that are necessary to meet its needs. In addition, agencies report on paperwork management initiatives, which are designed to improve the collection, use, and dissemination of information over time. OMB reviews agency submissions and consults with CIOs to develop final budget targets that minimize paperwork burden, consistent with the

³ 44 U.S.C. 3506(c)(3)(C).

⁴ 5 U.S.C. chapter 6.

program needs and planned uses of the collected information. OMB publishes these final budget targets and justifications in the ICB. A summary of the agencies' targets for FY1999 and FY2000 are in tables 1.2 and 1.3 respectively. Chapter 4 of this report includes detailed justifications for each agency's budget.

Selected Agency Accomplishments and Improvements

The Federal government is making and continues to make strides in improving its information collections to both improve its delivery of services to and reduce burden on the public. This ICB documents in chapter 4 a wide variety of agency accomplishments in FY 1998 and planned improvements for FY 1999 and FY 2000, some examples of which are described here. These worthy initiatives broadly fall into seven categories: streamlining regulations; raising reporting thresholds; simplifying forms and application processes; reducing the frequency of reporting; incorporating information technology; consolidating duplicative collections; and datasharing between agencies.

Most improvements are changes to or radical redesigns of existing programs rather than wholesale eliminations since such cuts would require the agency to cease providing a service or enforcing a law. That is possible only rarely and generally requires specific statutory direction.

Streamlining program regulations and associated requirements. Agencies are reducing information collection burden by revising existing regulations to eliminate unnecessary requirements or by completely changing the way they regulate.

- C USDA's Rural Housing Service (RHS) first reengineered the regulations and associated with its Single Family Housing (SFH) program. This initiative resulted in a reduction of over a million burden hours. In FY 1999, RHS expects to complete a similar reengineering project for the Multi-Family Housing (MFH) program. By consolidating collections and streamlining reporting requirements, USDA expects to reduce the burden of the MFH program by a half million hours or one quarter the current burden.
- C USDA's Food and Nutrition Service plans to issue regulations which will streamline and consolidate the *National School Lunch Program*, the *School Breakfast Program*, and the *Summer Food Service Program* into one program, significantly reducing the duplication in reporting and recordkeeping that results from the programs being administered separately and cutting burden by over two million hours.
- C The Department of Education reduced burden associated with the regulations for the *Federal Family Education Loan Program*, which set out policies and procedures governing private banks lending money to students to pursue an education beyond high school, by 6.5 million hours by relaxing the "due diligence" requirements.
- C The Department of Health and Human Service's Food and Drug Administration (FDA) eliminated over one million hours of burden by no longer requiring reports for some kinds of electronic equipments and requiring abbreviated reports instead of comprehensive initial reports for a number of products such as X-ray systems. FDA will further attempt to reduce burden by rewriting the underlying regulation *Medical Devices Registration and Listing* and by allowing manufacturers to enter and change their information via the Internet.
- C The Department of Housing and Urban Development (HUD) is working to reduce burden *Real Estate Settlement Procedures Act (RESPA) — Section 6, Model Servicing Transfer* and its *Initial Escrow*

Box 1.1 Planned Burden Reductions at EPA

The Environmental Protection Agency (EPA) is undertaking a number of regulatory activities during FY 1999 and FY 2000 that will reduce the reporting and recordkeeping burden on industries.

Streamlining the Spill Prevention, Control, and Countermeasures Program. Under EPA's Oil Pollution Prevention Program, commonly known as the Spill Prevention, Control, and Countermeasures (SPCC) program, EPA requires facilities to prepare and plan to help reduce the potential for oil spills to the nation's waterways. Preparation of these plans require facilities to analyze how they will prevent oil discharges, thereby influencing facility design and operations.

EPA is considering several changes to reduce duplication, frequency, and applicability of reporting and record keeping requirements. For example, EPA is considering allowing use of equivalent prevention plans prepared under state laws deregulating facilities regulated by EPA's Underground Storage Program. To reduce the frequency of record keeping and reporting, EPA may extend from three to five years the period in which facilities must review their plans and allow facilities to monitor and inspect according to industry standards. Raising the regulatory threshold and establishing a minimum container size would reduce the number of facilities that would be subject to the SPCC planning requirements.

EPA expects these changes would cut reporting burden by up to one-third of the estimated 2.5 million hours in reporting burden for the program.

Raising Reporting Thresholds for Gasoline Stations.

In February, 1999, EPA published a final rule that raised reporting thresholds under the Emergency Planning and Community Right-to-Know Act for gasoline and diesel fuel at retail gas stations that comply with requirements for underground storage tanks (USTs). Under the Act, facilities that store hazardous substances must report their chemical inventories and provide Material Safety Data Sheets to local emergency response officials. The new thresholds will relieve most retail gas stations from these significant reporting requirements. EPA reasoned that emergency responders and the public

are generally aware that gas stations store gasoline and diesel fuel underground and know the locations of these facilities. In addition, gas stations that store these fuels entirely underground are already subject to Federal UST requirements. EPA estimates that this exemption will reduce the burden by over half a million hours, with an overall cost savings of more than \$16 million.

EPA also plans to finalize in FY 2000 a subsequent rulemaking that will streamline reporting requirements for chemicals that are not likely to pose a significant risk to human health or the environment as a result of accidental release (e.g., rock salt).

Motor Vehicle Compliance Assurance Program (CAP 2000). EPA is reinventing the federal program for certifying that new cars and light duty trucks, which include minivans, sport utility vehicles and pick-up trucks, meet national air pollution standards. EPA expects this new program, called the Compliance Assurance Program, or CAP 2000 (since manufacturers may opt-in for model year 2000), to save vehicle manufacturers about \$55 million a year in regulatory compliance costs, including through reduced reporting and testing requirements, and provide more flexibility in meeting compliance requirements. Ultimately, by improving EPA's ability to detect compliance problems and by encouraging production of cleaner vehicles, this action should also lead to improved air quality.

Streamlining Waste Water Treatment Regulations. EPA expects to publish in April 1999 a proposal to streamline its General Pretreatment Regulations. This program regulates discharges by industrial facilities to sewage treatment plants, in order to ensure that pollutants which might damage or pass through the treatment works are not discharged. By streamlining various monitoring, reporting, and public notification requirements, the proposed revisions give flexibility to treatment plant operators to target their resources for the greatest environmental benefit. EPA has developed this proposal with substantial input from plant operators, state regulators, and environmental groups and expects to published the final rule by March, 2000.

Account Statement, Annual Escrow Account requirements by proposing to allow lenders to use computer generated information rather than written responses, reducing burden by 7.8 million hours.

- C The Department of Justice's Immigration and Nationalization Service (INS) fundamentally changed the way it does business through its *Automated Alternative Inspection Services*. INS reduced burden by over a half million hours by cutting the number of required data elements, increasing automation, having INS personnel complete more information for respondents, and targeting frequent travelers, thereby reducing respondents.
- C The DOL's Occupational Safety and Health Administration (OSHA) is considering eliminating certification requirements for some of its regulations. Although this would not relax any substantive requirements, it would eliminate paperwork burden by 5.5 million hours.

Raising reporting thresholds. Agencies are reducing information collection burden by raising reporting thresholds to reduce the number of reports that need be submitted.

- C The Department of the Treasury's Internal Revenue Service (IRS) revised the requirements for the *IRS Form 1040-ES, Estimated Tax for Individuals*, doubling the threshold for having to filing this form from \$500 estimated taxes to \$1,000.
- C The Environmental Protection Agency (EPA) raised the reporting threshold for the *Community Right-to-Know Reporting Threshold for Gasoline and Diesel Fuel Storage* at retail gas station without sacrificing significant Right-to-Know information.
- C The Federal Acquisition Regulation System (FAR) raised the threshold for maximum travel expense amount that contractor personnel may claim without providing a supporting receipt from \$25 to \$75. FAR also increased the contract dollar threshold for permitting *Progress Payments*, payments to contractors at specific milestones during a project.

Simplifying forms and streamlining application processes. Agencies are reducing burden by making their forms simpler to read and fill out and by making their programs easier to apply for.

- C USDA is streamlining the application processes for Foreign Agricultural Service's *Cooperator Foreign Market Development Program* and the Farm Service Agency's *Preferred Lender Program*.
- C The Department of Education redesigned the application for the *Federal Direct Consolidation Loan Program*, which provides an option of loans for higher education directly from the Federal government, cutting burden by almost a million hours.
- C INS is working to streamline of up to of its 15 forms and rewrite them in plain language, reducing their burden by up to 25 percent.
- C IRS made some improvements on its *Form 1040, Individual Income Tax Return*, by combining and eliminating some lines, streamlining worksheets, and revising the instructions.
- C The Federal Communications Commission is working to make fundamental changes in the broadcast application and licensing procedures.

Box 1.2 Streamlining the Student Aid Application

The redesigned 1999–2000 Free Application for Federal Student Aid (FAFSA) is the product of a two and a half year collaborative redesign effort led by the Department of Education. The FAFSA Redesign Group was made up of Department policy, systems, information, and legal staff, as well as a school and a state representative and a professional form designer. The group held numerous public meetings, had three rounds of public comment in the Federal Register, and conducted usability testing with actual applicants.

The end result is a shorter form that is easier to understand. The 1998–99 FAFSA was 16 pages — a four-page form and 12 pages of instructions. The 1999–2000 FAFSA is only eight pages — a four-page form and four pages of instructions. The overall number of data elements was reduced from 108 to 99. The burden on the public was reduced by 877,000 hours in FY 1997 and 1.3 million hours in FY 1998.

The order of the questions was revised to group questions more logically. Columns and grids on the old form were eliminated, producing a more linear form that is easier to follow. A second color was introduced to help distinguish student questions (yellow) from parent questions (purple). Wherever possible, the form was rewritten to incorporate plain language, and instructions were embedded in the questions themselves to minimize the number of times an applicant has to flip pages. And since FAFSAs are scanned, careful attention was paid to ensure that the revised form would allow data to be captured as accurately as possible.

The Plain Language Action Network uses the 1999–2000 FAFSA as an example of a government form that has been made shorter and clearer. It's on their website at <<http://www.plainlanguage.gov>>.

In addition to redesigning the paper FAFSA, the Department continues its strong commitment to electronic methods of application. During the 1997–98 cycle, the Department unveiled FAFSA on

the Web (FOTW), which allows applicants to submit their financial aid application via the Internet at <<http://www.fafsa.ed.gov>>. Plain language and graphics help first-time applicants submit their application. The questions are grouped logically in an interview format, which applicants liked during usability testing. Skip logic reduces burden on applicants who are not required to answer certain questions. And internal edits ensure that data submitted is consistent and complete, which greatly reduces the percentage of applicants that are rejected for improper submissions.

Also, applicants can now also submit their *renewal* FAFSAs over the Internet. Using a special code, called an Electronic Access Code (EAC), applicants can access their previous year's data on the web and make any necessary updates. This is by far the quickest means of application available. And, because the Department considers the EAC to be the student's signature, Renewal FAFSA on the Web effectively eliminates the paper signature requirement for students who are not required to submit their parent's information.

FAFSA on the Web has just received a Lycos Top 5% award (1997) and a Govexec.com "Best Feds on the Web" award (1998). Secretary Riley received a letter from Vice President Gore congratulating the Department on this award and for providing excellent customer service. And the Industry Advisory Council (IAC) recognized the FAFSA on the Web development team with a Government Information Technology Services award for leadership and achievements in promoting electronic government (1998). As a result of FAFSA on the Web's continued successes and the Department's ongoing marketing efforts, filing over the web is becoming increasingly popular. By the end of the sixth week of the 1999–2000 processing cycle, the number of web applications was 600 percent greater than it was by this same time during the 1998–99 processing period.

Reducing the frequency of reporting requirements. Agencies are reducing burden by cutting the frequency of periodic reporting requirements and reducing duplicative information from one report to the next.

- C The Department of Education reduced burden on its *Local Educational Agency (LEA) Eligibility under Part B of the Individuals with Disabilities Education Act (IDEA)* by accepting annual updates of initial State applications instead of requiring complete submissions each year.
- C The Department of Energy (DOE) reduced the burden of its *Oil and Gas Reserves System Surveys* by improving its sampling strategy to require fewer respondents and reducing the reporting frequency for small entity respondents. DOE also reduced the burden of the *Manufacturing Energy Consumption Survey* by reducing this quadrennial survey to a triennial survey.
- C The Department of Transportation's Federal Highway Administration (FHWA) reduced the burden of its *Controlled Substances and Alcohol Use and Testing* requirements by requiring motor carriers to conduct 15 percent less alcohol testing, reducing burden by 300,000 hours.
- C The Department of Veterans Affairs (VA) reduced the burden of its *Eligibility Verification Reports* by requiring fewer people to verify annually that they continue to qualify for benefits. VA also reduced the burden of its *Adjacent Gravesite Set-Aside Survey* by making it biennial instead of annual.
- C The FAR is working to reduce burden by encouraging contractors to develop annual companywide plans for subcontracting with small, small disadvantaged, and women-owned small businesses in lieu of individual plans for each contract.
- C The Nuclear Regulatory Commission (NRC) reduced the frequency with which nuclear plants must review and reauthorize personnel for access to sensitive areas of the plant from monthly to quarterly. NRC also plans to streamline its fitness-for-duty requirements by reducing the frequency of program performance reports from biannual to annual, and by eliminating the requirement to retain negative reports.

Incorporating information system technologies and other electronic collection mechanisms. Agencies are reducing burden by putting in place electronic systems that can speed the exchange of information between the government and the public and allow respondents to use their own information technology to ease reporting burdens.

- C USDA's Food and Nutrition Service is moving the entire Food Stamp Program to an Electronic Benefits Transfer (EBT) system and now allows electronic reporting of the *Report of School Operations* as an alternative to submitting a manual report for the School Lunch and Breakfast programs.
- C DOC's Patent and Trademark Office has introduced electronic filing of trademark application forms, including trademark applications, service marks, allegations of use, affidavits of use, and registration renewals for trademarks.

Box 1.3 Using technology to facilitate information collection.

Increasing public interest in the Internet and information technology presents the Federal government with an outstanding opportunity to transform the ways in which it collects information. Rather than requiring respondents to send away for, fill out, and mail in forms government agencies can take advantage of the Internet both to provide forms to the public and to receive the forms once they are completed. A number of federal agencies are taking advantage of this opportunity.

IRS is at the forefront of the movement toward electronic collection of information. IRS will continue Electronic Tax Administration planning as well as educational and publicity campaigns related to TeleFile and other forms of electronic filing. The steady progress of the award-winning TeleFile program and other related initiatives gives a hint of the potential of electronic filing: less taxpayer burden, less paperwork, no mail, an accuracy rate of 99 percent, faster refunds, and satisfied customers. In FY 1999, the IRS expects to receive 6.6 million TeleFile returns, 20 percent more than in FY 1998. To further reduce the filing and paperwork burden on tax filers, the IRS is requesting funding for development of procedures for acceptance of electronic signatures, and will continue to explore procedures for future paperless return systems.

Within the Department of Transportation, the Federal Maritime Commission is finding ways to better use the Internet for information collection. The Ocean Shipping Reform Act of 1998, enacted in October of 1998 eliminates the requirement for common carriers to file tariffs with the Federal Maritime Commission. Instead carriers must make tariffs available for inspection by means of an electronic filing system for a reasonable charge. Congress noted that many carriers already have developed electronic information publication systems, such as the World Wide Web,

that are more advanced than the FMC's tariff filing and information system. In late 1998, the FMC published proposed rules to implement this approach -- reducing the estimated burden by approximately 25 percent or about 100,000 hours (by allowing use of systems to be maintained by carriers rather than the system used by FMC).

Several agencies within the Department of Commerce are moving toward greater Internet use. One of the most significant changes is a re-engineering within Patent and Trademark Office (PTO) of their patent and trademark processes. Electronic filing of applications is key to the re-engineering effort and critical to the automation of the examining process. The complete electronic processing of patents is expected to occur in 2003. Recently, PTO completed its pilot project on the electronic filing for trademarks. Expansion of electronic filing for trademarks will take place later this year. DOC's Bureau of Export Administration (BXA) is also using the Internet to improve services. BXA has developed the Simplified Network Application Process (SNAP) to offer an Internet-based export license application which it expects to be available for use in next few months.

Other departments and agencies have also begun to move toward electronic collection of data. For example, within the Department of Labor the Mine Safety and Health Administration has placed several of its most commonly used forms on the Internet. Successful use of the Internet for information collections requires agencies to overcome a series of obstacles, maintaining security and ensuring access for example. But agencies that have taken these first steps have found that they can solve these problems and, in so doing, improve service to, and reduce the burden on, the public.

- C DOC's Census Bureau intends to use the forthcoming multi-agency Automated Export System to collect electronically the information it currently collects on paper with its own *Shippers Export Declarations*.
- C HUD reduced burden its collections, *Real Estate Settlement Procedures Act (RESPA)— Section 6, Model Servicing Transfer and Initial Escrow Account Statement, Annual Escrow Account (OMB*

- No. 2502-0501), by proposing to allow permit lenders to use computer generated information rather than manual individual responses, reducing burden over 7.7 million hours.
- C The Department of the Interior's DOI's National Park Service allows its *Special Park Uses* permit application to be submitted electronically. DOI's Minerals Management Service proposed to change its *Production Accounting Auditing System Oil and Gas Reports* to mandate electronic reporting and reduce the frequency of reporting.
 - C INS will begin pilot testing for the Advanced Passenger Information System, an electronic system to process the information it currently collects on the *Arrival and Departure Record (Form I-94)*, that INS expects will eventually reduce burden by over 300,000 hours.
 - C The Department of Justice's Drug Enforcement Agency is converting its *Application for Registration (DEA Form-224)* and *Application for Registration Renewal (DEA Form-224A)* to an electronic system to allow submissions via the Internet.
 - C The Department of Transportation implemented electronic filing of tariff information from U.S. foreign air carriers, reducing burden by 660,000 hours.
 - C IRS continues to report increased use of its popular *e-file* system, including electronic filing and Telefile. IRS also expanded eligibility for the 941 TeleFile program, which allows employers to report employees' wage and tax information by touch-tone phone instead of on the paper Form 941, Employer's Quarterly Federal Tax Return. An additional 300,000 businesses used the 941 TeleFile program last year, reducing burden by almost 14 million hours.
 - C The Department of the Treasury's Bureau of Alcohol, Tobacco, and Firearms reduced burden by changing its *Special Tax Renewal Registration and Return* by pre-printing more of the information requested on the form.
 - C The Department of the Treasury's Financial Management Service implemented the automated enrollment system, which eliminates forms necessary to process recipient's benefit payments from Social Security, Supplemental Security Income, Veterans Compensation and Pension, Civil Service Annuity and Railroad Retirement Benefits.
 - C FCC has decided to move 15 key Mass Media Bureau broadcast application and reporting forms to electronic filing. To best realize the processing efficiencies it can get through electronic filing, FCC will also significantly streamline the entire process.
 - C The Federal Emergency Management Agency is working with mortgage lenders to adopt advanced information system to collect, maintain, and store data on the flood zones and reduce the time needed to research and gather data on individual properties. With the information already maintained in an automated system, applicants for new or refinance mortgages only need to review and sign a computer-generated form. This system would cut the burden of this collection by 2 million, or half its total burden

- C FERC has changed its rules to allow public utilities to establish electronic bulletin boards to improve the electric-market transactions and ensure simultaneous access to information for the entire industry, thereby facilitating the open trading of electricity.
- C The NASA Acquisition Internet Service is a highly successful agency-wide effort to automate NASA's Announcements of Opportunities on the Internet, which reduces the efforts of contractors to search out those opportunities and to download solicitations. NASA is piloting the electronic receipt of proposals and plans to have this in place soon as well. In addition, NASA is encouraging the submission of automated contractual reports through the Internet. NASA estimates that this automation initiative has decreased burden by half a million hours.
- C The Social Security Administration expects burden reduction through its automation of its claims and related systems and through the use of Direct Deposit for benefits and claims.

Consolidating and reducing of the collection of duplicative information. Agencies are reducing burden by consolidating information collections both to simply the collections and avoid collecting similar information several times from the same people.

- C USDA's Cooperative State Research, Education, and Extension Service is combining its *Application Kit* and its *National Research Initiative Competitive Grants Program* to the collection of duplicative information from similar applicants.
- C The Department of Defense is reducing the burden of its *Acquisition Management System and Data Requirements Control List* by over 20 million hours by eliminating duplicative data requirements on DOD contractors.
- C The Department of Veterans Affairs reduced burden on its *Application for Health Benefits and Yearly Reapplication of Health Benefits* by over 2 million hours by combining five forms and eliminating the duplication that occurred when a veteran applied to multiple VA medical facilities for medical benefits and had to complete the form series each time.
- C The Social Security Administration (SSA) will reduce burden by replacing state versions of the Forms SSA-3370 and SSA-3373, which states use to collect information on pain and how a claimant's disability condition affects them, for a single national form. SSA will also eliminate its form SSA-3945, *Work Activity Report—Continuing Disability* by consolidating it with another form. These changes could result in a burden reduction of almost one million hours.

Datasharing. Agencies are working together to share information across programs so that people only need respond to a single collection from one agency rather than multiple collections from many agencies.

- C FAR is eliminating its *Clean Air and Water Certification*, which ensures that Federal contracts are awarded to contractors that will perform the contract in facilities in compliance with the Clean Air and Clean Water Acts. The Environmental Protection Agency is improving its information systems for identifying facilities ineligible for Government contracts and will provide timely listing of these facilities for inclusion on the GSA List of Parties Excluded from Federal Procurement and Nonprocurement Programs, eliminating the need for the FAR collection.

- C The Federal Communications Commission will eliminate its *Statement Regarding the Importation of Radio Frequency Devices Capable of Harmful Interference (FCC Form 740)* and get similar information instead from the U.S. Customs Service.
- C The Social Security Administration (SSA) eliminated its *Forms SSA-777 and SSA-7770, Annual Report of Earnings* and now accepts the IRS Form W-2 filed on behalf of the beneficiary or the beneficiary's Federal tax returns as the report of earnings. This reduces the burden on social security recipients by over 300,000 hours.

Information Collection Burdens for FY 1997 and FY 1998

The Information Collection Budget reports the burden of Federal information collection activities and the changes from year-to-year. Table 1.1 shows the information collection burdens imposed on the public at the end of FY 1997 and the net program changes made during FY 1998.

The first column of the table shows the total burden imposed by 27 agencies imposing more than one million hours in FY 1997. The second column shows the "program changes" for each agency in FY 1998 corrected for expirations of ongoing collections and reinstatements of previously expired collections in violation of the PRA. (See box 1.4 below.) The third column shows the change due to corrected program changes as a percentage of the burden for FY 1997 corrected for unintentional expirations and reinstatements to remedy PRA violations. Table A.1 in appendix A has a more detailed breakdown of the burden changes in FY 1998.

Approximately 80% of this burden is imposed by the Department of the Treasury (including all Federal tax and revenue reporting and recordkeeping imposed by the Internal Revenue Service and the Customs Service). Burden reduction by Treasury is complicated by a variety of factors, the most important of which are several new statutory requirements, as well as the need for the IRS to develop a more accurate burden estimation methodology. Efforts to improve the efficiency of the tax collection system through increased use of information technology have been successful and are continuing. Frequent and significant amendments to the tax code, however, have resulted in the IRS having to increase the burden it imposes on

Box 1.4 Corrected Program Changes

Program changes are actions taken by the government that increase or reduce reported burden. OMB's computer database of changes in paperwork burden classifies expirations and reinstatements of previously expired collections as program changes, even when the agency is still in fact conducting the collection in violation of the PRA. This discrepancy is usually insignificant, but there are occasional exceptions. For example, in FY 1998 there were nearly 10 million hours in reductions at the Department of Justice (DOJ) and over 8 million hours at the Department of Agriculture (USDA) due to expiration of continuing collections. As these are reinstated during FY 1999, OMB's database will classify the

increases in burden as program changes for DOJ and USDA.

In this ICB, OMB reports "Program Changes (corrected)." Corrected program changes account for the distortion that PRA violations have on OMB program change totals in our electronic database and better reflect agency burden reduction efforts. Appendix A has more information on this correction as well a more detailed breakdown in the change in burden between years. Appendix B lists the violations for FY 1998 and discusses some of the actions OMB is taking to help agencies remedy any difficulties they may have keeping their PRA approvals current.

Table 1.1
Information Collection Budget for FY 1998
(millions of hours)

	FY 1997 Total Hour Burden	FY 1998 Program Changes (Corrected)	
Departments			
Agriculture	84.29	(1.11)	-1.5%
Commerce*	7.06	(0.26)	-3.7%
Defense	138.51	(17.09)	-12.4%
Education	43.73	(2.24)	-5.1%
Energy	4.48	(0.05)	-1.1%
Health and Human Services	137.01	2.75	2.0%
Housing and Urban Development	32.21	(2.87)	-11.2%
Interior	5.19	(0.12)	-2.2%
Justice	37.38	(0.52)	-1.9%
Labor	216.81	11.87	5.5%
State**	30.56	(1.77)	-5.8%
Transportation	111.38	(2.94)	-2.0%
Treasury	5,582.12	32.63	0.6%
Veterans Affairs	6.23	0.48	18.9%
Agencies			
EPA	115.67	4.86	4.2%
FAR	24.52	(0.22)	-0.9%
FCC	27.81	2.01	7.2%
FDIC	8.54	0.02	0.3%
FEMA	5.06	0.00	0.1%
FERC	5.23	0.25	4.8%
FTC	146.16	0.00	0.0%
NASA	9.09	(1.36)	-15.0%
NSF	5.79	(0.09)	-1.6%
NRC	10.27	(0.38)	-3.7%
SEC	148.93	0.60	0.4%
SBA	1.49	0.07	2.6%
SSA	24.78	(0.69)	-2.8%

* The burden for the Department of Commerce excludes the burden imposed by periodic collections such as the Decennial Census. Burden for these activities is listed in appendix A.

** The reported burden for the Department of State is adjusted, as described in the FY 1998 ICB, appendix B.

taxpayers. For example, the reporting of capital gains was recently complicated by the need to apply different capital gains tax rates. As a result of this and other changes, the burden imposed by Treasury increased from 5.58 billion hours in FY 1997 to 5.70 billion hours in FY 1998.

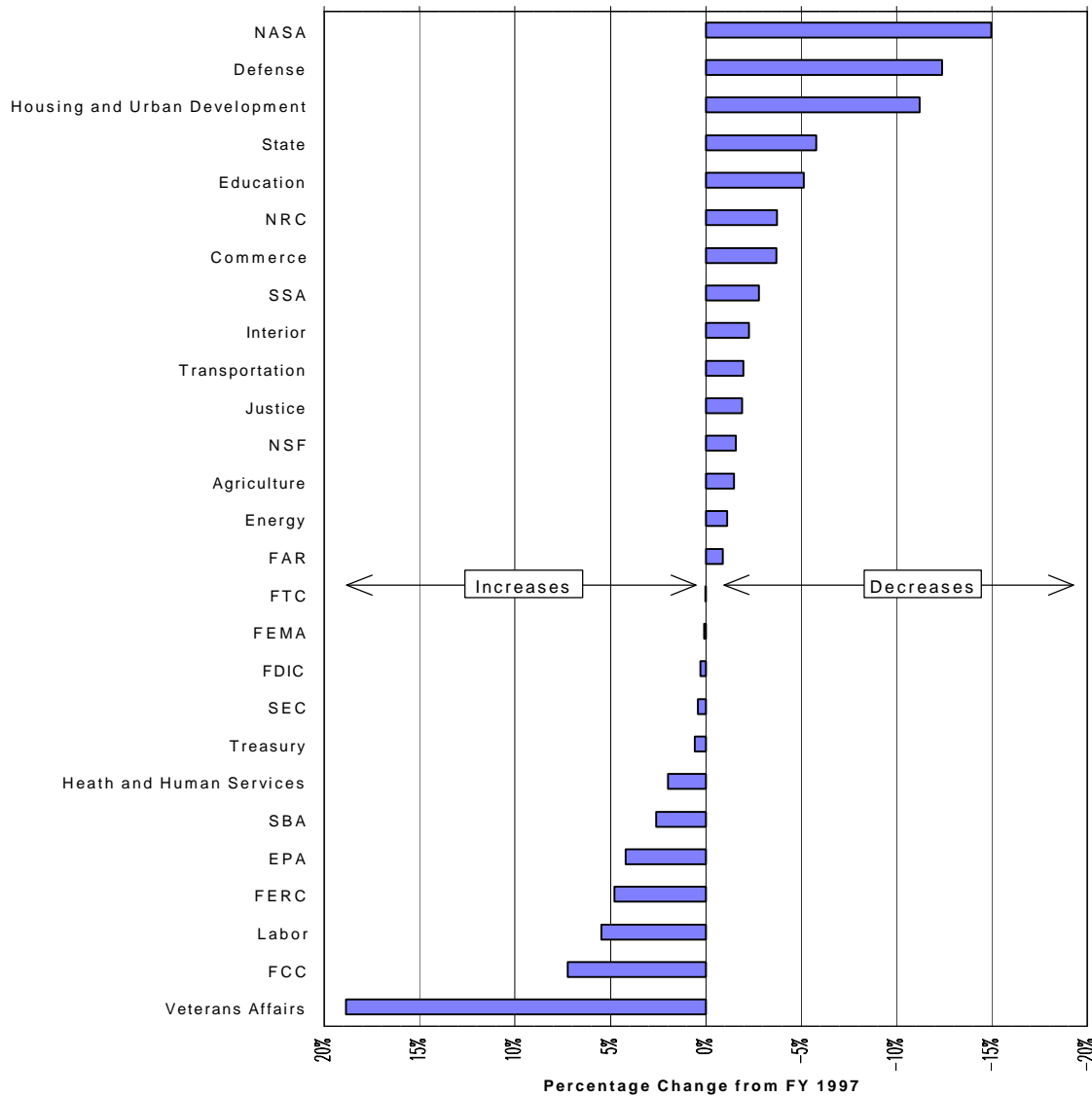
As seen in Table 1.1, the Chief Information Officers (CIOs) for the Cabinet agencies reported a variety of changes in estimated paperwork burden due to corrected program changes between FY 1997 and FY 1998. The greatest reductions due to program changes for this time period were reported by the Departments of Defense (! 12.4%), and Housing and Urban Development (HUD)(! 11.2%). The burden change at Defense is discussed below. HUD reported most of its reduction by choosing a less burdensome regulatory strategy in its final rule on escrow account disclosures than it had contemplated in the proposed rule. The greatest increases due to corrected program changes were reported by the Departments of Veterans Affairs (VA) (18.9%) and Labor (5.5%). VA implemented a number of new regulations to improve provision of existing services, including the educational assistance and benefits. Labor published a revised Respiratory Protection standard which resulted in a 7.7 million hour increase.

The CIOs for the non-Cabinet agencies also reported a variety of program changes between FY 1997 and FY 1998. The most notable decrease which was due to a program change took place at National Aeronautics and Space Administration (NASA) (! 15.0%). NASA has automated a number of its information collections and engaged in reforms of its procurement process leading to this decrease. The greatest increase at a non-Cabinet agency was reported by the Federal Communications Commission (FCC)

(+7.2%). The increase by FCC is mostly due to its continued implementation of the Telecommunications Act of 1996.

A number of agencies (besides Treasury) impose more than 100 million hours of burden on the public. The Department of Labor (DOL), whose burden is second only to the Department of the Treasury, increased its burden due to program changes by 5.5 percent in FY 1998. As mentioned above this increase is due largely to the publication of a new standard by the Occupational Safety and Health Administration (OSHA) on respiratory protection.

Figure 1.1
FY 1998 Corrected Program Changes



The Department of Health and Human Services’ (HHS’) burden (approximately 139 million hours in FY 1998) is implementing a series of new statutes, including the Personal Responsibility and Work Opportunity Reconciliation Act of 1996 and the Health Insurance Portability and Accountability Act of 1996, which increase information collection requirements significantly.

The Federal Trade Commission’s (FTC) had virtually no net program change in FY 1998. Most of the FTC's information requirements are imposed by other agencies, as in the case of consumer credit disclosure rules promulgated by the Federal Reserve Board, or they result from specific statutory mandates requiring specific disclosures or the labeling and marking of products.

The Department of Defense (DoD), which imposed close to 119 million hours in information collection requirements in FY 1998, has been extremely successful in its burden reduction efforts, mostly through a

Table 1.2
Information Collection Budget for FY 1999
(millions of hours)

	FY 1998 Total Hour Burden	FY 1999 Expected Program Changes (Corrected)	
Departments			
Agriculture	71.95	0.70	0.8%
Commerce*	6.80	1.37	20.2%
Defense	119.00	(6.00)	-5.0%
Education	40.90	(5.01)	-12.2%
Energy	4.46	(0.56)	-12.5%
Health and Human Services	139.31	19.75	13.9%
Housing and Urban Development	18.48	(2.10)	-7.8%
Interior	4.57	0.12	2.5%
Justice	25.82	0.18	0.5%
Labor	198.99	(2.78)	-1.4%
State**	28.90	(0.01)	0.0%
Transportation	138.75	5.72	4.1%
Treasury	5,702.24	149.21	2.6%
Veterans Affairs	2.64	(1.99)	-34.0%
Agencies			
EPA	119.18	1.25	1.0%
FAR	24.42	(6.86)	-28.1%
FCC	30.34	0.37	1.2%
FDIC	7.56	0.00	0.1%
FEMA	4.68	(1.99)	-39.2%
FERC	5.54	(1.31)	-23.7%
FTC	126.98	0.00	0.0%
NASA	7.71	(0.39)	-5.0%
NSF	4.73	(0.02)	-0.5%
NRC	9.67	0.08	0.9%
SEC	75.68	1.81	2.4%
SBA	3.07	0.03	1.0%
SSA	22.08	0.34	1.5%

* The burden for the Department of Commerce excludes the burden imposed by periodic collections such as the Decennial Census. Burden for these activities is listed in appendix A.

** The reported burden for the Department of State is adjusted, as described in the FY 1998 ICB, appendix B.

combination of changes in its procurement systems and a drop in the number of contracts bid. Increased procurement of commercial off-the-shelf products coupled with a concerted effort to eliminate many items on a long list of information and data traditionally demanded of defense contractors has led to a significant reduction in burden. As a result, a significant reduction in contractor data requirements resulted in a program decrease of 33.1 million hours in 1996 and 17.8 million hours in 1998.

The Environmental Protection Agency (EPA), with just over 119 million hours in FY 1998, has increased its information collection burden by 4.2 percent since FY 1997. EPA has streamlined some of its existing collections, as discussed above in box 1.1, but these reductions have not offset growth in the agency's burden from new collections, including the expansion of the Toxic Release Inventory program.

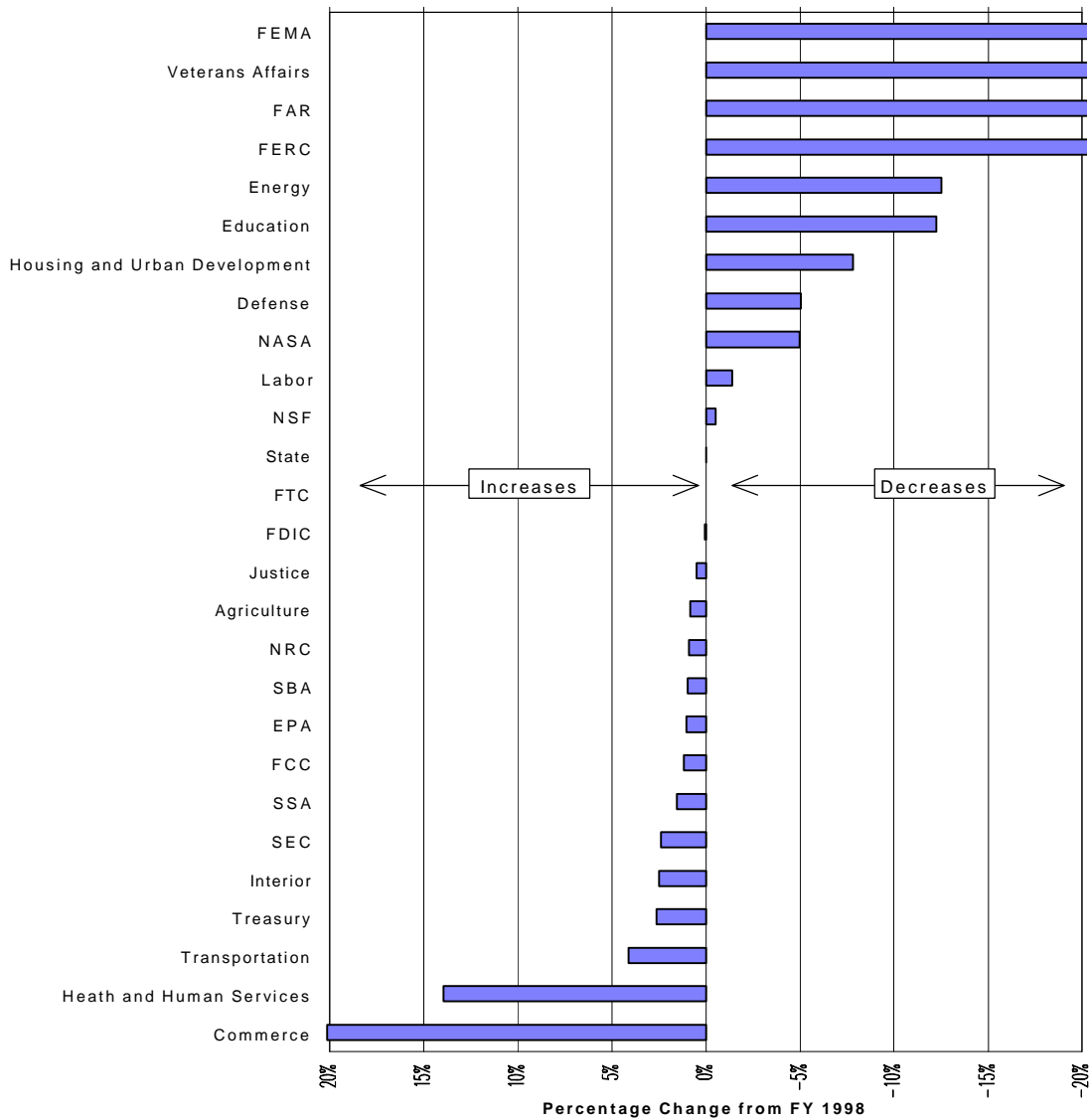
Information Collection Burdens for FY 1999 and FY 2000

Tables 1.2 and 1.3 present the expected changes in FY 1999 and FY 2000 respectively. The columns in these two tables are analogous to the columns in Table 1.1. Tables A.2 and A.3 in appendix A give a more detailed breakdown of the projected changes in the next two years. As in years before, Treasury is responsible for over 80 percent of the information collection burden of the Federal Government. In FY 1999, Treasury plans an increase of 149.1 million hours (+2.6%) and in FY 2000, Treasury plans an increase of 129.9 million hours (+2.2%). The primary reason for the increase are reporting requirements associated with the Taxpayer Relief Act and other statutes, and regulations intended to increase compliance with withholding requirements.

The largest increases due to corrected program changes in FY1999 come from the Department of Health and Human Services (HHS) (+13.9%) and the Department of Transportation (DOT)(+4.1%). As in FY 1998, the burden at HHS will increase due to implementation of a series of statutes. (See below and box 1.5.) This is also the case at DOT where burden increases are due to the Accountable Pipeline Safety and Partnership Act of 1996 and changes to the Intermodal Surface Transportation and Efficiency Act.

The largest anticipated decreases due to program changes come from the Federal Emergency Management Administration (FEMA) (! 39.2%), the Department of Veterans Affairs (! 34.0%), the Federal Acquisition

Figure 1.2
FY 1999 Expected Corrected Program Changes



Regulation System (FAR) (! 28.1%), the Federal Energy Regulatory Commission (FERC) (! 23.7%), the Department of Energy (DOE) (! 12.5%) and the Department of Education (! 12.2%). The reduction at Veterans Affairs is through a decrease of 2 million hours from combining five forms and eliminating the duplication that occurred when a veteran applied to multiple VA medical facilities for medical benefits. FEMA is planning to use data from industry on flood zones and new information technology to reduce the time needed to research and gather data on individual properties. The decrease at FAR is due to a rewrite of policies and procedures for providing Government property to contractors, contractors' use of management of Government property, and reporting, redistribution, and disposing of contractor inventory to reduce burden. The burden at FERC decreased due to the termination of the substantial start-up information requirements for the Gas Industry Standards Board (GISB) system. The decrease from the Department of Education is due to a reduction in regulatory requirements associated with the Federal Family Education Loan Program.

Box 1.5 Collecting information to save costs and improve patient care at HHS.

The Administrative Simplification provisions of the Health Insurance Portability and Accountability Act (1997) mandate that HHS adopt unique identifiers and data standards for the public and private health care markets. These identifiers will be required for all health care providers, health care insurers, and employers. In addition, the Act requires HHS to standardize codes and data sets for the various transactions that take place in the health care industry and require their use in all health care transactions. These requirements will impose considerable up-front burden on the American public. The National Provider Identifier is projected to impose 10.4 million hours while the industry transaction standards and code sets could impose up to 52 million hours.

Despite these large information collection burdens, HHS expects society will significantly benefit from

the simplification of administrative functions and the efficient electronic exchange of certain health information. For example, since transaction codes and data sets will be standardized across insurance companies, health care providers will no longer need to satisfy time-consuming unique information requirements for every company. This will allow them to divert resources from clerical tasks and allocate these resources to patient care.

While the burden imposed by the government will increase, the benefits of the program will increase more. The expected savings for the health care system over five years is estimated conservatively to be \$1.5 billion. These are resources that can be applied to patient care or to medical research rather than to paperwork.

For FY 2000 the largest decreases due to program changes come from Department of Agriculture (! 6.9%) and FERC (! 7.5%). The decrease at Agriculture is due to streamlining of requirements in the school lunch program and reduced reporting and recordkeeping requirements for recipients of food stamps. The decrease at FERC is largely due to further implementation of the GISB system. The largest increase due to program changes is at HHS (+11.5%). Increases at HHS are discussed below.

Among agencies imposing burdens greater than 100 million hours, several significant changes are planned for the next two years. Department of Labor (DOL) is planning to reduce burden by over 8 million hours in the next two years, over 5 million of which is due to program changes. The largest of these changes would be a decrease in certification requirements by the Occupational Safety and Health Administration.

As noted above, the burden imposed by HHS is projected to increase substantially in both FY 1999 and FY 2000. The total increase for the two years is over 44 million hours. These changes are largely driven by changes in statute. The increase in burden in FY 1999 is due primarily to the implementation of the 1997 Balanced Budget Act impacting Medicare. The increase in FY 2000 is driven by the final implementation of the data standards in the Health Insurance Portability and Accountability Act of 1997. (See also box 1.5.)

Minor increases in burden are projected for the Department of Transportation (DOT) and for the Environmental Protection Agency. As discussed above, the increases at DOT are largely driven by statutory changes. At EPA the increase reflects the Agency's priority in expanding the Toxic Release Inventory Program (TRI). In FY 2000, the adoption of EPA's proposed TRI rule for Persistent Bioaccumulative Toxics will increase the overall burden of the program by three million hours. The Federal Trade Commission did not report any expected changes for FY 2000.

The last agency currently imposing more than 100 million hours of burden is Department of Defense (DoD). DOD is currently projecting a total decrease of 11.3 million hours through corrected program changes over the next two years. This reduction is in part due to the continuing elimination of Data Item Descriptions (DIDs) that impose data delivery requirements on DOD contractors and ongoing initiatives in Acquisition Reform to facilitate commercial item acquisition.

Governmentwide Burden Reduction Goals

Burden hour estimates for the entire government including both program changes and adjustments can be found in Appendix A. Agencies overall increased total burden over 29 million hours in FY 1998. However, agencies also attribute almost 80 million hours of increases to new or newly implemented statutes, which means that there were over 50 million hours of agency-initiated reductions.

Excluding the Department of Treasury which imposes 80 percent of the burden, there was a decrease of 3.3 million burden hours in FY 1998. Agencies attributed 12 million additional hours to new or newly implemented statutes.

The government is projecting increases in burden in both FY 1999 and FY 2000. Burden is projected to increase by 2.1 percent in FY 1999 and 2.3 percent in FY 2000. In both years, the vast majority of these increases is due to increases at Treasury.

Clearly a great deal of activity affecting burden is planned for the next two years. As this chapter has shown, the agencies and departments that make up the Federal government have done considerable work on reducing the burden on the American people. Despite this effort, burden remained relatively constant in FY 1998 and is projected to increase over the next two years rather than meet the goal of a 5 percent reduction in burden. The next chapter looks in more detail at historical patterns of burden and the reasons that goals for burden reduction have not been achieved.

Table 1.3
Information Collection Budget for FY 2000
(millions of hours)

	FY 1999 Total Hour Burden	FY 2000 Expected Program Changes (Corrected)	
Departments			
Agriculture	83.55	(5.77)	-6.9%
Commerce*	8.48	(0.14)	-1.7%
Defense	105.20	(5.26)	-5.0%
Education	35.89	0.00	0.0%
Energy	3.88	0.00	0.0%
Health and Human Services	164.55	18.91	11.5%
Housing and Urban Development	22.33	0.13	0.6%
Interior	4.98	0.01	0.2%
Justice	37.37	(0.05)	-0.1%
Labor	193.04	(2.50)	-1.3%
State	28.90	0.03	0.1%
Transportation	143.20	0.00	0.0%
Treasury	5,912.44	129.89	2.2%
Veterans Affairs	3.87	0.00	0.0%
Agencies			
EPA	120.61	3.87	3.2%
FAR	20.36	(1.02)	-5.0%
FCC	31.72	0.14	0.4%
FDIC	7.57	(0.02)	-0.3%
FEMA	3.82	0.01	0.3%
FERC	4.23	(0.32)	-7.5%
FTC	126.83	0.00	0.0%
NASA	7.33	(0.37)	-5.0%
NSF	4.41	0.00	0.0%
NRC	9.59	(0.53)	-5.5%
SEC	75.41	0.10	0.1%
SBA	3.17	0.00	0.0%
SSA	21.60	0.10	0.5%

* The burden for the Department of Commerce excludes the burden imposed by periodic collections such as the Decennial Census. Burden for these activities is listed in appendix A.

Chapter 2. Paperwork Burden Reduction Goals

Agency Chief Information Officers (CIOs) are committed to managing their information resources constructively. In particular, they have identified ways in which their agencies can reduce paperwork burden on the public.

To encourage these agency efforts, the Paperwork Reduction Act of 1995 (PRA) requires the Office of Management and Budget (OMB), in consultation with the agencies, to establish “annual agency goals” to reduce paperwork burden on the public to the “maximum practicable” extent “in each agency.” To satisfy the statutory criteria that it be “practicable,” a reduction in paperwork burden must be consistent with the agency being able to carry out its statutory and program responsibilities. 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 FY 1999, the aggregate of the “maximum practicable” reductions that the agencies can expect to achieve in FY 1999 and FY 2000 is less than the 5 percent burden-reduction level that the 1995 PRA set as the minimum “annual Governmentwide goal” for FY 1999 and FY 2000. While regrettable, this result is consistent with previous ICBs. Since passage of the Paperwork Reduction Act of 1980, the aggregate of the agencies’ annual paperwork burden reduction goals has met the statutorily set Governmentwide goal in only one year, 1982, the second full year of implementation.

Given the importance of collecting information to the implementation of agency programs, any changes to data collections should only be taken after careful evaluation of their effects. Often, these evaluations indicate a need for more, not less, information to carry out a given agency responsibility. In a number of years, for example, individual agencies (both individually and as an aggregate whole) have had to increase their collection of information in order to carry out their statutory and program responsibilities. For example, chapter 4 identifies over 70 recently enacted laws that require either the creation or revision of more than 225 information collections in FY 1998–2000. The net impact on burden of these statutorily required reporting, recordkeeping, and third-party disclosure requirements is over 384 million additional hours, which amounts to roughly 5.6 percent of the FY 1998 governmentwide burden hour total. These new legislative mandates make it more difficult to achieve a 5 percent burden reduction goals. Thus, in setting an annual paperwork burden reduction target, OMB works with each agency to take into accounts its statutory and program responsibilities and its information collection responsibilities and efforts.

Paperwork Burden Reduction Goals

Annual Governmentwide Paperwork Burden Reduction Goals. The 1995 PRA directs the OMB Director to set “an annual Governmentwide goal” for the reduction of information collection burdens — 10 percent each for FY 1996 and FY 1997, and 5 percent each for FY 1998–2001. The FY 1999 Omnibus Appropriations Act⁵ reemphasized the importance of the 5 percent Governmentwide burden reduction goals for FY 1999 and FY 2000.

⁵ P.L. 105-277.

In accordance with the 1995 PRA, OMB adopted a Governmentwide burden reduction goal of 5 percent for FY 1999; this goal was established in OMB Bulletin 98-09, "Fiscal Year 1999 Information Collection Budget" (September 17, 1998):

The Paperwork Reduction Act of 1995 requires OMB to "set an annual Governmentwide goal for the reduction of information collection burdens by at least ... 5 percent during each of the fiscal years 1998, 1999, 2000, and 2001." 44 U.S.C. 3505(a)(1). In accordance with the Act, and in light of the agencies' statutory and programmatic requirements as reflected in prior ICBs, OMB hereby sets a "Governmentwide goal for the reduction of information collection burdens" for FY 1999 of 5 percent.

After OMB issued this Bulletin, Congress passed the FY 1999 omnibus appropriations bill. In that bill, Congress directed OMB to submit by March 31, 1999, a report that "identifies specific paperwork reduction accomplishments expected, constituting annual five percent reductions in paperwork expected in fiscal year 1999 and fiscal year 2000." As a result, OMB issued supplemental instructions to the agencies for the FY 1999 ICB:⁶

I [the OMB Director] am writing to emphasize the need for you [the heads of executive departments and agencies] to make a concerted effort, during your ongoing work on the FY 1999 ICB submission, to identify paperwork reductions that can be accomplished in FY 1999 and in FY 2000. As you know, there has been continued Congressional interest in this area, and it is likely that progress towards meeting these requirements will receive particular scrutiny in the future.

Specifically, as part of your response to Bulletin 98-09, I am asking you to do the following:

- C Set an agency goal of reducing paperwork by at least 5% in both FY 1999 and FY 2000 (in Bulletin 98-09, OMB set a government-wide goal of 5% for FY 1999).
- C Describe in detail, in the section of your FY 1999 ICB submission entitled *Burden Reduction Effort and Goals*, what program actions your agency — in planning for the 'maximum practicable' paperwork reduction — will take to reduce paperwork by 5% in FY 1999 and in FY 2000.

The Government target does not meet the burden reduction goals. As described in Appendix A, the aggregate of the individual agency goals for FY 1999 is +2.6 percent and for FY 2000 is +2.3 percent.⁷

Historically, Agencies Have Not Met Annual Paperwork Burden Reduction Goals. Since 1981, the Paperwork Reduction Act has set annual paperwork burden reduction goals. These goals have served as a catalyst for agencies to reduce paperwork burdens, and have been implemented through the process by which OMB, in consultation with the agencies, develops the annual Information Collection Budget.⁸

⁶ OMB Memorandum 99-01 (November 6, 1998).

⁷ The corresponding goals for corrected program changes are +2.1 percent in FY 1999 and +2.3 percent in FY 2000. (See box 1.4.)

⁸ See, generally, the FY 1998 Information Collection Budget of the United States Government, Chapter 2, "Historical Origins of the Information Collection Budget."

Table 2.1
Past Paperwork Burden
Reduction Goals

Year	Statutory PRA Goal	ICB Target
FY 1981		! 4.0%
FY 1982	! 15%	! 12.8%
FY 1983	! 10%	! 8.4%
FY 1984	—	! 6.5%
FY 1985	—	! 3.3%
FY 1986	! 5%	! 3.11%
FY 1987	! 5%	! 1.73%
FY 1988	! 5%	! 3.51%
FY 1989	! 5%	! 0.75%
FY 1990	—	! 0.93%
FY 1991	—	! 0.13%
FY 1992	—	+0.65%
FY 1993	—	+0.27%
FY 1994	—	+0.54%
FY 1995	—	+0.61% [†]
FY 1996	! 10%	! 0.77% [†]
FY 1997	! 10%	! 1.83% [†]
FY 1998	! 5%	+0.96%
FY 1999	! 5%	+2.6%
FY 2000	! 5%	+2.3%

[†] Targets for FY 1996–FY 1998 included expected burden changes due to adjustments. Targets for all other years are expected program changes.

agencies’ annual goals has met the statutorily set Governmentwide goal only once — for FY 1981–1982. (See table 2.1.)

“Maximum Practicable” Annual Agency Goals. Having provided for the establishment by OMB of the annual Governmentwide goal for burden reduction, the 1995 PRA also describes how OMB is to work with the agencies each year to target specific goals. Specifically, the 1995 PRA requires OMB, in consultation with the agencies, to establish agency-specific burden reduction goals that “represent the maximum practicable opportunity in each agency” for burden reduction. To accomplish this, the 1995 PRA states that the OMB Director shall, “in consultation with agency heads, ... set annual agency goals to—

- (A) reduce information collection burdens imposed on the public that —
 - (i) represent the maximum practicable opportunity in each agency; and
 - (ii) are consistent with improving agency management of the process for the review of collections of information established under section 3506(c); and

President Carter initiated this process by issuing Executive Order 12174, “Paperwork,” on November 30, 1979, which required each agency to establish an annual information collection budget. As he explained in his Message to Congress announcing 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.

In the 1980 Paperwork Reduction Act (1980 PRA), Congress codified the Information Collection Budget process initiated by President Carter, requiring OMB to send 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.⁹ In addition to the 1995 PRA burden reduction goals stated above, the 1980 PRA and the 1986 amendments to the 1980 PRA instructed the OMB Director to establish specific annual Governmentwide paperwork burden reduction goals, generally either 5 percent or 10 percent.

With this statutory authority, OMB developed, and continues to use, the annual Information Collection Budget as a tool for eliminating needless reporting requirements, minimizing duplication, streamlining forms, and facilitating comprehensive executive review of agency information collection efforts.

However, since the 1980 PRA took effect, the aggregate of the

⁹ 44 U.S.C. 3514(a)(3) & (4) (1980 PRA). See S. Rpt. 96-930, p. 54. 44 U.S.C. 3514(a) (1995 PRA).

(B) improve information resources management in ways that increase the productivity, efficiency and effectiveness of Federal programs, including service delivery to the public.”¹⁰

The establishment of the agency-specific burden reduction goals begins with each CIO identifying in his or her agency’s annual submission to OMB the “maximum practicable” paperwork burden reduction. In identifying to OMB the “maximum practicable” reduction that an agency can achieve in paperwork burden, the CIO must ensure that these reductions are consistent with the agency being able to carry out its specific statutory and program responsibilities. Accordingly, paperwork burden can be reduced in a “practicable” manner only in ways that do not impair the agency’s ability to carry out these responsibilities.

Based on this information, OMB is able to set reasonable and achievable goals for each agency that are consistent with the attainment of the “maximum practicable” reduction in burden. As part of OMB’s review of these submissions, OMB also works with agencies to identify additional opportunities for burden reduction. OMB then sets each agency’s annual paperwork burden goal and publishes the goals in the annual ICB.

Given the need for each agency to carry out its statutory and program responsibilities, the aggregate of the agencies’ annual goals — the sum of the “maximum practicable” reductions that the agencies can achieve — may not, and as a general matter has not, totaled to the “Governmentwide goal.”¹¹

Balancing Burden Reduction Against Agency Needs and Performance of Government Missions. 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 public¹² it also affirms the importance of information to the successful completion of agency missions and charges OMB with the responsibility of weighing the burdens of information collection on the public against the practical utility it 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.”¹³

The 1995 PRA directs OMB to evaluate an agency’s need for information as balanced against the various statutory criteria included in the 1995 PRA. If an information collection that an agency submits for OMB review 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. OMB does not have the authority under the 1995 PRA to disapprove the collection of information simply because

¹⁰ 44 U.S.C. 3505.

¹¹ The Conference Report for the Paperwork Reduction Act of 1995 noted “that the Governmentwide 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 note 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 Governmentwide goal, which those negotiated with other agencies may be substantially less” (H. Rpt. 104-99, p. 32).

¹² 44 U.S.C. 3501(1).

¹³ 44 U.S.C. 3508.

an approval would cause the agency to exceed the agency's paperwork burden reduction goal stated in the ICB.

Why Have Agencies, Historically, Not Met the Annual Goals?

The Federal Need for Information. A primary reason that agencies have not attained paperwork burden reduction goals is the fact that they need to collect the data to carry out their statutory and program responsibilities. Seeking to reduce Federal paperwork burden thus requires an understanding of why an agency wants to collect information.

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 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 (see below).

To help understand the Federal Government's collection of information and the full range of Federal responsibilities supported by its information collections from the public, it is helpful to categorize these collections based on their intended use:

1. *Tax Collection.* The Treasury Department (specifically, the Internal Revenue Service (IRS), Customs Service, and the Bureau of Alcohol, Tobacco, and Firearms (ATF)) collects over \$1.6 trillion in individual and business income taxes, tariff duties, user fees, excise taxes, registration fees, license fees, and other assessments that fund the Federal programs that protect and support Americans. It is well known that the Federal Government collects information to verify compliance with the Internal Revenue Code and other statutes. The Federal tax system, in particular, involves a large amount of self-reporting and recordkeeping by individual and business taxpayers, which the IRS relies on to verify and collect the correct amount of income tax. In FY 1998, the IRS had almost 650 information collections, 22 of which exceeded 25 million hours each, accounting for over 90 percent of IRS' total burden in FY 1998. Of these 22 most burdensome IRS collections, seven primarily affected individuals and households. These seven collections — which include several versions of *Form 1040, Individual Income Tax Return*, and *Form W-4, Employee's Withholding Allowance Certificate* — accounted for about 30 percent of IRS' total paperwork burden. Another 14 collections primarily affected for-profit businesses. These 14 collections — which include *Form 1065, Partnership Tax Return*, *Form 1120, Corporation Tax Return*, and *Form 1120-S, S Corporation Tax Return* — imposed almost 60 percent of IRS' total paperwork burden. As a whole, the Treasury Department is responsible for over 80 percent of all information collection and recordkeeping conducted or required by the Federal Government.
2. *Other Regulatory and Compliance Reporting.* Tax forms are not the only type of regulatory and compliance reporting. Non-Treasury regulatory and compliance reporting constitutes roughly 70 percent of the remaining information collection activity of the Federal Government. The Federal

Government collects information to verify compliance with Federal requirements by individuals, businesses, educational and nonprofit institutions, and State and local governments. The Federal Government also requires individuals, firms, and other entities to retain information or to disclose information to demonstrate compliance. This information can be collected through reporting requirements, distributed to third-parties through disclosure requirements, or simply maintained by respondents through recordkeeping requirements.

3. *Application for Benefits.* This category of information collection includes the administration of social welfare programs, management of entitlement programs (e.g., the Federal disability and retirement systems), grants and loans, contract procurement, and the request for a license or permit from the Federal government. In the aggregate, these reporting requirements constitute roughly 26 percent of the non-Treasury information collection activity of the Federal government.
4. *Program Management and Evaluation.* The Federal government collects information to help manage, evaluate, and plan Federal programs. This involves activities such as developing new program strategies, making decisions about program operations, and assessing the efficiency or effectiveness of existing programs. These activities constitute about three percent of the non-Treasury information collection activity of the Federal government.
5. *General Purpose Statistics.* While the most well-known and comprehensive Federal collection of statistical information may be the Decennial Census, there are many other such data collections. These constitute about one percent of the non-Treasury information collection activity of the Federal government.
6. *Research.* Collections of information involving research are those designed to test a hypothesis, permit conclusions to be drawn, and thereby develop or contribute to generalizable knowledge. These constitute substantially less than one percent of the information collection activity of the Federal government.

Legislative Responsibilities. New legislative initiatives and amendments to existing laws typically require more, not less, data collection. 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 demographic trends.

In addition, many existing reporting, recordkeeping and third-party disclosure requirements are required by or necessary to implement existing statutes, and a great number of increases in this ICB are required by new or recently implemented statutes. As noted, this ICB identifies over 70 recently enacted statutes, affecting more than 225 reporting, recordkeeping, and third-party disclosure requirements from FY 1998 to FY 2000, under which agencies have added or will add more than 384 million annual burden hours (making increases of more than 402 million hours to individual collections; decreases of about 18 million hours). Similarly, the FY 1998 ICB identified 32 recently enacted statutes, affecting more than 60 information collections and recordkeeping requirements, under which agencies added more than 229 million annual burden hours (making increases of more than 266 million hours to individual collections; decreases of about 37 million hours).

A large number of examples are described in chapter 4. These statutorily directed program increases vary from the large to the small, for a wide range of programs, for example, tax collection, transportation; drug enforcement, and environmental protection. Specific legislation includes:

- C the Taxpayer Relief Act of 1997, increasing reporting burdens by over 64 million hours in FY 1998 and over 92 million hours in FY 1999 (as of December 1998);
- C the Interstate Commerce Commission Termination Act of 1995, increasing reporting burdens by 3.4 million hours;
- C the Prescription Drug Marketing Act, the Animal Drug Availability Act, the Safe Medical Devices Act, and the Nutrition Labeling and Education Act, together increasing reporting burdens by 5.6 million hours in FY 1999; and
- C the Women's Health Care and Cancer Rights Act of 1998, increasing reporting burdens by 0.4 million hours.

Factors Outside the Control of Federal Agencies. There are a number of factors that can increase paperwork burden but are beyond the control of Federal agencies. These include economic growth, demographic trends, and natural disasters.

1. *Economic Growth.* A notable source of increased paperwork burden that agencies cannot control is growth in the national economy. Many of the Government's program responsibilities are affected by transactions in the economy. During periods of economic prosperity, the number of employed people increases, which in turn increases the number of (1) IRS Forms W-2 that employers send to their employees, (2) people filing income tax returns, and (3) disclosures and disclaimers related to pension funds. When people invest additional earnings in an expanding economy, there is a corresponding increase in the number of disclosures, disclaimers, and IRS Forms 1099 that are provided to investors. There may also be an increase in the number of filings with the Securities and Exchange Commission as more companies offer securities on the market. As the number of businesses grows, the number of applications to the Small Business Administration (SBA) for loans increases, the number of respondents to Occupation Safety and Health Administration (OSHA) reporting requirements increases, and the number of reports to the IRS of payments made to employees increases. If people travel abroad more frequently, there is an increase in the number of passport applications submitted to the State Department and an increase in the number of declarations made to the Customs Service when they return to the United States.
2. *Demographic Trends.* Demographic trends that affect the size and age of the population are a second factor that can increase burden. The population has been increasing at a rate of approximately 0.9 percent annually. As the number of people and households in the country rises, the burden imposed by the Decennial Census and income taxes increases, simply because there are more people to count or who are required to file income taxes. Thus, since population is projected to increase by 0.9 percent in 1999 and 0.8 percent in 2000, all else being the same, there should be a corresponding increase in the information collection burden of the personal income tax system. As the net annual immigration rate has increased to 3.2 percent in 1997, there will also likely be increasing immigration and naturalization applications. Similarly, the aging of the Baby Boom generation will impact the Government's information collection activity. Over the next few decades, as the percentage of the population over 65

years of age grows from around 13 percent today to about 18. percent in 2025, the burden of collections from agencies like the Social Security Administration and the Health Care Financing Administration (which administers Medicare and Medicaid) will rise dramatically.

3. *Natural Disasters.* Natural disasters are a third factor outside the control of Federal agencies that can increase information collection burden. In the immediate aftermath of a major flood, for example, the Federal Emergency Management Agency offers assistance to residents and businesses to begin the rebuilding process. This aid often requires some exchange of information. In the longer term, SBA and the Department of Agriculture have assistance programs specifically for businesses and farmers in devastated areas. The information collection burden of these assistance programs will therefore be higher during years in which several major natural disasters occur, even though the programs themselves were not changed by the Government.

Program Responsibilities. Given their statutory and program responsibilities, agencies may find that the actions that would be necessary to meet the annual governmentwide statutory paperwork burden reduction goals are not consistent with the performance of their missions.

1. While agencies can and do make systematic efforts to reduce paperwork burdens, the timing of a coordinated program effort may not be confined to a single calendar year. The most obvious upcoming example is the 2000 Decennial Census. In response to PRA concerns, the Census Bureau has made significant efforts to reduce reporting burden, even though the effort will not be apparent based on the annual tabulation presented in this and previous ICBs.

The 1990 Decennial Census imposed a burden of about 32.3 million hours. The Census Bureau expects the burden of the 2000 Decennial Census to be 30 million hours (a 6.25 percent reduction), despite a ten percent increase in U.S. population.¹⁴ The Census Bureau anticipates achieving this reduction by significantly shortening both the short- and long-form Census questionnaires, and simplifying the Census 2000 forms by incorporating user-friendly design features. In addition, the Census Bureau has established a Census 2000 Marketing/Partnership Program which is an integrated communications and outreach effort designed to motivate public participation in the census.

Similarly, while the Census Bureau is not able to show consistent year-to-year burden reductions in its periodic collections, the current five-year economic Census cycle shows significant burden reduction as compared to the last. The 1992 Economic Census imposed about 8 million burden hours. The 1997 Economic Census imposed about 6 million hours, a 25 percent reduction in burden.¹⁵ The Census Bureau achieved this reduction by reengineering its economic statistics programs, including making extensive use of administrative records information, automating data collections and expanding communications with the business community.

¹⁴ The 2000 Decennial Census is a ten-year effort. The burden hours associated with this effort are estimated as follows: FY 1992, 12,000; FY 1993, 44,000; FY 1994, 54,000; FY 1995, 251,000; FY 1996, 254,000; FY 1997, 273,000; FY 1998, 445,000; FY 1999, 1.8 million; FY 2000, 28 million; FY 2001, 10,000.

¹⁵ The Economic Census is a five-year effort, imposing burdens estimated as follows: FY 1995, 65,000; FY 1996, 65,000; FY 1997, 827,000; FY 1998, 6 million; FY 1999, 416,000.

2. In some cases, agencies may make a programmatic decision to substitute greater reporting or disclosure requirements for existing prescriptive regulatory approaches, which in effect would replace an intrusive regulatory cost with a generally less intrusive paperwork burden.

One example is a final rule issued by the Environmental Protection Agency, Disposal of Polychlorinated Biphenyls (PCBs). Section 6(e) of the Toxic Substances Control Act directs EPA to regulate PCBs. This rulemaking is one of several key reinvention activities in which EPA exercised discretion to reduce or eliminate existing regulatory burden imposed by the PCB program. While this regulation added 1.8 million hours in reporting requirements and \$9,772,000 in reporting cost burden, the final program provides greater flexibility to respondents through self-implementing provisions in determining how to comply with the PCB disposal requirements, generating significant cost savings overall.

Another example is a recent EPA rule setting water pollution discharge limits for the pulp and paper industry. EPA included in this rule a Voluntary Advanced Technology Incentives Program that allows participating mills additional time for compliance in exchange for a commitment to install innovative technology that goes beyond the minimum requirements of the rule. In order to ensure that this commitment is genuine, however, the rule requires participating mills to develop and provide to the agency a detailed Milestone Plan outlining the technologies to be installed and a schedule for implementation. Although these plans represent several thousand hours of additional paperwork burden over the next few years, they allow the agency to implement a program that is expected to achieve significant environmental gain on a purely voluntary basis.

3. In other cases, when an agency undertakes a comprehensive program review to streamline a program, similar efforts the next year may be unnecessary or unwarranted. Even if further reduction is possible, agencies generally need both time and experience with new systems to learn if and where further burden reductions are possible.

For example, industries which serve the Federal government were long concerned about the extent of the procurement paperwork burden. The Federal government responded to these concerns with the Federal Acquisition Streamlining Act of 1995, the Federal Acquisition Reform Act of 1996, and agency-initiated procurement reforms. DoD responded by increasing its purchases of commercial off-the-shelf products and making concerted effort to eliminate many data items on a long list of information traditionally demanded of defense contractors. A significant reduction in contractor data requirements resulted in a program decrease of 33.1 million hours in 1996, 17.2 million hours in 1998, with an additional 3 million hours planned for 1999. While further reductions in this area may be possible over the next few years, the bulk of these procurement reform initiatives are in place. It is unlikely that DoD will find further significant reductions without more experience with the new systems. Otherwise, burden reduction for the sake of burden reduction could compromise the entire procurement system and open it to charges of waste, fraud, and abuse due to a lack of oversight.

NASA has similarly made exemplary progress in reducing burden, largely as a result of procurement reform and the availability of information technology such as the Internet to streamline information flows. NASA's procurement reform efforts reduced burden by approximately 20 percent from its FY 1995 level. However, until NASA has an opportunity to fully evaluate the results of its new procurement procedures, it is unreasonable to expect such significant burden reductions each year.

Again, if burden reduction were to become NASA's primary goal, NASA would forfeit all ability to oversee its contractors and guarantee the quality of its purchases.

Chapter 3. Estimating and Reporting Paperwork Burden

Under the 1995 PRA and previous statutes governing the Federal Government's information collection activities, Federal agencies and OMB have developed procedures to estimate and report the paperwork burden imposed on the public. This chapter addresses these provisions of the PRA and OMB's oversight of agency practices in this area.

The 1995 PRA requires Federal agencies to produce "a specific, objectively supported estimate of the burden" for each information collection that they propose to conduct.¹⁶ The public is informed of these burden estimates by PRA notices that agencies publish in the Federal Register and with collections of information. These burden estimates provide a reference point so that the public may comment on their accuracy. Agency estimates of burden are also reported to OMB so that an agency-by-agency and governmentwide accounting of burden can be presented in the annual Information Collection Budget (ICB). The ICB is thus an important performance measure of each agency's and the government's progress toward meeting the PRA's burden reduction goals.

To help agencies meet the requirement to measure paperwork burden, the 1995 PRA requires OMB to provide "guidelines by which agencies are to estimate the burden to comply with a proposed collection of information."¹⁷ In February 1997, OMB issued a preliminary draft of "The Paperwork Reduction Act of 1995: Implementing Guidance" to agencies for their review and comment. This draft included a discussion of paperwork burden that described methods to estimate the hours and financial costs associated with various aspects of burden. In current practice, the burden of information collections reported in terms of hours are not also included in the costs reported in dollars.

OMB will be providing agencies with final guidance for estimating the dollar costs, or financial burden, imposed by Federal information collections. This focus reflects agencies' efforts to conform their practices to the 1995 PRA's expanded definition of burden. In addition to the time spent by respondents filling out forms, the new definition covers the burden of regulatory recordkeeping requirements and third-party disclosures, which, as discussed in more detail below, are more readily estimated in terms of their dollar cost.

Because burden hours have been the principal unit of measure of paperwork burden since the enactment of the Federal Reports Act in 1942, agencies have less experience with estimating financial burden and thus may require more extensive guidance from OMB. This ICB includes a rough, initial report of the dollar costs based upon the agencies' first estimates.¹⁸ These estimates will become more comprehensive and accurate in future ICBs after OMB issues its more detailed guidance for estimating paperwork burden.

The following discussion provides background on current burden estimation practices and outlines a new approach to measuring and reporting burden that would better approximate actual burden and would be

¹⁶ 44 U.S.C. 3506(c)(1)(A)(iv).

¹⁷ 44 U.S.C. 3504(c)(5).

¹⁸ These dollar costs are based upon current practice and do not include monetized burden hours.

more sensitive to changes in the real-world burden imposed on the public. OMB anticipates that Federal agencies and the public will provide feedback on the approach described below that could inform OMB's reassessment of current practices. Based on comments that OMB receives, as well as its experience in evaluating agency burden estimates, OMB will prepare more detailed guidance on estimating and reporting paperwork burden.

Principles to Guide Burden Estimation

In considering how a new approach could improve paperwork burden measurement, OMB has relied on a number of principles:

- C *Consistency.* Burden estimation techniques should be applied consistently governmentwide to ensure that, to the extent possible, a burden hour reported by one agency represents an amount of burden equal to that of a burden hour reported by any other agency. Since the need for precise burden estimates increases with the size of information collections, competent professional judgement must be exercised in preparing estimates to achieve a balance between the thoroughness of the analysis and the practical limits of an agency in conducting the analysis. Agencies would not be expected to utilize identical techniques to measure, for example, the burdens of a collection with several million respondents and of a collection with several dozen respondents.
- C *Accuracy.* For burden measurement to be accurate, it should incorporate recent developments in methodological, data collection, and estimation techniques and reflect the changes that have occurred in the collection, storage, processing, preparation, and transmission of information. The manner in which taxpayers provide information to IRS, for example, has changed dramatically in recent years, particularly in the use of technology (e.g., computerized recordkeeping systems, computerized tax packages, electronic filing).
- C *Integrity.* Measurement should provide proper incentives to agencies to undertake initiatives that actually reduce *burden*, as opposed to initiatives that simply reduce burden *estimates*. Such measures, for example, would not rely on simplistic proxies for burden, such as the number of lines on a form. In cases where lines are added to a form (thereby making it "longer") to make it easier and less time-consuming to complete, burden estimates should reflect this change as burden reduction. For example, when lines are added to a form to assist respondents in making a complex calculation by taking them through the process step by step, it can reduce the time it would otherwise take to perform the calculation.
- C *Sensitivity.* A burden measure should allow agencies to assess the burden impacts of ongoing improvements in procedures and customer service that are not measured by current methodologies. These include burden reductions associated with electronic reporting methods (e.g., TeleFile, Internet service), and other uses of technology (e.g., computerized accounting systems) that may reduce some aspects of compliance burden. Sensitive burden measures should also be helpful to agencies as they meet their responsibilities under the PRA and the Government Performance and Results Act (GPRA).
- C *Comprehensiveness.* The measurement of burden must capture all burden (time and out-of-pocket expenses) without double-counting and reflect the real costs imposed on the public of complying with reporting requirements. This requires an examination of the time and money the public devotes to activities that are necessary to meet these requirements, such as learning about and understanding

statutory and regulatory requirements, completing applications and forms, following instructions (which should be less burdensome for repeat users), and providing information to the Government and/or third parties.

- C *Practicality/Administrability.* Agency information management personnel must be able to implement in a practical and straightforward way any method that is developed. Methods may, for example, rely on computer software with user-friendly interfaces that non-technical analysts can operate.
- C *Transparency.* Accurate and detailed burden estimates would permit more accurate explanations of current respondent burdens and the changes in those burdens caused by Government action. Better and more credible estimates of burden should improve the public's and the Congress' understanding of the tradeoffs among burden, customer satisfaction, and the utility of collected information, thereby enabling the Federal agencies to better justify their decisions and policies.

Current Approach to Burden Measurement

Under the 1995 PRA, paperwork burden is measured in terms of the time and financial resources devoted annually by the public to meet one-time and recurring information requests. The term "burden" is defined as the "time, effort, or financial resources" expended by the public to engage in a number of activities necessary to disclose or provide information to or for a Federal agency, or otherwise fulfill statutory or regulatory requirements. These activities include:

- C reviewing instructions;
- C using technology to collect, process, and disclose information;
- C adjusting existing practices to comply;
- C searching data sources;
- C completing and reviewing the response; and
- C transmitting or disclosing the information.¹⁹

Currently, agencies estimate and report the burden of these activities in terms of the time, or burden hours, and the financial costs that the public devotes to reporting, recordkeeping, and disclosure requirements. In estimating the time and resources devoted to information collections, agency CIO offices typically consult agency program staff who are responsible for managing the information and thus possess the substantive knowledge that is essential to estimating the number of respondents to an information request relating to that program. The agency then uses its knowledge of the program to consider how much time a respondent would need to respond to the information request. Multiplying the amount of time per respondent by the number of respondents and the number of times the information is submitted each year produces the total annual burden hours imposed by a given collection.

After agencies produce a preliminary burden estimate, several reviews of its accuracy take place. First, agencies solicit public feedback on the accuracy of their estimates in Federal Register notices that provide for an initial 60-day public comment period, as required by the 1995 PRA. Any comments received by the agency are used to refine the estimate that is submitted for OMB review. Second, OMB analysts who review agency information collection requests (ICRs) can provide comments on the agency's estimate.

¹⁹ See 44 U.S.C. 3502(2).

Finally, OMB review is accompanied by a second, 30-day public comment period (initiated with a second Federal Register notice), during which the public can again submit comments on the burden estimates.²⁰

If an agency subsequently seeks renewal of an OMB approval of a collection, it must describe to OMB its efforts to seek respondents' views on the collection and the associated burden estimate. One way agencies do this, after OMB approves a collection with an associated burden hour estimate, is to solicit respondents' views on the accuracy of the collection's burden estimate by displaying the estimate on the collection and requesting comments on its validity.

As mentioned above, agencies have more experience estimating time burden than estimating financial burden. The accounting of time burden in the ICB dates to Executive Order 12714 in November 1979, and has led to the generally accepted estimates reported in past ICBs.²¹ The measurement and reporting of financial costs has been far less comprehensive and is consequently less reliable. This is due, in part, to the fact that, until its recodification in 1995, the PRA's burden reduction measurements applied only to hours, and not to the financial costs that also constitute burden. Previously, agencies only reported the annual estimated burden hours for each proposed collection of information.

To reflect this change in PRA burden measurement, after the enactment of the 1995 PRA, OMB revised its Form 83-I, which is used by agencies to submit information collection requests to OMB. These revisions required agencies to provide estimates of the "annual reporting and recordkeeping cost burden" of the information collection. This year, the ICB reports for the first time agency estimates of cost burden in summary form, but the completeness of these estimates varies significantly from agency to agency. The ICB does not, however, provide comprehensive burden totals that include both the financial costs and time burden associated with each agency. Rather, it simply aggregates the time burden, measured in hours, and the financial burden, measured in dollars, to obtain separate totals. The following describes current agency approaches to, and problems with, the measurement of both time and financial burden.

Estimating Time Burden

Hour burden has proven to be an accessible and appealing measure, and has facilitated public participation and feedback in OMB's evaluation of collections. The use of aggregate burden hours to measure the burden of filling out Federal paperwork and agency progress toward the PRA's burden reduction goals has been accepted by agencies and the public because it is a clear, easy-to-understand concept.

Most agencies, however, do not have uniform methodologies for computing time burden. Nonetheless, there are some common elements. At OMB's request, agencies reported that they rely on a variety of methods to gather data for estimating the burden of collections, including:

- C staff familiarity with the affected respondent universe;
- C comments from the public submitted in response to the first Federal Register notice published pursuant to the PRA;
- C estimates based on agency staff completion of forms;
- C pilot tests of forms and other collection requirements;

²⁰ For collections contained in proposed regulations, these two public comment periods are combined into one.

²¹ For a detailed history, see Chapter 2 of the Fiscal Year 1998 *Information Collection Budget of the United States Government*.

Box 3.1 IRS Burden Estimation Model

IRS estimates taxpayer burden using a series of mathematical models that were developed from regression analysis of survey data on the amount of time that individuals and businesses devote to recordkeeping, learning about tax law, preparing tax forms, and sending tax forms to IRS. A burden equation for each activity takes into account basic characteristics of tax forms and instructions, form and line usage by taxpayers, and characteristics of the taxpayer populations using the forms. There are separate sets of burden equations for individual and business taxpayers. The total time per response for a given form is found by aggregating the burden over all activities. The total burden for all taxpayers filing the form is calculated by multiplying the time per response by the total number of taxpayer responses filed during a given tax year. Some of the predictor variables in the

burden models include the total number of annual responses, the total number of line items on the form, and the total number of references to the Internal Revenue Code or regulations on the form and in the instructions.

Although this model is among the most sophisticated currently in use by Federal agencies, it does not include post-filing costs, it is based on data that are over a decade old, and it is unable to provide a dollar measure of tax compliance costs. As a result, many significant technological changes (e.g., automation and computerization) in the way tax information is collected, maintained, and transmitted are not accounted for in current IRS burden estimates. To address the current model's limitations, the IRS is undertaking a study to improve its burden estimation methodology.

- C generic estimates based on the number of lines or questions on a form;
- C outreach to selected respondents;
- C agency databases containing information about a collection's respondents; and
- C historical knowledge of response time for similar collections.

In general, agencies estimate the number of respondents to a particular collection and the time the average respondent expends annually. The number of respondents to a collection may be determined by various methods. Sometimes an agency will rely on historical data on the number of responses expected, or it may know the number of firms in an affected industry, all of whom may be required to respond. In some cases, models are used to estimate the growth in a particular universe. The Patent and Trademark Office (PTO) uses a methodology based on historical and economic data to estimate the growth in patent and trademark applications.

In some cases, agencies will estimate the burden for a typical respondent and extrapolate to the entire affected universe. In others, agencies divide the respondents into several classes based on their size or the manner in which they are likely to respond to the collection. The agency will then estimate the burden for each class of respondent, multiply the result by the number of respondents in each category, and sum across categories to obtain a total. Dividing the total hour burden by the number of respondents provides an average for the entire affected universe. In certain cases, an agency may be able to estimate the time needed for response based on an independent data source. In the example above, the PTO estimates the time burden of patent applications using the results of billing surveys reported in various patent bar association publications. In other cases, the information collection offers an opportunity to assess the burden of the collection on the respondent. For example, Federal agencies that use automated survey instruments may be able to time the respondent, permitting more precise measurement of the hour burden.

Feedback provided by respondents is also used by agencies to supplement their burden estimates. As noted earlier, the PRA requires agencies to request comments on the accuracy of burden estimates in notices that appear on forms and in the Federal Register.²² When these notices generate responses, they may be helpful in improving agency estimates of burden. In other cases, these comments are either solicited by program officials from a small number of respondents²³ or they are provided at the initiative of members of the public. Notwithstanding such public participation, which can improve the quality of an agency's burden estimates, the information at the agency's disposal is frequently anecdotal and may not be representative of the overall universe of respondents.

Other agencies, notably DoD and EPA, have developed detailed manuals for agency employees to use when preparing the ICRs that must be submitted to OMB for every collection.²⁴ These manuals provide their staff with a framework for gathering the necessary information and writing the supporting statements for ICRs.

Nonetheless, the methodologies used by agencies to estimate paperwork burden generally vary significantly throughout the Government. For example, the Department of Labor (DOL) has used a methodology that was far different from IRS's to estimate the burden of the Form 5500, which both agencies use to collect information from employee benefit plans. As a result, when DOL and IRS used their respective methodologies to measure the burden of this information collection, they arrived at starkly different estimates. DOL's estimate of the burden of Form 5500 was 1.7 million hours, while the IRS estimate was over 48 million hours. Recently, DOL and IRS have engaged in efforts to make consistent their methodologies to estimate the Form 5500's burden.

Estimating Financial Burden

As noted earlier, the financial costs created by Federal paperwork (e.g., the cost of computer software to prepare income tax returns and contractor fees) have not been the focus of attention in the measurement of burden. Although it has historically not been reported in the ICB, some agencies report the overall cost of a collection in the Federal Register notices published prior to the submission of a collection to OMB for review and approval. Some agencies also develop estimates of financial burden as part of their economic analysis of regulations that impose reporting or recordkeeping requirements. These cost figures include the financial resources expended to cover capital, operating, and maintenance costs for equipment, supplies, and non-labor services (e.g., information technology systems, monitoring equipment, and postage), as well as, in the case of collections on firms, the cost of employee labor devoted to responding to the collection.

In recent years, agencies have been required to convert burden hours into dollar costs and report these estimates in their submissions to OMB, although OMB has not tracked this information in a consistent way.²⁵ Typically, measuring this financial burden requires agencies to estimate a wage rate that would be

²² 44 U.S.C. 3506(c)(2)(A)(ii).

²³ Under the rules implementing the PRA (5 CFR 1320.3(c)), collections of fewer than ten respondents may generally avoid PRA clearance requirements. Agencies thus generally limit these informal surveys to samples of less than ten.

²⁴ See, for example, EPA's manual, which may be found on the Internet at <<http://www.epa.gov/icr/>>.

²⁵ Agencies are required, in their submissions to OMB, to "provide estimates of annualized cost to respondents for the hour burdens for collections of information, identifying and using appropriate wage rate categories." This is separate and distinct from the total annual cost burden which excludes the cost of any hour

applicable to the burden hours associated with the collection. Ideally, agencies would apply wages separately to different categories of labor (e.g., clerical, technical, managerial, and legal/executive), leading to the computation of an overall labor cost that more accurately reflects the distinction in wage rates among respondent employees or contractors. In estimating wage rates, some agencies rely on sector-specific or occupation-specific wage rates reported by the Bureau of Labor Statistics. In other cases, more directly applicable wage data may be available.²⁶ In other cases, respondents may provide sample wage rates to the agency.

In estimating the appropriate wage rate, it is critical that the wage be properly “loaded” to include overhead and fringe benefit costs associated with the employee’s time. For example, although a technical employee’s wage may be \$20 per hour, she may also receive benefits from her firm such as health and life insurance, paid vacation, and contributions to a retirement plan. To support her work activities, her employer must also purchase office supplies and services, including office space, furniture, heat and air conditioning, electricity, a telephone and telephone service, a personal computer, printer and photocopier access, and various office supplies. When these costs are distributed among the firm’s employees, the hourly cost of the employee cited above may well exceed \$40. These costs must therefore be accounted for when assessing the overall impact of the Federal information collection on the resources of the respondent. Perhaps because the cost associated with employee labor has not heretofore been included in the ICB, the proper accounting of such overhead and fringe benefits has been an area of inconsistency and weakness in the present system of burden estimation.

The principal reason for this is that most agencies do not provide guidance to their program staff on how to report and measure financial burden. An exception is the Federal Highway Administration (FHWA), which has developed detailed estimates of the cost of various generic activities to inform its burden estimates. FHWA bases its estimate of burden on a tally of the number of such activities performed, multiplied by the “activity unit cost.” Burden hours can then be “backed out” of the overall cost by subtracting equipment, supplies, fringe benefits, supervisory costs, and other enumerated costs from the activity unit cost. The direct employee labor cost is what remains. This cost is then divided by an appropriate wage rate to yield burden hours.

Problems with the Current Approach to Burden Measurement

Despite public input and certain common methodological techniques, agency estimation methodologies can produce imprecise and inconsistent burden estimates. Many agencies simply rely on program analysts to generate burden estimates based on their individual consideration of, for example, the number and types of questions asked, what records will need to be created and maintained, how long it will take people to complete these and other tasks, and how many people will be performing the tasks. While these officials are often experts in their areas of responsibility and are usually familiar with the public’s experience with responding to information collections they oversee, in many cases their estimates are not based on objective, rigorous, or internally consistent methodologies. This is a particular concern in the case of large collections, the burden of which may be measured in millions of hours or tens of millions of dollars.

²⁵(...continued)

burden and is tracked by OMB and reported in table A.4 in appendix A.

²⁶ The PTO, for example, has based its estimate of attorney labor costs on an hourly rate derived from a 1995 report of the Committee on Economics of Legal Practice of the American Intellectual Property Law Association.

Another issue related to inconsistent measurement concerns the use by respondents of contractors. With increased specialization and the development of niche markets to provide services required by regulatory mandates, many aspects of paperwork burden are now routinely borne by consultants and contractors rather than directly by the respondent. In these cases, respondents still bear financial and other types of burden associated with the collection. Because these contracts may be comprehensive and include a variety of services performed by a contractor on retainer or for a flat service fee, it may be difficult to distinguish labor costs (normally reported as hour burden) from non-labor costs, or even that portion of a fee that is paid to meet Federal reporting requirements from that portion which would be incurred as part of standard business practices.

Unless current practices are changed, there is likely to remain so much variation in the measurement of financial costs that the figures to be reported in future ICBs may not be particularly useful in comparing agency inventories or evaluating individual agency or overall governmentwide performance. Although OMB requires burden hours to be converted to dollars, many agencies do not, and, as mentioned earlier, these costs are not tracked by OMB or reported in the ICB. Again, this is attributable to the historic focus on hours as the principal — and until recently, exclusive — means of measuring burden. Because the ICB serves as perhaps the most powerful means of highlighting the consequences of the paperwork burden that agencies impose on the public, ignoring the non-labor aspects of burden may have led agencies to dismiss the significance of financial burdens.

A New Approach to Burden Measurement

Based on what OMB has learned from agencies and from its oversight of the PRA's provisions concerning burden, OMB is considering a new approach to the measurement and reporting of paperwork burden. In addressing concerns with the current approach to burden estimation and reporting, OMB is interested in pursuing an approach that would increase the uniformity, accuracy, and comprehensiveness of agency activities in this area.

Under the approach under consideration, estimates of all Federal paperwork burden would be divided into three categories, with a fourth category representing an aggregate measure of burden. The first two categories, burden hours and financial costs, are used under the current approach, but would be improved using new procedures designed to address the problems discussed earlier. The third category would be burden hours converted, or "monetized," into dollars. The final category would combine financial costs and monetized burden hours to create, for the first time, a dollar measure of total Federal paperwork burden.

This approach would provide more comprehensive burden measures that are flexible enough to characterize burden differently for different purposes. For the first time, OMB could present a single measure of burden that reflected both time burden and out-of-pocket costs, which would increase the usefulness of the ICB as a PRA performance measure. Both the ICB and PRA notices displayed in the Federal Register and on forms, however, could continue to highlight the burden hours imposed by Federal collections. This would maintain the PRA's historical focus on burden hours, which have a certain salience in the minds of the public and provide a link with past ICBs.

At the same time, a unified dollar measure would be available for cost-effectiveness analysis. A unified dollar measure of the cost of collections for which practical utility is easily monetized (for example, the reporting burden of IRS collections that increase taxpayer compliance and hence tax revenue) would help

agencies assess their merit. Analytically, a dollar measure has the potential to better capture opportunity cost (as explained below), as well as the burden of PRA requirements not easily measured in hours (e.g., recordkeeping). A dollar measure therefore provides a more accurate and comprehensive estimate of the actual burden that all of the PRA's requirements impose on society.

Replacement of IRS' Burden Estimation Methodology. OMB's reassessment of burden estimation coincides with current IRS efforts to develop a new measure of taxpayer compliance burden. Given the similar issues and challenges involved with the IRS initiative, OMB expects to be able to work with IRS and share findings of mutual interest. Moreover, since IRS paperwork burden represents such a large portion of the Government-wide total, an improved IRS burden measure will significantly enhance the accounting of burden in the ICB.

IRS intends to develop a new measure of compliance burden that will achieve a number of important goals, including:

- C measuring compliance burden more comprehensively and accurately by, for example, accounting for the revolutionary changes that have occurred for small businesses and individuals in the collection, storage, and processing of information that may lower compliance burdens;
- C providing policymakers with a tool to help guide efforts to reduce compliance burden so that, during the development and analysis of legislative and administrative proposals, they can evaluate the tradeoffs between competing objectives (e.g., taxpayer compliance burden, tax revenue, taxpayer equity, and the IRS budget); and
- C providing policy makers with a tool to explain current levels of taxpayer burdens and the changes in those burdens due to administrative or statutory changes, which would improve public understanding of the tradeoffs among burden, customer satisfaction, tax simplification, and the collection of tax revenue.

Evaluation of a New Approach

Although many of the issues raised by this alternative approach have yet to be resolved (which is one reason OMB intends to seek agency and public input), a number of necessary steps can be identified. OMB will have to:

- C explore agency burden accounting practices in order to resolve salient differences and improve the dollar measure of out-of-pocket expenses;
- C develop a methodology or methodologies to monetize the hour burden measure currently reported to OMB;
- C provide revised OMB guidance to agencies to provide consistency in treatment of contractor hours, allocation of burden, and monetization of labor hours;
- C overhaul OMB's PRA database and revise Form 83-I to permit agency reporting of labor hours, dollar costs of labor hours, non-labor (financial) costs, and total costs; and
- C include an accounting of dollar costs in the ICB.

Once new procedures for estimating and reporting burden are developed, OMB expects that they could be phased in as agencies submit individual information collection requests. Instead of agencies reestimating

the burden of their collections all at once, agencies would convert to the new approach on a collection-by-collection basis as they request OMB approval of new and revised information collections.

Exploring Current Burden Accounting Practices. The first step in evaluating the new approach is to examine agencies' current burden accounting practices. This examination has already begun. To prepare for this year's ICB, OMB requested that agencies submit descriptions of their burden estimation techniques. A preliminary review of these practices found that they vary in quality and consistency (see the discussion above). OMB will continue to assess agency practices to increase their accuracy, resolve important differences, and improve the dollar measure of out-of-pocket expenses.

Monetizing Hour Burden. The next step is to develop a methodology (or methodologies) to convert the burden hours currently reported by agencies to OMB into dollars. Monetizing burden hours, as noted above, presents a daunting methodological challenge. The key issue is how to estimate the value of the time devoted by the public to complying with the Government's information collection requirements.

Monetizing time burden presents different issues when considering information collections from firms versus collections from households. When information is collected from firms, it may be relatively easy to estimate the employee cost associated with responding to the collection. Indeed, some agencies already do this, using, for example, data on wage rates provided by the Bureau of Labor Statistics. The challenge in firm-based collections is primarily one of implementation. In order to assure a meaningful basis for comparison of costs across agencies, it will be necessary to provide uniform guidance to agencies on how to obtain appropriate wage rates.

For household-based collections, such as income tax forms, the issue is inherently more complex. People are generally not paid a discernible wage for non-work activities that they perform at home. Instead, for burden measurement purposes, the value that people place on their time is usually expressed in economic terms as "opportunity cost," or the value of an activity (for example, spending time with family or developing a new professional skill) that a person would expect to engage in were he or she not occupied in complying with a Government reporting requirement. Economic theory suggests that the opportunity cost of giving up an hour of leisure (for example, to fill out an IRS Form 1040) will be equal to the wage foregone from the next hour the individual would have worked. In most cases, this will be the same as the respondent's average wage. In other cases — for example, if the respondent is eligible for overtime pay for her forty-first hour of work in a week — it may be more than the average wage.

Alternatively, to measure the value of leisure time, agencies could observe the actual fees paid by individuals and businesses to others (e.g., paid tax preparers, contractors) to prepare and submit information to the Government. This measurement approach is sometimes referred to as "revealed preference."

Developing estimates of opportunity costs raises a number of questions. First, should a single valuation of time (as represented, for example, by a respondent's wage rate or the fee paid to a contractor) be used for all collections, or it should it be derived separately for different types of collections? If the latter, should a single valuation be used for all respondents, or should valuations differ according to respondent characteristics (e.g., age, income, wealth, education, region, industry)? If a wage rate is used, should it be a pre- or post-tax wage rate? OMB expects that a successful methodology may need to be tailored to individual collections and agencies, and it may need different values of time for collections responded to by individuals in different circumstances.

While the monetization technique is developed, OMB must decide on a procedure for putting it into practice. For example, OMB must decide how agencies would convert burden hours into dollars before submitting their information collection requests for approval. The revision of current reporting procedures also provides an opportunity for other modifications to current practice. OMB could, for example, decide to establish a means for reporting annual burden estimates rather than the three-year average burden estimates that are commonly reported today.

Revising OMB's PRA Guidance. Once questions concerning the increased standardization of agency methodologies and the monetization of burden hours have been answered, OMB will be able to develop more detailed guidance for the agencies. The final revised guidance will address agencies' responsibilities with respect to monetization and provide an opportunity for OMB to recommend, where appropriate, standard practices to be used by all agencies in burden accounting. For example, OMB could provide guidance to agencies as to whether burden on contractors hired by the public to respond to Federal information collections should be counted in the hour burden or in the financial burden.

Revise OMB Form 83-I. As part of the introduction of fully monetized burden, however, OMB would need to redesign Form 83-I (the form Federal agencies use to submit their information collection requests to OMB) to accommodate the new burden categories described earlier in this chapter.

Account for Dollar Costs in the ICB. Once the previous steps have been taken, Federal agencies and OMB would have the capability to provide a complete accounting of paperwork burden in the ICB, using both hours and dollars as units of measure. The reporting of burden hours and costs in summary tables, such as tables 1.1, 1.2, and 1.3, respectively, would continue in future ICBs. Similar summary tables of the Federal Government's total paperwork burden, as measured in dollars, would also become a permanent feature of the ICB.

Chapter 4. Agency Information Collection Budgets

Department of Agriculture

	Burden Hours (in millions)	Percentage Change from Previous FY
Actual FY 1998	71.95	! 14.6%
Target FY 1999	83.55	16.1%
Target FY 2000	77.81	! 6.9%

Need for Collection of Information

The mission of the U.S. Department of Agriculture (USDA) is to enhance the quality of life for the American people by supporting production agriculture; ensuring a safe, affordable, nutritious, and accessible food supply; caring for agricultural, forest, and range lands; supporting sound development of rural communities; providing economic opportunities for farm and rural residents; expanding global markets for agricultural and forest products and services; and working to reduce hunger in America and throughout the world. USDA is organized into seven mission areas as follows:

- C Farm and Foreign Agricultural Services
- C Food, Nutrition, and Consumer Services
- C Food Safety
- C Marketing and Regulatory Programs
- C Natural Resources and Environment
- C Research, Education, and Economics
- C Rural Development

Each mission area is a distinctive organization with one or more operating agencies, each focusing on its component role within USDA. The agencies in these mission areas collect information, or require its retention or disclosure, to determine eligibility for programs and services, monitor compliance with statutory and regulatory requirements, monitor market conditions, develop statistics for the agricultural sector, foster research and improvements in agricultural and rural topics, and evaluate customer satisfaction and program performance.

The information collected by the mission areas allows the Department to provide food assistance to low-income households, ensure the safety of meat, poultry, and egg products, provide support for agricultural producers through loan, crop insurance, conservation, and marketing programs, protect domestic animal and plant resources from pests and diseases, protect and manage domestic forests, provide technical and financial assistance for rural community development, and conduct and financially support research programs that support USDA policy and programs.

Internal Management of Information Collection

The Secretary of Agriculture has designated the Chief Information Officer as the senior official responsible for the performance of functions associated with the Paperwork Reduction Act of 1995 (PRA). Within the Office of the Chief Information Officer (OCIO), day-to-day responsibility for ensuring compliance with and prompt, efficient, and effective implementation of the information policies and information resources management responsibilities established under the PRA is delegated to the Information Management Division (IMD).

The information collection function is staffed by one senior analyst at the GS-13 level and supported part-time by a junior analyst at the GS-11 level. During FY 1999, OCIO will augment the existing staff to include a GS-14 position. Additional staff are needed in order to address high volume periods where a backlog of collections awaiting Departmental review has become a problem for the OCIO's office. As a temporary fix, the OCIO has used short-term details of agency staff. While this approach has diminished some of the backlog of collections (as well as providing additional education and a broader perspective to the participating individuals), USDA needs to work towards a long-term solution to the backlog problem so that important information collections can be implemented on a timely basis.

Prior to 1998, USDA's compliance with the PRA was inconsistent, and burden reduction efforts were generally limited in scope, because of the lack of an active central information collection authority. In FY1998, the OCIO appointed new staff to manage the department's information collection requests. OMB is encouraged by the significant progress made by the OCIO during FY 1998 in improving the quality of information collection approval request submissions and reducing the number of new violations due to expiring collections. OCIO also worked with agencies to reduce the number of emergency submissions by reviewing the justification for such requests and rejecting those which do not meet the criteria stipulated in the PRA. In FY 1999, efforts to improve awareness and compliance will continue with organized training sessions and presentations on selected topics.

Burden Reduction Efforts and Goals

Since enactment of the Paperwork Reduction Act of 1995, USDA has reduced burden by over 40 percent. Efforts are continually made to reduce burden while safeguarding taxpayers funds and remaining compliant with legislative and regulatory mandates. These efforts include: *streamlining program regulations and associated reporting/recordkeeping requirements, incorporating information system technologies and other electronic collection mechanisms, and supporting specific projects focused on promoting data sharing and reducing the collection of duplicative information.*

Despite the many efforts to reduce burden outlined below, USDA will not be able to meet the 5 percent burden reduction goal from FY 1998 to FY 1999. This is due primarily to the Department's correction of violations associated with expired collections. The reinstatement of these collections should increase burden by approximately 11.5 million hours. It should be noted that these increases do not result in a real burden increase on the public. Real burden increases do, however, result from USDA's role in providing statutorily mandated disaster relief in a variety of forms to agricultural producers, ranchers, and rural communities. The services that USDA provides at these times are always welcome, but do come with a certain amount of information collection activity.

However, as described below, the burden reduction efforts planned for FY 1999 and 2000 would allow USDA to get back on track towards meeting the 5 percent burden reduction goal by the end of Fiscal Year 2000.

Streamlining Program Regulations and Associated Reporting/Recordkeeping Requirements

In an effort to reduce reporting and recordkeeping requirements associated with mission critical programs, many USDA agencies have initiated, or plan to initiate, comprehensive regulatory and programmatic reengineering activities. Examples of the progress made in this area include:

- C *Consolidation and Streamlining of Food Assistance Programs.* During FY 2000, the Food and Nutrition Service plans to review and consolidate regulations associated with the National School Lunch Program, the School Breakfast Program, and the Summer Food Service Program into a consolidated program regulation. The consolidation will eliminate duplicate reporting and recordkeeping that results from the programs being administered separately. It is estimated that this consolidation will result in over 2.4 million hours of burden reduction. FNS will also streamline the regulations surrounding the Child and Adult Care Food Program during FY 2000. It is anticipated that another 584,476 hours of burden will be eliminated during the revision to the regulation.
- C *Reengineering of Housing Programs.* The Rural Housing Service will continue its efforts to revise and consolidate its regulations. RHS plans to reduce burden by 541,010 hours with the reengineering of the Direct and Guaranteed Multiple Family Housing Program regulations in FY 1999. In FY 2000 and FY 2001, the agency plans to move ahead with reengineering efforts on other RHS program areas, such as Guaranteed Single Family Housing, Single Family Housing-Mutual Self-Help Housing, and Planning and Performing Construction.
- C *Integration and Revision of Farm Loan Programs.* Farm Service Agency's loan making and servicing processes, as well as documents associated with both the direct and guaranteed loan programs will be reviewed to eliminate redundant and unnecessary processes. Forms associated with loan making and servicing procedures will be reviewed for possible elimination, streamlining and consolidation. Guidelines of the "Plain Language" initiative will be implemented in the revised regulations, directive and forms. Streamlining of the loan application process for guaranteed loans will reduce burden by 110,600 hours in FY 1999. Further reductions will occur when the streamlining of direct loans is completed in FY 2001.
- C *Improving Program Delivery to Farm Customers.* USDA established the Service Center Initiative (SCI) in February 1995 to streamline and improve the program delivery efforts of the county-based agencies, the Farm Service Agency, the Natural Resources Conservation Service, and the Rural Development mission area. An objective of the Service Center Initiative is to standardize the collection, maintenance, access, and delivery media of customer information; provide a common user interface for all employees; share applicable customer information; and reduce redundancy in information collection and reduce customer burden. These efforts should result in maximized use of previously collected information and significant reductions in information collection burden as duplicative collections are identified and eliminated.
- C *The Paperwork Reduction Implementation Team.* USDA established the Paperwork Reduction Implementation Team (PRIT) in response to Secretary Glickman's July 22, 1997, memorandum that

focused on reducing paperwork for farmers. By early FY 2000, PRIT plans to develop a baseline inventory of collection activity for the partner agencies, identify duplicate collections, recommend short, medium, and long-term improvements for better information collection management, and develop methodologies for information collection management to standardize burden. Recognizing that the Service Center Initiative (SCI) provides a unique opportunity to achieve new levels of information collection efficiency across partner agency boundaries, the team is currently working to integrate its information collection initiatives with the SCI.

Incorporating Information System Technologies and Other Electronic Collection Mechanisms

USDA is making better use of information technology, including the Internet, to facilitate the process through which information is collected. Specific examples of how this is being accomplished are provided below.

- C *Electronic Filing of Annual Reports.* The Grain Inspection, Packers and Stockyards Administration (GIPSA) plans to implement electronic filing of annual reports by dealers, market agencies, packers, and poultry dealers. GIPSA anticipates that by doing this, burden on their customers will be reduced by 20 percent. Contingent on funding, the Department anticipates that this initiative will begin to yield real burden reductions in FY 2000.
- C *Improving Agricultural Producers' Access to Information.* As a part of the Service Center Initiative, FSA, NRCS, and the Rural Development agencies are exploring the use of common geospatial maps and data and prototyping/testing common software tools and procedures for managing information. The initiative also includes providing a technology infrastructure that will allow customers full access to general information and their specific information, and permit them to add or change data remotely. These capabilities should be operational in FY 2003 pending acquisition and implementation of the proper equipment and tools in service center field offices.

Supporting Projects to Promote Data Sharing and Reduce the Collection of Duplicative Information

Partnerships between USDA agencies as well as USDA and non-USDA agencies, State agencies, and private industry are being established regularly in an effort to centralize information collection and promote data sharing. Additionally, several initiatives are underway to examine and eliminate potential duplicative information collections.

- C *Federal Demonstration Partnership (FDP).* USDA is working with other Federal agencies and 65 universities or research institutes to improve the management of federally funded research. FDP's goal is to enhance research productivity without compromising the stewardship of public funds by eliminating unnecessary administrative procedures and by streamlining those necessary to ensure accountability. Included is an initiative to develop a common data base to which all of the cooperating agencies could access and download information. This information would include such things as principal investigators/project directors names and addresses that are commonly required on grant forms.
- C *"Service First" Initiative.* The Forest Service is collaborating with the Bureau of Land Management on the "Service First" Initiative. Together, the agencies are coordinating all forms, permits, applications and comment cards associated with the initiative for joint use.

- C *Participation in OMB's Housing Consortium.* The Rural Housing Service (RHS) is participating in the OMB Housing Consortium which, among other things, is exploring improved management information systems to manage federally financed or sponsored guaranteed housing programs. RHS has taken a lead role in piloting this effort. Through joint initiatives of this type, the Federal Government can collectively reduce information collections imposed on the public and eliminate duplication of reporting.
- C *Partnerships with FCC and DOE.* The Rural Utilities Service (RUS) works in partnership with the Federal Communications Commission (FCC) and the Department of Energy (DOE) to avoid duplicating information collections. RUS has an established information sharing agreement which has been in place since the mid-1980s. Meetings also occur regularly with the Energy Information Agency.
- C *Consolidation and Sharing of Basic Land and Crop Information.* FSA initiated a dialog in 1998 with a variety of State government entities in Arizona and California about opportunities to consolidate and share basic land and crop information. The entities include the State Departments of Agriculture, environmental protection agencies, and water management commissions. FSA plans to initiate limited pilot projects in Arizona and California in FY 1999 to identify potential costs, benefits, and barriers to sharing information. If the pilots show potential, it may expand to multiple sites in Arizona and California in FY 2000.
- C *The Collection and Establishment of Geospatial Databases.* The Service Center Initiative is working with the Forest Service, the Department of Interior, the U.S. Geological Survey, and State and local government agencies on common geospatial data standards and in the collection and establishment of geospatial databases. Shared geospatial databases could reduce the amount of basic land and crop information requested from agricultural producers.

Significant Changes in Information Collection Burden During FY 1998

Decreases

- C *Processing Procedures and Quality Control Systems* (OMB No. 0583-0089). The Food Safety and Inspection Service (FSIS) reduced burden by 55,800 hours as a result of programmatic changes related to implementation of the Hazard Analysis and Critical Control Point (HACCP) system. HACCP covers and prescribes new, less burdensome, requirements which make previous reporting and recordkeeping requirements obsolete.
- C *Regulations Governing the National Weighing System Under the U.S. Grain Standards Act and the Agricultural Marketing Act* (OMB No. 0580-0013). In FY 1998, the Grain Inspection, Packers and Stockyards Administration (GIPSA) eliminated 449,000 of burden hours in this collection by allowing one request for services for multiple shipments, changing to a permissive program for domestic grain inspection certificates, allowing a qualifying certification statement, and removing unnecessary testing requirements.
- C *Guaranteed Loans - General* (OMB No. 0575-0024). As a part of large scale regulatory reengineering activities, the Rural Business and Cooperative Development Service (RBCDS) realized a 70,000 hour reduction by removing reporting and recordkeeping requirements associated with the Business and Industry Loan Program.

- C *Multiple Peril Crop Insurance* (OMB No. 0563-0053). OMB approved a new information collection for the Risk Management Agency that resulted from a thorough analysis and review of all regulations, forms, and other reporting and recordkeeping requirements. The new information collection consolidated 18 previously approved packages and resulted in a net burden reduction of 1.38 million hours.

Increases

- C *1997 Census of Agriculture* (OMB No. 0535-0226). The Census of Agriculture Act of 1997 (P.L. 105-113) authorized the transfer of the Census of Agriculture from the Department of Commerce to the National Agricultural Statistics Service (NASS). The Census of Agriculture, conducted every five years, is the most thorough source of data about the structure and activities of U.S. agricultural production. The transfer of this collection resulted in a 1.32 million burden hour increase for the Department of Agriculture.
- C *Export Sales of U.S. Agricultural Commodities* (OMB No. 0551-0007). Based on recommendations from the Secretary of Agriculture's Advisory Committee on Agricultural Concentration, the Foreign Agriculture Service (FAS) initiated regulatory changes to require exporters of beef and pork to report their sales on a weekly basis identifying the quantity, country of destination, and the 6-month time period for the shipment. The additional of these reporting requirements added 7,600 hours to FAS' burden hour inventory.
- C *Milk and Milk Products* (OMB No. 0535-0020). The National Agricultural Statistical Service (NASS) revised this collection to include an additional 685 hours covering surveys to collect weekly prices for butter, dry whey, and nonfat dry milk. These data are now needed because the 1996 Farm Bill mandates reform of the Federal Milk Marketing Order Program. The Secretary of Agriculture requested that NASS conduct a weekly survey to produce unbiased and statistically defensible butter, dry whey, and nonfat dry milk prices to incorporate into the new price formula following a comparison study with the current BFP. The legislated deadline for implementation of Federal Milk Order reform is April 4, 1999. Data collection for the comparison study began in August 1998.
- C *Environmental Policies and Procedures* (OMB No. 0572-0117). The Rural Utilities Service (RUS) implemented a new information collection as a result of revising its regulation concerning Environmental Policies and Procedures (7 CFR 1794). This rule promulgates environmental regulations that will cover all RUS Federal actions taken by the electric, telecommunications, and water and waste programs. The regulation is necessary to ensure continued RUS compliance with Council on Environmental Quality (CEQ) Regulations for Implementing the Procedural Provisions of the National Environmental Policy Act (NEPA) (40 CFR Parts 1500-1508). The estimated burden for this new collection is 415,000 hours.

Significant Changes in Information Collection Burden Planned for FY 1999

Decreases

- C *Application Kit* (OMB No. 0524-0022); *National Research Initiative Competitive Grants Program* (OMB No. 0524-0033). The Cooperative State Research, Education, and Extension Service (CSREES) was formed from two agencies both of which had separate application kits for their research and grant programs. The elimination of two duplicative collections and the creation of a new

collection, *Application Kit for Research and Extension Projects* (OMB No. 0524-New) will yield a net decrease in burden of 98,900 hours.

- C *FAS/Cooperator Foreign Market Development Program* (OMB No. 0551-0026). FAS anticipates realizing additional benefits which will result in 18,800 fewer burden hours on Cooperating Sponsors and other respondents as a result of a streamlined application process and increased use of technology for the public to access and submit required information.
- C *Report of School Operations* (OMB No. 0584-0002). The Food and Nutrition Service (FNS) recently revised the authorizations surrounding the submission of the School Operations Report. FNS now allows electronic reporting as an alternative to submitting a manual report. With this change, FNS estimates that the burden per response will decrease from 37 hours to 32 hours — a total change in burden of 14,900 hours.
- C *Food Stamp Redemption Certificate* (OMB No. 0584-0085). With the ongoing migration of the Food Stamp Program to Electronic Benefits Transfer (EBT), FNS will continue to reduce burden on the public. FNS projects a further reduction of 108,500 hours as a result of fewer vendors using redemption certificates.
- C *Processing Procedures and Quality Control Systems* (OMB No. 0583-0089). As a part of ongoing implementation of the Hazard Analysis and Critical Control Point (HACCP) System, the Food Safety Inspection Service has determined that design requirements affecting most partial quality control (PQC) programs that establishments have and most requirements for establishments to have PQC programs for certain products or processes are no longer required. Due to this change, FSIS anticipates a burden reduction of 565,800 hours to this information collection.
- C *Business and Industry Loans* (OMB No. 0570-0014). The Rural Business-Cooperative Service (RBS) published new regulations for the Business and Industry Guaranteed Loan Program in December of 1996 which substantially reduced reporting and recordkeeping requirements. At that time, new information collections were created to support the new regulations. However, burden associated with the old regulations was not removed from the agency's burden inventory. RBS has revised the appropriate remaining information collection package which will reduce the agency's burden by 74,000 hours.
- C *Management and Supervision of Multiple Family Housing Borrowers and Grant Recipients* (OMB No. 0575-0033); *Farm Labor Housing Loan and Grant Policies, Procedures, and Authorizations* (OMB No. 0575-0045); *Tenant Grievance and Appeals Procedure* (OMB No. 0575-0046); *Rural Rental and Cooperative Housing Loan Policies, Procedures, and Authorizations* (OMB No. 0575-0047); *Security Servicing for Multiple Family Housing Loans* (OMB No. 0575-0100); *Servicing Cases Where Unauthorized Loan or Other Financial Assistance was Received, MFH* (OMB No. 0575-0118); *Debt Settlement, Farm Programs and Multifamily Housing* (OMB No. 0575-0118); *Prepayment, Multiple Family Housing Loans* (OMB No. 0575-0155). The Rural Housing Service (RHS) first reengineered the regulations and associated with its Single Family Housing (SFH) program. This initiative resulted in a reduction of over a million burden hours. In FY 1999, RHS anticipates completion of a similar reengineering project for the Multi-Family Housing (MFH) program. By consolidating collections and streamlining reporting requirements, USDA expects

a burden of reduction of 24 percent (541,000 hours) bringing the information collection burden associated with this program down from 2,290,000 to approximately 1,750,000.

- C *Implementation of Preferred Lender Program and Streamlining of Guaranteed Regulations* (OMB No. 0560-0155). The Farm Service Agency (FSA) will revise the reporting requirements for lenders in the Guaranteed Loan Program and streamline the loan application process. Reporting requirements will depend on the status of the lender. The agency will provide lenders with an opportunity to become Preferred Lenders. Preferred lenders will have fewer reporting requirements and report less frequently than other lenders. These actions should reduce burden by 110,600 hours.

Increases

- C *Reporting Requirements Under the Regulations Governing Inspection and Certification of Processed Fruits and Vegetables and Related Products* (OMB No. 0581-0123). The Agricultural Marketing Service (AMS) anticipates revising this collection to incorporate requirements associated with a new inspection service called Qualified Through Verification (QTV). Qualified Through Verification (QTV) is a Hazard Analysis Critical Control Points (HACCP) based third-party audit-based inspection service for producers of minimally processed fruits and vegetables. This voluntary program is designed to verify the effectiveness of a firm's food safety system. QTV empowers firms to apply science-based HACCP principles to identify hazards in their food manufacturing processes and take steps to reduce or eliminate risks associated with these hazards. The revision will result in an upward change in burden hours of 32,200.
- C *April Food Security Supplement to the Current Population Survey, 1999; Charitable Organizations that Provide Emergency Food Assistance, Food Banks, Food Pantries, and Emergency Kitchens; Re-engineering the Welfare System; State Use of Funds to Increase Work Slots for Food Stamp Recipients* (OMB No. 0536-NEW). ERS projects an increase in burden hours totaling 13,000 as the agency continues to conduct studies and evaluations for the Food Stamp, Child Nutrition, and WIC programs. This is a result of Congressional action in FY 1998 which transferred responsibility for studies and evaluations of this nature from the Food and Nutrition Service to ERS.
- C *Packers and Stockyards Programs, Regulations, and Related Reporting and Recordkeeping Requirements* (OMB No. 0580-0015). GIPSA plans to revise this collection to reflect changes to the regulations which will provide livestock producers and poultry growers with a measure of assurance that feed is accurately weighed and feed weight is properly documented. An additional burden of 3,000 hours will be imposed on the public to extend current reporting and recordkeeping requirements to firms who own or control scales used for weighing livestock or poultry feed whenever the weight of feed is a factor in determining payment or settlement to a livestock poultry grower.
- C *Census of Agriculture; Farm and Ranch Irrigation Survey; Census of Horticultural Specialties; Census of Aquaculture* (OMB No. 0535-NEW). NASS will increase burden hours by 66,400 with the addition of four new surveys/census' which augment the 5-year Census of Agriculture.
- C *Multiple Peril Crop Insurance* (OMB No. 0563-0053). The Risk Management Agency (RMA) is directed by the Federal Crop Insurance Act, as amended by Federal Agriculture and Reform Act, (P.L. 104-127) to expand USDA's crop insurance program over a period of years ensuring that the programs are actuarially sound. During FY 1999, RMA anticipates adding revenue insurance plans

such as Crop Revenue Coverage, Income Protection, Group Income Risk Protection and Revenue Assurance. Additionally, pilot crop insurance programs will be launched to cover canola, millet, avocados, Florida fruit trees, and pecans. These additional products and services will increase burden for RMA by an estimated 96,700 hours.

- C *Peanut Quota Regulations for the 1996–2002 Crops* (OMB No. 0560-0006); *Noninsured Crop Disaster Assistance Program* (OMB No. 0560-0175); and *Civil Rights Compliance Requirements* (OMB No. 0575-0018) and assorted others. Overall, USDA plans to increase its burden in FY 1999 by approximately 11.5 million hours by reinstating many collections which have expired. The listed collections constitute the most substantial portion of the burden hours to be reinstated. The Noninsured Crop Disaster Assistance Program would increase USDA's burden by approximately 8.11 million hours if it is reinstated at its previously approved level.
- C *Child and Adult Care Food Program* (OMB No. 0584-0055). In FY 1999, establishment of a two-tier family day care reimbursement structure with the implementation of PRWORA increased the reporting and recordkeeping burden for this collection by 3,026,000 hours.

Significant Changes in Information Collection Burden Planned for FY 2000

Decreases

- C *National School Lunch Program* (OMB No. 0584-0006); *School Breakfast Program* (OMB No. 0584-0012); *Summer Food Service Program* (OMB No. 0584-0280). FNS plans to issue regulations which will streamline and consolidate three separate programs into one significantly reducing the duplication in reporting and recordkeeping that results from the programs being administered separately. It is estimated that this consolidation will result in 2.43 million hours of burden reduction.
- C *Food Stamp Application Process* (OMB No. 0584-0064). By FY 2000, FNS anticipates publishing a proposed and final regulation to implement provisions in the Personal Responsibility and Work Opportunity Reconciliation Act of 1996 (P.L. 104-193) that will reduce the reporting and recordkeeping requirements related to household application, certification, and continued eligibility for Food Stamps. The planned program changes will reduce the burden hours for this program by almost 19 percent from 20,028,000 hours to 16,276,000 (a difference of 3,752,000 burden hours).
- C *State Administrative Expense Funds* (OMB No. 0584-0067). Provisions of the William F. Goodling Child Nutrition Authorization Act of 1998 (P.L. 105-336) deleted the 10 percent transfer requirement associated with this program. Additionally, the Personal Responsibility and Work Opportunity Reconciliation Act of 1996 (P.L. 104-193) changed the requirement for annual State Administrative Expense Plan to an initial plan that can be revised as required. The net affect of these planned changes is a reduction in burden hours of 3,600.
- C *Food Stamp Redemption Certificate* (OMB No. 0584-0085). As migration of the Food Stamp Program to Electronic Benefits Transfer (EBT) nears the end, FNS will continue to reduce burden on the public. FNS projects a further reduction of 108,500 hours as a result of fewer vendors using redemption certificates.

- C *Official Marking Devices, Labeling and Packing Material* (OMB No. 0583-0092). FSIS proposed to eliminate unnecessary duplication in the labeling approval process which should result in 100,000 fewer hours of burden on food processors.

Increases

- C *National Organic Program Recordkeeping Requirements* (OMB No. 0581-NEW). AMS anticipates that during FY 2000, the National Organic Program will become operational. The establishment of the National Organic Program is a direct result of the Organic Foods Production Act (OFPA) of 1990, Title XXI of the Food, Agriculture, Conservation and Trade Act of 1990 (Farm Bill), U.S.C. Title 7 Section 6503(a), which mandates that the Secretary of Agriculture develop a national organic program for producers and handlers of agricultural products that have been produced using organic methods as provided for in the OFPA. As mandated by the OFPA in Section 6501, the subsequent regulations have been proposed for the following purposes: (1) to establish national standards governing the marketing of certain agricultural products as organically produced products; (2) to assure consumers that organically produced products meet a consistent standard; and (3) to facilitate interstate commerce in fresh and processed food that is organically produced. Implementation of this program will increase AMS' burden inventory by 377,200 hours.
- C *Application Kit for Research and Extension Projects* (OMB No. 0524-NEW). CSREES anticipates funding for the Fund for Rural America Program will be appropriated during FY 2000. Additionally, funds for a new research initiative are anticipated. The increased number of applications due to these changes will translate to an additional 22,700 hours of burden for the agency.
- C *Fruit and Vegetable Agricultural Practices Survey; Agricultural Economics and Land Ownership Survey* (OMB No. 0535-NEW). NASS will launch two new surveys during FY 2000. The *Fruit and Vegetable Agricultural Practices Survey* will be initiated as a pilot in FY 1999 and will become fully operational in FY 2000. The *Agricultural Economics and Land Ownership Survey* is a follow up to the 1997 Census of Agriculture and is conducted once every ten years. The combined affect of these two new information collections is an additional 54,000 hours of burden.
- C *Women, Infant, and Children (WIC) Program Regulations* (OMB No. 0584-0043). FNS plans to issue final regulations related to food delivery that will impose an estimated reporting burden of 60,000 additional hours on State agencies. The regulatory changes and associated increase in burden are driven by the William F. Goodling Child Nutrition Authorization Act of 1998 (P.L. 105-336).
- C *Multiple Peril Crop Insurance* (OMB No. 0563-0053). The Risk Management Agency (RMA) is directed by the Federal Crop Insurance Act, as amended by Federal Agriculture Improvement and Reform Act, (P.L. 104-127), to expand USDA's crop insurance program over a period of years ensuring that the programs are actuarially sound. During FY 1999, RMA anticipates adding revenue insurance plans such as Crop Revenue Coverage, Income Protection, Group Income Risk Protection and Revenue Assurance. Additionally, pilot crop insurance programs will be launched to cover canola, millet, avocados, Florida fruit trees, and pecans. These additional products and services will increase burden for RMA by an estimated 128,000 hours.

Recent Statutes that Affect Information Collection Activities

- C The Organic Foods Production Act (OFPA) of 1990, Title XXI of the Food, Agriculture, Conservation and Trade Act of 1990 (Farm Bill), U.S.C. Title 7 Section 6503(a) (P.L. 101-624). This major statute mandates that the Secretary of Agriculture develop a national organic program for producers and handlers of agricultural products that have been produced using organic methods as provided for in the OFPA. The OFPA, Section 6514, requires the Secretary to establish and implement through regulations a program to accredit a governing State official or any private person (who meets the requirements of the Act), as an agent for the purpose of certifying a farm or handling operation. As mandated by the OFPA in Section 6501, the subsequent regulations have been proposed for the following purposes: (1) to establish national standards governing the marketing of certain agricultural products as organically produced products; (2) to assure consumers that organically produced products meet a consistent standard; and (3) to facilitate interstate commerce in fresh and processed food that is organically produced. Implementation of the requirements associated with this statute will increase AMS' burden inventory by 377,200 hours in FY 2000 as the National Organic Program becomes operational.
- C Agriculture Appropriation Bills of 1998 and 1999 (P.L. 105-86). Appropriation language and funding transferred responsibility for studies and evaluations of the Food Stamp, Child Nutrition, and Women, Infant and Children (WIC) programs from the Food and Nutrition Service to the Economic Research Service (ERS) in FY 1998. This shift in responsibility increased ERS' burden by 11,000 in FY 1998 and will likely result in 13,000 more hours in FY 1999.
- C Personal Responsibility and Work Opportunity Reconciliation Act (PRWORA) of 1996 (P.L. 104-193) and the William F. Goodling Child Nutrition Authorization Act of 1998 (P.L. 105-336). These major statutes had far-reaching impacts for welfare reform and the many programs administered by the Food and Nutrition Service. Specific information collection impacts resulting from this legislation are listed below.
- N In FY 1999, establishment of a two-tier family day care reimbursement structure with the implementation of PRWORA increased the reporting and recordkeeping burden in the Child and Adult Care Food Program (OMB No. 0584-0055) by 3,026,000 hours.
- N The Food Stamp Application Process (OMB No. 0584-0064) will experience a reduction in burden of 3,752,000 in FY 2000 due to implementation of PRWORA provisions which exempt illegal aliens from participation in the Food Stamp Program.
- N The combined affect of the William F. Goodling Child Nutrition Authorization Act of 1998 and provisions of PRWORA reduced reporting and recordkeeping requirements in the Food Stamp Program (OMB No. 0584-0067) by changing the criteria for an annual State Administrative Expense Plan to an initial plan with revisions as needed. The affect of this change was a reduction in burden hours of 3,600.
- N PRWORA authorized consolidation of programs providing food to the needy (OMB No. 0584-0293). The impact on FNS's burden inventory was a reduction of 33,500 hours.

- N** FNS plans to issue final regulations related to food delivery amending its *Women, Infant, and Children (WIC) Program Regulations* (OMB No. 0584-0043) that will impose an estimated reporting burden of 60,000 additional hours on State agencies. The regulatory changes and associated increase in burden are driven by the William F. Goodling Child Nutrition Authorization Act of 1998 (P.L. 105-336).
- C** Census of Agriculture Act of 1997 (P.L. 105-113). This statute transferred responsibility for the Census of Agriculture, conducted once every five years, from the Department of Commerce to USDA. In addition to the 1.3 million hours of burden associated with the main census, NASS anticipates incurring an additional 66,400 burden hours in FY 1999 for surveys to augment the main census and another 54,000 in FY 2000.
- C** Federal Agriculture Improvement and Reform (FAIR) Act of 1996 (P.L. 104-127). Section 741 of the FAIR Act called for establishment of Rural Business Opportunity Grants Program. RBS established this program during FY 1998 and added 8,700 burden hours in doing so. Another collection affected is *Multiple Peril Crop Insurance* (OMB No. 0563-0053). The Risk Management Agency (RMA) is directed by the Federal Crop Insurance Act, as amended by Federal Agriculture and Reform Act, (P.L. 104-127), to expand USDA's crop insurance program over a period of years ensuring that the programs are actuarially sound. As stated in the FY 99 significant increases above, there will be an increase of 96,700 hours and increase of 128,000 in FY 2000.
- C** H.R. 4328, Omnibus Consolidated and Emergency Supplemental Appropriations for FY 1999 (P.L. 105-86). This piece of legislation directly impacts the burden hours associated with RMA's Multiple Peril Crop Insurance information collection (OMB No. 0563-0053). Provisions in the statute require producers who did not insure their 1998 crops and who collected Emergency and Market Loss Assistance under this bill to purchase crop insurance for the 1999 and 2000 crop years. RMA has not yet assessed the full impact on burden that this requirement will have.

Department of Commerce

	Burden Hours (in millions)	Percentage Change from Previous FY	Percentage Change excluding Periodic collections
Actual FY 1998	13.49	64.3%	! 3.2%
Target FY 1999	10.74	! 20.4%	! 1.4%
Target FY 2000	37.32	247.5%	1.8%

Need For Collection of Information

The Department of Commerce (DOC) works to ensure that it utilizes and manages our nation's resources and infrastructure to promote greater economic opportunity and a higher standard of living for all Americans. DOC has a clear and powerful vision of its role in the Federal Government and its role in supporting the American people. The Department's programs provide significant and clearly measurable benefits for the nation's economy and they provide a major contribution to America's world leadership role in trade, technology and science.

Today the nation stands at a crossroads in an increasingly competitive world where efforts to maintain and strengthen our country's position have become increasingly critical. The Department's three strategic themes as outlined in the Strategic Plan submitted to Congress in September 1997 included:

- C Strengthening the Nation's Economic Infrastructure;
- C Promoting Innovation in Science, Technology and Information; and,
- C Improving Resource Management and Environmental Stewardship.

For the Department to be successful in achieving these goals, it must collect, process and utilization information gathered from the public. Of the nine major bureaus within the Department, the majority of information collection activity resides in the Economics and Statistics Administration (ESA) and the Patent and Trademark Office (PTO).

- C The Economics and Statistics Administration (ESA) includes both the Census Bureau and the Bureau of Economic Analysis (BEA). ESA's three primary missions are to (a) preserve a high quality federal statistical system, (b) communicate a vision of the key forces at work in the economy and of the opportunities they create for improving the well-being of all Americans, and (c) support the information and analytic needs of policymakers as well as the private sector. Census conducts the Decennial Census (as required by the U.S. Constitution), economic and government censuses every five years, and numerous current surveys that provide up-to-date information on America's people, economy and institutions. BEA provides the most comprehensive statistical picture available of U.S. economic activity by utilizing information collected by other agencies and from their own surveys on foreign investment. The results of ESA activities include defining Congressional and State legislative

districts, to apportion Federal funding, and to assist policymakers by tracing U.S. social and economic progress.

- C The mission of the Patent and Trademark Office (PTO) is to promote industrial and technological progress in the United States and to strengthen the national economy by administering the laws relating to patents and trademarks. A U.S. patent confers on the owner of the innovative technology the right to exclude others from importing, making, using, or selling the patented invention in the U.S. for a limited time in exchange for a full and complete disclosure of the invention. The public can also register trademarks which provide certain benefits to the registrant's rights. It is DOC's policy to encourage such applications to benefit trade and commerce.

There are seven remaining major Departmental bureaus collect information in connection with the following set of goals and/or responsibilities:

- C *The Bureau of Export Administration (BXA)* — national security and nonproliferation, export growth, and promoting high technology.
- C *The Economic Development Administration (EDA)* — economic development funding, including assistance to stimulate employment and increase income in distressed communities, promoting greater national productivity and balanced economic growth.
- C *The International Trade Administration (ITA)* — increasing the competitiveness of U.S. business in the world economy by promoting U.S. exports, fighting unfair trade barriers, and negotiating and implementing both multilateral and bilateral trade agreements.
- C *The Minority Business Development Agency (MBDA)* — provide access to market and resource opportunities through a variety of direct and indirect business assistance services.
- C *The National Oceanic and Atmospheric Administration's (NOAA)* — to describe and predict changes in the Earth's environment and to conserve and wisely manage the nation's coastal and marine resources to ensure sustainable economic opportunities.
- C *The National Telecommunications and Information Administration (NTIA)* — to promote the efficient and effective use of telecommunications and information resources to create job opportunities, U.S. competitiveness, and raise the standard of living.
- C *The Technology Administration (TA)* — to improve U.S. industrial competitiveness, assist in the development and promotion of Federal technology policies, and to increase U.S. commercial and industrial innovation, productivity, and economic growth.

Internal Management of Information Collection

The Paperwork Reduction Act (PRA) responsibilities fall under the Chief Information Officer (CIO). During the past year, the Department appointed a new CIO who reports to the Secretary and to the Chief Financial Officer and the Assistant Secretary for Administration on information technology and related issues. One of the Secretary's top priorities is to transform the Department into a national leader in the field of technology. The CIO's role is to assist each bureau in efficiently using modern technology to

manage and deliver its programs in the most efficient manner, which includes the collection and dissemination of information. As a first step, the CIO now requires that each information collection request for approval under the PRA be supplemented with information on (a) the electronic availability of the collection instrument, (b) the submission of the collection via Internet or Electronic Data Interchange (EDI), and (c) the dissemination of the information electronically. By using his responsibility under the PRA, the CIO is ensuring that collections are conducted in the most efficient and cost-effective manner. The CIO is using the PRA as a vehicle to help ensure that “electronic commerce” becomes a reality for the Department in the 21st century.

The CIO staff is supported by a network of “clearance” officers within bureaus who operate independent of program offices. While each bureau has its own internal processing procedures, long-standing practice within Commerce dictates that senior management approve every collection submitted to the Department and this high level visibility is important to prevent non-essential collections from occurring. As a final step, each collection of information imposed by the Department is approved by the CIO prior to submission to OMB for approval under the PRA.

Burden Reduction Efforts and Goals

Over the years, DOC has prided itself in limiting information collections. It has demonstrated strong support for the principles of the PRA which state that information requirements should be planned, budgeted, accounted for, and evaluated. Reducing burden for DOC is, however, a formidable challenge. By statute, DOC is charged with the collection of information through ESA (Census and BEA). Furthermore, Commerce is primarily a “service” agency — for example responding to a requests for patents or a requests to the Secretary for “advocacy” support in making a major export sale — and thus encourages more requests to be made. DOC has, in the past, and will continue in the future to aggressively pursue information management initiatives with the goal of reducing burden on the public.

- C Economic Census. In FY 98, the Census Bureau developed three strategies for reducing business reporting burden for the Economic Census, which is required every five years: (1) re-engineering economic statistics programs; (2) automating data collections; and (3) expanding communications with the business community. These three strategies were critical in reducing reporting burden and it resulted in a reduction of nearly two million hours, compared to the previous Economic Census base.
- C Technology and Re-engineered processes. DOC is engaged in several long-term initiatives that involve the use of technology and re-engineered processes to reduce burden.
 - N The complete electronic processing of patents within the PTO is expected to occur in 2003. Recently, PTO completed its pilot project on the electronic filing for trademarks. Expansion of electronic filing for trademarks will take place later this year.
 - N BXA is expanding its options to exporters by offering an “Internet” based export license application. The Simplified Network Application Process (SNAP) has been developed and is expected to be available to the public in next few months.
 - N NOAA is developing a prototype electronic fish logbook. This requires NOAA to re-engineer the process in addition to developing the actual system.

N ESA is exploring the use of “electronic” data collection for its many statistical surveys.

Despite these burden reduction initiatives, DOC will be carrying forward activities that, while critical to the Department’s mission, will result in burden increases.

- C** Statistical Data Upgrades. ESA is working on an effort to upgrade its statistical data which should result in burden increases rather than burden decreases. These upgrades, such as the implementation of the North American Industry Classification System (NAICS), are necessary to allow the nation to better gauge its economic condition. A substantive new program is also underway to measure housing and socioeconomic data on a continuing basis. These upgrades to its statistical capabilities are critical to the nation. The improved economic data will assist policymakers with a vast array of decisions concerning monetary and fiscal policy. Businesses also need basic economic information for investment and production decisions. The improvement in housing and socioeconomic data will help communities with planning.
- C** Decennial Census. In FY 99, DOC will have approximately a 20 percent reduction in burden as a result of the conclusion of the Economic Census mentioned above. However, in FY 2000 DOC will experience an extremely large increase due to the Constitutionally required “Decennial Census.” This alone will increase its burden hours by over 27 million hours, a rise of approximately 287 percent.

Significant Changes in Information Collection Burden During FY 1998

During FY 1998, ESA (BEA and Census) began a very intense period in which information collection requirements are imposed on the public. The “periodic” programs, which takes place on a five or ten year cycle, include Census’ decennial, economic, and government censuses and BEA’s foreign investment surveys. These surveys are non-discretionary. The information collected through the surveys is essential to provide a statistical picture of the economy and the American people. During periodic collection years, one of which occurred in FY 98, nonperiodic programs are scaled back or curtailed. This results in wide fluctuation in burden hours for both periodic and nonperiodic collections. Each of the specific information collection activities below are designated either “Periodoc” and “Nonperiodic” collections.

Decreases

Nonperiodic Collections

- C** *Trademark Processing* (OMB No. 0651-0009). Information is collected as part of the process of applying for services from PTO. These services include trademark applications, service marks, allegations of use, affidavits of use, and registration renewals for trademarks. PTO introduced electronic filling for application forms and this effort will be expanded in the future. PTO also reviewed the burden hour estimates for the time to complete the “paper” application form. Following this review, the time to complete the form was reestimated downward. In all, there was an 83,700 burden hour reduction.
- C** *Single Audit Questionnaires* (OMB No. 0607-0518). The Single Audit Act Amendments of 1996 (P.L. 104-156) and OMB Circular A-133 require state and local governments and non-profit organizations expending \$300,000 or more in Federal financial aid to have an annual audit of their financial operations. The Office of Management and Budget has designated the Census Bureau as the Federal Audit Clearinghouse for these audits. Census uses the Single Audit Questionnaire to contact

those entities which have not sent in their audit reports to request that they forward the report or clarify their reporting status. Under the higher reporting threshold imposed by the amendments, fewer entities will be required to submit audits thus decreasing burden hours by 24,000 hours.

- C *Special Access/Special Regime Export Declaration* (OMB No. 0625-0179); *Export Assistance Request* (OMB No. 0625-0205); and *Data Collection Program Report Form Required Under the 1991 U.S. Japan Semiconductor Arrangement* (OMB No. 0625-0211). ITA conducted a thorough review of its collections. As a result, the Committee for the Implementation of Textile Agreements (CITA) determined that completion of the declaration under the Special Access program for the Caribbean Basin Initiative (CBI) and for the Andean Trade Preference Act countries is no longer necessary. The Export Assistance Request form has also been discontinued. ITA now uses business counseling sessions to provide guidance to the infrequent exporter and make appropriate referrals to other organizations. Additionally, the U.S. Japan Semiconductor report form has also been discontinued because there is no consensus among the Governments involved in the Arrangement. In total, these changes represent a burden reduction of 11,800 hours.
- C *Energy-Related Invention Evaluation Request Form* (OMB No. 0693-0002). The Department of Energy (DOE) has changed the scope of work under the Technology Evaluation Services Program. This program evaluated energy-related inventions for commercialization potential. NIST no longer evaluates such inventions for DOE. This results in a net reduction of 20,000 burden hours.
- C *Public Telecommunications Facilities Program Application* (OMB No. 0660-0003). NTIA's Public Telecommunications Facilities, Construction and Planning Program provides matching grants to public telecommunications' organizations for the planning and construction of facilities that provide educational and cultural service to the public. In support of the President's initiative to streamline government processes, NTIA reviewed, and subsequently revised, this program's implementing regulations and associated application requirements. This resulted in a reduction of 16,000 burden hours.
- C *West Coast Salmon Northwest Emergency Assistance Plan* (OMB No. 0648-0288); *Fishing Vessel and Gear Damage Compensation Fund* (OMB No. 0648-0094); and *Globe Registration and Application* (OMB No. 0648-0287). NOAA's West Coast Salmon Northwest Emergency Assistance Plan, devised to help salmon fishermen impacted by the fishery resource disaster, has been reorganized to eliminate the Federal information collection requirement. The reduction is 12,200 hours. A reduction of 8,000 hours took place in the Fishing Vessel and Gear Damage Compensation Fund when this program was concluded and funding eliminated. A reduction of 4,500 hours was also achieved as the Globe Registration and Application collection was ended.

Increases

Nonperiodic Collections

- C *Provisional Applications* (OMB No. 0651-0037). PTO's Provisional Application was created in response to the Paris Convention and GATT Uruguay Round Agreements Act (P.L. 103-465). Certain provisions in the Paris Convention and the GATT Uruguay Round Agreements give a 12-month filing date advantage to international applicants. Congress passed a law that allows U.S. patent applicants to file a provisional application to level out the advantage. When this provision was initially

introduced, PTO underestimated the number of applications. In addition, the initial burden estimate was based on the cover sheet requirements and not the accompanying information. This collection burden has been increased by 199,000 burden hours.

- C *American Community Survey* (OMB No. 0607-0810). The Census Bureau is developing a methodology known as “continuous measurement” which will produce socioeconomic data on a continual basis throughout the decade for small areas and small subpopulations, replacing the long-form data in the decennial census. The American Community Survey (ACS) will provide nationally comparable and consistent community based data on an annual basis. During FY 98, there was an expansion of the ACS sample, resulting in a burden increase of 97,400 hours.
- C *Annual Survey of U.S. Direct Investment Abroad* (OMB No. 0608-0053). This survey is needed to measure the size and economic significance of direct investment abroad, measure changes in such investment, and assess its impact on the U.S. and foreign economies. Through an adjustment due to an increase in the respondent universe, the hours increased 24,300 hours.

Periodic Collections

- C *New and Revised Decennial Census-Related Collections* (various OMB approval numbers). During FY 1998, Census conducted a number of test of forms and procedures, including the Dress Rehearsal, related to the conduct of the 2000 Census. An increase of 390,000 burden hours was needed to conduct these important tests in preparation for the 2000 Census.
- C *New and Revised Economic Census-Related Collections* (various OMB approval numbers). DOC performed the 1997 Economic Census, which is required every five years, in FY 1998. This census collects information from major domestic business sectors and is essential for understanding the U.S. economy. Census pursued three strategies to reduce reporting burden. They: (1) re-engineered their economic statistics programs; (2) automated the data collections; and (3) expanded communications with the business community. All three strategies were critical in minimizing the burden. Census estimated a savings of almost 2 million hours, compared to the 1992 Economic Census. Burden hours increased 5,135,733 hours, however, in FY 1998 to conduct the economic censuses.
- C *Benchmark Survey of Foreign Direct Investment in the United States* (OMB No. 0608-0042). The Benchmark Survey of Foreign Direct Investment in the United States (BE-12) is conducted once every five years as required by the International Investment Trade in Services Survey Act (P.L. 94-472). It obtains universe data on financial and operating characteristics of, and on positions and transactions between, foreign-owned U.S. companies and their foreign parent groups. The burden for this collection is 245,000 hours

Significant Changes in Information Collection Burden Planned for FY 1999

Decreases

Nonperiodic Collections

- C *Shippers Export Declarations (SED)* (OMB No. 0607-0152). The SED program collects and processes more than 15 million export declaration forms annually and forms the basis for the official U.S. export statistics. The Automated Export System, a partnership effort among federal agencies, is

designed to be an electronic information gateway for collection of this information. An intensive marketing effort is underway to educate the trade community on the benefits of electronic filing. A burden savings of 163,000 hours is estimated.

Periodic Collections

- C *Decennial Census-Related Collections* (various OMB numbers). In preparation for the 2000 Census, a number of surveys were conducted, including the Dress Rehearsal. These collections will expire in FY 1999 and will not be renewed. The 2000 Census is an enumeration of the population of the U.S., Puerto Rico, and islanders. This is a reduction of 122,000 burden hours.
- C *Economic Census-Related Collections* (various OMB numbers). The Economic Census, conducted every five years, will expire during FY 1999. The economic census provides vital economic data and is the foundation for economic statistics over the next five years. This represents a reduction of 5,525,000 hours.
- C *1997 Census of Governments*. The Census of governments provides data on independent governmental units. This collection expires reducing burden by 170,000 hours.

Increases

Nonperiodic Collections

- C *American Community Survey (ACS)* (OMB No. 0607-0810). The Census Bureau is developing a methodology to produce “long-form” data on a continual basis. This information has traditionally been collected once a decade as part of the Decennial Census. The methodology is called continuous measurement (CM). Since the Census Bureau collects the data only once every ten years, it becomes out of date over the course of the decade. There is also an increasing need for data describing lower level geographic detail. CM will provide current data throughout the decade for small areas and small subpopulations. The ACS is the data collection vehicle for CM. The Census Bureau began a test and demonstration of the capabilities of the survey collection and processing system in 1995. Four sites around the country were originally selected. The number has increased almost annually and will continue to increase through 2002 with full deployment of the ACS taking place in 2003. The current planned increase in sites will increase burden in FY 99 by 625,000 hours.
- C *Service, Information, and Transportation Survey (SITS)* (OMB No. 0607-New). With the implementation of NAICS, the Census Bureau plans to combine three surveys: the Services Annual Survey, the Transportation Annual Survey, and the Annual Survey of Communication Services. The new SITS survey, which collects business information, will facilitate the collection, tabulation, presentation, and analysis of data relating to firms and promotes uniformity and comparability in the presentation of statistical data describing the economy. The net change will be an increase of approximately 29,000 hours.
- C *Annual Capital Expenditures Survey (ACES)* (OMB No. 0607-0782). The annual ACES survey collects data from U.S. businesses on fixed assets and depreciation, sales and receipts, and capital expenditures for new and used structures and equipment. Business spending data are used to evaluate the quality of estimates of gross domestic product, develop monetary policy, analyze business asset

depreciation, and improve estimates of capital stock for productivity analysis. Census plans to collect more detailed capital expenditures data from employer companies during FY 1999 and every fifth year thereafter. This data is needed to evaluate the comprehensiveness of capital expenditures statistics collected in years for which type of structures and equipment detail are not collected. This change will increase burden by 61,500 hours.

- C *Patent Processing* (OMB No. 0651-0031) and *Initial Patent Application* (OMB No. 0651-0032). Initial patent applications are received, along with the supporting information necessary to obtain a patent. Applicants may also contact PTO to request that additional information or changes of information be added to their patent applications. During FY 1999, PTO expects an increase in filings for both collections. This will increase burden by 290,000 hours.
- C *Office of Oceanic and Atmospheric Research (OAR) Program Evaluation and Competitive Funding Requirements* (OMB No. 0648-New). An increase will result from a combination of the Government Performance and Results Act (GPRA) (P.L. 103-62) and recommendations of the National Science and Technology Council Committee on Environment and Natural Resources. Under the GPRA, Federally funded research is subject to performance reviews in order to evaluate the progress, contributions, responsiveness, and relevance of ongoing or completed research and development activities. The Council Committee established basic principles for assessing fundamental science programs. OAR, which falls under NOAA, supports 45 research programs, some within NOAA but many outside the Federal government. In response to the GPRA and the Council Committee, review requirements will be formalized and as a result increased documentation requirements will be placed on the outside programs. This will increase burden by 36,000 hours.
- C *Fisheries Capacity Reduction Program Buyback Requests* (OMB No. 0648-New). The Magnuson-Stevens Fishery Conservation and Management Act (MSFCMA) (P.L. 94-265) authorizes NOAA to reduce the stress on specific fisheries with limited participation by buying back the fishing permits of some fishermen, and in some cases to also pay for the scrapping of vessels (which cannot then be replaced). These programs can be funded by appropriations or by Government loans to the fishery. In the latter case, the industry would later repay the loan from fees on landings. The latter process is more information-intensive, requiring industry development of buyback plans, the conducting of a buyback program, and collecting fees to repay government costs. The recent American Fisheries Act requires NOAA to conduct one such "buyback" in the Alaska Region. It is estimated that this will increase burden by 27,600 hours.
- C *At-Sea Scale Certification Program* (OMB No. 0648-0330). The passage of the American Fisheries Act (P.L. 105-277) will require pollock fishermen in the Alaska Federally permitted fishery to weigh all their groundfish catch. Currently they only have to weigh catch made as part of a Community Development Program; other weight data is obtained from processors. The expansion of this requirement is estimated to increase burden by 26,500 hours.

Periodic Collections

- C *MAF & TIGER Update Activities* (OMB No. 0607-0809). The Census Bureau maintains a generic clearance for conducting a variety of activities which will assist in updating the master address file (MAF) and TIGER (Topologically Integrated Geographic Encoding and Referencing) database. The MAF and TIGER are essential for producing the basic maps for Census surveys, including the 2000

Census. The TIGER is a geographic system that maps the entire country in Census Blocks with applicable address ranges of living quarter location information. Linking MAF and TIGER allows Census to assign each address to the appropriate Census Block, produce maps as needed and publish results at the appropriate level of geographical detail. Burden during FY 1999 will rise by 1,350,000 hours due to heightened activity preparatory to Census 2000.

- C *Census 2000 Integrated Coverage Measurement, Address Listing and Housing Unit Follow-up Activities* (OMB No. 0607-New). The Census Bureau has developed the Integrated Coverage Measurement (ICM) approach for measuring coverage during the decennial census and has been testing this approach since 1995. It tells Census how well persons living in housing units were counted in the census.

During Census 2000, Census will conduct an independent Address Listing of a national representative sample of two million housing units. The listing will be matched to the initial phase list of addresses; the unmatched cases will be sent to the field for reconciliation during Housing Unit Follow-up. The resultant address listing will be used in the next phase of ICM, the ICM Person Interview which gathers detailed census-type information and additional residence information about the household and its members. An Outmover Tracing operation will be performed to locate and interview persons who move from the ICM areas after Census Day. The results of the ICM Person Interview are then matched with the results from the initial phase of the census. Person Follow-up interviews will be conducted to reconcile differences between ICM Person Interview and the initial phase enumeration. The result will be the information needed to produce the final estimates of the coverage for Census 2000. Reporting burden will increase by 98,750 hours.

- C *Census 2000 Experimentations* (OMB No. 0607-New). As part of each Decennial Census since 1950, the Census Bureau has incorporated a Research, Evaluation and Experimental Program to evaluate the current census and to facilitate planning for the next census. Three planned experiments involve the development and use of experimental questionnaire panels, both written and voice and will impose 29,740 burden hours. The experiments include:
- N *SSN, Privacy Attitudes, and Notification (SPAN) Experiment*: This experiment will measure mail and item response rates, and data quality regarding collection of SSNs and differently phrased notification on the use of administrative records.
 - N *Alternative Questionnaire and Mail Treatment (AQ&MT)*: The objective of this research is to continue efforts to develop a user friendly questionnaire that can be accurately completed by respondents.
 - N *Response Mode and Incentive Experiment (RM&IE)*: Effects on the census infrastructure (i.e., printing and mailing costs, non-response follow-up, outreach, data processing and capture) and response to the census will be examined in this experiment in which a sample of households will receive a prepaid telephone card along with their Census 2000 questionnaire and a letter encouraging respondents to provide their response via the telephone.

Significant Changes in Information Collection Burden Planned for FY 2000

Year 2000 is significant for the DOC because the Bureau of the Census conducts Constitutionally-required "Decennial Census." Department burden will increase by over 287 percent to accommodate this critical endeavor.

Decreases

Periodic Collections

- C *1997 Economic Census — Survey of Minority-owned Business Enterprises & Survey of Women-owned Business Enterprises (1997 SMOBE & SWOBE)* (OMB No. 0607-0854). These periodic collections are the only comprehensive regularly collected sources of information on businesses owned by minorities and women. This collection, the last of the 1997 Economic Census-related collections to expire, will expire during FY 2000, reducing burden by 417,000 hours.
- C *MAF & TIGER Update Activities* (OMB No. 0607-0809). Activity under this generic clearance will decrease during FY 2000, decreasing burden by 1.26 million hours (see significant FY 99 actions for further information).

Increases

Nonperiodic

- C *Trademark Processing* (OMB No. 0651-0009; *Patent Processing* (OMB No. 0651-0031; and *Initial Patent Application* (OMB No. 0651-0032). PTO is responsible for administering the patent and trademark laws. The numbers of applications received are increasing yearly. In FY 2000 it is anticipated that the trademark burden will increase by approximately 16,000 hours for trademarks and by approximately 160,000 burden hours for patents.
- C *Annual Survey of Minority-Owned Businesses*. The Census Bureau is projecting that the fastest growing segment of the population is racial and ethnic minorities. This group represents 28 percent of the population, but is expected to grow to more than 47 percent of the population in the next fifty years. MBDA needs information to determine how well this segment of the population is doing with respect to minority businesses in order to make informed decisions on programs that may be helpful to such businesses. The new survey is expected to increase burden by 62,500 hours.

Periodic Collections

- C *United States Census 2000* (OMB No. 0607-0856). The Census will conduct the Constitutionally mandated Decennial Census in the year 2000. The ten-year census is a complete enumeration of the population of the United States, Puerto Rico, and the outlying island areas. Census data are required to apportion seats in the U.S. House of Representatives and to draw Congressional and State legislative district boundaries. Two questionnaires, a short form and long-form will be used. Both questionnaires will have fewer questions than in the past, will take less time to complete, and will incorporate a user friendly design. Additionally, Census established a Census 2000 Marketing/Partnership Program which is an integrated communications and outreach effort designed to motivate public participation in the census. Census will be offering for the first time Internet reporting as an option in the census.

Short form recipients may access the Census Internet site and reply via an online form. The end result is that the Census 2000 will impose less reporting burden on the American public than the 1990 Census, despite an increase in population. The will increase burden by 26.8 million hours in FY 2000.

- C *Census 2000 — Puerto Rico Enumeration.* The Census Bureau will also be conducting the enumeration of Puerto Rico (see above). This survey will increase burden by 443,748 hours.
- C *Census 2000 — Outlying Areas Enumeration* (OMB No. 0607-New). This special enumeration of the island areas will be conducted as part of Census 2000. This effort will increase burden by 72,050 hours.
- C *Census 2000 Integrated Coverage Measurement — Person Interviewing and Outmover Tracing Activities* (OMB No. 0607-New) and *the Person Follow-up Interviewing Activities* (OMB No. 0607-New). The Bureau of the Census has developed the Integrated Coverage Measurement (ICM) approach for measuring coverage during the Decennial Census (for more information, see FY 1999 Significant Changes). The ICM Person Interviewing and Outmover Tracing Activities, both periodic activities done in conjunction with Census 2000, will increase burden by 290,250 hours. In addition, the Person Follow-up Interviewing Activities, also done in conjunction with Census 2000, will increase burden by 13,545 hours.
- C *Benchmark Survey of U.S. Direct Investment Abroad (BE-10)* (OMB No. 0608-0049). The BE-10 is a periodic survey required by the International Investment and Trade in Services Survey Act. It is conducted every five years to obtain universe data on financial and operating characteristics and on positions and transactions between U.S. parent companies and their foreign affiliates. The reinstatement of this survey will increase burden by 500,000 hours.

Recent Statutes That Affect Information Collection Activities

A number of recently enacted statutes impact on information collection requirements. One that cuts across the Department is GPRA (P.L. 103-62). In order to meet the legislative intent of the Act which is to evaluate an agency's performance and accountability, certain information measuring program results is needed from the public. DOC has a number of proposed information collections, particularly those related to grant programs, that can be attributed to the GPRA.

Bureau of Export Administration

- C National Defense Authorization Act of 1998 (NDAA) (P.L. 105-85) requirements are cleared under OMB No. 0694-0107 and result in 782 hours. The NDAA contains provisions regarding exports and reexports of high performance computers. BXA is required to impose a pre-shipment notification requirement and to conduct a post-shipment verification of *each* NDAA-covered computed exported from the United States to certain countries.
- C The Chemical Weapons Convention (CWC) was passed by Congress on October 21, 1998 (H.R. 4328). This legislation prohibits all individuals and legal entities within the U.S., as well as all individuals outside the U.S. possessing U.S. citizenship, from engaging in activities prohibited under the Convention. The U.S. is obligated to impose certain trade controls. Under the Treaty, the U.S. must provide an international organization with specific data on the production, processing, consumption, import and export of certain chemicals and grant inspection teams access to U.S.

chemical plants. CWC will have two new collections associated with its implementation. In anticipation of the Treaty, certain forms were already cleared under OMB No. 0694-0091, but they will be revised to conform to the associated regulation. The collections amount to approximately 15,000 burden hours.

Economic Development Administration

- C The Economic Development Administration Reform Act of 1998 (P.L. 105-393) will require reports, plans, and performance evaluations as it relates to grants. A new OMB Control No. will need to be assigned once the implementing regulation is written. This will replace OMB Control No. 0610-0093. There will be some increase in burden hours (a maximum of 10,000 hours) as a result of the law.

National Oceanic and Atmospheric Administration

- C The American Fisheries Act (P.L. 105-277) added a number of information requirements including provisions related to the Alaska pollock fishery and a Fishery Capacity Reduction Program also for the Alaska pollock fishery. OMB approval numbers 0648-0330 (At-Sea Scale Requirements) and 0648-0213 (Alaska Region Logbook Family of Forms) may be affected by an increase of 26,500 hours.
- C Although the Sustainable Fisheries Act (P.L. 104-297) became law in late 1996, NOAA is still in the process of implementing its provisions such as the Fishing Capacity Reduction Program. Other requirements of the law are being implemented — in particular the establishment of a standard fishing vessel registration and information system. This is still in the process of development but could substantially add to NOAA's burden, or reduce it. This depends upon which participating agencies are made responsible for parts of the overall system to be established.

Technology Administration

- C The Technology Administration Act of 1998 (P.L. 105-309). The National Technology Medal established under the Stevenson-Wydler Technology Innovation Act of 1980 will be expanded to include a new nomination category for "environmental technology." Likewise, the National Institute of Standards Malcolm Baldrige Quality Award program was amended to add "health care" and "education" providers as categories for awards. The result is an overall increase of approximately 450 hours.

Department of Defense

	Burden Hours (in millions)	Percentage Change from Previous FY
Actual FY 1998	119.00	! 14.1%
Target FY 1999	105.20	! 11.6%
Target FY 2000	99.94	! 5.0%

Need for Collection of Information

Department of Defense policy ensures that sufficient information is available to achieve military effectiveness and management efficiency. As a corollary policy, the public burden associated with the collection and reporting of this information is controlled and minimized, consistent with the mission of the DOD Component.

During FY 1998, almost the Department's entire information burden (92%) resulted from the "application for benefits" category, which includes the collection of information from the private sector during the solicitation and award of contracts for goods and services. In general, these information requirements are required to enter into specific contracts, to assure that contracts are executed properly, and to fulfill statutorily mandated requirements relating to federal procurement, as found in Title 10 of the United States Code and in regulations stipulated in the governmentwide Federal Acquisition Regulation System (FARS).

Two information collections comprise the bulk of this burden:

- *Information Collection in Support of the DOD Acquisition Process* (OMB No. 0704-0187). This collection addresses information collected in support of the solicitation phase of the DOD acquisition process; and
- *Acquisition Management System and Data Requirements Control List (AMSDL)* (OMB No. 0704-0188). This collection involves information which specifies data requirements used in government contracts to support the design, manufacture, test, training, operation, and maintenance of procured items.

Slightly less than *seven percent* of the information collected from the public is used by the Department to verify compliance with Government statutes or regulations. Most of the information required in this category relates to procurement regulations or with programs associated with the U.S. Army civil works functions of the Corps of Engineers.

Approximately *one percent* of information requirements assist the Department in managing, evaluating, and planning military programs that serve military personnel and their families, address attitudes toward military service, or deal with quality of life issues such as compensation and benefits that affect recruiting and retention of military personnel.

Internal Management of Information Collection

Effective management and control of information in such a large and diverse Federal agency as DOD requires a well organized and continuous effort to improve quality and economy of information collection, and to ensure that information collected from the public is oriented toward the Department's strategic business and mission focus. Accordingly, information collection management is centralized within the Department, and compliance with the Paperwork Reduction Act of 1995 has been institutionalized under the management of the Department's Chief Information Officers (CIO).

In March 1996, the Deputy Secretary of Defense designated the Assistant Secretary of Defense for Command, Control, Communications, and Intelligence (ASD(C3I)), as the CIO for the Department of Defense (DOD CIO). Each Military Department and Defense agency, in turn, has established a CIO. In addition, a DOD CIO Council, that is chaired by the DOD CIO, has been established to serve as an oversight body to promote cooperation across the department, and ensure department-wide efforts conform with the Paperwork Reduction Act.

Burden Reduction Efforts and Goals

It is the goal of the Department of Defense to impose upon the public the smallest burden viable, as infrequently as possible, and for no longer than necessary. Management of the Department-wide information collection review process is constructed and operated with these criteria foremost in interest and intent.

The Department of Defense has taken the maximum practicable opportunity to reduce its information collection burden. In fact, the DOD has exceeded both the governmentwide agency goals and timetables required by the Paperwork Reduction Act (PRA) of 1995. At the end of FY 1998, DOD achieved a 42 percent reduction in the paperwork burden from its FY 1995 baseline of 205,847,538 hours, which represents a decrease in excess of 86.8 million burden hours. This cumulative reduction was accomplished in a deliberate and systematic effort, which resulted, by fiscal year, in reductions of:

- 25.9 percent at the end of FY 1996
- 9.2 percent at the end of FY 1997
- C 14 percent at the end of FY 1998

As part of the FY 1996 information collection budget submitted to the Office of Management and Budget, DOD prepared and implemented its Information Streamlining Plan (ISP), a multi-year strategy for reducing the paperwork burden imposed on the public. The plan identified the 15 largest information collections in the Department with specific goals and timetables for reduction. As indicated by the figures above, the component information management activities achieved the results intended, primarily due to their collaborative effort across the entire Defense Department. The bulk of the reduction was achieved through acquisition reform resulting from the elimination of data delivery burdens imposed on contractors and from a review of information collection requirements in support of the solicitation phase of the DOD acquisition process. The Department has changed and continues to change its contracting and business processes so that it no longer need many types of information that were once essential to the old business processes.

Increased procurement of commercial off-the-shelf products coupled with a concerted effort to eliminate many items on a long list of information and data traditionally demanded of defense contractors has led to a significant reduction in burden. As a result, a significant reduction in contractor data requirements resulted

in a program decrease of 33.1 million hours in 1996, 17.2 million hours in 1998, with an additional 3 million hours planned for 1999. While further reductions in this area may be possible, the bulk of these procurement reform initiatives have been implemented.

Significant Changes in Information Collection Burden during Fiscal Year 1998

From FY 1997 to the end of FY 1998, the Department of Defense decreased its total information collection burden from 138,500,000 hours to 119,000,000 hours. This represents a decrease of over 19.5 million hours or 14 percent, and was due mostly from program changes implemented by the Department. The burden reduction resulted from continuing initiatives in acquisition reform, efforts directed at reducing the regulatory burden imposed on Defense contractors.

Decreases

- C *Information Collection in Support of the DOD Acquisition Process* (OMB No. 0704-0187). This information collection is a general omnibus requirement for contract solicitations that are not covered by another OMB clearance. A program change reduced the burden hours by 530,900 as a result of revisions to the duty-free entry information collection requirements in the Defense Federal Acquisition Regulation Supplement (DFARS). Certain provisions requiring information for Duty-Free Entry were changed to require contractors to provide the information only when the importation of foreign supplies is actually anticipated. Furthermore, a positive response is no longer required with regard to eligible end products, or if the contractor does not wish to request duty-free entry for non-qualifying country components of domestic end products. The information collection burden was further reduced by 593,146 hours, but these hours were merely transferred to other approved information collections to remain consistent with the appropriate DFARS section.
- C *Acquisition Management System and Data Requirements Control List (AMSDL)* (OMB No. 0704-0188). During FY 1998, a program change reduced the information burden by 17,226,000 hours. This reduction represents the Department's continued efforts to simplify or eliminate duplicative information requirements. Data Item Descriptions (DIDs) impose data delivery burdens on DOD contractors. At the end of FY 1997, DOD had reduced its master catalog to 1,300 DIDs. Further review and consultations with Defense contractors in FY 1998, resulted in the elimination of 290 additional DIDs.
- C *Defense Federal Acquisition Regulation Supplement (DFARS) Subpart 215.8, Price Negotiation* (OMB No. 0704-0232). A program adjustment reduced the information burden by 905,150 hours, resulting in a reduction of burden hours from 910,500 hours to 5,350 hours. The reduction is primarily due to adjustments in the estimates of respondents and burden hours and a decrease in the overall number of individual contract actions. The information required by this collection is used to negotiate an equitable adjustment in the amount paid under a price redeterminable or fixed-price incentive contract; and determine if a contractor has an adequate system for generating cost estimates which forecast costs and monitor correction of deficiencies.
- C *Drug Free Work Force – Defense Federal Acquisition Regulation Supplement (DFARS) Section 223.570 and DFARS Clause 252.223-7004* (OMB No. 0704-0336). A program adjustment reduced the information burden by 972,448 hours from a total of 1,896,480 hours. Maintenance of a drug-free work force program by contractors requires that contractors maintain records necessary to demonstrate reasonable efforts to eliminate the unlawful use by contractor employees of controlled substances. This

requirement applies only to contracts that involve access to classified information or contracts in which the contracting officer determines that the drug-free work force clause is necessary for reasons of national security or for the purpose of protecting the health or safety of those using or affected by a product. The decrease resulted from updated data on the number of recordkeepers and revised estimates of the number of DOD contractors not subject to this requirement.

Significant Changes in Information Collection Burden Planned for Fiscal Year 1999

During FY 1999, DOD will decrease its total information collection burden by approximately 13.8 million hours. This represents a decrease of over eleven percent from the FY 1998 total burden hours. Of that reduction, 6.0 million hours, or more than five percent is a program reduction. The burden reduction will result from continuing initiatives in acquisition reform to reduce the regulatory burden imposed on Defense contractors.

Decreases

- C *Information Collection in Support of the DOD Acquisition Process* (OMB No. 0704-0187). In FY 1999, this information collection will be reduced by approximately 7,800,000 burden hours, as a program adjustment. This adjustment is necessary because the information collection requirement is imposed in the Federal Acquisition Regulation (FAR) and was inappropriately included in the DOD information collection budget. The General Services Administration, the proponent for the FAR, is adjusting estimated burden hours for OMB Control No. 9000-0013 to include this FAR information collection requirement.
- C *Acquisition Management System and Data Requirements Control List (AMSDL)* (OMB No. 0704-0188). In FY 1999, the Department of Defense will reduce its single largest collection by 2,999,700 hours. This reduction will result from DOD's ongoing review and elimination of Data Item Descriptions (DIDs) that impose data delivery requirements on DOD contractors. The Defense Standardization Program Office will perform an analysis of military specifications and standards that have been canceled to determine whether any DIDs associated with those documents have also been canceled.
- C *Acquisition Management System and Data Requirements Control List (AMSDL)* (OMB No. 0704-0188). An additional estimated 3 million hour reduction will be targeted as a program change. This reduction will result from the Department's ongoing initiatives in Acquisition Reform to facilitate commercial item acquisition, thereby reducing "data intensive" contracts.

Significant Changes in Information Collection Burden Planned for Fiscal Year 2000

Decreases

- C *Information Collection in Support of the DOD Acquisition Process* (OMB No. 0704-0187) and *Acquisition Management System and Data Requirements Control List (AMSDL)* (OMB No. 0704-0188). During FY 2000, DOD plans on reducing its information collection burden by five percent, through continuing reductions in the Department's two largest collections. These reductions will result from ongoing acquisition reform initiatives to reduce the burdens imposed on Defense contractors and should exceed 5 million hours.

Department of Education

	Burden Hours (in millions)	Percentage Change from Previous FY
Actual FY 1998	40.90	! 6.5%
Target FY 1999	35.89	! 12.2%
Target FY 2000	35.89	0.0%

Need for Collections of Information

The Department of Education's (ED's) mission is to ensure equal access to education and to promote educational excellence throughout the nation. To promote educational excellence for all students, ED provides financial support to states and local agencies, promotes challenging standards, provides information on the best educational practices, ensures that postsecondary education is affordable, and provides high quality statistics and evaluations on federal programs. ED collects information from students, teachers, parents, administrators, lenders or guarantors of student loans, and other entities or individuals that play a role in education. This information is used to develop, implement, and evaluate the many federal programs designed to improve academic outcomes for America's students. ED continues to be the single largest distributor of education-related grants, providing grants to States and local agencies, individuals, higher education institutions, and other organizations. Thus, many of ED's collections are related to the implementation of these grant programs, e.g., application materials. Furthermore, in many cases ED requires its grantees to submit performance reports so that ED can assess grantee progress and ensure compliance with the Government Performance and Results Act (GPRA).

Internal Management of Information Collections

The Office of the Chief Information Officer (OCIO) at ED has the responsibility for managing ED's information collections. The OCIO ensures agency compliance with the Paperwork Reduction Act (PRA) and oversees all processes for the management of information collection activities. The Chief Information Officer (CIO) and staff carry out the agency's information management activities: (1) improving program efficiency and effectiveness, (2) reducing information collection burden on the public, (3) improving the utility of the information to all users, and (4) ensuring the Year 2000 compliance of ED information collections. Within the OCIO, the Information Management Group (IMG) has the direct responsibility for ensuring that ED's information collections meet the requirements of the PRA. Currently five FTE staff review information collection submissions on behalf of the CIO.

IMG has been developing the Education Department's Information Collection System (EDICS) which will be another tool for the Department to better manage information collections and to reduce the burden imposed on the public by ED's information collections. EDICS will maintain an inventory of all information collections, including an inventory of data elements. There are several significant benefits of EDICS:

- C Enables IMG staff to develop information collections and supporting documentation more efficiently, by improving the tracking and control of information collections through the clearance process, and allowing entire information collection package to be developed in an electronic format.

- C Provides provide greater opportunity for the public to comment on information collections as they will be able to access the packages electronically.
- C Helps prevent duplicative information collections by allowing stored data and information to be accessible to ED staff and other Federal agencies via Intranet or Internet.

All ED offices in the agency have access to PRA guidelines such as ED's *A Guide to the Information Collection Clearance Process*. This guide posted on IMG's Electronic Bulletin Board and is used by all Principal Offices. It provides guidelines, describes the clearance processes of the PRA, and assists offices when initiating an information collection request for OMB approval.

The Department reduced its FY 1997 information collection burden hours of 43.7 million to 40.9 million burden hours in FY 1998. This is a reduction of 2.8 million hours or 6.5 percent of the total paperwork burden. The Department estimates that it will reduce its FY 1998 burden total by 5 million hours or 12.2 percent in FY 1999. However, these numbers need to be qualified by the fact that ED's OCIO does not have the ability at this point in time to provide a **comprehensive** list of planned increases for FY 1999 and FY 2000. Further, while ED's OCIO provided some potential areas for burden reduction in FY 2000, no specific estimates of burden hour changes were provided. ED needs to develop a centralized system that allows the OCIO to better understand what future information collections are being planned and anticipated across the Department. Such a system would allow ED to avoid emergency clearance requests (of which there have been a significant number in FY 1999 to date), as well as allow ED to better target and plan for real program change reductions. Thus, despite the fact that ED's overall strategic plan has a burden reduction component (see below), the OCIO at this time does not have the appropriate mechanisms in place to accurately measure the progress against stated performance indicators. Currently one individual serves the function of both CIO and CFO. The Department would benefit from a change that would allow the CIO to be responsible only for the OCIO activities.

Burden Reduction Efforts and Goals

The Department's mission is to ensure equal access to education and promote educational excellence throughout the nation. To accomplish this mission, the Department provides financial support to States and local agencies, promotes challenging standards, provides information on the best educational practices, ensures postsecondary education is affordable and available, and provides high quality statistics and evaluations on Federal education programs. The Department also collects information from students, teachers, parents, administrators, lenders or guarantors of student loans, and many other individuals that play a role in education. This information is used to implement and evaluate programs to improve the academic outcomes for America's students.

The Department's *Strategic Plan, 1998–2002* includes a performance indicator about reducing the information collection burden ED places on the public. ED's commitment is to be a "high-performance organization by focusing on results, service quality, and customer satisfaction" includes the "performance indicator" that "*the data-reporting burden on the public will be reduced annually.*" This burden reduction goal is further tracked in the U. S. Department of Education FY 1999 Annual Plan submitted to Congress.

The goal of the Strategic Plan for Information Collection Management is to reduce the burden ED places on the public by improving the management of ED's information collections without jeopardizing statutory

and program responsibilities. Since the enactment of the Paperwork Reduction Act of 1995 (PRA), the Department has exceeded its PRA goals. Specifically, the PRA called for a governmentwide 25 percent burden reduction of the fiscal year (FY) 1995 level by the end of FY 1998: 10 percent for FY 1996. The Department exceeded its PRA goals by reducing paperwork burden for this 3-year period by 28.9 percent (16.7 million hours).

The Department is just as strongly committed and plans to meet and exceed the goal of an additional 12.2 percent reduction (5.01 million hours) in FY 1999. However, as stated above, ED is unable to assess information collection activities for FY 2000 and thus anticipates no burden change.

In continuing burden reduction efforts, the Department plans to implement the following initiatives: (1) establishing a separate Office of the Chief Information Officer; (2) overseeing information collection redesign groups; (3) implementing the Education Department's Information Collection System (EDICS); (4) streamlining the information collection clearance process; (5) continuing regulatory reinvention efforts; and (6) using state-of-the-art technologies.

Significant Changes in Information Collection Burden During FY 1998

Decreases

- C *Federal Family Education Loan Program* (OMB No. 1840-0538). Of 40.9 million burden hours imposed by ED in Fiscal Year 1998, 38 percent (or 15.58 million) of those hours are associated with this collection. The FFEL regulations set out policies and procedures governing private banks lending money to students to pursue their education beyond high school. ED reduced burden by 6.5 million hours associated with this collection due to the relaxing of regulatory due diligence requirements and the movement of more students to the Federal Direct Loan program.
- C *Free Application for Federal Student Aid (FAFSA)* (OMB No. 1840-0110). ED reduced burden by 1.3 million hours on the FAFSA which enables postsecondary students to apply for financial assistance in the form of grants, loan, and work-study opportunities. The FAFSA instructions were simplified and shortened, the questions were clarified and reduced, and some data elements were eliminated. Also contributing to the reduction in burden was the increasing number of applicants using the electronic and renewal versions of the FAFSA.
- C *Federal Direct Consolidation Loan Program Application Documents* (OMB No. 1840-0693). ED provides an option of loans for higher education directly from the Federal government. The redesign of the Direct Loan Consolidation application process produced a paperwork burden reduction of 936,000 hours.
- C *Local Educational Agency (LEA) Eligibility under Part B of the Individuals with Disabilities Education Act (IDEA)* (OMB No. 1820-0600). ED reduced burden on this collection by over 400,000 hours by changing the requirements of the Application Under Part B of IDEA so that ED now accepts annual updates to the original State application instead of requiring the State to submit a complete application each year.

Significant Changes in Information Collection Burden Planned For FY 1999Decreases

- C *Federal Family Education Loan Program* (OMB No. 1840-0538). ED expects to reduce the paperwork burden associated with FFEL by 5.5 million hours in FY 1999. Part of this reduction will be caused by the increasing use of the Federal Direct Loan and the shift in burden to a new Federal Stafford Application and Promissory Note. Most burden reduction will be attributed to reductions in regulatory requirements and the use of technology to maintain and process these records. Additional burden reduction will come from the elimination of collections associated with programs that have been replaced, remain unfunded by Congress, or have otherwise ended.

Increases

- C *Applications for Programs Authorized under the 1998 Amendments to the Higher Education Act (HEA)* (P.L. 105-244) – *Gaining Early Awareness and Readiness for Undergraduate Programs (GEAR-UP)* (OMB No. 1840-0740); *Application under the Teacher Quality Enhancement Grant Program* (OMB No. 1800-0007); *Application for Learning Anytime Anywhere Partnerships* (OMB No. 1840-0734); *Application for Child Care Access Means Parents in School Program* (OMB No. 1840-New); *Distance Education Demonstration Program* (OMB No. 1840-0735); *Congressional Priorities for Postsecondary Education* (OMB No. 1840-New). These applications are necessary for the Department to implement the discretionary grant programs authorized under HEA. The total increase in burden as a result of these collections will amount to approximately 250,000 hours.
- C *Application for other newly authorized Discretionary Grant Programs — 21st Century Community Learning Centers Program* (OMB No. 1850-0711); *Application for Class-Size Reduction Program* (OMB No. 1810-0618); *Application for Grants under the Community Technology Centers Program* (OMB No. 1830-0539). These applications are necessary for the Department to implement newly authorized discretionary grant programs. The total increase in burden as a result of these collections will amount to approximately 175,000 hours.
- C *Blue Ribbon Schools Program* (OMB No. 1850-0745). This information collection is necessary to implement the Blue Ribbon Schools Program. The Blue Ribbon Schools award is a national school improvement strategy with a threefold purpose: (1) To identify and give public recognition to outstanding public and private schools across the Nation; (2) to make available a comprehensive framework of key criteria for school effectiveness that can serve as a basis for participatory self-assessment and planning in schools; and (3) to facilitate communication and sharing of best practices within and among schools based on a common understanding of criteria related to success. The total increase in burden as a result of these collections will amount to approximately 30,000 hours.
- C *Research Studies — Special Education Elementary Longitudinal Study* (OMB No. 1810-New); *Special Education Expenditure Study* (OMB No. 1820-New); *Application for Bilingual Education Field Initiated Research* (1885-New); *Study of Personnel Needs in Special Education* (OMB No. 1810-New); *National Survey to Determine the Need for Special Education Services* (OMB No. 1830-0537). These new research initiatives will result in approximately 35,000 new burden hours.

Significant Changes in Information Collection Burden Planned For FY 2000Decreases

- C *Federal Family Education Loan Program* (OMB No. 1840-0538). The restructuring of the Guaranty Agency community will greatly diminish and may entirely remove the need for due diligence regulatory requirements. The amount of burden reduction is not currently calculable.
- C *Free Application for Federal Student Aid (FAFSA)* (OMB No. 1840-0110). Additional changes in the Free Application for Federal Student Aid (FAFSA) may also provide large savings in paperwork burden. These changes will be based on changing technology and negotiations with the higher education community.

Recent Statutes that Affect Information Collection Activities

- C The Government and Performance Results Act (P.L. 103-62). The President is a strong proponent of the Federal role in education and Congress has increased the amount of funding for which this agency is accountable. New programs such as those authorized by the recent reauthorization of the Higher Education Act require the development of applications, evaluation requirements, and performance reports. Additionally, the numerous requirements of the Government Performance and Results Act (GPRA) will create a certain amount of additional paperwork burden that is not currently calculable. ED expects some current collections, or components of those collections, will be identified as no longer necessary or will be modified to fulfill the GPRA requirements. The net result may be only a slight increase in paperwork burden because of GPRA. Finally, ED remains committed to secure additional reductions in agency paperwork burden by the use of technology and through cooperative negotiations with the national education community.
- C Higher Education Act (HEA) Amendments of 1998 (P.L. 105-244). Enactment of the HEA amendments resulted in several different discretionary grant programs. The applications process required for implementing these programs will result in 250,000 hours.

Department of Energy

	Burden Hours (in millions)	Percentage Change from Previous FY
Actual FY 1998	4.46	0.4%
Target FY 1999	3.88	! 13.0%
Target FY 2000	3.88	0.0%

Need for Collections of Information

The basic authority for Department of Energy's (DOE) information collections is the statute establishing the Department (the Department of Energy Organization Act, P.L. 95-91). The Department's collections exercise financial and performance management oversight and control over the Department's major operating contractors, offsite contractors, and grantees. The collections also ensure the efficiency and effectiveness of DOE's programmatic and administrative operations. With respect to the Department's energy and statistical collections, the Energy Information Administration was statutorily established to serve as a "central, comprehensive, and unified data and information program which will collect, evaluate, assemble, analyze, and disseminate data and information which is relevant to energy resource reserves, energy production, demand and technology, and related economic and statistical information, or which is relevant to the adequacy of energy resources to meet demand in the near and longer term future for the Nation's economic and social needs." EIA accounts for approximately 18 percent of DOE's entire information collection budget.

Internal Management of Information Collection

The Department of Energy appointed a Chief Information Officer (CIO) with the following responsibilities: electronic resources, electronic network oversight, computer security, telecommunications hardware/software systems development, records management, forms management, and information collections. Within the CIO's office, the Office of Records, Resources, and Information Management (ORRIM) is assigned the day-to-day responsibility of working with the appropriate program offices in order to carry out the Department's information collection activities. DOE has committed one-half of a full time equivalent (FTE) person to the completion of ORRIM tasks.

DOE's process for clearing information collections involves two levels of review. First, the program offices thoroughly review each existing and proposed information collection before submitting it to ORRIM. Second, ORRIM reviews the collections to ensure that they meet standards and requirements under the PRA before submitting them to OMB. Additionally, all information collections are reevaluated during the annual information collection budget process. In order to achieve burden reduction, each level of review is focused on the following objectives:

- C reducing the amount of information requested
- C reducing the number and frequency of collections
- C reducing the number of "persons" asked to respond
- C improving the format of collection and reporting options

Burden Reduction Efforts and Goals

Over the last several years, the Department has significantly reduced the number of total burden hours necessary to comply with DOE's information collections by eliminating unnecessary reporting requirements, streamlining the number of collections in the Department's inventory, and using technology and other tools to reduce the cost of compliance and improve the timing and flow of information. These burden reduction initiatives have translated into specific reductions for FY 1998, 1999, and 2000 and are highlighted below.

Significant Changes in Information Collection Burden During FY 1998

Decreases

- C *Oil and Gas Reserves System Surveys* (OMB No. 1905-0057). EIA's Oil and Gas Reserves System Surveys collect data used to estimate reserves of crude oil, natural gas, and natural gas liquids, and to determine the status and approximate levels of production. Total burden decreased by 3,500 hours because of an improved sampling strategy that required fewer respondents and reduced the reporting frequency for small entity respondents.
- C *Manufacturing Energy Consumption Survey* (OMB No. 1905-0169). EIA uses this collection to obtain data on energy consumption and related subjects for the manufacturing sector of the U.S. economy. This was a triennial survey that was reduced to a quadrennial survey. This change resulted in a burden-hour reduction of 66,900 hours.

Increases

- C *Occupational Radiation Protection* (OMB No. 1910-5105). This was a newly created collection used to oversee DOE's occupational Radiation Program and to improve the flow of information between the Department and its contractors. The collection resulted in an increase of 50,000 burden hours.
- C *Energy Efficiency Program for Certain Commercial and Industrial Equipment: Test Procedures, Labeling, and Certification Requirements for Electric Motors – 10 CFR Part 431, Proposed* (OMB No. 1910-5104) This 12,300 hour increase in burden results from the requirement on manufacturers to test electric motors for energy efficiency and then substantiate compliance with Agency regulations. Part of this involves recordkeeping activities.
- C *Electric Power Surveys* (OMB No. 1905-0129). Burden increased by 7,100 hours due to the addition of questions to surveys to improve EIA's data on the electric power industry. Two forms previously sponsored by other Departmental agencies were incorporated into the Electric Power Surveys package.
- C *Steam-Electric Plant Operation and Design Report* (OMB No. 1905-0197). The EIA-767 form is used to collect data annually from steam-electric power plants of 10 (MW) or more. Data concern air emission and water quality and are used for economic, regulatory, and environmental analysis. Beginning a joint sponsorship of the form with EPA, the EIA-767 was reinstated in FY 1998, resulting in an increase of 15,600 burden hours.

Significant Changes in Information Collection Burden Planned for FY 1999Decreases

- C *Information Management* (OMB No. 1910-0100). As a result of management efficiencies and improvements, a number of collections in this package were eliminated during the first quarter of the fiscal year. This will result in a decrease in burden of 154,000 hours.
- C *Environment, Safety and Health* (OMB No. 1910-0300). This information is primarily used by DOE contractors to provide management control and oversight over programs to protect DOE workers from radiation exposure. The review of environment, safety and health (ES&H) orders will continue. However, additional collection consolidations and eliminations are expected to yield a reduction of 368,000 hours.
- C *Financial Assistance* (OMB No. 1910-0400). The Department's financial assistance regulations have been streamlined. The resulting reduction in information collections decreases public burden by 88,600 hours.
- C *Real Property* (OMB No. 1910-1600). This information collection enabled management to make program decisions that involve facilities requirements. Implementation of the Department's Life Cycle Asset Management Order eliminates the need for all of the information collections in this package, providing a reduction of 82,700 hours.
- C *Procurement* (OMB No. 1910-4100). The Department's regulatory streamlining initiatives will result in a reduction in the scope and number of procurement related information collections. This reduction in collection eliminates 119,700 hours.
- C *Electric Power Surveys* (OMB No. 1905-0129). Burden will decrease by 9,200 hours due to a reduction in the information requested on EIA-411, 860A, and 900. On the EIA-412 and 759, EIA decreased the number of entities required to respond to the surveys by narrowing the respondent category.
- C *Petroleum Marketing Program* (OMB No. 1905-0174). The Petroleum Marketing Program surveys collect information on costs, sales, prices, and distribution for crude oil and petroleum products. The sample size for the EIA-782B survey was reduced from 2,700 to 2,500 respondents. Deletion of duplicate entries on the EIA-863 frames file will reduce projected annual burden further, for a total burden reduction of 6,400 hours.

Increases

- C *Program Management* (OMB No. 1910-1400). This package will be used to ensure effective and efficient management over DOE's programmatic responsibilities, and to exercise financial and performance management over the Department's contractors. This collection will result in an increase in burden by 37,100 hours.
- C *Occupational Radiation Protection Program* (OMB No. 1910-5105). A number of safety-related collections will be revised in this package to improve the safety associated with radiation protection. This will result in an increase of 200,000 hours.

- C *Manufacturing Energy Consumption Survey* (OMB No. 1905-0169). EIA uses this collection to obtain data on energy consumption and related subjects for the manufacturing sector of the U.S. economy. This survey will be reinstated for an increase of 49,400 hours.

Significant Changes in Information Collection Burden Planned for FY 2000

- C The Department has identified significant changes in FY 1999 that will lead to a 13 percent reduction in its FY 1999 burden rate compared to DOE's FY 1998 levels. This reduction exceeds the targets established by Congress and the Office of Management and Budget for both fiscal years 1999 and 2000. While, the Department plans on determining whether additional reductions are possible during fiscal year 2000, it is not possible at this time to determine which specific packages will be affected. It is expected that a number of DOE's larger information collection packages will be reviewed and evaluated for potential burden reductions during the year.

Recent Statutes that Affect Information Collection Activities

None.

Department of Health and Human Services

	Burden Hours (in millions)	Percentage Change from Previous FY
Actual FY 1998	139.31	1.7%
Target FY 1999	164.55	18.1%
Target FY 2000	183.45	11.5%

Need for Collection of Information

The Department of Health and Human Services (HHS) provides leadership in the administration of programs to improve the health and well-being of Americans, and in the maintenance of the United States as a world leader in biomedical and public health sciences. The programs of the Department impact all Americans, either through direct services, the benefits of advances in science, or information that helps them choose medical care, medicine, or even food.

The HHS Strategic Plan identifies six goals:

- C Reduce the major threats to the health and productivity of all Americans;
- C Improve the economic and social well-being of communities, families, and individuals in the United States;
- C Improve access to health services and assure the integrity of the Nation's health entitlement and safety net programs;
- C Improve the quality of health care and human services;
- C Improve public health systems; and Strengthen the Nation's health sciences research enterprise and enhance its productivity.

The Department strives to achieve these goals through program management and administrative efforts, including management of its information collections, in cooperation with its 12 major operating divisions. Each of these 12 operating divisions function under their own tailored strategic plans with goals ranging from the specific such as maximization of electronic transmission and improved accuracy in claims processing and financial reporting to general goals related to the eradication of the health risks of tobacco and the elimination of injuries/risks associated with food and medical products. In FY 1998, the Department had 642 approved collections of information with over 139 million hours. Approximately 93 percent of this burden were located in the Health Care Financing Administration (HCFA), the Food and Drug Administration (FDA), and the Administration for Children and Families (ACF). These agencies have the leadership role in protecting the health safety and security of Americans and in enhancing their economic and social well being.

Internal Management of Information Collection

HHS paperwork oversight functions and information technology strategic planning are centralized under the Chief Information Officer (CIO), who is also the Assistant Secretary for Management and Budget (ASMB). Other substantive PRA-related functions that are analytic and cross-cutting are performed by staff in the Office of the Assistant Secretary for Planning and Evaluation (ASPE) and under the auspices of

the HHS Data Council. Therefore, these activities in effect are not under the direct control of the CIO. The CIO assigns the HHS Reports Clearance Officer (RCO) with day to day Departmental clearance and burden control responsibilities. In total, HHS has 40 professionals with the responsibility of managing a Departmental budget of 138 million burden hours for FY 1998 comprising approximately 11 percent of the entire Federal information collection budget (minus the Department of Treasury).

While a staff of 40 appears, on its face, to be sufficient to implement HHS' paperwork-related functions and responsibilities, HHS faces specific challenges in order to improve management and implementation of these responsibilities:

- C Managing Competing Responsibilities. Many of the component paperwork staff responsible for this immense management task must also perform duties in areas such as financial management, Year 2000 contingency planning, and Government Performance Results Act implementation. Only half of the paperwork staff time is committed solely to PRA functions.
- C Enhanced Oversight of Emergency Clearance Process. While the HHS Central Office and component staffs continue to maintain and improve HHS' compliance with the PRA, opportunities exist for more assertive and value-added oversight of PRA activities. In particular, the HHS can be more vigilant over emergency requests for OMB review. Such requests are not intended to be routine practice since they may inappropriately truncate valuable public comment and participation.
- C Comprehensive Analysis of Paperwork Burdens and Alternative Regulatory Offsets. Tracking burden estimates, assisting HHS components in their efforts to maintain PRA compliance, and reacting to OMB inquiries comprise most of the RCO and component activities. These activities are the focus of PRA staff rather than targeting opportunities for burden reduction, identification of other regulatory cost offsets, and effective information resource management and strategic planning. Earlier and more extensive involvement of paperwork staff in policy development will necessitate a fundamental and dramatic cultural shift at the HHS Departmental and component levels.
- C Ongoing Integration with the ASPE Data Council. The CIO and RCO staff maintain a working relationship with other HHS-wide entities such as the ASPE Data Council, which independent from the CIO, performs critical PRA analytic functions. The CIO and his staff should coordinate extensively with the Data Council and ensure that cross-cutting paperwork collections and policies are reviewed by the Council before they are forwarded to OMB.

Burden Reduction Efforts and Goals

From FY 1997 to FY 1998, HHS generated a moderate increase of one percent in its paperwork burden; over 50 percent of this increase can be attributed to discretionary FDA collections designed to reduce health threats to Americans and improve the quality of their health care.

From FY 1998 to FY 1999, HHS anticipates a significantly greater increase in paperwork burden of 18 percent; over 75 percent of this increase results from statutory initiatives such as the Balanced Budget Act of 1997 (BBA) which implements Medicare + Choice, Medicaid managed care reform, and Medicare prospective payment reimbursement reforms.

From FY 1999 to FY 2000, HHS anticipates an increase in paperwork burden of 11.5 percent; resulting in large part from implementation of the health data standards pursuant to the Health Insurance Portability and Accountability Act of 1996 (HIPAA) (P.L. 104-191). The upfront costs of these initiatives will exceed 20 million burden hours but will be more than offset by over \$1.5 billion in net administrative private and public savings over the next five years.

Although the Department has 12 Operating Divisions, over 87 percent of its burden will be in HCFA and FDA. Given this, the greatest potential for burden reduction will be found in these agencies. The following are examples of short and longer term burden reduction efforts in these two Operating Divisions.

- C Health Care Financing Administration. The majority of HHS' burden is related to administration of the Medicare and Medicaid programs in HCFA. Following are examples of how the Department is working to limit the burden it places on the public to the lowest practicable levels. HCFA pursues its burden reduction objectives through the: (1) adoption of HIPAA health data standards for the private and public sectors; (2) maximization of electronic transmission technology; (3) cost-effective implementation of statutory mandates; and (4) innovative customer service initiatives.
- N *HIPAA Data Standards.* In FY 2000, the Health Insurance Portability and Accountability Act of 1996 (HIPAA) (P.L. 104-191) will be a key systems management tool in streamlining benefits administration. HIPAA will encourage electronic data interchange and should expedite claims processing as well as other common health industry functions. HHS estimates that the net savings for the health care system over five years is conservatively to be \$1.5 billion.
- N *Electronic Transmission.* HCFA continues to foster increased usage of standardized electronic forms for reimbursement of covered services, such as the "Medicare/Medicaid Health Insurance Common Claim Form." In addition, HCFA implemented an electronic "Request for Medicare Payment for Ambulances" to further reduce public reporting burden by over 1 million hours.
- N *Cost-effective BBA Implementation.* In its implementation of the new Home Health Agency (HHA) and Skilled Nursing Facility (SNF) prospective payment systems, as well as with Medicare + Choice, HCFA has made a concerted effort to rely upon existing data bases, regulatory processes, and technology platforms.
- N *Customer Service Initiatives.* To streamline the Part B Medicare Claims process this collection which constitutes 1.8 percent (1.8 million hours) of its total burden, HCFA is initiating a program that will allow beneficiaries, providers, and suppliers to request a review of a carrier's initial claim determination by telephone.
- C Food and Drug Administration. FDA is pursuing two strategies to reduce public information collection burden: first, to revise regulations which although required by statute, could be streamlined through regulatory amendments (e.g., and amendment is planned in FY 1999 for the Hearing Aid Devices rule); second, to increase the use of electronic technology facilitating the collection, maintenance and submission of information to FDA. The following are illustrative of FDA efforts, to revise regulations to reduce respondent burden and cost.

Significant Changes in Information Collection Burden in FY 1998Decreases

- C *Reporting and Recordkeeping for Electronic Products, General* (OMB No. 0910-0025). The decrease in burden for electronic products records and reports of 1.1 million hours resulted from amendments to the electronic products reporting and recordkeeping requirements in 21 CFR 1000. Reports are no longer required for high voltage vacuum switches, rectifiers, shut tubes and cathode ray tubes. Abbreviated reports replaced the more comprehensive initial reports for a number of products such as diagnostic x-ray tables, cradles, and analytical and industrial x-ray systems.
- C *Medicare/Medicaid Health Insurance Common Claim Form* (OMB No. 0938-0008). The burden for this collection dropped by a total of 3.38 million hours for physicians, durable medical equipment suppliers and others as a result of HCFA's efforts to increase usage of standardized electronic forms for reimbursement of covered services. The burden for "Request for Medicare Payment: Ambulance" also dropped by a total of over 1 million hours. While the impact per claim is small, the overall effect is large.
- C *Information Collection Requirements (ICRs) contained in BPD-393, Examination and Treatment for Emergency Medical Conditions and Women in Labor and Supporting Regulations in 42 CFR 488.18, 489.20 and 489.24* (OMB No. 0938-0667). HHS adjusted the burden for this collection downward by 8.8 million hours following an analysis of this collection which revealed that hospitals are performing these tasks in the normal course of business.

Increases

- C *Current Good Manufacturing Practice (CGMP), Quality System (QS) Regulation (Final Rule)* (OMB No. 0910-0073). Under this OMB Information Collection, the Food and Drug Administration (FDA) requested reinstatement of approval for revised information collection requirements in 21 CFR Part 820. FDA has revised previous requirements of the Current Good Manufacturing Practices (CGMP) regulation for medical devices at 21 CFR 820 into CGMP requirements of the final Quality System (QS) regulation (CGMP/QS) (61 FR 52602; October 7, 1996). The revised CGMP/QS regulation expands CGMP requirements to encompass design controls as stipulated by the Safe Medical Devices Act (SMDA) of 1990, part "Sec. 18 Miscellaneous, (e) Section 520(f)." The result is an increase of 3.9 million hours.
- C *Food Labeling Regulations* (OMB No. 0910-0381). This new information collection involves provisions contained in FDA's regulations regarding the label disclosure of certain information concerning food products or the producer of the product, regarding the submission of reports and petitions to FDA, and regarding the retention of records establishing the basis for label information. The result is an increase of 1.5 million burden hours.

Significant Changes in Information Collection Burden Planned for FY 1999Increases

- C *New Drug and Antibiotic Regulations* (OMB No. 0910-0001). Under Section 505 of the Federal Food, Drug, and Cosmetic Act (the Act), a new drug may not be commercially marketed in the United States, imported, or exported from the United States, unless it has been approved as safe and effective

by FDA. Under the Act, it is the sponsor's responsibility to provide the information needed by FDA to make a scientific and technical determination that the product is safe and effective. Once a drug is approved, its formula, manufacturing process, labeling, packaging, dosage, and methods of testing, generally, may not be changed from those stated in the NDA unless a supplemental application has first been filed and approved. This collection is a reinstatement of 2.1 million hours and thus appears in HHS' ICB as an increase.

- C *Prescription Drug Marketing Act* (OMB No. 0910-New). The information requirements contained in the final rule would collect information from establishments engaged in the reimportation and wholesale distribution of prescription drugs; the sale, purchase, or trade of (or offer to sell, purchase, or trade) prescription drugs by hospitals, health care entities, and charitable institutions; the distribution of prescription drug samples; and the wholesale distribution of prescription drugs. This new collection will result in 3.36 million hours.
- C *OASIS as Part of Conditions of Participation for Home Health Aids* (OMB No. 0938-New). The OASIS is a group of data elements that represent core items of a comprehensive assessment for an adult home care patient and form the basis for measuring patient outcomes for purposes of outcome-based quality improvement. Further, OASIS is a key component of Medicare's partnership with the home care industry to foster and monitor improved home health care outcomes and is proposed to be an integral part of the revised Conditions of Participation (CoPs) for Medicare-certified HHAs. Following enactment the BBA, two new rules have been finalized relating to HHAs. One rule revises the existing Conditions of Participation by requiring that HHAs begin to collect OASIS data. The other expands those new CoPs by requiring HHAs to report OASIS to their State survey agency. The two regulations will result in 1.27 million burden hours.
- C *Expanded Coverage of Diabetes Outpatient Self-Management and Training Services* (OMB No. 0938-New). HCFA published an NPRM, "Diabetes Self-Management Benefits," which will implement Section 4105 of the BBA. The proposed rule sets forth an expanded benefit for medicare beneficiaries with diabetes who meet the criteria for self management training services. HCFA anticipates that the proposed rule would improve the health of medicare beneficiaries with diabetes by providing them with skills and knowledge necessary to effectively manage their diabetic condition. HCFA estimates that 2.25 million beneficiaries will receive the diabetes self-management services. This will result in 1,525,000 hours of burden. Of this total, 1,125,000 hours will be imposed upon physicians (or qualified non-physician practitioners) in meeting the requirement that training be part of a comprehensive plan of care and documented in the patients medical record.
- C *SNF Resident Assessment MDS Data* (OMB No. 0938-NEW). These requirements implement provisions of Section 4432 of Balanced Budget Act relating to Medicare payment for skilled nursing facilities (SNFs). The BBA establishes a prospective payment system, which replaces the retrospective cost-based system currently in place. The SNFs must submit resident assessment data electronically for the 5th, 30th, and 60th day following the admission. This requirement minimizes burden on the industry because it builds upon an existing mandate for the collection of resident assessment, MDS data pursuant to the Omnibus Budget Reconciliation Act of 1987. HCFA has estimated 5-year annual Federal savings ranging from \$30 million to \$4.28 billion from FY 1998 to FY 2002. However, the new information collection requirements will result in 3.87 million hours.

- C *Medicaid Managed Care* (OMB No. 0938-NEW). As a result of Section 4701 of the BBA, regulations are needed to amend Medicaid to: (a) allow States greater flexibility to implement mandatory managed care programs; (b) implement new beneficiary protections; and (c) eliminate certain requirements viewed by State agencies as impediments to the growth of managed care programs. Information collected includes information about managed care programs, grievances and appeals, enrollment contracts, and managed care organizational capacity to provide health care services. Medicaid enrollees will use the information collected and reported to make informed choices regarding health care, including how to access health care services and complaint and grievance systems. States will use the information as part of its contracting process with managed care entities. HCFA will use the information in an oversight role of State Medicaid managed care programs. These collections will result in 5.64 million hours.
- C *Medicare + Choice (M+C) Program Requirements* (OMB No. 0938-New). Established under Section 4001–4006 of the BBA, the primary objective of the M+C is to increase the number and types of health plan choices available to Medicare beneficiaries. By expanding choices and providing extensive educational materials through a coordinated open enrollment period, it is expected that beneficiaries will choose plans and health delivery systems that will maximize the benefits to these individuals. The program requirements will result in 1.26 million burden hours.

Significant Changes in Information Collection Burden Planned for FY 2000

Decreases

The following FDA initiatives will result in approximately 2 million hours of program and adjustment burden reductions:

- C *Hearing Aid Devices: Labeling* (OMB No. 0910-0171). This collection is presently at 1.1 million hours. The Agency is looking at several streamlining options which could result in lowering the burden slightly to 200,000 hours.
- C *Current Good Manufacturing Process, Quality System Review* (OMB No. 0910-0073). This is currently on the inventory for 3.9 million hours. FDA believes that as manufacturers grow familiar with the “critical device scheme,” the hours used will be reduced. Also there is a tremendous one time cost and burden hours associated with new manufacturing firms. As time goes on, and the number of new firms decreases, this one-time cost and burden will be reduced or eliminated.
- C *Medical Devices Registration and Listing* (OMB No. 0910-0387). Current burden for this collection is 46,000. HHS will attempt to reduce burden by rewriting the underlying the regulation and allowing manufacturers to enter and change their information via the internet.

Increases

- C *HIPAA Health Data Standards* (OMB No. 0938-NEW). As a result of the Health Insurance Portability and Accountability Act (HIPAA) of 1996, HCFA published a proposed rules that would mandate the National Provider Identifier, the National Standard Employer Identifier, transaction code set and electronic transmission standards, and Security Standards for the public and private health sectors. HCFA projects that these standards will be implemented by FY 2000 and anticipates that in five years they and other HIPAA standards will save the health industry a net \$1.5 billion in

administrative costs and burdens. However, the likely result will be 65 million new burden hours of information collection.

Recent Statutes that Affect Information Collection Activities

Administration for Children and Families (ACF)

- C Personal Responsibility and Work Opportunity Reconciliation Act of 1996 (PRWORA) (P.L. 104-193). This legislation is implemented through the following activities, which impose a combined burden of 1.24 million hours:
- N *TANF High Performance Bonus: NPRM, Bonus Report, and Emergency TANF Data Report* (OMB No. 0970-0180). The statute included provisions for rewarding States which attain the highest levels in work-related measures. Four broad categories are used for measuring state performance: job-entry rate, success in the work force measure, increase in the job entry rate, and increase in the work force measure. The collection instruments are the TANF High Performance Bonus Report (ACF-200) and the Emergency TANF Data Report (ACF-198). The burden for these collections total 21,000 hours.
 - N *Welfare to Work — Emergency Paperwork Request and Interim Final Rule (42 U.S.C. 611)* (OMB No. 0970-0188). Welfare-to-Work participant data must be submitted by those States and Tribes administering the program. This information will be used in the statutory ACF evaluation and Report to Congress. ACF must submit an interim report to Congress by January 1999 and a final report in January 2001. These reports will contain an evaluation of how the Welfare-to-Work grant funds have been used and specific outcome information on participants. Approval of these requirements and publication of implementing rules are pending consultations with the Department of Labor. The burden for this collection total 101,000 hours.
 - N *Child Poverty — NPRM* (OMB No. 0970-0186). The statute addresses concern for potential harm to children that might result from the loss of AFDC entitlement benefits or unsuccessful efforts by caretakers to achieve self-sufficiency within the five-year limit for Federally-funded TANF assistance. The statute required the Secretary to issue regulations establishing a methodology for States to determine child poverty rate and establish a list of factors the methodology must take into account. The NPRM includes the following information collection requirements: (1) percentage of tribal children in poverty and change in percentage; (2) submission of Food Stamp data and/or alternative evidence that the child poverty level did not increase by 5 percent or more; (3) documentation for the relationship of TANF to the increase in child poverty level; and (4) submission of a corrective action plan. The burden for these collections total 15,000 hours.
 - N *TANF Work and Accountability — Final Rule* (OMB No. 0970-New). When this final rule is promulgated, it will impose data collection requirements for the purpose of evaluating state program performance and calculation of the grant amount. The burden for these collections will total 241,000 hours.
 - N *Computerized Support Enforcement Systems* (OMB No. 0980-0271). These regulations contain new requirements for automated data processing and information retrieval systems to carry out the State's IV-D State plan. The automation is critical to improving the performance of the nation's

child support program with a caseload of 20 million. The burden for these collections total 852,000 hours.

- N *Title IV-B and IV-E of the SSA, The Multiethnic Placement Act, and Adoption and Safe Families Act — NPRM* (OMB No. 0970-New). These rules will place numerous requirements on state plans to ensure compliance with the above statutes. The burden for these collections total 11,600 hours.

Food and Drug Administration (FDA)

C Food and Drug Administration Modernization Act of 1997 (FDAMA) (P.L. 105-115)

- N *Biological Products Regulated Under Section 351 of the Public Health Services Act; Implementation of Biological License; Elimination of Establishment License and Product License; Final Rule* (OMB No. 0910-New). FDA is amending the biologics regulations to eliminate references to establishment licenses and product licenses for all products regulated under the Public Health Service Act. In lieu of filing an establishment license application and product license application in order to market a biological product in interstate commerce, a manufacturer would file a single biologics license application with the agency. This action is part of FDA's continuing effort to achieve the objectives of the President's "Reinventing Government" initiatives and is intended to reduce unnecessary burdens for industry without diminishing public health protection. This action also proposes regulations to implement certain sections of the Food and Drug Administration Modernization Act of 1997 (P.L. 105-115). The burden for these collections total 96,600 hours.
- N *Regulations for in Vivo Radiopharmaceuticals used for Diagnosis and Monitoring; Proposed Rule* (OMB No. 0910-New). The proposed rule was published in the Federal Register of August 22, 1998 (63 FR 28301). FDA, in response to the requirements of the Food and Drug Administration Modernization Act of 1997 (FDAMA) (P.L. 105-115), is amending the drug and biologics regulations by adding provisions that would clarify the evaluation and approval of in vivo Radiopharmaceuticals used in the diagnosis or monitoring of diseases. The regulations would describe certain types of indications for which FDA may approve diagnostic Radiopharmaceuticals. The proposed rule also would include criteria that the agency would use to evaluate the safety and effectiveness of a diagnostic radiopharmaceutical under the Federal Food, Drug, and Cosmetic Act and the Public Health Service Act. The burden for these collections total 16,000 hours.
- N *Reporting and Recordkeeping Requirements for Manufacturers, Importers, User Facilities, and Distributors of Medical Devices under the Food and Drug Modernization Act (FDAMA)*. (OMB No. 0910-New). FDAMA contained provisions that affect medical device reporting in a variety of ways. Section 213 of FDAMA eliminated the reporting requirements for medical device distributors (but not for importers), as well as the certification requirements for medical device manufacturers and distributors. This rule eliminates reporting by distributors other than distributors of cigarettes or smokeless tobacco, continues reporting by importers, increases the protection from disclosure of the identity of device user facilities that have submitted reports, reduces summary reporting by device user facilities from semiannual to annual, eliminates annual certification for manufacturers and distributors (including importers) of medical devices other than

cigarettes or smokeless tobacco, and makes other nonsubstantive changes. The burden for these collections total 87,700 hours.

- N** Section 116 of FDAMA, Manufacturing Changes to Approved New Animal Drug Applications (OMB No. 0910-New). Section 116 of the Food and Drug Modernization Act (FDAMA) of 1997 mandated a revision in reporting procedures and requirements for making manufacturing changes to approved new animal drug applications. This revision relaxes the requirements by allowing certain drugs made with other than a “major” manufacturing change to be distributed without pre-approval of the change. A major change is one having a substantial potential to adversely affect the identity, strength, quality, purity, or potency of the drug. The burden for these collections total 59,800 hours.
- N** *Registration of Foreign Establishments Requirements* (OMB No. 0910-New). The proposed rule is intended to implement section 417 of FDAMA. It amended section 510 of the Federal Food, Drug, and Cosmetic Act to require foreign firms that engage in the manufacture, preparation, propagation, compounding, or processing of a drug or device that is imported or offered for import into the United States to register their establishments and the name of a United States agent for the establishment. Thus, the statutory amendment affects human drug, animal drug, biologic, and device firms. It also requires foreign firms to list their products. However, the agency already requires foreign firms to do so via regulation, so the proposal would not affect existing listing requirements.

In brief, the proposal will amend the regulations at parts 207, 607, and 807 to require foreign establishments to register and to identify the United States agent. It would also describe some responsibilities for the United States agent. Other changes are purely technical, such as updating addresses, and have no paperwork implications (although CBER will eliminate a form that is not being used). The burden for these collections total 18,600 hours.

C Prescription Drug Marketing Act (P.L. 100-293).

- N** *Prescription Drug Marketing Act of 1987; Prescription Drug Amendments of 1992; Policies, Requirements and Administrative Procedures* (OMB No. 0910-New). The rulemaking sets forth certain marketing requirements such as drug sample distribution and distribution and sales to charities and health care organizations. The information requirements contained in the final rule would collect information from establishments engaged in the re-importation and wholesale distribution of prescription drugs; the sale, purchase, or trade of prescription drugs by hospitals, health care entities, and charitable institutions; the distribution of prescription drug samples; and the wholesale distribution of prescription drugs. The burden for these collections total 3.17 million hours.

C Safe Medical Devices Act (P.L. 101-629).

- N** *Reporting and Recordkeeping for Electronic Products, General* (OMB No. 0910-0309). The FDA collects this information in compliance with the Radiation Control for Health and Safety Act (P.L. 90-602), which became effective on October 18, 1968. When the Safe Medical Devices Act (P.L. 101-629) was signed into law on November 28, 1990, Sec.19 (a)(4) transferred these electronic product radiation control provisions from the Public Health Service Act, Sections

354–360(F) [42 U.S.C. 263b–263n], to the Federal Food, Drug, and Cosmetic Act, Chapter V, Subchapter C [21 U.S.C. 360hh–ss]. The purpose of this subchapter of the Act is to protect the public from unnecessary exposure to radiation from electronic products, in accordance with FDA’s mission. The burden for these collections total 285,000 hours.

C The Mammography Quality Standards Act of 1992 (MQSA) and the Mammography Quality Standards Reauthorization Act of 1998 (MQSRA)

N *Mammography Facilities Requirement for Accrediting Bodies & Quality Standards & Certification Requirements* (OMB No. 0910-0309). The law requires that to lawfully provide mammography services, facilities must be certified by FDA as meeting quality standards established by the agency. As a first step in becoming certified, facilities must be accredited by an FDA-approved body. In order to become accredited and certified, the law specifically requires that mammography facilities provide to the agency through its accreditation bodies information on the qualifications of their personnel, on their equipment, on their quality assurance programs, and their reporting requirements. The law further requires that mammography facilities be inspected annually and that during these inspections, they must provide information to the agency showing that they are continuing to meet the quality standards. Finally, if a facility is found not to meet the standards during inspections, they must undertake corrective actions and provide information to the agency showing these actions were effective. The burden for these collections total 185,000 hours.

C Nutrition Labeling and Education Act of 1990

N *Food Labeling; Nutrient Content Claims and Health Claims; Restaurant Foods* (OMB No. 0910-0349). The Nutrition Labeling and Education Act of 1990 (NLEA) and FDA regulations implementing that act provide for a number of fundamental changes in how food is labeled, including mandatory nutrition labeling on most foods, uniform definitions that characterize the level of nutrients in a food, and the use of claims about the relationship between nutrients and diseases or health-related conditions. These changes applied to virtually all foods in the food supply, including foods sold in restaurants. FDA established regulations in the August 2, 1996 Federal Register, effective May 2, 1997, to prescribe the manner in which restaurants, which used various approaches to provide claims or other nutrition information concerning the food they sold, could disclose nutrition information concerning their food. These regulations also prescribe the type of information in support of claims that restaurants must retain and make available to regulatory officials upon request. The burden for these collections total 398,000 hours.

C Animal Drug Availability Act (P.L. 104-250)

N *New Animal Drug Application* (OMB No. 0910-0032). The purpose of NADA requirements is to limit the marketing of animal drugs to those products whose safety and effectiveness have been demonstrated by scientific testing. The information is used by FDA scientific staff to determine whether a product is safe and effective. If the data were not collected, potent chemicals would be permitted to enter the marketplace without any scrutiny. Such activities would permit uncontrolled use of chemicals in animals and eventually be deposited as residues in edible products of those animals. The burden for these collections total 282,000 hours.

- N** *Substantial Evidence of Effectiveness of New Animal Drugs — NPRM* (OMB No. 0910-0356). The Animal Drug Availability Act of 1996 (ADAA) among other things, mandated a new definition of the term substantial evidence as it relates to the submission of studies. The agency has reviewed the comments for the proposed rule and has determined that there will be no change in the burden estimate as the final rule is being prepared for publication. The burden for these collections total 544,000 hours.

Health Care Financing Administration (HCFA)

- C** Health Insurance Portability and Accountability Act of 1996 (HIPAA). The following health data standards will be a key systems management tool in streamlining benefits administration. HIPAA, which established these data standards, will, in conjunction with other HHS initiatives, encourage electronic data interchange and should expedite claims processing as well as other common health industry functions. The initial paperwork burdens on the public and private sectors may exceed 65 million hours, but the net savings in administrative costs over five years is conservatively estimated to be \$1.5 billion.
- N** HIPAA Standards for Coding Electronic Transactions, 17.3 million hours.
- N** HIPAA Standards for National Standard Employer Identifier, 3.47 million hours.
- N** HIPAA National Payer Identifier, 85,000 hours.
- N** HIPAA National Provider Identifier, 10.4 million hours.
- N** HIPAA Security and Electronic Signature Standards. (no estimate)
- C** Balanced Budget Act of 1997 (BBA) (P.L. 105-33). Implementation of the BBA will contribute almost 9,000,000 hours to HHS' information collection burden in FY 1999. As described earlier in this chapter, these provisions implement the new Medicare + Choice program, Medicaid Managed Care reforms, quality of care initiatives and benefits, and Medicare reimbursement reforms.
- N** Medicare and Medicaid Program Use of the OASIS as Part of the CoP's for HHAs, (BBA Section 4603), 588,000 hours.
- N** Expanded Coverage of Diabetes Outpatient Self-Management and Training Services, (BBA Section 4105), 1,525,000 hours.
- N** Hospice Cost Report, (BBA Section 4441), 303,000 hours.
- N** SNF Resident Assessment MDS Data, (BBA Section 4432), 3.87 million hours.
- N** Medicaid Managed Care, (BBA Section 4701), 5.64 million hours.
- N** Medicare + Choice Program Requirements, (BBA Section 4001–4006), 1.26 million hours.

- N Information Collections Related to the Ambulance Service Regulation (BBA Section 4531), 131,000 hours.
- N OASIS as Part of Conditions of Participation for HHAs (BBA), 1.27 million hours.
- C Health Resources and Services Administration (HRSA)
 - N *National Practitioner Data Bank for Adverse Information on Physicians and Other Health Care Practitioners (45 CFR Part 60)* (OMB No. 0915-0126). Section 1921 of the Social Security Act (42 U.S.C. 1396r-2) requires each State to adopt a system of reporting to the Secretary certain adverse licensure actions taken against a health care practitioner or health care entity by any authority of the State responsible for the licensing of such practitioners or entities. It also requires each state to report any negative action of finding which a peer review organization, private accreditation entity or a State licensing authority has concluded against a health care practitioner or health care entity. Section 1921 directs the Secretary to provide for the maximum appropriate coordination in the implementation of these reporting requirements with those of section 422 or the Health Care Quality Improvement Act of 1986 (P.L. 99-660). The burden for these collections total 300,000 hours.
 - N *Healthcare Integrity and Protection Data Bank* (OMB No. 0915-0126). This regulation establishes a new part 61 in 45 CFR to implement the statutory requirements of section 1128E of the Social Security Act, as added by section 221(a) of the Health Insurance Portability and Accountability Act of 1996. Section 1128E directs the Secretary of Health and Human Services to establish a national health care fraud and abuse data collection program for the reporting and disclosing of certain final adverse actions taken against health care providers, suppliers, or practitioners. It also directs the Secretary to maintain a database of final adverse actions taken against health care providers, suppliers, or practitioners. This data bank will be known as the Healthcare Integrity and Protection Data Bank (HIPDB). The burden for these collections total 133,000 hours.

Department of Housing and Urban Development

	Burden Hours (in millions)	Percentage Change from Previous FY
Actual FY 1998	18.48	! 42.6%
Target FY 1999	22.33	20.9%
Target FY 2000	22.46	0.6%

Need for Collection of Information

The Department of Housing and Urban Development (HUD) collects information from its program participants to support the administration of its numerous programs such as:

- C Community Development Block Grants (CDBG) to help communities with economic development, job opportunities and housing rehabilitation;
- C Subsidized housing in the form of Section 8 certificates or vouchers for low income households;
- C Subsidized public housing for low-income individuals and families;
- C Homeless assistance in a “continuum of care,” through local communities and nonprofit organizations;
- C HOME Investment Partnership Act block grants to develop and support affordable housing for low-income residents;
- C Fair housing public education and enforcement;
- C Mortgage and loan insurance through the Federal Housing Administration.

HUD collects information from program participants through more than 200 initiatives involving collections, and record keeping and disclosure requirements. This information is necessary for application for HUD’s programs and for HUD to monitor the Department’s financial risk, protect program participants’ interests, and to monitor participants’ program compliance and performance. These information collection activities include:

- C Disclosures to participants of program related real estate transactions;
- C Recordkeeping and reporting related to providing insurance for mortgages and loans placed by private lenders;
- C Information provided by public housing agencies related to HUD-financed construction, rehabilitation, or acquisition of public housing units;
- C Information required of individuals to demonstrate eligibility for public housing benefits;
- C Information from State and local governments and non-profit and other private sector entities for the administration, distribution, funding, and monitoring of numerous individual grant programs.

Internal Management of Information Collection

HUD has exhibited considerable deficiencies in this area over the past several years. This has been evidenced by a large number of information collection activities for which Paperwork Reduction Act approval has lapsed for a lengthy period of time. Despite these deficiencies, HUD anticipates significant improvement in its management of information collection activities. First, the reports management staff responsible for departmental compliance with the PRA has now been formally placed under the Chief

Information Officer (CIO). This will allow HUD to have a more centralized process in which CIO staff will oversee the information collection activities of the different program offices and ensure that uniform practices, consistent with the PRA and OMB procedures, is being carried out across the entire Department. In addition, through implementation of a planned automated Information Collection Budget Tracking System, the centralized CIO office will be better equipped to manage these activities. With the aid of this system, HUD intends to further improve its reports management function and to make its records more readily available to the public.

Burden Reduction Efforts and Goals

HUD's FY 1998 burden hour totals show a very sizable reduction from its FY 1997 level. This reduction during FY 1998 was in large part the result of a combination of the lapse of approval of ongoing information collections as well as downward adjustments made to burden estimates. Because these changes served to artificially deflate the FY 1998 number, the FY 1999 target shows a large increase because of the anticipated effect on FY 1999 burden of the expected reinstatement of approval for information collection activities in use but not reflected in the FY 1998 total. For example, while HUD is expected to achieve an overall decrease in burden when agency discretionary activities and the effect of new statutes are taken into account, the effect of this decrease--projected to be some 2 million hours--is offset by over 8 million hours relating to reinstatements of lapsed approvals for information collections

HUD's burden reduction initiatives center around the Department's efforts to automate its information collection activities into an electronic format and to consolidate information collections.

- C Electronic Reporting. The new electronic submission processes and HUD's Electronic Data Interchange (EDI) initiatives are expected to result in very significant benefits to the government and the general public at large. For example, HUD's Office of Community Planning and Development (CPD) has organized its homeless assistance programs active workload into the Continuum of Care framework and is moving its large population of CDBG grants to electronic reporting of data under CPD's Integrated Disbursement Information System (IDIS).
- C Consolidation of Information Collections. CPD plans to separate all its information collection items into either one of two collection categories based on the nature of their purpose: either planning components which fall within the Consolidated Plan information collection approval or program management/implementation activities necessary to monitor grantee implementation actions and to protect the public trust. It has accomplished the consolidation of the planning activities for formula grant programs within one information collection. The effect of this consolidation process on the planning activities has been to eliminate duplication, institute electronic reporting through Community 2020 software and to reduce overall reporting burden.

Significant Changes in Information Collection Burden during FY 1998

Decreases

- C *Proposed Requirements for Disclosure of Lead-based Paint Hazards in Residential Housing* (OMB No. 2539-0007). In this joint rule, the Environmental Protection Agency (EPA) included the entire information collection burden in its Information Collection Budget; therefore, the inclusion of burden hours in HUD's Information Collection Budget was a duplication. As a result, HUD was able to adjust its ICB downward by 4.0 million hours.

- C The Office of Housing reduced the reporting burden by 3.76 million hours on the requirement that lenders disclose escrow account dispersals by adopting a less burdensome collection in final rulemaking than it had originally proposed. (OMB No. 2502-0517).

Increase

- C *Public Housing Assessment System (PHAS) Certification* (OMB No. 2535-0106). The Real Estate Assessment Center uses this collection to assess the management performance of PHAs, designate troubled performers, and address deficiencies through Memorandums of Agreement with those troubled PHAs. The Real Estate Assessment Center automated this collection resulting in a burden increase of 728,000 hours.

Significant Changes in Information Collection Burden during FY 1999

Decrease

- C *Real Estate Settlement Procedures Act (RESPA)— Section 6, Model Servicing Transfer* (OMB No. 2502-0458); *Initial Escrow Account Statement, Annual Escrow Account* (OMB No. 2502-0501). HUD reduced burden by 4,515,000 hours and 3,258,300 respectively by initiating regulatory changes that would permit lenders to use computer generated information rather than manual individual responses.

Increase

- C *Proposed Requirements for Disclosure of Lead-based Paint Hazards in Residential Housing* (OMB No. 2539-0007). HUD will experience a 2 million hour upward burden adjustment, when the Office of Lead Hazard Control incurs its share of the burden hours contained in this rule that was jointly issued by HUD and EPA. In FY 1999, EPA will seek re-approval, and at that time HUD will become responsible for 50 percent of the burden hours (almost 2 million hours).

Significant Changes in Information Collection Burden during FY 2000

Increase

- C The mortgage broker contract rule will be revised to prohibit fees to mortgage brokers from wholesale lenders. This will result in an increase of 132,000 burden hours.

Recent Statutes that Affect Information Collection Activities

- C Fiscal Year 1999 HUD Appropriation Act. This Act requires additional disclosures to consumers for mortgage transactions. HUD estimates that when fully implemented this will increase burden hours by 500,000 annually.
- C Quality Housing and Work Responsibility Act of 1998. Implementation of this Act will increase information collection requirements for Public Housing Agencies by an estimated 412,000 burden hours annually.

Department of the Interior

	Burden Hours (in millions)	Percentage Change from Previous FY
Actual FY 1998	4.57	! 12.0%
Target FY 1999	4.98	8.8%
Target FY 2000	4.96	! 0.2%

Need for Information

The U.S. Department of the Interior (DOI), in its efforts to protect and provide access to the Nation's natural and cultural heritage, collects information in performing each of the following functions:

- C DOI manages a large percentage of Federal lands, requiring a variety of applications for permits for various activities, from camping to logging, from hiking in the backcountry to putting in a major road.
- C DOI regulates resource extraction operations on and off Federal lands and on the Outer Continental Shelf to protect the environment and human safety, requiring a range of information from operators. DOI also collects revenue from all resources extracted from Federal lands and performs research to better inform policy makers on natural resource issues.
- C DOI fulfills its trust responsibility to Indian tribes through a variety of assistance programs and through the Self-Determination and Self-Governance programs.

Internal Management of Information Collection

Each DOI bureau has a designated information collection clearance officer responsible for ensuring that the bureau's rulemakings and administrative actions comply with the Paperwork Reduction Act of 1995 (the PRA). This includes the preparation of requests to the Office of Management and Budget (OMB) for approval of information collections. While these officers are the primary PRA contacts with the bureaus, DOI does have a centralized office responsible for oversight of PRA implementation — the Assistant Director for Economics, Office of Policy Analysis (PPA).

Before information collection requests can be sent to OMB, each PRA request must be approved by the PPA, who has been delegated almost all of the information collection oversight responsibilities of the DOI Chief Information Officer. A senior PPA staff person reviews all Departmental information collections before their submission to OMB for approval. This PPA staff person provides all guidance and training for the bureaus on the information collection clearance process and also coordinates preparation of the annual reports to OMB on the DOI's information collection activities. PPA has been working with the bureaus to assure they are in full compliance with the PRA.

While the PPA has demonstrated independence from DOI's programs necessary to ensure an impartial review of information collection requests, the responsibility for burden reduction in DOI remains with the separate bureaus. This has resulted in the PPA's limited ability to initiate program changes or plan long range burden reduction initiatives. Thus, an area for improvement in DOI's internal management would be

to better integrate information collection activities into DOI's overall information resources management strategy.

In the regulatory context, the DOI Office of Regulatory Affairs tracks and reviews all regulatory activities undertaken by DOI offices or bureaus. One of the tasks of this office is to review each proposed rule to ensure its compliance with the PRA.

Burden Reduction Efforts and Goals

Burden reduction in DOI remains the responsibility of the separate bureaus. While the bureaus have endeavored to reduce burden, such efforts have proven challenging in the face of statutory and programmatic mandates. Further, as the bureaus have increased their attention to the PRA, they have identified many additional collections that had been conducted without OMB approval or had inadvertently expired. Accordingly, apart from changes in the number of respondents, adjustments in the burden estimates, and the reinstatement of previously expired collections, DOI expects minor increases in information collection burden during FY 1999 and FY 2000.

- C Meeting Statutory and Policy Mandates. The bulk of the information collections done by DOI are regulatory in nature, either for the protection of the environment or public safety, or for the provision of services to native tribes. These regulations are based on statutes, such as the Outer Continental Shelf (OCS) Lands Act, that have been the subject of considerable debate and multiple amendments to fine tune their provisions. While the bureaus' have reviewed DOI's implementation of these laws in an effort to identify burden reducing program changes, the review has not yet resulted in reductions.

The bureaus with strong regulatory responsibilities and the greatest information collection burdens, the Office of Surface Mining (OSM) and the Minerals Management Service (MMS), have been unable to reduce information requirements that safeguard environmental quality or human health and safety. The U.S. Fish and Wildlife Service (FWS), the National Park Service (NPS), and the Bureau of Land Management (BLM) have similarly found it difficult to reduce information requirements that help protect national resources.

- C General Burden Reduction Strategies. Even though the bureaus may not be able to readily reduce their information needs, they have been working hard to reduce the burden imposed on the public in meeting those needs and to provide the public and other agencies with better access to DOI information. They have been pursuing a number of strategies, including:
- N designing regulations to rely, as much as possible, on information generated by industry in their normal business practices;
 - N automation of records systems (e.g., the BLM's Automated Land and Minerals Record System);
 - N interagency automated data sharing (e.g., BLM and Forest Service implementation of the "Service First" program to provide one-stop service to customers doing business with multiple natural resource agencies); and
 - N automation of frequently used forms to allow electronic filing (e.g., the BLM's automation of its Land Use Application).

- C Specific Burden Reduction Strategies. Other particular management initiatives of note include:
- N During FY 1998, NPS, in cooperation with OMB, developed a new program for developing and conducting social science surveys of park visitors. This program is expected to improve the quality of NPS's surveys, reduce the time needed to develop them, and improve the quality of the resulting data.
 - N During early FY 1999, BIA will establish a new office for regulatory matters with a full-time information collection officer.
 - N MMS continues to rewrite its regulations in "plain language," making them easier to understand, and revise them to be less prescriptive and more performance-based through the use of industry standards. MMS is also currently conducting pilot test programs for electronic submission of oil-spill contingency plans, well-test submissions, and commingling/measurement applications. The MMS royalty program is in the midst of a multi-year effort to reengineer its royalty management processes, including working with other agencies in the Executive branch to coordinate efforts and eliminate multiple demands on the public.
 - N OSM is sponsoring workshops to encourage the use of electronic permitting methods.
- C Improving PRA Compliance. DOI has recently reinstated a number of collections that had expired. As these collections are reinstated, DOI's total burden increases. In the case of the BLM, many of its efforts at reinventing regulations and information requirements remain hidden because the reduced collections had expired and now appear as new burden. The MMS, by improving PRA compliance, is also increasing its estimates of burden because it is making a more serious effort to evaluate the full impact of its collections.

The process of bringing DOI into full compliance was largely completed within DOI in FY 1998, with the exception of the Bureau of Indian Affairs (BIA). In FY 1999, the BIA expects to reinstate a number of collections totaling over 200,000 hours, to bring BIA into full compliance with the PRA. The BIA expects further to eliminate or consolidate a number of forms and reports as part of the reinstatement process, eliminating about 3,000 hours of burden.

Significant Changes in Information Collection Burden During FY 1998

Decreases

- C *Special Park Uses* (OMB No. 1024-0026). NPS reported a decrease in burden of 111,000 hours based on receipt of more applications electronically and through a re-estimation of burden.
- C *Production Accounting Auditing System Oil and Gas Reports* (OMB No. 1010-0040). MMS proposed a rule which mandates electronic reporting of this information and reduces the frequency of reporting. These actions reduced the burden of this collection by 52,000 hours.
- C *Designation of Royalty Payment Responsibility, Form MMS-4425* (OMB No. 1010-0107). This information is collected from entities that pay royalties on resource extracted from Federal lands. In many cases these entities are not actually liable for underpayment of royalty. MMS initiated this

collection to determine who is liable. The burden of this collection dropped significantly — 66,000 hours — in FY 1998 once MMS had collected information from current payors.

- C *Permanent Program Performance Standards, Surface and Underground Mining Activities* (OMB Nos. 1029-0047, 1029-0048). OSM reported a decrease of 570,000 burden hours due to re-estimation and reduction in the number of operating mines.
- C *Permanent Program Inspection and Enforcement Procedures* (OMB No. 1029-0051) The OSM reported a decrease of 106,000 burden hours due to fewer required inspections because of a trend in the mining industry where fewer mines are producing more coal.

Increases

The following increases are due mainly to re-estimates of the actual burden and/or reinstatement of expired collections and therefore do not represent new burdens on the public.

- C *Federal Fish and Wildlife License/Permit Application* (OMB Nos. 1018-0022, 1018-0092, 1018-0093, 1018-0094). FWS has completed a comprehensive review of its permits, including a rewrite of the forms and instructions and a reestimation of the burden. These permits, which had expired during FY 1997, were reinstated, increasing the reported information collection burden by 140,000 hours.
- C *Migratory Bird Harvest Survey* (OMB No. 1018-0015). FWS changed this survey, increasing the response rate and improving the quality of the data. However, since the survey had previously expired, the survey was reinstated, increasing burden by 100,000 hours.
- C *Information Collection in Support of Grant Programs Authorized by the North American Wetlands Conservation Act (NAWCA)* (OMB No. 1018-0100). FWS submitted this collection which was being conducted without OMB approval, increasing reported burden by 37,600
- C *Exploration and Development and Production Plans — 30 CFR 250, Subpart B* (OMB No. 1010-0049). MMS reported an increase in the burden of this collection of 98,000 hours after reestimating the burden to include provisions of the rule previously not included and to account for changes in use.
- C *Performance Measures for Outer Continental Shelf Operators - Form MMS-131* (OMB No. 1010-0112). MMS has promoted on a voluntary basis the implementation of a comprehensive Safety and Environmental Management Program (SEMP) for the offshore oil and gas industry as a complement to current regulatory efforts to protect people and the environment during oil and gas exploration and production activities in the OCS. The industry through its trade organizations asked that they be given the opportunity to develop SEMM and a chance to demonstrate that they could voluntarily adopt it on a widespread basis. Thus, to know the effect of SEMM on safety and environmental management of the OCS, MMS developed a voluntary collection through Form MMS-131, increasing burden by 3,200 hours.
- C BLM reinstated a series of previously expired collections, totaling 117,000 hours, including: *Oil and Gas Operating Regulations* (OMB No. 1004-0134); *Sundry Notices and Reports on Wells* (OMB No.

1004-0135); *Application for Permit to Drill* (OMB No. 1004-0136); and *Well Completion or Recompletion Report and Log Form* (OMB No. 1004-0137).

Significant Changes in Information Collection Burden Planned for FY 1999

Decrease

- C *Performance Measures for Outer Continental Shelf Operators - Form MMS-131* (OMB No. 1010-0112). MMS improved this voluntary collection (see above) by eliminating data elements and clarifying the instructions, reducing burden by 2,300 hours.
- C For FY 1999 and 2000, the BLM plans to continue automating various forms, including the frequently used oil and gas forms (Applications for Permit to Drill, Sundry Notices, and Well Completion Logs) and the right-of-way application form. The target forms for these efforts are those that are used by at least 250 individuals and groups annually. The oil and gas and right-of-way forms affect an estimated 15,000 respondents annually and could result in burden hour reductions of 1,000 hours annually.

Increases

- C The MMS will propose several rulemakings to implement provisions of the Federal Oil and Gas Royalty Simplification and Fairness Act (RSFA) of 1996 (P.L. 104-185), which will increase burden.
 - N Section 6(d) of the RSFA mandated specific requirements for the reporting and paying of royalties for Federal oil and gas leases under varying land categories. The subsection also provides alternatives and exceptions to the mandated reporting requirements. The rulemaking, officially entitled: "Reporting and Paying Royalties on Federal Leases," will clarify and codify those reporting and paying requirements under new 30 CFR Part 205. MMS anticipates that these new requirements will increase burden by 56,000 hours. (OMB No. 1010-New)
 - N The Office of Hearings and Appeals (OHA) and MMS propose to amend their rules governing the appeal of orders from both MMS' Royalty Management Program and MMS' Offshore Minerals Management Program. Included in this proposed rulemaking are new regulations governing the issuance of orders and the ability of appellants in royalty appeals to demonstrate financial solvency in lieu of posting a surety bond in accordance with RSFA. This rulemaking will include a series of new collections, increasing burden by 32,920 hours. (OMB No. 1010-New)
 - N MMS will propose regulations to explain to lessees and their designees how to obtain royalty prepayment and accounting and auditing relief for Federal marginal onshore and OCS oil and gas leases. The purpose of granting relief is to promote production, reduce administrative costs, and increase net receipts to the United States and the States. Instituting this relief will add 7,511 burden hours for a new collection, but decrease reporting burden by 25,700 hours for *Reports of Sales and Royalty Remittance - Form MMS-2014*. (OMB No. 1010-0022)
- C *Oil Location Differential Report - Form MMS-4415* (OMB No. 1010-New). MMS has proposed and intends to implement during FY 1999 a new rule which changes the way in which the royalties are calculated for oil extracted from Federal leases. These changes would require additional reporting by royalties payors, increasing burden by 5,200 hours.

- C DOI bureaus must implement the Debt Collection Improvement Act of 1996 (P.L. 104-134) which requires that all individuals and groups that do business with the government to provide their Social Security or taxpayer identification number. This information will assist the Treasury Department in collecting delinquent payments. The BLM anticipates requesting this information from most all of its customers during FY 1999. Although the burden time will average only about 1 minute, because there are about 120,000 customers involved, the total burden will be about 20,000 hours.
- C BIA is conducting a comprehensive review of its information collection activities to bring BIA into full compliance with the PRA. BIA expects to eliminate or consolidate a number of forms and reports as part of this process and to reinstate a number of collections totaling over 200,000 hours. This number is significantly lower than it might have otherwise been, but the actual reduction is unknown because the eliminated forms were already expired.

Significant Changes in Information Collection Burden Planned for FY 2000

- C *Permit Applications— 30 CFR Part 778* (OMB No. 1029-New). OSM plans a rulemaking that will eliminate 25,000 burden hours by requiring less information reporting and by allowing applicants to certify that the information currently maintained by OSM on its databases is correct.

Recent Statutes that Affect Information Collection Activities

- C Federal Oil and Gas Royalty Simplification and Fairness Act (RSFA) of 1996 (P.L. 104-185), amending the Federal Oil and Gas Royalty Management Act of 1982. RSFA will negatively impact DOI's ability to achieve the 5 percent reduction goal during FYs 1999 and 2000 by requiring the MMS to promulgate new rulemaking in several critical areas (designation of royalty payment responsibility, delegation of authority to States, marginal properties, prepayment of royalties, and takes vs. entitlements). These rulemakings will add about 75,000 hours of burden through new collections in FY 1999.
- C The Debt Collection Improvement Act of 1996 (31 U.S.C. 3701) (P.L. 104-134). The Debt Collection Improvement Act of 1996 contains provisions that require all individuals and groups that do business with Federal agencies to provide their social security number (SSN) or taxpayer identification number (TIN). This information is necessary because all Federal disbursements, regardless of size, must now include the payee's SSN or TIN. This information will also assist the Treasury Department in collecting delinquent payments. This Act will affect all the DOI bureaus to some extent and negatively impact DOI's ability to achieve the 5 percent reduction goal for FYs 1999 and 2000.

In particular, the BLM has this information for some of its customers, such as contractors and certain mineral lessees, but it does not have it for all. BLM anticipates requesting this information from about 120,000 parties in FY 1999, with an estimated burden of 20,000 hours. In future years, the BLM will collect this information only from new customers and the burden should drop to 100 hours per year.

Department of Justice

	Burden Hours (in millions)	Percentage Change from Previous FY
Actual FY 1998	25.82	! 30.9%
Target FY 1999	37.37	44.7%
Target FY 2000	37.05	! 0.8%

Need for Collection of Information

The Department of Justice (DOJ) collects information primarily to ensure compliance with Federal laws dealing with wide ranging activities and issues (e.g., immigration, drug enforcement, antitrust). The collective missions of DOJ are so diverse that they are conducted by 36 separate Departmental component organizations. The following 14 components collect information from the public in order to effectively accomplish their individual missions: Immigration and Naturalization Service; Civil Division Drug Enforcement Administration; Civil Rights Division; Federal Bureau of Investigation; Executive Office for Immigration Review; Office of Justice Programs; Foreign Claims Settlement Commission Community Oriented Policing Services; National Institute of Corrections; Criminal Division; U.S. Trustees; Antitrust Division; Justice Management Division.

Below is a description of the need for collection from the components imposing the greatest burden of information collection.

- C Immigration and Naturalization Service (INS). INS collects information to provide for immigration and for the controlled entry and stay of non-immigrants. INS' mission is to determine the admissibility of persons seeking entry and to adjust the status and provide other benefits to legally entitled non-citizens in the United States with proper regard for equity and due process. INS collections constitutes over 90 percent of DOJ's information collection burden.
- C Drug Enforcement Administration (DEA). DEA is authorized by the Comprehensive Drug Abuse and Prevention and Control Act (1970 P.L. 91-513) to enforce this law as it applies to the registration of handlers of controlled substances. The purpose of the Drug Diversion Control Program is to prevent, detect, and investigate the diversion of controlled substances from legitimate channels while ensuring that there is an adequate uninterrupted supply of these chemicals and pharmaceuticals to meet legitimate needs.
- C Office of Justice Programs (OJP). OJP collects information for the Violence Against Women Grants Office in support of the Violence Against Women Act of 1994 (PL 103-22) by administering the Department of Justice's formula and discretionary grant programs. The program assists the Nation's criminal justice system in responding to the needs and concerns of women who have been, or potentially could be, victimized by violence.

Internal Management of Information Collection

The Attorney General appointed the Assistant Attorney General for Administration (AAG/A) to the position of Chief Information Officer (CIO) for the Department. As the Department's CIO, the AAG/A is responsible for the Department's implementation of the Paperwork Reduction Act (PRA) of 1995. This includes the evaluation of the need for the information, its estimated burden, the agency's plans for management and uses of the information, and whether each proposed collection meets the requirements of the PRA.

In accordance with DOJ's policy of centralized direction and decentralized implementation, the CIO provides the management direction to the component Senior Information Resources Management Officials (SIRMOS) who implement the PRA activities at the component level.

During FY 1998, IMSS experienced an increased number of new information collections due to a combination of statutory requirements and agency actions, and a significant increase in the renewal of existing information collections. As a result of the increased workload, the CIO directed that additional resources be added on a part-time basis to ensure that all collections were efficiently processed on-time. Despite this, over 100 collections were unintentionally allowed to expire in 1999. An automated system is under development that will provide management with the capability to track the individual information collections, monitor suspense dates, prepare all notices for publication, etc. This system is scheduled for testing in February 1999 and will hopefully lead to the elimination of further inadvertent expirations.

Burden Reduction Efforts and Goals:

The following components of DOJ are in the process of implementing initiatives that will result in significant burden reduction on the public.

- C Immigration and Naturalization Service (INS). Due in large part to a number of new statutes (see list below), INS has not achieved burden reductions over the past several years. However, INS has taken some initial positive steps to reduce the burden on the public. The work accomplished by INS to date will help facilitate the application process for naturalization benefits, those foreign students seeking to enroll in U.S. universities and colleges, etc. INS intends to pursue the following activities in FY 1999 and FY 2000 to reduce burden on the public.
 - N *APIS*. In an effort to streamline document handling and data processing, INS is testing a new procedure with a U.S. airline company that will allow an overseas check-in agent to scan a machine readable passport into the Advanced Passenger Information System (APIS), or if the passport is not machine readable, the check-in agent will manually key in the passport information into APIS. The system will then generate a machine readable Form I-94. The passenger will then only have to complete four data elements instead of 13 they currently must complete.
 - N *Streamlining naturalization process*. As a part of its re-engineering of the naturalization adjudication process, INS has implemented, or is in the process of implementing, a significant number of new procedures that will streamline the adjudication process and help eligible naturalization applicants become U.S. citizens more quickly and with fewer administrative hurdles. INS also is providing more information in more ways to the public about the naturalization process that will help prospective applicants better determine whether they should apply.

- N** *Forms redesign initiative.* INS is implementing a forms revision initiative designed to make 23 of its most commonly used benefit petitions and applications more user-friendly for the public. The goal of the initiative is to redraft the forms from the customer's perspective, thus reducing the overall burden imposed on the public by at least 25 percent.
- C** Drug Enforcement Administration (DEA). DEA has worked diligently to reduce the burden of its requirements on industry by refining the requirements of the Diversion Control Program to minimize its impact on industry. This process involves a simplified registration process which includes a recordkeeping requirement based on the use of normal business records, and the use of reporting requirements that either focus on those transactions that are of concern, or can be satisfied through existing reports.
- C** Federal Bureau of Investigation (FBI). The Uniform Crime Reporting Program, recognizing the need for improved statistics and a need to modernize, is currently implementing the National Incident-Based Reporting System (NIBRS). The goal of the redesign is to modernize crime information by collecting data presently maintained in law enforcement records; a by-product of current records systems maintained at the state or local level. Data are submitted on computer tape or cartridge. While this will allow FBI to more effectively process information, it will not produce a reduction in burden.
- C** Community Oriented Policing Services (COPS). COPS achieved a 29.6 percent decrease in collection burden in FY 1998 by monitoring collections to ensure surveys are streamlined, remain active as long as the information is required, and eliminate duplicate collections.

Significant Burden Changes in Information Collection Burden During FY 1998

Decreases

- C** *Employment Eligibility Verification (Form I-9)* (OMB No. 1115-0136). This collection was reduced by approximately 2 million hours due to re-estimates of the burden and the number of respondents.
- C** *Application to Replace Alien Registration Card (Form I-90)* (OMB No. 1115-0004). This collection was reduced by approximately 851,000 hours due to re-estimates of the burden and the number of respondents. The level of activity decreased significantly with the March 1996 sunset of the old I-551 "Green Card Replacement Program." This form is scheduled for streamlining and re-engineering during FY 1999.
- C** *Arrival and Departure Record (Form I-94)* (OMB No. 1115-0077). This collection was reduced by approximately 564,000 hours due to the expected decrease in the number of individuals who will use this form during FY 1999.
- C** *Automated Alternative Inspection Services (Form I-823)* (OMB No. 1115-0174). INS has reduced the burden of this collection by nearly 579,000 hours. This reduction was achieved by reducing the number of required data elements, increasing automation, having INS personnel complete more information for respondents, and targeting frequent travelers, thereby reducing respondents.
- C** *Medical Certification for Disability Exception (Form N-648)* (OMB No. 1115-0205). This collection was reduced by nearly 840,000 hours due to re-estimates of burden and the number of applications filed.

- C *Request for Payment and Payment Selection Sheet* (OMB Nos. 1103-0023 and 1103-0024). These two forms were eliminated due to the availability of electronic payment. This has resulted in a reduction of 38,800 burden hours. This reduction has been part of the overall effort by COPS to reduce burden through the timely elimination of unnecessary forms.
- C *Application for FBI employment* (OMB No. 1115-0016). The burden associated with this collection declined by 20,816 hours due to fewer applications. All other significant changes in FY 1998 were the result either of the unintentional expiration of collections or the reinstatement of previously expired collections. Net expirations (expirations-reinstatements) resulted in a total of 9,842,108 burden hours removed from the DOJ records.

Increases

- C *Application for Naturalization (Form N-400)* (OMB No. 1115-0009). This collection increased by approximately 1,557,000 hours due, in part, to the requirement for new quality assurance procedures that resulted in a second interview for many applicants and increased waiting periods and fingerprinting requirements.
- C *Intra-company Transferee Certificate for Eligibility (For Blanket Petitions Only (Form I-129S))* (OMB No. 1115-0128). This collection increased by approximately 130,000 hours. This increase was caused by the strength of the U.S. economy that resulted in more foreign based companies locating affiliates, subsidiaries, and branch offices in the Continental U.S.
- C *Application to Register Permanent Residents or Adjust Status and Supplement A (Form I-485)* (OMB No. 1115-0053). This collection increased by nearly 613,000 hours due to the Nicaraguan Adjustment and Central American Relief Act (NACARA). This increase is due to the requirement that applicants who want to apply for this benefit must file a form I-485.
- C *Application for Asylum and Withholding of Removal (Form I-589)* (OMB No. 1115-0086). This collection increased by some 217,000 hours due to the redesign of the form to satisfy the concerns and requirements of the voluntary agencies and other interested parties.
- C *Employment Authorization Document (Form I-765)* (OMB No. 1115-0163). The burden for this collection was increased by nearly 723,000 hours due in part to an increase in the number of aliens requesting authorization to work in the U.S. and due to the Haitian Deferred Enforced Departure (DED) program.

Significant Burden Changes in Information Collection Burden Planned for FY 1999

Decreases

- C *Arrival and Departure Record (Form I-94)* (OMB No. 1115-0077). This collection will be reduced by approximately 334,000 hours due to the expected decrease of the number of individuals who will use this form. Additionally, Public Law 104-676 requires INS to implement the pilot for the electronic processing of arrival and departure information. This electronic processing, the Advanced Passenger Information System should result in additional decrease in burden of 300,000 hours.

- C *Application for Naturalization (Form N-400)* (OMB No. 1115-0009). This collection is projected to decrease by approximately 417,000 hours due to the decline in the number of individuals becoming naturalized citizens since the demand has dropped in FY 1998 and this pattern is expected to continue in FY 1999. The streamlining of the naturalization process will also serve to decrease burden.
- C *Application for Registration DEA Form-224 Application for Registration Renewal DEA Form-224A.* (OMB No. 1117-0014) -The burden for this collection will decrease by 10,350 hours due to conversion to electronic systems to submit applications via the Internet. This is part of the greater effort to minimize the burden DEA places on the public discussed above.
- C *Innovative Community Oriented Policing Program* (OMB No. 1103-0034) This program application which creates a burden of 67,781 hours will be retired in FY1999.

Increases

- C *Application to Replace Alien Registration Card (Form I-90)* (OMB No. 1115-0004). This collection is projected to increase by 51,233 hours because alien registration cards are expiring at the end of the first 10-year validity period which was mandated for these cards in 1989.
- C *Petition for Nonimmigrant Worker (Form I-129)* (OMB No. 1115-0168). The level of increase in FY 1999 for this benefit is partially due to the number of petitions for H-1B professional non-immigrant workers. This specific nonimmigrant classification category will increase by 38,500 hours in FY 1999 due to the American Competitiveness Workforce Improvement Act (ACWIA) that raised the numerical cap from 64,000 to 115,000 on the nonimmigrant visas that can be granted for this benefit
- C *Employment Authorization Document (Form I-765)* (OMB No. 1115-0163). The Executive Order that granted certain Haitian nationals relief from removal also granted them the opportunity for employment authorization. Consequently, INS estimates that the number of applications will increase along with the burden due to the number of eligible individuals who will apply for employment in the U.S. This is estimated to result in an increase of 113,000 hours.
- C *COPS Count Survey* (OMB No. 1103-New). This new collection totalling 34,329 hours will assist COPS in monitoring the status of grants funded.

Significant Burden Changes in Information Collection Burden Planned for FY 2000

Decreases

- C *Forms Consolidation* (Various OMB Nos.). This project which is projected to be completed by FY2000, will lead to the streamlining of up to 15 INS forms. The project also has as a goal, rewriting the forms in plain english. It is anticipated that the effort will yield a 25 percent reduction in burden for the forms revised.
- C *Application for FBI employment* (OMB No. 1115-0016) Due to fewer applications, burden is expected to decrease by 47,048 hours.

Increases

- C *Petition for Nonimmigrant Worker (Form I-129)* (OMB No. 1115-0168). It is projected that an additional 50,000 petitions for workers in specialty occupations will be filed, causing an increase of 100,000 burden hours.
- C *Petition for Alien Relative (Form I-130)* (OMB 1115-0054). On November 24, 1998, INS published a proposed rule to amend the Department of Justice regulations to implement section 203 of NACARA. There are approximately 240,000 persons who have asylum applications pending with INS, as well as their qualified family members. Although not all of these people will qualify to the apply for lawful permanent residence, it is expected that the majority of them will file Forms I-485 during Fiscal Years 1999 and 2000. There will be an increase of one half hour per new applicant leading to an approximate burden increase of 60,000 hours.

Recent Statutes that Affect Information Collection Activities

Immigration and Naturalization Service (INS)

- C Clarification of Eligibility for Relief from Removal and Deportation for Certain Aliens. (P.L. 105-100). This law, better known as the Nicaraguan Adjustment and Central American Relief Act (NACARA) was enacted during FY 1998 on November 19, 1997. The interim regulations were published May 21, 1998, and the effective date of the regulation was June 22, 1998. The program expires in FY 2000 on March 31, 2000. NACARA provides for the adjustment of status to permanent resident aliens of certain nationals of Cuba or Nicaragua who have been physically present in the United States since December 1, 1995, and who apply before April 1, 2000. The passage of this law served to increase the burden by almost 613,000 hours because, to apply for this benefit, applicants must complete and file Form I-485, Application for Permanent Resident Status.
- C Omnibus Budget Act — H.R. 4276 (P.L. 105-277). Title IV, the American Competitiveness Workforce Improvement Act (ACWIA), of the Omnibus Bill increases the annual H1-B cap for professional nonimmigrants from 64,000 to 115,000 in FY 1999 and FY 2000; and then decreases the cap to 107,500 in FYs 2001 and to 65,000 thereafter. This will result in an increase in the number of I-129B petitions filed with the Service during the FY 1999 through FY 2001.

Federal Bureau of Investigation (FBI)

- C Section 103(b) of the Brady Handgun Violence Prevention Act (Brady Act), [P.L.103-159], Title I, 107 Stat. 1536 (18 U.S.C. 922) required the creation of two collections of information:
 - N National Instant Criminal Background Check (OMB No. 1110-0026); 30,000 hours.
 - N Federal Firearms Licensee Execution of Acknowledgment (OMB No. 1110-0027); 15,000 hours.

Office of Justice Programs (OJP)

- C H.R. 6 Section 235 Part E: Grants to Combat Violent Crime. The Grants to Combat Violent Crimes Against Women on Campuses is a new grant program which is yet to be developed. If enacted, an appropriate collection of information will be established for this program.

Department of Labor

	Burden Hours (in millions)	Percentage Change from Previous FY
Actual FY 1998	198.99	! 8.2%
Target FY 1999	193.04	! 3.0%
Target FY 2000	190.78	! 1.2%

Need for Collection of Information

The U.S. Department of Labor (DOL) is charged with preparing the American workforce for new and better jobs, and reviewing the adequacy of America's workplaces. DOL is responsible for the administration and enforcement of over 180 Federal statutes. These legislative mandates and the regulations produced to implement them cover a wide variety of workplace activities for nearly 10 million employers and well over 100 million workers, including protecting workers' wages, health and safety, employment and pension rights; promoting equal employment opportunity; administering job training, unemployment insurance and worker's compensation programs; strengthening free collective bargaining; and collecting, analyzing and publishing labor and economic statistics. The Department's information collection initiatives are critical to achieving the Secretary's three strategic goals --to enhance opportunities for America's workforce; to promote the economic security of workers and their families; and to foster quality workplaces that are safe, healthy and fair.

Internal Management of Information Collection

The Department of Labor manages its information collection through staff working under the Chief Information Officer. Each of the Department's major programs has an agency clearance officer who oversees PRA implementation within their Agency. Departmental Agency Clearance Officer's meetings are held periodically to discuss PRA issues, status, and means to reduce burden hours. All official communications regarding PRA issues are made through the CIO's Departmental Clearance Officer.

To attempt to involve the CIO more closely in burden reduction, a proposal has been made to include the CIO in the regulatory clearance process. These new regulatory review procedures will allow the CIO to make specific recommendations on how burden hours may be reduced in the Notice of Proposed Rulemaking and Final rules. CIO staff have also begun holding periodic Program Clearance Officer meetings to share means to reduce burden and to keep agencies up-to-date on PRA policy.

This type of involvement will be necessary in order for DOL to increase burden reductions and meet the 5 percent annual reduction goal. Only if the CIO's office becomes more closely involved with the components of the Department will department-wide burden reduction opportunities become apparent. Greater involvement of CIO staff in agency activities will also increase agency awareness of the CIO's strategic goals and make apparent opportunities to fulfill those goals.

Burden Reduction Efforts and Goals

As a result of readjusting certain burden calculations and the promulgations of new regulations, the Department is not currently projecting a 5 percent burden hour reduction on the public for FY 1999 and FY

2000. Nevertheless, the Department is committed to reducing burden to the maximum extent practicable and to better managing information collection resources. This commitment is demonstrated by a number of initiatives to reduce burden: increasing the use of technology and electronic commerce, simplifying and streamlining forms, identifying regulatory initiatives to modify or eliminate existing collections of information.

Increasing the Use of Technology and Electronic Commerce

The Department envisions the Internet and Intranet technologies to be the primary means of communicating with both the general public and internal personnel. To fully utilize these technologies, the DOL/CIO is undertaking a major effort to develop and implement an enterprise-wide Information Technology (IT) and Web Architecture. The architecture will enable the Department to use the Internet and web based technologies for the dissemination and gathering of information from its constituents maximizing the use of the Internet for the conduct of DOL business. The IT architecture also will enable the Department's various programs to share information, eliminate duplicative collections, and ensure that unnecessary collections of information are not imposed on the public. Also, during FY 1998 expert systems such as the Employment Laws Assistance for Workers and Small Businesses (*elaws*) were piloted, and report filing and record keeping using the Internet was begun. Elaw's public test version for Hazard Awareness: Lead in Construction were developed. Additional public use forms allowing on line submission such as the Department's MSHA Form 7000-2 and Contractor ID and the Report on Occupational Injury and Illness Data.

Examples of activities planned in 1999 and 2000 include BLS's intent to explore and/or develop means of Internet reporting for labor statistics including International Price Index (IPI) and the Producer Price Index (PPI). Plans are to develop electronic data-collection procedures for PPI that will contribute to reduced respondent burden and increased efficiency.

In FY 1999, the Department will increase the number of public use forms found on the Internet and develop a strategic plan to identify and begin placing DOL forms on the Internet. Depending on its resources, the DOL will identify and place all forms on the net for downloading by the end of the FY 1999 or FY 2000. The Agency anticipates outpatient bills will be automated in FY 2000 as well as electronic acceptance of all hospital bills in black lung program.

The Department also is exploring the expansion of its guidance on the use of electronic media to pension and other types of employee benefit plans, and to other disclosures required under ERISA. These changes are needed in connection with the Taxpayer Relief Act of 1997 which mandated that the Secretary of Labor and the Secretary of the Treasury issue guidance on the use of electronic technologies by retirement plans for record keeping, notices, and disclosures no later than December 31, 1998. DOL is coordinating its efforts in this area with the IRS.

Simplifying and Streamlining Forms

By providing additional guidance for regulations, streamlining forms, and closely examining any duplication of collections, the Department will ease the burden for complying with regulations and/or completion of forms and surveys. The Department will continue to expand the webpage. The *elaws* are designed to help the public understand their rights and responsibilities under the laws and regulations administered by the Department of Labor. Each *elaws* Advisor provides information about a specific law or regulation. The Advisor imitates the interaction the public might have with a DOL employment law

expert; asking questions, providing information, and directing respondents to the appropriate resolution based on their responses.

The Department's labor statistics program will continue to use the Behavioral Science Research Lab (BSRL) to improve the quality of data collection by examining the psychological and cognitive aspects of methods and procedures. The BSRL performs state-of-the-art service providing questionnaire redesign efforts updating surveys, and improving the overall quality of data collection management which in turn, reduces respondent burden.

The Department is in the process of revising and restructuring 41 CFR 60-2, Affirmative Action Programs' (AAP) regulations pertaining to supply and service contractors. Under the proposed revisions, DOL expects a significant reduction in recordkeeping burden hours. The Department's employment standards program is redesigning the WD-10 "Report of Construction Contractors Wage Rates" to clarify the instructions to make the form more user friendly.

In the pension and welfare program DOL will complete the comprehensive review of the Form 5500, which was undertaken for the purpose of revising and streamlining the Form and Schedules. This includes completing an evaluation of the burden estimation methodologies for both the Internal Revenue Service and the Department of Labor for the purpose of developing a revised and uniform methodology.

In the occupational health program a hazard communication advisor is anticipated to be made available to the public. It is envisioned that this software will assist employers to develop and maintain a required hazard communication plan as well as prepare, store, and recall Material Safety Data Sheets.

Identifying Regulatory Initiatives to Modify or Eliminate Existing Collections of Information

The Department has developed several regulatory initiatives that will reduce the burden on the American public. Occupational Safety and Health Administration (OSHA), Mine Safety Health Administration (MSHA), Employment Service Agency (ESA) and have identified regulatory initiatives that may further reduce the burden.

The most significant proposal will be in the area of occupational safety and health. DOL is considering a proposal to revoke a number of collections of information contained in OSHA regulations.

The Department will identify and conduct an in-depth review of four existing mine and safety rules which have significant paperwork burden. Also, additional certifications will be identified for possible revocation to further burden hour reductions in the occupational safety and health program area.

Also, as part of a proposed rulemaking on "Records to be Kept by Employers", the current requirement that handbooks be kept for each homeworker, would be revised to require only for the employers of homeworkers employed in the restricted industries specified in Regulations 29 CFR, Part 530, *Employment of Homeworkers in Certain Industries* (OMB Control No. 1215-0013)

Significant Changes in Information Collection Burden During FY 1998Decreases

- C *Process Safety Management* (OMB No. 1218-0200). DOL undertook an extensive review in which the occupational safety and health program found an increased number of activities in the standard that were usual and customary and therefore did not increase the employer burden. This resulted in a reduction of 14.5 million hours.
- C *Summary Plan Descriptions* (OMB No. 1210-0039). Continuing the reductions from FY 1997, DOL has eliminated certain filing requirements for pension and health plans pursuant to the Taxpayer Relief Act of 1997 resulting in a 188,000 burden hour reduction.

Increases

- C *Respiratory Protection* (OMB No. 1218-0099). The 7.7 million hour increase resulted from publication of a revised Respiratory Protection standard. The standard affects all employers who must provide respirators to their workers.
- C *Occupational Exposure to Noise* (OMB No. 1218-0048). There was an increase of 3.2 million hours due to an error in the existing burden estimate.

Significant Changes in Information Collection Burden Planned for FY 1999Decreases

- C *Employee Retirement Security Act of 1974 (ERISA) Summary Annual Report* (OMB No. 1210-0040). As a result of recognizing that there is a financial burden as well as an hour burden for preparing and distributing the Summary Annual Report (SAR) under ERISA and updating the number of SARs distributed annually, there will be a 3.9 million hour downward adjustment in burden hours and an increase in burden costs.
- C *Certification Records of Tests* (OMB No. 1218-0217 through 1218-0233). OSHA is considering undertaking rulemaking that would eliminate the need for certifications for some requirements. There would be a reduction of 3.5 million hours as employers would no longer have to certify compliance with various rules (for which they must still comply with substantive provisions).
- C *ERISA Summary Annual Report* (OMB No. 1210-0040). The Department is currently considering expanding its guidance on the use of electronic media for pension and other types of employee benefit disclosures required under ERISA in connection with the Taxpayer Relief Act of 1997. Among other changes, this law mandated that the Secretary of Labor and the Secretary of the Treasury issue guidance on the use of electronic technologies by retirement plans for record keeping, notices, and disclosures. This could result in an estimated burden reduction slightly more than 560,000 hours.

Increases

- C *Annual Report (Form 5500)* (OMB No. 1210-0016). The Department of Labor and the Internal Revenue Service are examining the methodologies used to calculate the burden hours and costs associated with completing and filing the Form 5500 Series. As a result of this examination, the Department has estimated an increase of 738,874 burden hours.

- C *Employee Retirement Security Act of 1974 (ERISA) Claims Procedures* (OMB No. 1210-0053). There will be an upward adjustment of 496,937 hours as a result of DOL recalculating (with updated data) the hour burden of the notice and disclosure provisions of the required claims procedures for (ERISA) employee benefit plans.
- C *Powered Industrial Truck Operation Training Records* (OMB No. 1218-0204). As a result of publishing a final rule, there will be an increase of 436,420 hours. The revised standard will increase its effectiveness by requiring, in performance language, initial and refresher training and evaluation as necessary. The rule will apply to general industry, the maritime industries and construction.

Significant Changes in Information Collection Burden Planned for FY 2000

Decreases

- C *Certification Records* (OMB No. 1218-New). OSHA is considering undertaking additional rulemaking that would eliminate the need for certifications for some requirements. This would result in a 2 million hour reduction as employers would no longer have to certify compliance with various rules for construction and maritime.
- C *Supply and Service Recordkeeping and Reporting Requirements* (OMB No. 1215-0072). The Department is in the process of revising and restructuring 41 CFR 60-2, Affirmative Action Programs' (AAP) regulations pertaining to supply and service contractors. Under the proposed revisions, significant reduction in recordkeeping burden hours are expected through revising current methods and procedures used in the development and implementation of AAP and proposing simplified AAP for smaller contractors. As a result of this process, there may be a reduction of 1.4 million hours

Increases

- C *Employee Retirement Act Income Security Act of 1974 (ERISA) Summary Plan Descriptions; ERISA Claims Procedures* (OMB Nos. 1210-0039 and 1210-0053). In November of 1997, the President's Advisory Commission on Consumer Protection and Quality in the Health Care Industry issued its report and recommendations entitled "Consumer Bill of Rights and Responsibilities" to the President. In response, the Department issued a proposal which would amend the existing employee benefit plan claims procedure rules to strengthen the internal appeals process for all ERISA health plans, and to take into account the dramatic changes which have occurred in the delivery of health care. The Department also published a proposal which would implement the Commission's information disclosure recommendations by amending the existing regulations concerning the required contents of Summary Plan Descriptions under ERISA. Final rules for claims procedures and the Summary Plan Description are expected to be published in FY 2000, which will add an estimated 1.3 million hours.

Recent Statutes that Affect Information Collection Activity

- C Health Care Insurance Portability and Accountability Act of 1996 (HIPAA) (P.L. 104-191). This Act requires the Department of Labor, Health and Human Services, and Treasury to issue joint rules for health care portability and other plan requirements. Interim rules were published in July, 1997. Burden hours associated with the interim final were adjusted during FY 1998 to reflect the staggered effective dates of the statute and regulations, and the resultant increase in the number of plans affected. This resulted in an overall increase of 97,315 hours due to changes in the following collections: *Notice*

of Enrollment Rights (OMB No. 1210-0101); *Notice of Pre-existing Condition Exclusion* (OMB No. 1210-0102); and *Establishing Prior Creditable Coverage* (OMB No. 1210-0103).

In FY 1999, burden associated with the interim final rules will be adjusted to reflect the staggered effective dates of the statute and regulation, and the resultant changes in the number of plans affected. As a result, DOL estimates an increase of 14,850 hours due to changes in the following collections: *Notice of Enrollment Rights* (OMB No. 1210-0101); *Notice of Pre-existing Condition Exclusion* (OMB No. 1210-0102); and *Establishing Prior Creditable Coverage* (OMB No. 1210-0103). In addition, HIPAA amended the Employee Retirement Income Security Act of 1974 (ERISA) in 1996 to establish reporting requirements for multiple employer welfare arrangements which provide medicare for the purpose of determining their compliance with portability, nondiscrimination, and other requirements of part 7 of ERISA. DOL anticipates publishing a rule describing the information required to be filed with the Department in FY 1999. As a result, there will be an estimated increase of 15,000 hours (No OMB control number assigned).

- C Women's Health Care and Cancer Rights Act of 1998 (P.L. 105-86). On October 1, 1998, Congress enacted the Women's Health and Cancer Rights Act of 1998, which pertains to group health plan benefits for reconstructive surgery following mastectomy. The statute is effective as of the first plan year following enactment, which for over 60 percent of ERISA-covered plans will be January 1, 1999. The Act includes notice provisions, and DOL has already received requests for guidance on the content of the notice. DOL has not yet determined the nature or timing of guidance it may issue with respect to these new requirements. Preliminary estimates indicate a burden increase of 400,000 hours.
- C The Mental Health Parity Act of 1996 (MHPA) (P.L. 104-204). This Act requires health plans that offer mental health benefits to ensure that the plan beneficiaries receive similar coverage in terms of limits to those receiving benefits for physical health. On December 22, 1997, DOL, HHS and Treasury published interim rules implementing (MHPA) which offers guidance on statutory exceptions to the applicability of MHPA to group health plans and on information to be provided to participants if the exceptions apply. While these rules included new collections of information, efforts were made to minimize burden by providing model notices to the extent possible, such that the total increase in burden associated with MHPA is minimal. In FY 1998 there was an increase of 3,288 hours to recognize burden hours and costs of implementing guidance.
- C The Small Business Job Protection Act of 1996 (P.L. 104-188). This Act amended ERISA section 401, and mandated the issuance of regulatory guidance on the limitation of the liability of insurers with respect to policies or contracts issued to employee benefit plans which are supported by assets in the insurers' general accounts. More specifically, the collection implements statutorily prescribed disclosure requirements of the insurer in its annual reports and policies. Proposed rules were published on December 22, 1997. When the Final Rule is published in FY 1999, it is estimated to add 200,000 hours to the DOL inventory.
- C Workforce Investment Act (WIA) of 1998 (P.L. 105-220). WIA amended Section 3(c)(3) of the Wagner-Peyser Act (W-P Act) to require W-P Act service providers to make available reemployment services and other activities in which unemployment insurance (UI) claimants are entitled to receive. As a result of this requirement, new Federal reporting requirements for State Employment Security Administrators (SESA's) will be instituted during Program Year 2000 (July 1, 2000 – June 30, 2001) to capture additional information on services provided to claimants identified as likely to exhaust their

unemployment insurance benefits. There is an estimated burden hour increase of 125,000 hours, for the Indian Native American Program due to change in reporting from semi-annual to annual. Furthermore, by July 1, 2000 DOL will replace all of the Job Training Partnership Act Regulations with the WIA regulations which are currently under development. It is not clear at this time how the new regulations will impact burden.

Department of State

	Burden Hours (in millions)	Percentage Change from Previous FY
Actual FY 1998	28.90	! 5.4%
Target FY 1999	28.90	0.0%
Target FY 2000	28.94	0.1%

Need for Collection of Information

The Department of State is the lead institution for the conduct of United States diplomacy; a mission based on the role of the Secretary of State as the President's principal foreign policy adviser. The purpose of United States foreign policy is to create a more secure, prosperous, and democratic world for the benefit of the American people. The Department of State collects a variety of information from the public to carry out its mission. The majority of that information relates to the following goals from the Department's Strategic Plan:

- C Eliminate the threat to the United States and its allies from weapons of mass destruction and destabilizing conventional arms.
- C Protect American Citizens and Safeguard U.S. Borders.
- C Provide humanitarian assistance to victims of crisis and disaster.
- C Manage international affairs programs and operations for which the Department of State has statutory responsibility.

Most collections of the information by the Department of State are mandated by U.S. law and international agreements or protocols. The information collected allows the Department of State to issue munitions licenses and monitor compliance as required by the International Traffic in Arms Regulations, to control and oversee individuals' entry and exit from the United States, to provide services to U.S. citizens abroad, to provide assistance to refugees, and to oversee and regulate the benefits, privileges, and immunities afforded to diplomatic and consular foreign personnel, and their dependents, assigned to the United States.

Internal Management of Information Collection

The Directives Management Staff in the Bureau of Administration, under the Deputy Assistant Secretary for Records and Management, manages the departmental review process for information collections. The Chief Information Officer has delegated the authority to manage the Department's process for collection of information to the Assistant Secretary for Administration because of the bureau's responsibilities for records management. The Chief Information Officer retains oversight authority over the information collection process.

The Department of State took important steps in FY 1998 to improve the Department's awareness of the provisions of the Paperwork Reduction Act and the management of the information collection review process. All bureaus were contacted by the Under Secretary for Management to review their activities to determine if any information collections were being conducted without OMB approval and to take steps to comply with the Paperwork Reduction Act. The newly established Information Collection Coordinator took

a very proactive role with the bureaus to enhance their understanding of the provisions of the PRA and to assist in their developing well justified PRA submissions for OMB approval. The Directive Management Staff also significantly enhanced its information collections database and developed a tracking system to assist in monitoring compliance and managing the review process.

Burden Reduction Efforts and Goals

The majority of burden imposed by the Department's collection of information can be attributed to passport and visa service collections. The annual average number of individuals providing information to the Department of State for visas and passports was approximately 13.8 million from 1996 to 1998. The average growth in applications over the same time frame was 2.2 percent. Because the collections of information required from the public in order to grant passports and visas constitute 98 percent of the paperwork burden imposed by the Department and because the Department foresees continued growth in public desire for these services, the Department does not believe a 5 percent annual reduction for their collections is possible.

Given this difficulty in reducing the hour burden imposed by their collections, the Department has focused on the use of electronic means to reduce burden. As with burden hours, however, the Department is somewhat hampered in this area because the overwhelming majority of its collections require verifiable signatures. Currently, an acceptable means for the electronic submission of verifiable signatures is still under development. As a result, the Department of State has worked to reduce burden by improving access to forms and their instructions through electronic means. The Department has identified two goals:

- C By the end of FY1999, the Department will improve the public's ability to use the Department website to obtain forms and meet other information requirements by improving instructions and including other relevant information on the Department's website.
- C In FY2000, the Department will make the forms used by Consular Affairs and Munitions Control available to the public through the Internet to the extent practicable.

While these efforts should reduce burden to the public, no reduction in burden hours will occur because the current estimates of burden hours did not include the burden incurred by an applicant to obtain forms.

In FY 2000, the Department of State anticipates a small increase to their inventory as a result of the transfer of information collections from the United States Information Agency (USIA) and the Arms Control and Disarmament Agency (ACDA). Statute requires ACDA integration by April 1, 1999, and USIA integration by October 1, 1999. The Department of State will integrate these agencies' collections into the Department's inventory by FY 2000.

Significant Changes in Information Collection Burden During FY 1998

Decrease

- C *Application for Selection for Consideration for Visa Issuance under Section 132 of P.L. 101-649, as amended* (OMB No. 1405-0080). The Immigration Act of 1990, as amended by P.L. 102-238, the Miscellaneous and Technical Immigration and Nationality Amendments of 1991, authorizes the issuance of 40,000 immigrant visas annually during each of fiscal years 1993 and 1994 to natives of certain countries who apply to compete for such visas. The collection requirements for these

applications expired in 1994. However, collection of information continued after the expirations of OMB approval, so elimination of this collection in FY 1998 is still a real burden reduction of 1.75 million hours.

Increases

- C *Affidavit Regarding Change of Name* (OMB No. 1400-0009). This information is used by the Department of State in making a determination of the applicant's eligibility to be documented as a citizen of the United States. An adjustment of an additional 18,750 burden hours was required due to an increase in the annual reporting and record keeping.
- C *Maintenance of Records by Registrants* (OMB No. 1405-0111). In accordance with the International Traffic in Arms Regulations, the Department of State requires that all persons subject to registration maintain records on defense trade-related transactions and make them available for U.S. government inspection. In FY 1998, the Department of State discovered that this ongoing collection of information had not been submitted for OMB approval. Approval of the collection increased burden by 100,000 hours.

Significant Changes in Information Collection Burden Planned for FY 1999

Decrease

- C *Request by U.S. National (53.1, Title 22 CFR)* (OMB No. 1405-0075), was discontinued. The information collection was no longer needed. Burden was reduced by 625 hours.
- C *International Traffic in Arms Regulations (ITAR)* (OMB Nos. 1405-0002, 1405-0003, 1405-0013, 1405-0021, 1405-0022, 1405-0023, 1405-0025, 1405-0051, 1405-0092, and 1405-0093). These collections are related to the licensing of U.S. businesses to export or import unclassified and classified defense articles or related unclassified or classified technical data. The Department of State will perform a comprehensive examination of burden hour requirements governed by changes to ITAR statutes. The streamlining or elimination of certain requirement should result in a reduction of 9,508 burden hours from the FY 1998 adjusted base.

Increases

- C *Prior Approval for Brokering Activity and Reporting on Brokering Activities* (OMB No. 1405-NEW) Regulations regarding licensing of brokering activities were added to the International Traffic in Arms Regulations on December 24, 1997. Persons who wish to engage in arms brokering activities must submit a written request for approval to the Office of Defense Trade Control in the Department of State. Those who are approved must submit an annual report describing their brokering activities. Two new collections associated with this requirement — Prior Approval for Brokering Activity and Reporting on Brokering Activities will increase the Department's burden hours by 3,000 hours.

Significant Changes in Information Collection Burden Planned for FY 2000

Increases

- C *Transfer of USIA information collections.* In FY 2000, the Department will have integrated the 13 information collections from the United States Information Agency representing an increase of 33,067 burden hours.

Recent Statutes that Affect Information Collection Activities

- C Foreign Affairs Reform and Restructuring Act of 1998 included under the Omnibus Funding Bill of 1998 (P.L. 105-277). The Act requires that the Arms Control and Disarmament Agency and the United States Information Agency be integrated into the Department of State. Therefore, information collections from those agencies will be included within the Department of State's information collection inventory. Using September 30, 1998 numbers, the number of Department information collections will increase by 13 and the burden hours, by an additional 33,000.

Department of Transportation

	Burden Hours (in millions)	Percentage Change from Previous FY
Actual FY 1998	138.75	24.6%
Target FY 1999	143.20	3.2%
Target FY 2000	143.20	0.0%

Need for Collection of Information

The Department of Transportation (DOT) collects information primarily to ensure compliance with statutes and regulations designed to promote safe and efficient transportation for the movement of people and goods. Approximately 98 percent of DOT's 138,754,259 burden hours in FY 1998 were related to safety. Generally, safety paperwork burdens entails forms, recordkeeping and disclosure requirements. The remaining two-percent of DOT 138,754,259 burden hours in FY 1998 were based in program management activities, many of which deal with transportation infrastructure investments across the nation.

DOT's Strategic Plan includes five goals: (1) Safety, (2) Mobility, (3) Economic Growth and Trade, (4) Human and Natural Environment, and (5) National Security. Virtually all of DOT's information collections support one or more of the strategic goals. For example, a significant portion of DOT's burden (100,731,033 burden hours), or approximately 72.5 percent, is in three collections. All of these collections directly relate to the safety goal in DOT's Strategic Plan. These three collections are:

- C *Controlled Substance and Alcohol Use and Testing* (OMB No. 2125-0543): This collection accounts for 57,479,400 million burden hours, or 41 percent, of DOT's currently approved overall burden hours. Congress, under the Omnibus Transportation Employee Testing Act of 1991, amended in 1995, mandated substance and alcohol use testing programs. The Office of Drug and Alcohol Policy Compliance, which reports to the DOT Chief of Staff, directs the Federal Highway Administration's implementation of the statute and consequent paperwork burden.
- C *Driver's Record of Duty Status (Driver's Logs)* (OMB No. 2125-0016): This collection accounts for 14,799,033 million burden hours, or 11 percent, of the currently approved DOT overall burden. This burden is sizeable because of the large number of regulated entities of Commercial Motor Vehicle drivers operating in interstate commerce who must complete this record during each driving day.
- C *Inspection, Repair and Maintenance* (OMB No. 2125-0037): This collection, which requires that motor carriers document inspections, repair and maintenance of their vehicles, accounts for 28,452,600 burden hours, or 21 percent, of DOT's overall burden. This burden has recently been recalculated based on carrier usage rate.

Internal Management of Information Collection

The DOT Office of Chief Information Officer (CIO) is responsible for the management of information collection activities mandated by the Paperwork Reduction Act (PRA). The Office of the CIO is an independent office that manages the full range of information resources management functions. A manager

and two persons carry out the Paperwork Reduction Management Program responsibilities. Activities include oversight and review of all 400 plus DOT's paperwork clearances per year, monthly burden reports to the Deputy Secretary, and other senior management officials, submission of the Annual Information Collection Budget to the Office of Management and Budget (OMB), and frequent interaction with DOT organizations on a myriad of issues arising from information collection activities.

While DOT still faces the challenge of achieving burden reductions, it has improved significantly in PRA compliance (see Appendix B). DOT's proactive internal management has eliminated all expired collections of information, as of March 1998. This is noteworthy as DOT had a significant number of expired collections of information in FY95-97. Most of DOT's statutorily/regulatory collections of information are developed in negotiations with Safety Advisory Committees, thus ensuring that the affected public has input early in the process.

Despite efforts to improve its management oversight, DOT has not been able to meet statutory burden reduction goals due to significant new statutory mandates and safety-related constraints.

Burden Reduction Efforts and Goals

DOT is showing a decrease of 17 percent in burden hours in FY 1998 over the normalized FY 1995 baseline (see Exhibit A of Strategic Plan for details) because of several broad initiatives undertaken to reduce paperwork burden imposed on the public. While DOT's FY 1999 paperwork burden is expected to be 14.0 percent below the FY 1995 baseline, the expected burden for FY 1999 represents a 3.2 percent increase from FY 1998.

The increase from FY 1998 to 1999 is largely attributable to statutory initiatives which make substantial reduction particularly difficult. For example, FHWA is mandated by Congress to strengthen the supporting documents related to the record of duty status. Strict compliance with this mandate would increase DOT's burden by 205 million hours. A change to the Congressional mandate (currently under consideration) could satisfy Congressional intent and confine the increased burden for this item to approximately 2 million hours.

DOT's overall burden reduction performance can should also be evaluated in light of the *net program* burden reductions it has achieved. For the period FY 1995 to 1997, DOT's net program reductions were about 3 percent (See *Information Collection Budget of the United States Government, FY1998*, page 74). For FY 1998, the net program decrease is about 2.7 percent.

During FY 1999 and 2000, however, DOT does not believe that it can achieve further net program reductions. Although the size of any net increases will depend very much on the timing of new initiatives under consideration, new statutorily required programs going into effect in such areas as hazardous materials transportation, aviation and rail safety are most likely to outweigh the relatively small burden reductions that DOT plans to achieve during FY 1999 and 2000. On the other hand, DOT does anticipate potential significant reductions during FY 2001 and after, resulting from an intensive "zero-base review" of the burdens imposed by information requirements resulting from its motor carrier regulatory programs.

In addition to working with Congress to develop legislation that minimizes burden while maintaining safety, DOT will continue to seek opportunities to reduce burden by focusing on collections exceeding 100,000 burden hours and ensuring that those information collections support DOT Strategic Plan goals.

Specifically DOT plans to: *maximize technological innovations; identify regulatory initiatives to modify or eliminate existing collections of information; and streamline information collections.*

Maximize Technological Innovations

- C Electronic filing and the deletion of requirements to file and other alternative methods for protecting consumers have resulted in a reduction of burden by 660,000 hours for the Construction, Publication, Filing, and Posting of Tariffs of U.S. Air Carriers and Foreign Air Carriers (OMB No. 2106-0009).
- C FAA reduced burden for the maintenance, preventive maintenance, rebuilding, and alteration information collection (OMB No. 2120-0020) by using new technology to allow for a more accurate count of respondents, including the actual usage of FAA Form 337. As a result, burden was reduced by 4.132 million hours.
- C FTA is examining regulations and processes imposed on grantees in order to develop a “paperless” grant award process. This has resulted in time savings from the reduced paperwork burden placed on recipients and makes it easier for grantees to comply with requirements. In November 1998, FTA introduced its third generation of electronic enhancements with the Transportation Electronic Award and Management System.
- C FHWA intends to encourage the increased use of technology to monitor drivers’ hours of service. For example, FHWA is working with a motor carrier to develop a demonstration project to test the concept of utilizing global positioning system (GPS) technology data in lieu of paper records of duty status. Anticipated burden decreases are projected beyond 2001.

Identify Regulatory Initiatives to Modify or Eliminate Existing Collections of Information

- C DOT expects its most significant burden reductions will result from a overhaul of motor carrier safety requirements, since these requirements are associated with more than 70 percent of the agency’s burden (see list of requirements above under “Need for Collection of Information”. As illustrated by specific initiatives described below, FHWA is in the process of revising its motor carrier safety regulations as part of its Zero-Based Review initiative and expects to issue an NPRM in calendar year 1999. It is anticipated that once the regulation is finalized (sometime in FY 2001), FHWA burden hours will be reduced by about 25 percent. The key information collections impacted will be driver’s record of duty status; inspection, repair, and maintenance; driver qualifications files; and the driver qualification certificate.
- C FHWA is considering recordkeeping modifications as part of its Zero Base Regulatory Reform Initiative to permit a larger population of interstate Commercial Motor Vehicle drivers to use a simplified timecard. This initiative could result in a significant reduction in the burden hours because the timecard is covered by a legislatively mandated information collection administered by the U.S. Department of Labor. Additionally, FHWA is exploring reductions in burden hours associated with duplicate reporting requirements related to drivers’ time records pursuant to Title 29 CFR 516.2 and Title 49 CFR 395. The amount of time required to prepare time cards or time sheets is mainly covered in a separate collection of information (OMB No. 1215-0017) for the U. S. Department of Labor’s Wage and Hour Division. FHWA requires identical information, except for one item --the time the driver is released from duty each day --for those drivers who operate within a 100 air-mile radius of their normal work reporting location, and who are released from work within 12 consecutive hours.

- C FHWA published an Advance Notice of Proposed Rulemaking (ANPRM) on November 5, 1996, requesting comments on the entire body of hours of service regulations. The agency has analyzed those comments and is developing a Notice of Proposed Rulemaking (NPRM). FHWA anticipates publication of a final rule by January, 2001 that may result in additional reductions through potential revisions to recordkeeping and applicability requirements.
- C The Inspection, Repair and Maintenance information collection (OMB No. 2125-0037) accounts for 28.5 million burden hours; i.e., 27 percent of the currently approved FHWA overall burden. The FHWA proposed to remove one recordkeeping element of this regulation in an NPRM issued in January 1997. The final rule, published in June 1998, adopted the proposed revision and reduced the burden hours by approximately 4.6 million. Additional recordkeeping-related elements to be proposed under the Zero-Base Regulatory Reform initiative could, if implemented, reduce the recordkeeping burden by up to another 15-20 million burden hours.
- C With respect to the Vessel Response Plans, Facility Response Plans, Shipboard Oil Pollution Emergency Plans, and Additional Requirements for Prince William Sound information collection (OMB No. 2115-0595), USCG no longer requires the initial plan developed for a larger population because of program maturity. Now it only applies to new vessels or facilities. As a result, this collection decreased by 932,569 hours.

Streamlining the Information Collection Process

DOT continues to raise awareness of burden issues with senior officials and uses information technology to the maximum extent. DOT organizational components are reevaluating their collections and combining and streamlining collections of information where possible for burden reduction.

- C DOT has been reviewing the motor carrier financial and operating data collections that Congress transferred during the sunset of the Interstate Commerce Commission. For the five motor carrier financial data collections, BTS issued an Advance Notice of Proposed Rulemaking (ANPRM) and began reviewing comments. This ANPRM proposes a substantial reduction in what is collected. These data collections are required by statute (49 U.S.C. 14123), which sets a minimum of what must be collected and specifies what criteria the agency must use in considering what data to collect above the minimum. Beyond simply reducing hourly burden, the revised data collection program will consolidate (OMB No. 2139-0005 into OMB No. 2139-0004), include improved report forms, report software, and respondent access to important program information. BTS will continue to analyze data needs and options for meeting these needs with minimal burden imposed on the motor carrier industry.
- C USCG combined two collection requirements into the Transfer Procedures, Waste Management Plan information collection (OMB No. 2115-0120) and altered the affected vessel population in FY 1999. This program change will result in a decrease of 483,143 hours.

Significant Changes in Information Collection Burden During FY 1998

Decreases

- C *Maintenance, Preventive Maintenance, Rebuilding and Alteration* (OMB No. 2120-0020). FAA reduced burden in this collection by using new technology to allow for a more accurate count of respondents, thereby resulting in a decrease in number of affected respondents and a decrease in usage

of FAA Form 337. As a result, this adjustment reduced burden by 4.1 million hours. This collection of information has no associated costs.

- C *Vessel Response Plans, Facility Response Plans, Shipboard Oil Pollution Emergency Plans, and Additional Requirements for Prince William Sound* (OMB No. 2115-0595). USCG no longer requires the initial plan development for a larger population because of program maturity. Now it only applies to new vessels or facilities. As a result, this change decreased burden by 932,569 hours. USCG reduced cost to the respondents by \$22.1 million.
- C *Inspection, Repair and Maintenance* (OMB No. 2125-0037). FHWA revised the regulation removing the requirement for copy of driver vehicle inspection report to be carried in the Commercial Motor Vehicle power unit. This program change resulted in elimination of 4.1 million burden hours; further, cost did not change as a result.
- C *Controlled Substances and Alcohol Use and Testing* (OMB No. 2125-0543). FHWA reduced the burden of this collection by requiring motor carriers to conduct 15 percent less alcohol testing and related collections of information under the DOT random testing regulatory requirement. This program change reduced burden by 310,240 hours. Costs were not reported in FY 1997, however, the estimated cost to respondents is \$2.9 billion for FY 1998.
- C *Uniform Tire Quality Grading Standards* (OMB No. 2127-0519). NHTSA reduced this collection as a result of mergers and consolidation in the tire industry. This change reduced burden by 970,550 hours. Cost will be reduced by \$59,900 for FY 1998.
- C *Motor Vehicle Brake Fluids* (OMB No. 2127-0521). NHTSA adjusted the calculation of labeling. This adjustment eliminated 132,320 burden hours and reduced costs to the respondents by \$1.1 million.
- C *Bulk Packaging Marking Requirements* (OMB No. 2137-0575). RSPA no longer required bulk packaging marking. This program change reduced burden by 247,000 hours and costs by \$27,000.

Increases

- C *Inspection, Repair, and Maintenance* (OMB No. 2125-0037). FHWA recalculated the burden related to the daily motor carrier usage rate. This adjustment increased the collection burden by 16.4 million hours and added an additional \$28,000 cost to the respondents.
- C *Inspection Brake System Standards for Freight and Other Non-Passenger Trains and Equipment Track Safety Standards* (OMB No. 2130-0008). A new paperwork initiative regarding freight trains and their brake systems was instituted to promote greater safety. The new requirements detail certain standards that must be met regarding myriad aspects involved in inspecting, testing, and maintaining train brake systems and brake components. The requirements also address the qualifications of those individuals conducting brake inspections and tests. This adjustment will thereby increase the reporting burden for this collection by 735,179 hours and increase costs to the respondents by \$9 million.
- C *International Passenger Manifest* (OMB No. 2105-0534). As a result of the Pan-American World Airways Flight 103 aviation disaster, the Commission on Aviation Security and Terrorism was created. As a result, P.L. 101-604, the Aviation Security Improvement Act of 1990, was signed. Among other

things, P.L. 101-604 requires airlines to collect information of each *international* passenger so as to provide the Department of State with a manifest in the event of an emergency. This requirement imposes 1.5 million burden hours on the public at a cost of \$25 million.

- C *Commercial Driver Licensing and Test Standards* (OMB No. 2125-0542). FHWA recomputation of time involved in grant application and data upload process will increase the collection burden by 118,167 hours.

Significant Changes in Information Collection Burden Planned for FY 1999

Decreases

- C *Driver's Record of Duty Status* (OMB No. 2125-0016). FHWA adjusted the population of respondents and combined OMB No. 2125-0196 into OMB No. 2125-0016. This adjustment reduced these collections by 514,694 burden hours. However, costs to respondents are projected to be \$22.3 million in FY 1999.
- C *Time Records* (OMB No. 2125-0196). FHWA will combine this collection with the related collection of information (OMB No. 2125-0016) and cancel as a separate collection in FY 1999. FHWA will reduce burden on the public by 660,000 hours.
- C *Transfer Procedures, Waste Management Plan* (OMB No. 2115-0120). USCG plans to reduce the burden associated with two collections by combining the requirement into one collection and altering the affected vessel population in FY 1999. This program change will result in a decrease of 483,143 hours.
- C *Construction, Publication, Filing and Posting of Tariffs of U.S. Air Carriers and Foreign Air Carriers* (OMB No. 2106-0009). Electronic filing and the deletion of requirements to file and other alternative methods for protecting consumers have resulted in a reduction of burden by 660,000 hours.
- C *Recordkeeping for Gas Operators* (OMB No. 2137-0049). RSPA recalculated the number of small operators, which are declining because the need for their services are required less and less each year. RSPA will reduce the burden by 99,147 hours. There's no identifiable cost associated with this collection.

Increases

- C *Qualifications of Pipeline Personnel* (OMB No. 2137-NEW). The Accountable Pipeline Safety and Partnership Act of 1996 requires RSPA to impose new requirements on individuals who operate and maintain pipeline facilities to ensure they are qualified to operate and maintain pipeline facilities. This program change will increase burden by 2.2 million hours and cost the respondents \$61 million.
- C *Disadvantaged Business Enterprise (DBE)* (OMB No. 2105-0510). Changes to the Intermodal Surface Transportation and Efficiency Act (ISTEA) of 1991 require DOT to develop recordkeeping systems to monitor, assess, and identify contract awards, and prime contractors progress in achieving DBE subcontract goals. This strengthening of DBE requirements will significantly increase DOT's burden. This statute will increase burden by 1.5 million burden hours and add \$26 million of costs to the respondents.

- C In addition, DOT anticipates further efforts to include certain third party disclosure requirements (flight attendant briefings, disclosure of airline code sharing requirements) as approved information collections. In addition, there are expected increases due to continuing implementation requirements in statutes such as the Coast Guard Authorization Act of 1996 (P.L. 104-324) and the Oil Pollution Act of 1990 (P.L. 101-380). While the changes are individually smaller than those listed above, in the aggregate they amount to a significant additional burden in DOT collections for fiscal 1999.

Significant Changes in Information Collection Burden Planned for FY 2000

Decrease

- C *Zero-Based Review* (Multiple OMB Nos.). FHWA is in the process of revising its motor carrier safety regulations as part of its Zero-Based Review. An NPRM is expected to be issued in FY 1999. It is anticipated that once the regulation is finalized (sometime in FY 2001), FHWA burden hours will be reduced by about 25 percent. The key information collections impacted will be record of duty status; inspection, repair, and maintenance; driver qualifications files; and qualification certificate. DOT estimates potential burden decreases that may approximate 25 million hours (about 25 percent of the existing burden associated with these requirements).

Increases

- C *Interstate Commerce Commission Termination Act of 1995, P.L. 104-88* (OMB No. 2125-NEW). This statute mandates that the FHWA require an annual report of arbitration between shippers of household goods and movers. This program increase is expected to increase burden on the public by 3.4 million hours. Costs are undetermined at this time.
- C *Federal Aviation Reauthorization Act of 1996, P. L. 104-264* (OMB No. 2120-NEW). The proposed collection of information will amend Airport Security Regulations in 14 CFR Part 107 to improve procedures for the screening of passengers and employees. This new requirement will probably occur in FY 2000. The first year of implementation is estimated to increase burden by 754,000 hours. It is anticipated that this collection will decrease to 404,000 hours after the first year of implementation.
- C *Various Environmental Impact Information* (OMB No. 2125-NEW). The National Environmental Policy Act requires FHWA to collect environmental impact statements to identify and assess reasonable alternatives to proposed actions that will minimize adverse effects on humans and the environment. This program could increase burden by several million hours. Costs to respondents are yet to be determined.
- C *The Aviation Security Improvement Act of 1990* (P.L. 101-604), (OMB No. 2105-NEW). As a result of the Pan-American World Airways Flight 103 aviation disaster, the Commission on Aviation Security and Terrorism was created. As a result, P.L. 101-604, the Aviation Security Improvement Act of 1990, was signed. Among other things, P.L. 101-604 requires airlines to collect information of each *domestic* passenger so as to increase the speed with which notification is made to families of passengers in the event of an emergency. This requirement will increase burden by 4 million hours on the public around year 2000 at an undetermined cost. DOT is hopeful that by 2000 airlines will be maintaining domestic manifests as a part of doing business, thereby significantly reducing burden on the public because the recordkeeping will then be usual and customary.

- C DOT has not established a target burden reduction for Fiscal 2000. On balance, the Department does anticipate potential significant increases. However, these will be possibly offset by the major reductions in motor carrier reporting anticipated as early as 2001.

Recent Statutes that Affect Information Collection Activities

As mentioned above, the following statutes will impact DOT's information collection activity:

- C Omnibus Transportation Employee Testing Act of 1991 (P.L. 102-143). *Alcohol and Drug Testing of Employees* (OMB No. 2125-0543). Reduction of 310,000 hours.
- C Interstate Commerce Commission Termination Act (ICCTA) of 1995 (P.L. 104-88). *Transportation of Household Goods* (OMB No. 2125-New). Increase of 3.4 million hours.
- C Hazardous Materials Transportation Authorization Act of 1994 (P.L. 103-311). *Driver's Record of Duty Status* (OMB No. 2125-0016). Increase of 2 million hours.
- C Accountable Pipeline Safety and Partnership Act of 1996 (P.L. 104-304). *Qualifications of Pipeline Personnel* (OMB No. 2137-New). Increase of 2.2 million hours.
- C The Aviation Security Improvement Act of 1990 (P.L. 101-604). *International Passenger Manifest* (OMB No. 2105-0534). Increase of 1.5 million hours.
- C The Aviation Security Improvement Act of 1990 (P.L. 101-604). *Domestic Passenger Manifest* (OMB No. 2105-New). Increase of 4 million hours.
- C Intermodal Surface Transportation and Efficiency Act (ISTEA) of 1991 (P.L. 102-240). *Changes to the Disadvantaged Business enterprise (DBE)* (OMB No. 2105-0510). Increase of 1.5 million hours.

In addition, the recently enacted Transportation Equity Act for the 21st Century (TEA-21) (P.L. 105-78) will increase burden in a number of program areas as follows:

- C *Motor Vehicle Content Labeling* (OMB No. 2127-0573). The NHTSA Reauthorization Act recodifies the Motor Vehicle Content Labeling regulation that requires NHTSA to extend indefinitely the content calculation procedure to provide vehicle manufacturers added flexibility in making content determination where outside suppliers have not responded to requests for content information. This increase may be reflected later this year or early next year.
- C *Railroad Rehabilitation and Improvement Financing* (OMB No. 2130-New). TEA-21 mandates that FRA collect certain information from applicants to determine their eligibility in order to qualify for a loan/loan guarantee. FRA will award loans & loan guarantees worth \$3.5 billion. Burden and costs to the respondents will be determined at a later date.
- C (OMB Nos. 2132-0500, 2132-0502, 2132-0529, 2132-0546, 2132-0547, and 2132-0550). FTA is mandated by TEA-21 to increase paperwork burden on recipients/respondents for: capital assistance program for elderly persons with disabilities and the nonurbanized area formula program; capital assistance programs; metropolitan and statewide transportation planning projects and programs;

research, development and demonstration projects; university research and training program; and bus testing programs. The individual programs covered under this legislation will be reviewed to determine burden and costs to respondents/recipients.

Department of the Treasury

	Burden Hours (in millions)	Percentage Change from Previous FY
Actual FY 1998	5,702.24	2.2%
Target FY 1999	5,912.44	3.7%
Target FY 2000	6,111.69	3.4%

Need for Collection of Information

The mission of the Department of the Treasury is to formulate and recommend economic, fiscal, and tax policies; serve as financial agent of the United States Government; enforce the law; protect the President and other officials; and manufacture coins and currency. The bulk of Treasury's information collection activities support its revenue collection and law enforcement missions.

The Internal Revenue Service (IRS), Customs Service, and the Bureau of Alcohol, Tobacco, and Firearms (ATF) are responsible for collecting over \$1.6 trillion in individual and business income taxes, tariff duties, user fees, excise taxes, registration fees, license fees, and other assessments. These agencies, particularly IRS, must collect information from the public, as well as require the maintenance of records and the reporting of information to third parties (e.g., IRS Form W-4) to (1) determine if the correct amount of taxes, fees, and other revenue has been paid and (2) identify errors and correct them.

Treasury's law enforcement efforts include combating financial crimes, money laundering, smuggling and other trade fraud, and illegal commerce in firearms. To perform these missions, for example, the Customs Service collects information from importers and individuals entering the United States, and ATF issues licenses and registrations through its application processes.

Treasury also relies on information collections to perform its other missions. For example, Treasury's management of the Federal Government's finances requires the Financial Management Service (FMS) to process applications for benefits, collect funds owed to the Federal Government, settle claims against the government, and transfer funds electronically for various financial transactions. The Office of the Comptroller of the Currency (OCC) and the Office of Thrift Supervision (OTS) must collect information from national banks and thrifts concerning, for example, their operations and Year 2000 readiness to (1) ensure their safety and soundness, (2) that they perform only functions permitted by law, and (3) that they provide fair access to credit for everyone. Treasury's Community Development Financial Institutions Fund receives applications for assistance and certification from organizations requesting funds intended to promote economic revitalization and community development.

Internal Management of Information Collection

Treasury's Office of Information Technology Policy and Management (OITPM), which is part of the Office of the Chief Information Officer (OCIO), manages the Department's Paperwork Management Program. OITPM is headed by a career Senior Executive Service official who directs a staff of 21 analysts who implement the Paperwork Reduction Act, the Clinger-Cohen Act, and other related legislation. Within OITPM, the Paperwork Management Program is headed by an Assistant Director at the GS-15 level and is

staffed by one senior analyst at the GS-14 level and two analysts at the GS-12 level, with additional OITPM analysts providing assistance when necessary.

The Paperwork Management Program is responsible for the Department's paperwork review and clearance activities, including the development of the Information Collection Budget and burden reduction reports. The program's departmental staff work closely with officials and analysts in Treasury's 14 bureaus and offices whenever those bureaus and offices need to conduct or obtain OMB clearance of information collections. A senior attorney in the Office of General Counsel (Legislation, Litigation and Regulation) provides legal advice to OITPM and all Treasury offices and bureaus concerning compliance with the PRA. OITPM staff coordinate all information collection activities required by regulation with the Office of General Counsel.

Having the Paperwork Management Program in OITPM promotes the linkage of paperwork management issues with information technology planning and capital investment. Treasury also helps maintain the independence of the program's central review and clearance of information collections by budgeting for the program staff's salaries and expenses out of Treasury's budget, so that no bureaus that propose information collection activities help fund any positions in OITPM.

IRS's Tax Forms Coordinating Committee (TFCC) complements the Department's central review and clearance procedures. The TFCC, which is comprised of representatives of IRS' major functional areas, IRS' Office of Chief Counsel, and Treasury's Office of Tax Analysis, is responsible for reviewing all new and revised IRS forms. These reviews help ensure that the needs of the various IRS functional areas are met while minimizing the burden and complexity of tax forms. TFCC reviews have resulted in the development of new forms and changes in existing IRS forms, including *Form 8857, Request for Innocent Spouse Relief* (OMB No. 1545-1596), *Form 8862, Information to Claim Earned Income Credit After Disallowance* (OMB No. 1545-1619), and *Form 8867, Paid-Preparers Earned Income Credit Checklist* (OMB No. 1545-1629). Sometimes, these changes are made at the suggestion of the public or IRS employees. Because the TFCC often makes changes to forms before they are released to the public, its efforts over time have reduced IRS burden below what it would otherwise have been.

While Treasury's compliance with the PRA's procedural requirements is satisfactory and burden reduction is considered in Treasury's internal management process, Treasury is working to adequately account for dollar cost burdens that are imposed in addition to hour burdens. These kinds of out-of-pocket costs include postage paid to file tax returns and fees for paid tax preparers. Treasury has solicited public feedback on cost burdens in its IRS Federal Register notices and in IRS regulations, but it does not have sufficient data on costs. OMB will work with Treasury to develop procedures to estimate the major components of cost burden as well as obtain data on costs to enable Treasury to produce estimates.

Burden Reduction Efforts and Goals

The Treasury Department's burden reduction efforts continue to be affected by recent tax legislation that creates new reporting requirements and increases existing reporting requirements. For example, as described in more detail below, the Taxpayer Relief Act (TRA) of 1997 significantly increased the burden of IRS tax forms, particularly Schedule D for the Form 1040, and the IRS Restructuring and Reform Act of 1998 required IRS to create two new tax forms and revise many others.

While such statutory mandates make burden reduction more difficult to achieve, Treasury is committed to its ongoing burden reduction efforts. This commitment is demonstrated by a number of long-term initiatives to reduce burden: *increasing interagency coordination; simplifying and redesigning forms; increasing the use of technology and electronic commerce; and reengineering processes.* (Note: Since statutory requirements and increased usage of tax forms will have a much larger impact on Treasury information collections, these initiatives alone will not reduce Treasury's paperwork burden. Nonetheless, these initiatives will help ensure that paperwork burden is minimized to the extent possible.)

Increasing Interagency Coordination

- C The Customs Service is participating in the development of a new International Trade Data System (ITDS, National Performance Review recommendation IT-06). ITDS is being designed to implement a coordinated, government-wide system for the collection, use, and dissemination of information related to commerce across our national borders, including information about cargo and vehicles. As an Enterprise (government-wide) resource, implementation of the ITDS will result in a significant reduction in the overall burden of information collections across 104 Federal agencies. An analysis of data collections currently approved by OMB indicated that over 90 percent of the information provided to Federal trade agencies are redundant. However, it is anticipated that there may be little, if any, actual reduction in the data currently required by Customs.

Simplifying and Redesigning Forms

- C *Earned Income and Child Tax Credits Project.* The IRS has contracted with the Xerox Corporation to apply innovative document design and writing techniques to simplify the following products. The objectives are to increase taxpayers' awareness and understanding of the credits and thereby reduce errors in claiming or attempting to claim them. The results of the study could be used as early as the year 2000 to reduce taxpayer burden. The IRS conducted focus groups while developing the 1998 Form 8812 and the worksheet for the child tax credits to obtain customer feedback.
- C *Migrating Taxpayers to Simpler Forms.* Through its research, the IRS has discovered that many taxpayers file using a more complex tax form than is necessary. There are several benefits to taxpayers filing the simplest tax forms possible for their tax situation, including reduced filing burden, processing costs, and printing and postage costs. The IRS is exploring several proposals to help taxpayers file the simplest forms. For the short term, the proposals are under review to determine what forms changes can be made as early as filing season 2000. For the longer term, IRS will need to collect more data about what influences taxpayers to choose the forms they file. IRS also plan to develop a comprehensive strategy and marketing plan to migrate taxpayers to simpler forms.
- C *Simplification of Form 5500 Series.* The major revision for the Form 5500 series has been approved by the Office of Management and Budget for implementation in the 1999 plan year, the returns to be filed by July 31, 2000. A contractor is developing scannable forms as a further improvement to the reporting process.
- C *1998 Individual Income Tax Packages.* The tax packages, which include the primary forms and instructions, have been improved to highlight tax law and form changes to make it easier for taxpayers to find the information they need. The covers of the packages highlight the new child tax credits and education benefits, remind taxpayers that Social Security numbers must be entered on the return since they are no longer on the labels, and promote electronic filing. Inside the Form 1040 package, there is

more white space and larger print for improved readability. In case IRS needed to contact the taxpayer while the return is being processed, there is an optional space on Forms 1040 and 1040A for the taxpayer to enter a daytime telephone number. Information about taxpayer assistance services like Forms by Fax have been moved to the front of the booklet.

Increasing the Use of Technology and Electronic Commerce

- C *IRS Forms on the Internet.* IRS has made tax forms available on its website, making them easier for taxpayers to obtain. The IRS also improved its early release forms program by making the draft forms available on the IRS Internet website. The drafts are accessible for review and comment by the public to be more responsive to customers' needs and concerns.
- C *Draft IRS Worksheets on the Internet.* Since 1998, a new publication has been available for taxpayers to use as they make plans to file returns for the upcoming filing season. Publication 918, Drafts of Worksheets in IRS Publications, contains early release drafts of selected worksheets from IRS taxpayer information publications. The publication is accessible on the IRS website and is updated periodically as worksheets are revised and more become available.
- C *Buy Direct.* Public Debt's investors eager to buy securities over the Internet may take advantage of *Buy Direct*, a new web-based sales option for current *TreasuryDirect* account holders. By October 14, 1998 (the program's one-month anniversary), more than 1000 "e-tenders" totaling nearly \$23 million had been submitted. *Buy Direct's* immediate popularity indicated that investors are not afraid to purchase securities over the Internet. With *Buy Direct*, Public Debt eliminated three out of eight data elements collected on the paper tender, thus making "e-tender" easier and faster to complete.
- C *Savings Bonds Online.* This initiative will enable the public to purchase savings bonds directly from Public Debt's Internet site. The project team estimates the customer will be able to fill out the online form, from the convenience of their home, in about the same time it takes to fill out the paper form (approximately 10 minutes).
- C FMS has reduced burden through the implementation of automated enrollment in the *Direct Deposit Program*, the elimination of the *Letter-of-Credit* activity, and the *Conversion to the Automated Standard Application for Payment* process.

Reengineering Processes

- C *Relieving Burden of Reporting Capital Gain Distributions.* Currently about 5 million taxpayers have to file Schedule D (From 1040), Capital Gains and Losses, although they only have capital gain distributions to report. A statutory provision requires a special computation which can only be done using the Schedule D. For tax year 1998, the IRS added a chart in the instructions to explain how to report these distributions. For tax year 1999, IRS is developing a new worksheet to relieve these taxpayers from having to file the Schedule D.
- C *Savings Bond Replacement System (SaBRe).* In July 1998 the Bureau of the Public Debt implemented the *Savings Bond Replacement System (SaBRe)*. As part of SaBRe implementation, Public Debt reviewed operating procedures. The major focus of the review was to identify and eliminate the collection of any unnecessary information.

- C The Community Development Financial Institutions Fund has revised and tailored its processes in order to simplify and clarify the application processes for its programs as much as possible. The Fund conducts several workshops throughout the country with potential applicants to explain the application requirements and procedures. Fund staff are also available via telephone to answer questions about the process.

Significant Changes in Information Collection Burden During FY 1998

Decreases

- C *IRS Form 941, Employer's Quarterly Federal Tax Return* (OMB No. 1545-0029). Form 941 is used by employers to report payments made to employees that are subject to Federal income, Social Security, and Medicare taxes, as well as the amounts of these taxes. Due to the expansion of the 941 TeleFile program nationwide, IRS has estimated that 300,000 businesses used 941 TeleFile instead of the paper Form 941, thereby reducing the paper form's burden by almost 14 million hours.
- C *IRS Form 1040, Individual Income Tax Return* (OMB No. 1545-0074). This form is used by individual taxpayers to report their taxable income and calculate their correct tax liability. IRS added lines to help implement the Medical Savings Account Deduction created by the Health Insurance Portability and Accountability Act (HIPAA) of 1996 and the Adoption Credit created by the Small Business Job Protection Act of 1996, combined and eliminated other lines, streamlined worksheets, revised the instructions and made other changes to the form and schedules. These changes produced a net reduction in burden of 9.1 million hours.
- C *IRS Forms 1042 and 1042-S, Annual Withholding Tax Return for U.S. Source Income of Foreign Withholding* (OMB No. 1545-0096). Form 1042 is used by withholding agents to report tax withheld on certain income paid to nonresident alien individuals, foreign partnerships, and foreign corporations. Form 1042-S is used by withholding agents to report income and tax withheld from payees. IRS requires filers that submit 250 or more Forms 1042-S to do so on magnetic media. This produced an estimated burden reduction of 21.1 million hours.
- C *IRS Form 1120, U.S. Corporation Income Tax Return* (OMB No. 1545-0123). Form 1120 and its schedules are used by corporations to compute and report to IRS their taxable income and tax liability. IRS deleted a net of six Tax Code references throughout this form and its related schedules, which reduced the burden imposed on corporations by 3.5 million hours.
- C *IRS Form 4782, Employee Moving Expense Information* (OMB No. 1545-0182). Form 4782 is used by employers to report moving expense reimbursements made to employees. Based on a change to Tax Code section 132 to exclude from an employee's gross income employer reimbursements for qualified moving expenses, and with input from the employer community, IRS decided to eliminate Form 4782. This resulted in a burden reduction of over 4 million hours.
- C *IRS Form 1040-ES, Estimated Tax for Individuals* (OMB No. 1545-0087). Form 1040-ES is used by individuals (including self-employed) to make estimated tax payments. Taxpayers were required to file this form if their estimated tax due is \$500 or more. This threshold was increased to \$1,000, which lowered the number of forms filed. Extensive changes were made to the instructions to delete explanations of tax law changes that were no longer new and to include information on changes effective for tax year 1999. This resulted in a burden reduction of 3.7 million hours.

- C *ATF: Special Tax Renewal Registration and Return, Special Tax Location Registration Listing* (OMB No. 1512-0500). These forms are used to compute tax and as an application for registry. The time per respondent has been reduced by over 60,000 hours because most of the information requested is now pre-printed.
- C *ATF: Questionnaire For Responsible Persons* (OMB No. 1512-0519). This form is used by the public when applying for a Federal firearms license as a dealer, importer, or manufacturer. The information requested on the form establishes eligibility for the license used. This collection has been eliminated (a decrease of 15,000 hours) because identical information is captured on another form.
- C *Office of Thrift Supervision (OTS): Lending and Investment* (OMB No. 1550-0078). Savings associations are permitted to provide either (1) a statement that periodic rates might increase or decrease substantially or (2) a fifteen-year historical example of interest rates and payments based on a \$10,000 loan amount. This information collection is contained in OTS regulations that implement certain provisions of the Federal Reserve Board (FRB) Regulation Z, Truth-in-Lending. After the FRB issued a final rule in FY 1998 that changed Regulation Z requirements, OTS issued a final rule cross-referencing the FRB requirements that reduced disclosure requirements, which resulted in a program change decrease of over 35,000 hours. Due to a reduction in the number of regulated savings association, an adjustment decrease of almost 93,000 hours was also made.
- C *FMS: The Direct Deposit Sign-Up Form* (OMB No. 1510-0007). This form is completed by respondents to authorize an automated deposit of government funds to a recipient's bank account. The projected burden hour reduction of almost 281,000 hours was due to implementation of the automated enrollment system, which eliminated forms necessary to process recipient's benefit payments from Social Security, Supplemental Security Income, Veterans Compensation and Pension, Civil Service Annuity and Railroad Retirement Benefits. Direct deposit of Federal benefit payments was an initiative prompted by the Debt Collection Improvement Act (DCIA) of 1996.

Increases

- C *IRS Form 1040, Individual Income Tax Return* (OMB No. 1545-0074). Schedule D of Form 1040 is used by individual taxpayers to report gains and losses from the sale of capital assets and calculate taxes owed. IRS made changes to the Schedule D pursuant to section 311 of the Taxpayer Relief Act (TRA) of 1997 and made subsequent technical corrections that increased taxpayer burden by 8.4 million hours. This burden increase was due to the dramatic expansion of the length and complexity of the schedule and the instructions, which was necessary in order to implement the TRA. A conforming change made to Schedule D-1 and several attachments accounted for an additional 4 million burden hours.
- C *IRS Form 1041, U.S. Income Tax Return for Estates and Trusts* (OMB No. 1545-0092). The Internal Revenue Code requires that estates and trusts file this annual income tax return. IRS uses these data to ensure that estates, trusts, and beneficiaries file proper returns and pay the correct amount of tax. IRS added many new lines to the form and related schedules as required by the TRA, which increased burden by 20.7 million hours. Additionally, IRS estimates that burden will increase by 77.4 million hours as a result of more taxpayers filing this return.

- C *IRS Form 1065, U.S. Partnership Return of Income* (OMB No. 1545-0099). The Tax Code requires partnerships to file returns reporting gross income, allowable deductions, partners' names, addresses, distribution of shares, and other information. This information is used by IRS to verify correct reporting of partnership items and for general statistical purposes. Extensive changes to the form and its instructions, due principally to the TRA, increased burden by 20.6 million hours.
- C *IRS Form 1099-DIV, Dividends and Distributions* (OMB No. 1545-0110). Payers of dividends file Form 1099-DIV with IRS, which allows IRS to determine that dividends are correctly reported and that payees are accurately reporting their income. IRS added new lines due to requirements created by the TRA, which increased burden by 3 million hours.
- C *IRS Form 1120S, U.S. Income Tax Return for an S Corporation* (OMB No. 1545-0130). Form 1120S 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. IRS added new lines, Tax Code references, and a column to the form and related schedules based on section 311 of the TRA, which increased burden by 7.7 million hours.
- C *IRS Form 8853, Medical Savings Accounts and Long-Term Care Services and Contracts* (OMB No. 1545-1561). This form is used by individuals to report general information about their medical savings accounts (MSAs), to calculate their MSA deductions, and to figure their taxable distributions from MSAs. The form is also used to report taxable payments from long-term care contracts. This is a new form developed by IRS to implement new Tax Code sections created by HIPAA. IRS estimates its burden to be 3.9 million hours.
- C *IRS Form 1099-MISC, Miscellaneous Income* (OMB No. 1545-0115). This form is used by payers to report payments of \$600 or more of miscellaneous income, including rents, prizes and awards, medical and health care payments, non-employee compensation, crop insurance proceeds, \$10 or more of royalties, any amount of fishing boat proceeds, certain substitute payments, and golden parachute payments. IRS estimates that burden will increase by 3.2 million hours as a result of more Forms 1099-MISC being filed.
- C *IRS Forms 941, 941-PR, and 941-SS, Employer's Quarterly Federal Tax Return* (OMB No. 1545-0029). Form 941 is used by employers to report payments made to employees subject to income, Social Security, and Medicare taxes and the amounts of these taxes. Form 941-PR is used by employers in Puerto Rico to report Social Security and Medicare taxes only. Form 941-SS is used by employers in the U.S. possessions to report Social Security and Medicare taxes only. These forms have been revised because of a change to the deposit regulations increasing the threshold for the deposit requirement from \$500 to \$1,000. This change will reduce the number of taxpayers required to complete the Monthly Summary of Federal Tax Liability on the forms and will increase the number of taxpayers required to prepare a payment voucher. Also, two Code references were added to the instructions. These changes resulted in a net burden increase of 8.4 million hours. Further, IRS estimates that burden will be adjusted upward by an additional 1.6 million hours as a result of more forms being filed.
- C *IRS Form 941 TeleFile, Employer's Quarterly Federal Tax Return* (OMB No. 1535-1509). Form 941 TeleFile is used by employers to report by phone payments made to employees subject to income,

Social Security, and Medicare taxes and the amounts of these taxes. IRS decided to permit employers with advance Earned Income Tax Credit (EITC) payments to use 941 TeleFile (they were previously excluded during the form's test period). This required the addition of two lines, which increased the form's burden by 5.2 million hours.

- C *BPD: U.S. Savings Bonds EasySaver Plan Enrollment Form* (OMB No. 1535-0129). This form is used to request purchase of Series EE savings bonds through debit of the purchaser's account at a financial institution. The new form offers individuals the opportunity to purchase savings bonds through deductions from their account at financial institutions. This resulted in a burden increase of 17,000 hours.

Significant Changes in Information Collection Burden Planned For FY 1999

Decreases

- C *IRS Form 2119, Sale of Your Home* (OMB No. 1545-0072). Form 2119 is filed with Form 1040 by individuals to report the sale of their main residence. Changes made to Code section 121 by the TRA will allow most taxpayers to fully exclude gain on home sales after May 6, 1997, making the filing of Form 2119 unnecessary. However, a small number of taxpayers who sold homes under the prior law and who are reporting either gain or the replacement of the home would still need to file Form 2119. The reduction in filers will result in a burden reduction of 4.7 million hours.
- C *IRS Form 1099-INT, Interest Income* (OMB No. 1545-0112). Form 1099-INT is used by payers to report interest income paid, as required by Code sections 6049 and 6041. The IRS uses the information on the form to verify compliance with the reporting rules and to verify that the recipient has included the proper amount of interest on his or her income tax return. IRS estimates a burden reduction of 9.4 million hours as a result of fewer Forms 1099-INT being filed.
- C *IRS Form 3468, Investment Credit* (OMB No. 1545-0155). Taxpayers are allowed a credit against their income taxes for certain expenses incurred in a trade or business. Form 3468 is used to compute the investment credit, which consists of the rehabilitation, energy, and reforestation credits. IRS uses the information on the form to verify that the credit has been correctly computed. IRS estimates a burden reduction of over 6.1 million hours as a result of fewer Forms 3468 being filed.
- C *IRS Form 2441, Child and Dependent Care Expenses* (OMB No. 1545-0068). The Tax Code allows a credit for certain child and dependent care expenses to be claimed on Form 1040 (reduced by employer-provided day care). Form 2441 is used to verify that the credit and exclusion are properly figured and to report provider information. Due to simplifications resulting from a one-year exclusion from the alternative minimum tax (AMT) provided for in the Tax and Trade Relief Extension Act of 1998, the burden of this form was reduced by over 1.2 million hours.
- C *ATF: Statement of Intent to Obtain a Handgun* (OMB No. 1512-0520). This form was used to establish the eligibility of the buyer to determine if a handgun sale is legal, prior to the actual delivery of the handgun. The need for this form, which was created by the Permanent Provisions of the Brady Handgun Violence Prevention Act, ended when the Brady Bill eased to be effective in November 1998. The information on this form is now captured on another form. Eliminating this form resulted in a burden reduction of over 478,000 hours.

- C *FMS: Direct Deposit Sign-Up Form* (OMB No. 1510-0007). Due to increased participation in the automated enrollment system, a DCIA initiative, a burden hour reduction of over 93,000 hours is anticipated in FY 1999. The Social Security Administration has already received approximately 750,000 automated enrollments with a projection for an additional 250,000 by the end of FY 1999.
- C *Office of Procurement: Solicitation of Proposed Information* (OMB No. 1505-0081). Information requested of offerors is specific to each procurement solicitation, and is required for Treasury to evaluate properly the capabilities and experience of potential contractors who desire to provide the supplies or services to be acquired. Evaluation will be used to determine which proposals most benefit the Government. Increased use of electronic/automated systems to manage acquisitions, management, and administration; an increase in the simplified acquisition threshold from \$25,000 to \$100,000 (\$5,000,000 for commercial actions), as established by FAR Part 13; use of combined contract action notices/requests for proposals, as allowed by FAR; and continuous training of the acquisition workforce, along with continual updates of the Department's acquisition regulation will result in a burden decrease of 144,000 hours.

Increases

- C *IRS Form 1099-B, Proceeds From Broker and Barter Exchange Transactions* (OMB No. 1545-0715). Code section 6045 requires the filing of an information return by brokers to report the gross proceeds from transactions and by barter exchanges to report exchanges of property or services. Form 1099-B is used to report proceeds from these transactions to the IRS. IRS uses the information on the form to verify compliance with the reporting rules and to verify that the recipient has included the proper amount of income on his or her tax return. IRS estimates a burden increase of 16.5 million hours due to more Forms 1099-B being filed.
- C *IRS Form 8863, Education Credits (HOPE and Lifetime Learning Credits)* (OMB No. 1545-1618). The TRA created Code section 25A, which allows for two education credits, the HOPE credit and the Lifetime Learning Credit. New Form 8863 will be used to compute the amount of the allowable credits. IRS will use the information on the form to verify that taxpayers correctly computed their education credits. This new form will result in a burden increase of 13.3 million hours, which reflects a pre-publication reduction of almost 5 million hours due to simplifications resulting from a one-year exclusion from the AMT provided for in the Tax and Trade Relief Extension.
- C *IRS Form W-8BEN, Certificate of Foreign Status of Beneficial Owner for United States Tax Withholding, Form W-8ECI, Certificate of Foreign Person's Claim for Exemption from Withholding on Income Effectively Connected with the Conduct of a Trade or Business in the United States, Form W-8EXP, Certificate of United States Tax Withholding for Foreign Governments and Other Foreign Organizations, and Form W-8IMY, Certificate of Foreign Intermediary, Foreign Partnership, and Certain U.S. Branches for United States Tax Withholding* (OMB No. 1545-1621). These are new forms, and the information requested on them is specified in new regulations under Code sections 1441, 1442, and 1443. These regulations, which were issued, in part, to increase compliance with withholding requirements, have changed the manner in which foreign persons (individuals, businesses and other for-profit organizations, partnerships, and tax-exempt organizations) must submit certifications to a withholding agent for reduction of, or exemption from, U.S. tax withholding. These new forms will result in a burden increase of 36.1 million hours.

- C *IRS Form 1040A, U.S. Individual Income Tax Return* (OMB No. 1545-0085). This form is used by individual taxpayers to report their taxable income and calculate their correct tax liability. IRS added several new lines and worksheets in the instructions to implement new Code sections created by the TRA. For example, line 16 and a worksheet in the instructions were added for the student loan interest deduction to reflect new Code section 221. Also, line 28 and a worksheet in the instructions were added for the child tax credit to reflect new Code section 24. Line 29 was added for the education credits (the HOPE and Lifetime Learning Credits) to reflect new Code section 25A. Line 38 was added for the additional (refundable) amount of the child tax credit to reflect new Code section 32(n). IRS made other changes to Form 1040A and its schedules and revised the instructions, including a reduction of almost 421,000 hours due to simplifications resulting from the one-year AMT exclusion provided for in the Tax and Trade Relief Extension Act. All of these changes produced a net burden increase of 24.2 million hours.
- C *IRS Form 1040, U.S. Individual Income Tax Return* (OMB No. 1545-0074). This form is used by individual taxpayers to report their taxable income and calculate their correct tax liability. IRS added several new lines and worksheets in the instructions to implement new Code sections created by the TRA. For example, line 24 and a worksheet in the instructions were added for the student loan interest deduction to reflect new Code section 221. Also line 43 and a worksheet in the instructions were added for the child tax credit to reflect new Code section 24. Line 44 was added for the education credits (the HOPE and Lifetime Learning Credits) to reflect new Code section 25A. Line 60 was added for the additional (refundable) amount of the child tax credit to reflect new Code section 32(n). New Schedule J, Farm Income Averaging, was created to implement Code section 1301, which was added by the TRA. IRS made other changes to Form 1040 and its schedules and revised the instructions, including a reduction of over 2.6 million hours due to simplifications resulting from the one-year AMT exclusion provided for in the Tax and Trade Relief Extension Act. All of these changes produced a net burden increase of 39 million hours. In addition, IRS estimates a burden increase of 29.9 million hours due to more forms being filed.
- C *IRS Form 1120S, U.S. Income Tax Return for an S Corporation* (OMB No. 1545-0130). Form 1120S 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. IRS added new attachments and Tax Code references in the instructions for Form 1120S, Schedule D, and Schedule K-1 primarily due to the TRA, resulting in a burden increase of 11.5 million hours.
- C *IRS Form 8867, Paid Preparer's Earned Income Credit Checklist* (OMB No. 1545-1629). Form 8867 helps preparers meet the due diligence requirements of a new Tax Code section that was added by the TRA. Paid preparers of income tax returns or claims for refund involving the EITC must meet their due diligence requirements to determine if the taxpayer is eligible for the EITC and the amount of the credit. This new form increased burden by almost 9.4 million hours.
- C In addition to the increases above, IRS anticipates a variety of changes due to changes in tax law, such as the IRS Restructuring and Reform Act of 1998. While IRS knows that these statutory changes will impact its information collection activities, it does not yet know the likely change in burden because it has not yet implemented many of the changes. Based on previous experience, however, IRS estimates that changes required by law will increase burden by approximately 20,000,000 additional hours. Prior

experience also indicates that burden increases due to changes in the number of taxpayers filing returns will amount to about 30,000,000 additional hours.

- C *ATF: Firearms Transaction Record, Part 1 Over the Counter* (OMB No. 1512-0129). This form is used to determine the eligibility of a person to receive a firearm from a Federal firearms licensee, to establish the identity of the buyer, and to trace firearms or to confirm criminal activity of a person violating the Gun Control Act. New information is being asked on the form as a result of the implementation of the Permanent Provisions of the Brady Handgun Violence Prevention Act. This resulted in a burden increase of 1.8 million hours. Another change to this form was required by the Tax and Trade Relief Extension Act's amendment to the Gun Control Act of 1968 that prohibits the transfer to and possession of firearms by aliens who have been admitted to the United States under a nonimmigrant visa. This form was revised to prohibit Federal firearms licensees from transferring firearms to aliens who fall within this category, which will increase its burden by almost 231,000 hours.
- C *Office of the Comptroller of the Currency and Office of Thrift Supervision: Community Reinvestment Act Regulation* (OMB Nos. 1557-0160 and 1550-0012). This interagency information collection, which is mandated by the Community Reinvestment Act (CRA), requires financial institutions to provide information about their community lending activities to allow the public and the banking agencies to assess their performance in meeting the credit needs of the communities they serve. The banking agencies plan to make an adjustment after reexamining their estimates of the reporting and recordkeeping burden based on the actual experience of financial institutions.
- C *FMS: Conjoint Analysis Study* (OMB No. 1510-0071) and *The Electronic Federal Tax Payment System Survey* (OMB No. 1510-New). As a result of the Debt Collection Improvement Act of 1996, two surveys are planned for FY 1999. The *Conjoint Analysis Study* will gauge public response to the provision of an alternative low cost bank account, Electronic Transfer Account (ETA) for benefit check recipients who do not already have bank accounts. This survey will result in an additional 479 burden hours in FY 1999. The *Electronic Federal Tax Payment System Survey* will collect data to determine how much interest there is in paying Federal taxes electronically to IRS. This survey will result in an additional 880 burden hours.
- C *Community Development Financial Institutions Fund: Native American Lending Study* (OMB No. 1505-New). The Fund is authorized by statute to conduct a Native American lending study. The Fund anticipates that it, or its designee may need to survey individuals and organizations for specific information. It is expected that this will be a single collection, voluntary, and would result in an increase of 100 hours.

Significant Changes in Information Collection Burden Planned For FY 2000

Decreases

- C *Office of Procurement: Post Award Contract Information* (OMB No. 1505-0080). Information requested of contractors is specific to each contract and is required for Treasury to evaluate properly the progress made and/or management controls used by contractors providing supplies or services to the Government and to determine contractors' compliance with the contracts, in order to protect the Government's interest. Increased use of electronic/automated systems to manage acquisitions will result in a burden decrease to contractors of 3,906 hours.

- C *Office of Procurement: Solicitation of Proposed Information* (OMB No. 1505-0081). Information requested of offerors is specific to each procurement solicitation, and is required for Treasury to evaluate properly the capabilities and experience of potential contractors who desire to provide the supplies or services to be acquired. Evaluation will be used to determine which proposals most benefit the Government. Increased use of electronic/automated systems to manage acquisitions and continuous training of the acquisition workforce, along with continual updates of the Department's acquisition regulation will result in a burden decrease of 43,000 hours.

Increases

- C *Community Development Financial Institutions Program* (OMB No. 1505-0154). The purpose of the Community Development Financial Institutions (CDFIs) Program is to promote economic revitalization and community development through investment in and assistance to CDFIs. The investments by the Program are intended to facilitate the creation of a national network of financial institutions that is dedicated to community development. The Fund anticipates an increase in future applications and certifications submitted by CDFIs, which will result in an adjustment increase of over 12,000 hours.
- C *Office of the Comptroller of the Currency (OCC): As Yet Unidentified Year 2000 Collections* (OMB No. 1557-New). OCC may conduct surveys and similar information collections to ensure that national banks adequately plan and test for the Year 2000 conversion. These collections may impose an additional burden of 2,500 hours.
- C As in previous years, Treasury anticipates a variety of additional net burden increases due to changes in tax law and changes in the number of taxpayers filing returns. While Treasury does not know what statutory changes will be enacted, based on previous experience it estimates that changes required by law will increase burden by approximately 130,000,000 hours. Similarly, prior experience indicates that burden increases due to changes in the number of taxpayers filing returns will amount to about 70,000,000 additional hours.

Recent Statutes that Affect Information Collection Activities

- C The Debt Collection Improvement Act of 1996 (P.L. 104-134). The Debt Collection Improvement Act (DCIA) has had a significant affect on the manner in which the Department processes collections and disbursements in this agency, making these processes more expedient and effective. Although it has been the catalyst for two new surveys amounting to over 1,300 hours of burden in FY 1999, it has also saved the Federal Government significant money by mandating that the majority of Federal payments be made electronically by January 1999. It has also improved the process for collecting monies owed the Federal Government. Other initiatives such as the Administrative Offset, Collection of Past-Due Child Support, and the Electronic Federal Tax Payment System are examples of how the statute has improved the manner in which the Department conducts business.
- C Small Business Job Protection Act of 1996 (P.L. 104-188). This law created the Adoption Credit, which required IRS to add a new line to *Form 1040, U.S. Individual Income Tax Return* (OMB No. 1545-0074).
- C Health Insurance Portability and Accountability Act (HIPAA) of 1996 (P.L. 104-191). HIPAA required the creation of several new IRS forms and reporting requirements, including, in FY 1998, *Form 8853, Medical Savings Accounts and Long-Term Care Services and Contracts* (OMB No.

1545-1561), which added 3.9 million burden hours of taxpayer paperwork burden. A new line was also added to the *Form 1040, U.S. Individual Income Tax Return* (OMB No. 1545-0074) to help implement the MSA deduction.

- C Taxpayer Relief Act of 1997 (P.L. 105-34). The Taxpayer Relief Act (TRA) of 1997 had a significant impact on IRS information collections and the paperwork burdens they impose on individual and business taxpayers. Much of the burden increase was necessitated by new provisions for the calculation and reporting of taxes owed on capital gains, which involved a major expansion of Schedule D for the Form 1040. Among the IRS tax forms affected by the TRA during FY 1998 were *Form 1040, U.S. Individual Income Tax Return* (OMB No. 1545-0074); *Form 1041, U.S. Income Tax Return for Estates and Trusts* (OMB No. 1545-0092); *Form 1065, U.S. Partnership Return of Income* (OMB No. 1545-0099); *Form 1099-DIV, Dividends and Distributions* (OMB No. 1545-0110); and *Form 1120S, U.S. Income Tax Return for S Corporations* (OMB No. 1545-0130). The increased burden of these forms resulting from TRA requirements that took effect in FY 1998 amounted to over 64 million hours. Some TRA requirements become effective in FY 1999, which will cause major changes to existing forms, including Forms 1040 and 1040A, and require the development of 18 new forms. Among the new forms are *Form 1065-B, U.S. Large Partnership Return of Income* (OMB No. 1545-1626); *Schedule J (Form 1040), Farm Income Averaging* (OMB No. 1545-0074); *Form 8812, Additional Child Tax Credit* (OMB No. 1545-1620); *Form 8862, Information To Claim Earned Income Credit After Disallowance* (OMB No. 1545-1619); *Form 8863, Education Credits (HOPE and Lifetime Learning Credits)* (OMB No. 1545-1618); and *Form 8867, Paid Preparer's Earned Income Credit Checklist* (OMB No. 1545-1629). The increased burden for TRA requirements effective in FY 1999 amounts to over 92 million hours as of December 1998.
- C IRS Restructuring and Reform Act of 1998 (P.L. 105-206). This law will require IRS to create two new forms and revise 153 existing forms and instructions. The new forms, which have not been developed yet, are *Form 706C, United States Additional Estate Tax Return For Retained Development Rights* and *Form 706D, United States Additional Estate Tax Return Under Code Section 2057*. Among the forms that will have to be revised are *Form 720, Quarterly Federal Excise Tax Return* (OMB No. 1545-0023); *Form 941, Employer's Quarterly Federal Tax Return* (OMB No. 1545-0029); and *Forms 1040, U.S. Individual Income Tax Return* (OMB No. 1545-0074); *1040A, U.S. Individual Income Tax Return* (OMB No. 1545-0085); *1041, U.S. Income Tax Return for Estates and Trusts* (OMB No. 1545-0092); *1065, U.S. Partnership Return of Income* (OMB No. 1545-0099); *1120, U.S. Corporation Income Tax Return* (OMB No. 1545-0123); and *1120S, U.S. Income Tax Return for S Corporations* (OMB No. 1545-0130). Since IRS has not yet made these revisions, it does not know the effect that they will have on paperwork burden.
- C Tax and Trade Relief Extension Act of 1998 (P.L. 105-277). This law contains a provision that provides individual taxpayers with a one-year exclusion from the alternative minimum tax for several nonrefundable personal credits, including the child tax credit, adoption credit, and HOPE and Lifetime Learning credits. As a result, IRS shortened worksheets in the instructions of *Forms 1040, U.S. Individual Income Tax Return* (OMB No. 1545-0074); *1040A, U.S. Individual Income Tax Return* (OMB No. 1545-0085); *2441 Child and Dependent Care Expenses* (OMB No. 1545-0068); *8863, Education Credits (HOPE and Lifetime Learning Credits)* (OMB No. 1545-1618); and several personal credit forms. These revisions will result in a total burden reduction of about 9.2 million hours in FY 1999. Two other provisions of this law will affect two ATF collections. The first provision will allow pawnbrokers to contact the national instant criminal background check system (NICS) prior to

taking a firearm in pawn, which will require ATF to create a new form, Statement of Intent to Pawn a Firearm. ATF estimates that this form will impose a burden of 108,333 hours in FY 1999. The second provision amended the Gun Control Act of 1968 to prohibit the transfer to and possession of firearms by aliens who have been admitted to the United States under a nonimmigrant visa. ATF's *Firearms Transaction Record Part 1 Over the Counter* (1512-0129) was revised to prohibit Federal firearms licensees from transferring firearms to aliens who fall within this category. This change will increase the burden of this form by almost 231,000 hours in FY 1999.

- C Permanent Provisions of the Brady Handgun Violence Prevention Act (P.L. 103-159). The regulations implementing this law require that, with some exceptions, a licensed firearms importer, manufacturer, or dealer contact the NICS system before transferring any firearm to an unlicensed individual. NICS will advise the licensee whether the system contains any information that the prospective purchaser is prohibited by law from possessing or receiving a firearm. ATF's *Firearms Transaction Record Part 1 Over the Counter* (1512-0129) was revised as a result of the new statute, which imposed an additional 1,795,568 burden hours on the public. This change, however, allowed ATF to eliminate the *Statement of Intent to Obtain a Handgun* (1512-0520), which reduced burden by over 478,000 hours.

Department of Veterans Affairs

	Burden Hours (in millions)	Percentage Change from Previous FY
Actual FY 1998	2.64	! 57.6%
Target FY 1999	3.87	46.3%
Target FY 2000	3.87	0.0%

Need for Collection of Information

The Department of Veterans Affairs (VA) collects information to administer benefit programs and services established by laws for veterans, service personnel, and their dependents and beneficiaries. The Federal Government spends approximately \$43 million a year providing benefits and services for the country's more than 25 million veterans and approximately 44 million members of their families. These programs provide medical care, compensation, pension, education, vocational rehabilitation and counseling, loan guaranty, insurance and burial benefits to veterans, members of the Selected Reserves and National Guard, and beneficiaries of veterans. Each of the VA's programs require certain information to determine eligibility for benefits, ensure program integrity, and guarantee adherence of programs to their original statutory intent.

Internal Management of Information Collection

VA centralizes the Paperwork Reduction Act (PRA) Program functions under its Chief Information Officer (CIO) who is the Assistant Secretary for Information and Technology. In practice, however, the CIO role is only procedural in nature, e.g., ensuring that requests are prepared and submitted to the Office of Management and Budget (OMB) on a timely basis. Rather, VA's program areas have the primary responsibility for preparing paperwork approval requests and complying with the analytic requirements of the PRA, e.g., burden reduction.

In FY 1998, VA allowed collection clearances comprising over 50 percent of its inventory hours to lapse. This was due in part to a significant number of collections that were cleared in the Fall of 1995 and were set to expire at the end of FY 1997. CIO level staffing (as well as its enforcement authority over component agencies) was inadequate to meet this compliance task. This situation reflects the agency's practice of committing minimal attention to PRA compliance, frequently after compliance issues reach a crisis point.

The VA continues to improve its PRA compliance in rulemakings and encourage a productive relationship between the CIO office and the VA General Counsel Office. However, because the VA CIO staff is challenged by day-to-day compliance issues, it cannot commit adequate resources to the analytic objectives of the PRA.

Burden Reduction Efforts and Goals

A significant percentage (67 percent) of VA's information collection burden is associated with entitlements, grants, permits, loans, and contracts. In FY 1998, VA initiated 19 new collections of information related to

these activities, contributing over 450,000 additional burden hours to VA's ICB. These new activities made accomplishment of mandated burden reductions particularly difficult in FY 1998.

Despite the internal management concerns addressed above, VA has several promising burden reduction initiatives; driven by both legislative reforms and discretionary initiatives. On the discretionary side, department-wide initiatives to streamline core business (health care, benefits, and memorial programs) and to maximize information technology are being considered. For example, the VA published regulations that would require that all funding fees collections be made electronically resulting in a burden reduction of 30,100 hours. The VA also has reevaluated the frequency of its program administration surveys; in particular, the Adjacent Gravesite Set-Aside Survey is now conducted biennially rather than annually.

Significant Changes in Information Collection Burden During FY 1998

Decreases

- C *Request for Change of Program or Place of Training* (OMB No. 2900-0074). The information collected by VA Form 22-1995 is used by VA to determine continued eligibility for educational benefits, and to monitor the number of times a veteran, person on active duty, or person in the Selected Reserve has changed his or her educational objectives or place of training. This adjustment of 10,700 burden hours resulted from an overall decrease in the total number of trainees in the affected education benefit program.
- C *Eligibility Verification Reports* (OMB No. 2900-0101). These reports are used by VA to verify continued eligibility for pension and parents' Dependency and Indemnity Compensation (DIC) and to determine whether adjustments in the rate of payment are necessary. These reports are also used for developing supplemental income and estate information from claimants who have previously filed a formal application for pension or parents' DIC. The reduction of 51,500 burden hours resulted from a program change requiring fewer beneficiaries to report annually.
- C *Application for Education Benefits* (OMB No. 2900-0154). In order to receive VA educational assistance allowance, veterans and members of the Selected Reserve must complete VA Form 22-1990. A burden reduction of 60,400 hours was caused by a moderate decrease in the number of claimants anticipated to receive educational assistance and from improvements in the design of the form.
- C *Report of Change in Enrollment* (OMB No. 2900-0156). VA amended the educational assistance and educational benefits regulations to change the nature of the information to be reported by veterans and service-members receiving educational assistance under the Montgomery GI Bill — Active Duty program and the number of reports required of educational institutions in which these veterans and service-members are enrolled. This resulted in a program change that streamlined operations and reduced the information collection burden by 21,000 hours for this program.
- C *Loan Guaranty: Electronic Payment of Funding Fee* (OMB No. 2900-0474). Title 38, U.S.C., Section 3729 required that a funding fee be paid to VA before a loan could be guaranteed. Lenders may pay the fee either by mail or electronically. VA amended its loan guaranty regulations to require that all funding fee collections be made electronically. This program change for this collection of information resulted in a burden reduction of 30,100 hours.

- C *Adjacent Gravesite Set-Aside Survey (2-Year)* (OMB No. 2900-0546). This collection of information is necessary to assure that gravesite set-asides are not wasted. Some holders become ineligible, are buried elsewhere, or simply wish to cancel a gravesite set-aside. This form is sent to individuals holding gravesite set-asides in national cemeteries to ascertain their wish to retain their set-aside, or wish to relinquish it. VA changed this survey (VA Form 40-40) from annual to biennial, resulting in a burden reduction of 3,300 hours.
- C *Request for IRS 1099-MISC Tax Collection and Federal 1057 Socio-Economic Status* (OMB No. 2900-0582). Federal agencies are required to collect Internal Revenue Service (IRS) 1099 tax reporting and Federal 1057 socio-economic information on Federal International Merchant Purchase Authorization Card (IMPAC) credit card transactions. VA sends VA Form Letter 4-555 to collect the necessary information from merchants the Federal Government has done business with using the IMPAC credit card so that they may provide adequate reporting for CY 1997. This collection of information was terminated resulting in a decrease of 62,500 burden hours.
- C *Miscellaneous Expired Information Collection Requirements*. VA has allowed over 3 million burden hours, over half its FY 1997 base inventory, to expire. These expired collections range from Application for United States Flag for Burial Purposes, to routine loan program requirements, to Application for Medical Benefits.

Increases

- C *Informed Consent for Patient Care* (OMB No. 2900-0583). VA amended the regulations concerning informed consent for patient care to describe the requirements for obtaining and documenting informed consent. The information collection concerns the disclosure requirements that non-VA physicians contracting to perform services for VA must follow in conducting informed consent procedures. This new collection of information resulted in a program increase of 60,000 burden hours.
- C *VA Acquisition Regulations: Commercial Items* (OMB Nos. 2900-0584 through 2900-0590, and 2900-0593). VA amended the acquisition regulations concerning the acquisition of commercial items to conform to the Federal Acquisition Regulation (FAR), to delete obsolete references and titles, to update references and titles, to reorganize material and to remove obsolete material. The collections of information associated with the regulatory requirements regard clauses and provisions for use in both commercial and non-commercial items, service, and construction solicitations and contracts. This new collection of information resulted in a program increase of 18,900 burden hours.
- C *Claims for Educational Assistance* (OMB No. 2900-0596). VA amended the educational assistance and educational benefit regulations to establish a standard for determining what constitutes a formal claim, an informal claim, and an abandoned claim that can be applied uniformly to the educational assistance programs VA administers. This new collection of information resulted in a program increase of 178,000 burden hours.
- C *Monthly Verification of Pursuit of Training under the Montgomery GI Bill — Selected Reserve* (OMB No. 2900-0597). VA amended the educational assistance and educational benefit regulations to expand the current requirement that some reservists receiving educational assistance under the Montgomery GI Bill — Selected Reserve (MGIB-SR) verify their pursuit of a program of education

monthly to include those reservists who are pursuing a standard college degree. This new collection of information resulted in a program increase of 48,100 burden hours.

- C *National Health Survey of Gulf War Era Veterans and their Families: Phase III Physical Examinations* (OMB No. 2900-0598). VA was directed by the Persian Gulf War Veterans' Benefits Act, Title I of the Veterans' Benefits Improvements Act of 1994, (P.L. 103-446) to conduct a health survey of Persian Gulf veterans and their spouses and children. In response to the legislative mandate, VA initiated a survey entitled "National Health Survey of Gulf War Era Veterans and their Families." This new collection of information resulted in a program increase of 54,900 burden hours.

Significant Changes in Information Collection Burden During FY 1999

Decreases

- C *Application for Health Benefits and Yearly Reapplication of Health Benefits — Title 38, CFR Sections 17.36(d)(1) and 17.36(d)(4)(iii)* (OMB No. 2900-0091). This submission requested approval for a new form (VA Form 10-10EZ) which combined four previous forms approved under 2900-0091 (VA Forms 10-10, 10-10T, 10-10I, and 10-10F). VA Form 10-10EZ is used to establish basic eligibility and establish a system of records on veterans enrolling for VA medical care benefits or when applying for Civilian Health and Medical Program of the Department Veterans Affairs (CHAMPVA) benefits. The significant program change of 2.08 million burden hours resulted from combining five forms and eliminating the duplication that occurred when a veteran applied to multiple VA medical facilities for medical benefits and had to complete the form series each time.
- C *National Health Survey of Gulf War Era Veterans and their Families: Phase III Physical Examinations* (OMB No. 2900-0598). VA expects to complete Phase III during FY 1999. This collection of information will be discontinued resulting in a program decrease of 54,900 hours.

Increases

- C *Per Diem for Nursing Home Care of Veterans in State Homes* (OMB No. 2900-0160). VA proposes to revise regulations setting forth a mechanism for paying per diem to State homes providing nursing home care to eligible veterans. The intended effect of the proposed regulations is to ensure that veterans receive high quality care in State homes. VA proposes to require facilities to supply various kinds of information regarding facilities providing nursing home care. The information includes the following: (a) an application for recognition based on certification; (b) appeal information; (c) application and justification for payment; (d) records and reports which facility management must maintain regarding activities of residents (relating to whether the facility meets standards concerning residents' rights and responsibilities prior to admission, during admission, and upon discharge); (e) the records and reports which facility management and health care professionals must maintain regarding residents and employees; (f) various types of documentation pertaining to the management of the facility; (g) food menu planning; pharmaceutical records; and (h) life safety documentation. The reinstatement of this revised collection of information will result in a program increase of 12,500 burden hours.
- C *Vocational Rehabilitation and Counseling (VR&C) Service Program Outcome Survey* (OMB No. 2900-0599). VA plans to conduct a study to assess program outcomes for its VR&C Program. VA has identified a need for direct input from former program customers, including reactions to VR&C's

program offerings, processes, quality of services, and outcomes achieved by veterans who participated in the program. The information collected will be used to identify program outcomes and opportunities for improving VR&C program performance. Specifically, the information will be used to assess whether the services provided under the program meet veterans needs, are provided in a manner that encourages participation by eligible recipients, and promotes successful achievement of rehabilitation and related objectives. This new collection of information will result in a program increase of 1,650 burden hours.

- C *Request for an Advance Payment of Educational Assistance* (OMB No. 2900-0604). VA amended the educational assistance regulations dealing with the advance payment and lump-sum payment of educational assistance by removing provisions that no longer apply and by making other changes for the purpose of clarification. The collection of information mandates that an individual who wishes to receive an advance payment of educational assistance must ask for it at the start of an enrollment period. This new collection of information resulted in a program increase of 4,170 burden hours.
- C *Submission of Evidence* (OMB No. 2900-New). VA proposes to amend its medical regulations concerning collection or recovery by VA for medical care or services provided or furnished to a veteran for a non-service connected disability. Under the provisions of the proposed amendment, a third-party payer is still liable for reimbursing VA for health care provided to veterans with non-service connected conditions. They have the option of paying either the billed charges or the amount the health plan pays. VA may request that the third party payer submit evidence or information to substantiate the appropriateness of the payment amount (e.g., health plan policies, provider agreements, medical evidence, proof of payment to other providers demonstrating the amount paid for the same care and services VA provided). This new collection of information will increase VA's burden by 800 hours.
- C *Program Evaluations* (OMB No. 2900-New). To meet the requirements of GPRA and to improve program management, VA's Strategic Management Steering Committee has committed to conducting evaluations of each VA program area. The Committee is placing VA in a position to design a benefits package for the 21st century, as well as provide for current needs of those already in receipt of benefits. VA proposes to conduct evaluations to ascertain the extent to which programs are meeting intended outcomes and to assess the program's ability to meet veterans' needs in the future. To comply with the requirements of GPRA, all program areas will be evaluated every three years and the results will be used to support the tri-annual update of the Department's Strategic Plan. It is anticipated that eventually 6 to 10 program evaluations will be conducted each year. This new collection of information will increase VA's burden by 62,500 hours.
- C *Clause 852.237-7, Indemnification and Medical Liability Insurance* (OMB No. 2900-New). VA proposes to amend its acquisition regulations to establish simplified procedures for the competitive acquisition of health care resources, consisting of commercial services or the use of medical equipment or space. Presently, the VA acquisition regulations do not contain simplified procedures. In the absence of such procedures, VA follows the FAR and the current VA acquisition regulations. P.L. 104-262, the Veterans' Health Care Eligibility Reform Act of 1996, authorized VA to prescribe simplified procedures for the procurement of health care resources. This proposed rule prescribes the collection of information procedures. This new collection of information will increase VA's burden by 8,000 hours.

- C *Miscellaneous Reinstated Information Collection Requirements.* VA will reinstate over 3 million burden hours this year, since in FY 1998 it inadvertently allowed over half its FY 1997 base inventory to expire. These reinstated collections will be as varied as the veterans' *Application for United States Flag for Burial Purposes*, routine loan program requirements, and the *Application for Medical Benefits*.

Recent Statutes that Affect Information Collections Activities

- C Veterans Programs Enhancement Act of 1998, (P.L. 105-368). President Clinton signed Public Law 105-368 on Veteran's Day (November 11, 1998). The law modifies the Work-Study program to make the advance payment optional and will cause an increase of approximately 10,000 burden hours.
- C Veterans' Health Care Eligibility Reform Act of 1996, (P.L. 104-262). Many of the forms associated with Application for Health Benefits and Yearly Reapplication of Health Benefits — Title 38, CFR Sections 17.36(d)(1) and 17.36(d)(4)(iii) (OMB No. 2900-0091) were eliminated to meet the requirements of P.L. 104-262, Veterans' Health Care Eligibility Reform Act of 1996. The act required VA to design, establish and operate a system of annual patient enrollment in accordance with a series of priorities stipulated in the law. The result is a burden reduction of approximately 2 million hours.

Environmental Protection Agency

	Burden Hours (in millions)	Percentage Change from Previous FY
Actual FY 1998	119.18	3.0%
Target FY 1999	120.61	1.2%
Target FY 2000	124.48	3.2%

Need for Information

To fulfill its mission of protecting human health and the environment, the Environmental Protection Agency (EPA) relies upon reports, recordkeeping, and third-party reporting requirements to monitor compliance with environmental regulations. In FY 1998, EPA imposed 119 million hours of paperwork burden on the public in order to enforce compliance with regulations addressing air and water pollution; the generation, transport, treatment and disposal of toxic and hazardous wastes; oil and hazardous chemical spills; the quality of municipal drinking water supplies; pesticides use and handling; the storage of gasoline and other fuels; and water. Information collected by EPA may be used in many ways, including to:

- C Monitor industrial facilities' compliance with pollutant emission limits;
- C Control vehicle and engine emissions;
- C Report the presence and releases of toxic substances to local communities and emergency response personnel;
- C Report levels of pollutants in municipal drinking water;
- C Track hazardous wastes from the point of generation, to transport, and to treatment and disposal facilities.

These information collections are necessary for compliance with the Clean Air Act (CAA); Resource Conservation and Recovery Act (RCRA); Comprehensive Environmental Response, Compensation and Liability Act (CERCLA); Clean Water Act (CWA); the Emergency Planning and Community Right-to-Know Act (EPCRA); the Federal Insecticide, Fungicide and Rodenticide Act (FIFRA); the Food Quality Protection Act (FQPA); the Safe Drinking Water Act (SDWA); and the Toxic Substances Control Act (TSCA), among others.

EPA's burden reduction goal is to manage its information collection budget in a way that minimizes burden on the regulated community while protecting public health and environment. As part of the regulatory compliance strategy, EPA also makes the information available to the public about environmental quality. For example, under the Toxics Release Inventory (TRI) program, manufacturers report annually on the quantities of toxic chemicals they release into the environment and other waste management activities. EPA maintains this information in a database that is publicly available.

To implement the 1993 Government Performance and Results Act (GPRA), EPA's National Program Managers link the planning, formulation and execution of their programs directly to ten goals in the Agency's Strategic Plan. Program evaluations are a small but growing part of the Agency's information collections. For example, under GPRA, EPA's Office of Enforcement and Compliance Assurance is conducting assessments of its compliance assistance programs (OMB Nos. 2020-0010 and 2020-0015),

and the Office of Solid Waste and Emergency Response is surveying communities to assess their satisfaction with EPA's Superfund program (OMB No. 2050-0096).

Internal Management of Information Collection

Under the Agency's current structure, EPA's Deputy Assistant Administrator for Administration and Resources Management serves as Chief Information Officer (CIO) for purposes of the Paperwork Reduction Act (PRA). The CIO also chairs the Agency's Executive Steering Committee for Information Resources Management. This committee reviews and approves information technology investments according to process standards developed under the Clinger-Cohen Act, the Agency's mission, and taking into consideration the advice of States and other stakeholders. In this capacity, the CIO guides decisions on the development and funding of Agency information systems and collections. The Director of the Regulatory Information Division (RID) of the Office of Policy manages EPA's administration of the PRA, including its burden reduction provisions.

In October of 1998, the Administrator of EPA undertook steps to improve information management. The Administrator decided to establish a single program office for information management and policy. Under the Agency's current organizational structure, each office manages its information collections independently, sometimes resulting in duplication of reporting or recordkeeping requirements. The new office will be responsible for managing information collection and dissemination; providing integrated environmental and public health information to the public; and, under the auspices of the CIO, administering EPA compliance with the PRA. Under the new organizational structure, EPA's coordination of information collections will be improved, and the responsibility for reducing information collection and reporting burdens will be consolidated. On December 9, the Administrator announced the structural framework for this new office, and indicated that EPA should complete the reorganization by the summer of 1999.

Burden Reduction Efforts and Goals

In the March 1995 *Reinventing Environmental Information* (REI) report, EPA established a long term commitment to identify and eliminate obsolete, duplicative, and unnecessary monitoring, reporting, and record keeping requirements. By the end of fiscal year 1998, program changes and adjusted burden estimates reduced overall burden by more than 24 million baseline hours. EPA is working to foster an organizational culture dedicated to eliminating unnecessary paperwork burdens. EPA programs are encouraged to consider approaches that reduce burden without endangering environmental objectives. In addition, several agency-wide initiatives have the potential for much larger burden reductions three to five years from now.

The most encompassing initiative is the recently-launched reorganization plan involving the formation of a new information organization. This office will bring together all Agency information programs to better manage agency information resources. Another major initiative, the Reinventing Environmental Information (REI) Initiative, implements the 1997 Information Streamlining Plan (ISP). Early stages of the ISP focused on data quality and building infrastructure to identify and eliminate obsolete, duplicative, and unnecessary monitoring, reporting, and record keeping requirements. The Agency has also been very active working with states on burden reduction, especially through partnership workgroups with the Environmental Council of States (ECOS). The workgroup is identifying burden reduction opportunities by defining what information is and should be collected, how information is transmitted, and how information is used.

Major reductions expected in FY 1999 and FY 2000 are a result of reinvention efforts. For example, in FY 1999, the Community Right-to-Know program under the Emergency Planning and Community Right-to-Know Act (EPCRA) will raise the reporting threshold for gasoline at gas stations, reducing burden nearly 600,000 hours without sacrificing significant right-to-know information. In FY 2000, streamlining efforts will reduce the burden associated with the Spill Prevention and Countermeasures Plans (SPCC) by 800,000 hours. Future burden reductions may result from the Agency's new information organization and the Reinventing Environmental Information Initiative.

Despite these initiatives, total burden has continued to creep upward due to new statutory requirements and new right-to-know collections. Since FY 1995, overall information collection hour burden has increased by nearly 11 million hours. Burden imposed by the Agency will increase only slightly in FY 1999. However, in FY 2000 burden will increase by nearly 3.9 million hours.

Increases are frequently associated with new rules needed to meet the Agency's statutory requirements. For example, requirements in the Toxic Substances Control Act added nearly 2.5 million burden hours for lead hazard education in FY 1998. In FY 1999, amendments to the Safe Drinking Water Act will add one-half million burden hours for the control of new contaminants by the Drinking Water program. In FY 2000, the Clean Water Act requires the addition of 96,000 small construction sites and 4,000 small municipalities to the National Pollutant Discharge Elimination System (NPDES) program, adding about 1.8 million burden hours for the Discharge Monitoring Reports.

The largest projected increase reflects the Agency's priority in expanding both the Toxic Release Inventory Program (TRI) and the Chemical Testing Program. In FY 2000, the adoption of EPA's proposed TRI rule for Persistent Bioaccumulative Toxics will increase the overall burden of the program by about 1.3 million hours. Also in FY 2000, the High Production Volume (HPV) and Children's Health Effects chemical testing programs will increase burden by approximately 2 million hours.

The need to fulfill legislative mandates and the Agency's commitment to collect and disseminate information through the TRI and chemical testing programs, will continue to confound EPA's abilities to reduce its information collections. While ongoing and future burden reduction initiatives will ensure the Agency's information collections are the least burdensome possible, new requirements and programs will continue to expand its information collection budget. The table below demonstrates the effect of new statutory reporting requirements on EPA's burden reduction efforts:

EPA Summary of Changes in Burden

	FY 1999	FY 2000
Statutory Requirements	1,244,234	1,733,341
Toxic Release Inventory	! 1,465,881	1,289,687
Chemical Testing Programs	35,935	2,050,000
Other Agency Actions	181,316	! 1,203,499
Adjustments	175,803	0
Net Change	171,407	3,869,529

Significant Changes in Information Collection Burden During FY 1998

Decreases

- C *Pesticides Worker Protection Standard Training and Notification* (OMB No. 2070-0148). Under the Worker Protection Standard for Agricultural Pesticides, the Office of Pollution Prevention and Toxic

Substances was able to eliminate 1.2 million hours in burden by completing the start-up notification and labeling requirements, allowing States rather than individual employers to verify training, and by giving employers samples of notification and training materials.

- C *Underground Storage Tanks: Technical and Financial Requirements* (OMB No. 2050-0068). The introduction of new leak detection technologies allowed tank owners to reduce their recordkeeping and reporting burdens by 1.5 million hours in EPA's Underground Storage Tank program.

Increases

- C *Disposal of Polychlorinated Biphenyls (PCBs); Final Rule* (OMB No. 2070-0159). This program provides greater flexibility to respondents in determining how to comply with the PCB disposal requirements, reducing compliance costs. However, associated with these changes are increases of 1.7 million hours in reporting requirements.
- C *Lead: Requirements for Hazard Education Before Renovation* (OMB No. 2070-0158). Section 406(b) of the amendments to the Toxic Substances Control Act (P.L. 102-550) requires contractors to notify owner and occupants of lead-based paint hazards before any construction. This new Right-to-Know program added 2.3 million hours to the EPA's regulatory burden.
- C *Safe Drinking Water Act (SDWA) Collections* (OMB Nos. 2040-0197, 2040-0201, and 2040-0090). These information collections are required by the Safe Drinking Water Act Amendments of 1996 (P.L. 99-339). EPA promulgated new standards in the State Source Water Assessment program, and Public Water Systems Supervision. Further, EPA requires community water systems to provide water quality information in the Consumer Confidence Reports. As a result of these activities, regulations, burden increased associated with the SDWA total nearly 1.5 million hours.

Significant Changes in Information Collection Burden Planned for FY 1999

Decrease

- C *National Primary Drinking Water Monitoring Requirements* (OMB No. 2040-0183). EPA's Office of Water will complete this collection of information on the occurrence of microbial contamination in drinking water. Completion of this collection will reduce burden by nearly 500,000 hours. The information collected in this effort will be used in the development of future microbial rules.
- C *Community Right-to-Know Reporting Threshold for Gasoline and Diesel Fuel Storage* (OMB No. 2050-0072). By raising the reporting threshold for gasoline and diesel fuel stored in underground tanks at retail gas station, EPA will reduce burden by nearly 600,000 hours without sacrificing significant Right-to-Know information.
- C *Adjustments to Toxic Release Inventory (TRI), Forms R and A* (OMB No. 2070-0093). Adjustments to the TRI program will result in a burden decrease of nearly 900,000 hours.

Increase

- C The Clean Air Act (CAA) Amendments of 1990 require EPA to evaluate emissions of air toxics and numerous volatile organic compounds and to promulgate maximum achievable control standards. These efforts will add approximately 800,000 hours to the Agency's information collections.
- C *State Management Plans for the Protection of Groundwater from Pesticides* (New Collection; no OMB number assigned). As part of EPA's 1991 Ground Water Strategy, EPA will require states to prepare State Management Plans for the protection of groundwater from pesticides that may cause unreasonable adverse environmental effects in the absence of management strategies. This collection is expected to increase burden by nearly 600,000 hours.
- C *Disinfection Byproducts Rule, Stage 1* (OMB No. 2040-0204). The Stage 1 Disinfectants and Disinfection Byproducts Rule strengthens existing public health standards and establishes new public health requirements. The Stage 1 Disinfection Byproducts Rule applies to all community and nontransient noncommunity public water systems that add a disinfectant during any part of the treatment process (76,000 water systems). Collection of this information results in a burden increase of more than 300,000 hours.
- C *NPDES Modification and Variance Request* (OMB No. 2040-0068). Burden is expected to increase nearly 200,000 hours as the result of an increase in the number of permittees covered under construction and multi-sector storm water general permits.
- C *Interim Enhanced Surface Water Treatment Rule* (OMB No. 2040-0205). The Interim Enhanced Surface Water Treatment Rule amends the existing Surface Water Treatment Rule to address risk trade-offs between microbes and the disinfection products used to reduce exposure to those microbes. The monitoring associated with this rule results in an 150,000 hour increase in burden.
- C *Electric Utility Steam Generating Unit Mercury Emissions Collection* (OMB No. 2060-0396). This collection of information on the content of mercury in coal and mercury emissions from coal-fired generators will provide improved estimates of national mercury emissions. This effort increases burden by approximately 200,000 hours.

Significant Changes in Information Collection Burden Planned for FY 2000Decreases

- C *The Compliance Assurance Program 2000 — "CAP 2000"* (OMB No. 2060-0104). The CAP 2000 program will reduce reporting requirements while assuring compliance with motor vehicles emissions regulations. This program is expected to reduce burden nearly 400,000 hours.
- C *Spill Prevention Control and Countermeasures (SPCC) Plans* (OMB No. 2050-0021). EPA's Office of Solid Waste and Emergency expects to eliminate more than 829,000 burden hours through recordkeeping changes in the Spill Prevention Control and Countermeasures (SPCC) program. Under authority of the Clean Water Act, the SPCC program enables EPA to establish requirements to prevent oil spills. EPA expects to promulgate a revised rule during FY 1999 that would allow more flexibility in record keeping and dramatically reduce the burden imposed by the SPCC on the regulated community.

Increases

- C *Discharge Monitoring Report for the National Pollutant Discharge Elimination System (NPDES)*. (OMB No. 2040-0004). To control storm water runoff and discharges, the Office of Water will expand the NPDES permitting program to 96,000 small construction sites and 4,000 small municipalities in a rule required by the Clean Water Act. This will add approximately 1.7 million hours to the Agency's information collections.
- C *Toxic Release Reporting: Lowering of Reporting Thresholds for Persistent Bioaccumulative Toxic Chemicals* (OMB No. 2070-0093). Lowering the threshold at which Toxic Release Inventory (TRI) reporting is required generates a burden increase of approximately 1.3 million hours.
- C *Chemical Testing Programs*. This set of programs designed to improve availability to the public of chemical information includes High Production Volume (HPV) Chemical Testing Program and Children's Health Effects Testing. Associated burden increases are estimated to be nearly 2 million hours.

Recent Statutes that Affect Information Collection Activities

- C Clean Air Act Amendments of 1990 (P.L. 101-549). The 1990 Clean Air Act Amendments mandate that EPA promulgate Maximum Achievable Control Technology (MACT) standards according to a statutory schedule, which accounts for most of the growth in burden. In FY 1999, EPA will promulgate two MACT standards, and sources subject to the recently promulgated (9-98) MACT standard for architectural coatings will incur an information collection burden. Also, EPA must survey sources to collect information on mercury emissions generated by electric utilities.
- C Food Quality Protection Act (P.L. 104-170). The Food Quality Protection Act of 1996 amends the two major pesticide laws: the Federal Insecticide, Fungicide, and Rodenticide Act (FIFRA) and Federal Food, Drug, and Cosmetic Act (FFDCA). Section 3 of FIFRA directs EPA to establish guidelines specifying the kinds of information which will be required to support the registration of a pesticide and "... [to] revise such guidelines from time to time." As amended, section 3(g)(1)(A) of FIFRA directs the Agency to establish a procedure to periodically review pesticide registrations every 15 years. Section 408 of FFDCA requires the Agency to review emergency registrations issued under section 18 of FIFRA to establish a tolerance, when the registration involves a food or feed use. In addition, section 408 of FFDCA also includes provisions that require the Agency to conduct a review of all existing tolerances and exemptions from a tolerance on a specific time table between 1996 and 2006.
- C Safe Drinking Water Act Amendments (P.L. 99-339). The 1996 Amendments require EPA to publish maximum contaminant level goals and regulations for 83 specific contaminants, and the 1996 Amendments to the SDWA set specific dates for the promulgation of the Microbial/Disinfectants Byproducts rules. EPA instituted a formal regulatory negotiation (RegNeg) in 1992, and the RegNeg committee agreed that EPA should propose three rules: an Information Collection Rule; a Disinfectant/Disinfection Byproducts Rule; and an Enhanced Surface Water Treatment Rule. Each of these rules is culminating in additional information collection requirements.
- C Toxic Substances Control Act Amendments (P.L. 102-550). In 1992, the Lead-Based Paint Exposure Reduction Act amended the Toxic Substances Control Act to require the promulgation of regulations governing lead-based paint activities and identifying lead exposure hazards. As amended, TSCA

requires the Agency to promulgate regulations to require the distribution of a lead hazard information pamphlet to the owners and occupants of certain housing units undergoing renovation, and to include recordkeeping and reporting requirements as may be necessary to ensure effective implementation.

Federal Acquisition Regulation System

	Burden Hours (in millions)	Percentage Change from Previous FY
Actual FY 1998	24.42	! 0.4%
Target FY 1999	20.36	! 16.6%
Target FY 2000	19.34	! 5.0%

Need for Collection of Information

The Federal Acquisition Regulation (FAR), 48 CFR Chapter 1, is the governmentwide body of procurement regulations followed by all Executive agencies. These regulations govern the process by which the Federal Government contracts for approximately \$200 billion in goods and services annually from the private sector. Inherent in the process is a number of information collections. Many of the information collections are derived from mandatory requirements imposed on the acquisition system by statute, Executive Order, other mandatory requirements, or by sound acquisition policy considerations needed to protect the expenditure of Federal funds.

The contract solicitation and award process requires firms to respond to Government procurement requests with a broad range of data, including the descriptions and specifications of their products, proposed performance plans for the provision of services, and information regarding their costs and prices. After contract award, the contract performance and administration process often involves significant interactions between the contractor and the agency. Procurement paperwork burdens are roughly divided between those associated with “application for benefits” (i.e., the contract award process) and those associated with “program management” (i.e., the contract administration process).

Internal Management of Information Collection

The paperwork review and approval process for the FAR is administered by the FAR Secretariat, which is located in and managed by the General Services Administration (GSA) on behalf of the FAR System. Paperwork burden analyses are developed by joint committees supporting the regulatory working groups, the Defense Acquisition Regulatory Council (DARC), and the Civilian Agency Acquisition Council (CAAC). Joint review and approval of the product is provided by the DARC and the CAAC.

Burden Reduction Efforts and Goals

The FAR System continually strives to reduce information collection burdens on the public. Through the following efforts FAR has made significant progress and expects to continue to reduce information collection burdens: streamlining and improving current policies and procedures; eliminating unnecessary burdens imposed on contractors and contracting officers; rewriting guidance into plain English. Some projected reductions are shown in the following sections of this report, particularly in those actions planned for FY 1999.

Significant Changes in Information Collection Burden During FY 1998Decreases

- C *Travel Costs* (OMB No. 9000-0088). The FAR was amended to increase the maximum travel expense amount that contractors' personnel may claim without providing a supporting receipt from \$25 to \$75. This regulatory action reduced the annual recordkeeping and burden hours to the public and the Government. The collection of information is needed to ensure that the Government does not reimburse the contractors for excessive travel costs, and it provides a basis for audit verification of a contractor's actions. This program change reduced burden by 25,000 hours annually.

- C *Contractor Inventory Schedules* (OMB No. 9000-0015). The series of standard forms (SFs) covering contractors' inventories (SFs 1423 through 1434) are essential for reporting, redistribution, and disposal of excess Government property at contractor plants (upon contract completion) and contractor termination inventory in support of contractor termination settlement proposals. The approval for these forms under this OMB number was canceled because the requirements to complete the forms all have separate OMB approval. This reduced reported burden by 50,000 hours.

- C *Subcontracting Plans/Subcontracting Report for Individual Contracts* (OMB No. 9000-0006). P.L. 95-507 requires that contracts over specified thresholds contain a subcontracting plan with goals for subcontracting with small, small disadvantaged, and women-owned small businesses. This requirement is implemented in FAR 19.7. In addition to developing and maintaining a subcontracting plan/program, FAR 19.7 requires periodic reporting of progress under the plan. Several changes took place in the requirements related to the subcontracting plans. First, the reporting forms were revised to reduce the information collected and the instructions on the forms were clarified. In addition, a policy was instituted to encourage contractors to develop companywide, or commercial, plans in lieu of individual plans. This is significant because a business need only develop one companywide plan each year while a new individual plan must be developed for each contract. This significantly reduced the burden associated with plan development and recordkeeping. Also, reporting under companywide plans (under 9000-0007) occurs only once per year, while the FAR now only requires semi-annual reporting against individual plans. The reduction of 239,000 burden hours from the prior 667,000 burden hours reflects these changes and also reflects the more accurate data on subcontracting plan usage.

Increases

- C *Contract Financing* (OMB No. 9000-0138). The Federal Acquisition Streamlining Act of 1994 (P.L. 103-355), Sections 2001 and 2051, made performance based progress payments the preferred method of financing. The FAR was initially amended under Federal Acquisition Circular 90-33, Item I, published September 26, 1995, to address Sections 2001 and 2051. The FAR was further amended to ensure consideration of performance-based payments and permitted the use of performance-based payments in contracts for research and development, and in contracts awarded through competitive negotiation procedures. A new solicitation provision for use in competitive solicitations when offerors are invited to propose performance-based payments was added. The evaluation process associated with performance-based financing necessitates information from the offeror. This provision resulted in an increase in estimated burden hours by an additional 8,900 burden hours, from 22,000 to 30,900.

- C *Prompt Payment* (OMB No. 9000-0102). The Prompt Payment Act Amendments of 1988 (P.L. 100-496) (Act), requires that government construction contracts include certain payment clauses in subcontracts with payment dates and interest payments for late payment and that the Government must be notified when payment withholding occurs. Implementation of the Act caused an increase in burden hour estimates by an additional 307,000 burden hours, from 364,000 to 671,000. The burden hour increase recognizes that the requirements underlying the contractor certification imposed a paperwork burden on the public. The certification-related burden was not in the original estimate.

Significant Changes in Information Collection Burden Planned for FY 1999

Decreases

- C *Government Property* (OMB No. 9000-0075). Parts 45 and 52.245 prescribe policies and procedures for providing Government property to contractors, contractors' use of management of Government property, and reporting, redistribution, and disposing of contractor inventory. This requirement has resulted in a burden and cost on the public.

A rewrite of Part 45 is in process with objectives to streamline and improve the current policies and procedures; eliminate unnecessary burdens imposed on contractors and contracting officers; and to rewrite the guidance to make it easier to read and understand. The published proposed rule eliminates 12 FAR clauses; reduced the number of records contractors must maintain from 19 to 7; created a standard form for reporting property in a contractor's custody; replaced the five inventory schedules currently identified in FAR 45.606-5 with one inventory disposal schedule and replaced the current rental clause with a new one that replicates commercial practices in part and which should reduce contractor rental costs and facilitate the use of Government property for commercial purposes. This rewrite, when finalized, should reduce burden by 3.15 million hours under OMB No. 9000-0151. The current OMB clearance for Part 45, Government Property (OMB No. 9000-0075) will be deleted. A further reduction of 3.43 million hours is planned when FAR Part 45 is published as a final rule.

- C *Type of Business* (OMB No. 9000-0046). Firms proposing to provide supplies or services to the Government must indicate their type of business to ensure that any subsequent contracts contain the proper provisions and clauses. Subsection (i) of the Debt Collection Improvement Act of 1996 (P.L. 104-134) amended 31 U.S.C. 7701 by requiring that the head of each Federal agency require each contractor doing business with the Government to furnish its Taxpayer Identification Number (TIN) and by requiring the Government to disclose its intent to use such number for purposes of collecting and reporting on any delinquent amounts. Section 1022 of the Taxpayer Relief Act of 1997 (P.L. 105-32) amends 26 U.S.C. 6041A(d) to add payments for services provided by corporations to the types of payments that the Government is required to report to the IRS using Form 1099.

The FAR regulation expanded the scope of FAR Subpart 4.9 to require the contractor to provide a TIN for debt collection purposes. The regulation also deleted the provisions at FAR 52.214-2, Type of Business Organization-Sealed Bidding, and 52.215-4, Type of Business Organization, since the information requested in these provisions was duplicative of the information requested in the provisions at FAR 52.204-3, Taxpayer Identification, and 52.212-3, Offeror Representations and Certifications-Commercial Items. The aforementioned deletion caused a burden reduction of 77,800 hours under OMB Control Number 9000-0046.

- C *Claims and Appeals* (OMB No. 9000-0035). This collection concerns submission of contractor claims in amounts over \$100,000 and certification of such claims. The submission of claims is covered by the Contract Disputes Act of 1978 (P.L. 95-563) A review indicated that the total number of respondents (contractors) submitting claims was overestimated and has been reduced from 7,500 to 4,500. The number of responses (claims) per respondent was also overestimated and the number of responses per respondent has been reduced from 19 to 3. The review resulted in a downward adjustment of 129,000 hours.
- C *Clean Air and Water Certification* (OMB No. 9000-0021). Facilities that have Clean Air or Clean Water Act violations that result in convictions are ineligible for performance of Government contracts. Before these facilities can be used to perform a Government contract, the Administrator of EPA must certify that the condition that gave rise to the conviction has been corrected. FAR Subpart 23.1 requires a certification from offerors to ensure that Government contracts are awarded to contractors that will perform the contract in eligible facilities. This certification is required in acquisitions expected to exceed \$100,000 for other than commercial items. EPA is improving its information systems for identifying facilities ineligible for Government contracts and will provide timely listing of these facilities for inclusion on the GSA List of Parties Excluded from Federal Procurement and Nonprocurement Programs. With these improvements, the need for the FAR certification and the collection will be eliminated. The reporting burden reduction is 27,800 hours.
- C *SF 1449, Solicitation/Contract/Order for Commercial Items* (OMB No. 9000-0136). Review of the burden revealed that the majority of burden hours actually relate to requirements in other FAR parts and was already approved under existing clearances. This clearance now addresses only information collections required by FAR Part 12, Commercial Item Acquisitions. This information collection is centered in the provision at 52.212-3. A review is underway to identify and correct any such double counting. The elimination of double counting has, to date, resulted in a burden reduction of 7.05 million hours.
- C *Progress Payments* (OMB No. 9000-0010). Certain Federal contracts provide for progress payments to be made to the contractor during performance of the contract. The requirement for certification and supporting information is necessary for the administration of statutory and regulatory limitation on the amount of progress payments under a contract. The estimated burden hours have decreased by 158,000 burden hours from 475,000 to 317,000 burden hours. The burden hour decrease results from increasing the contract dollar threshold for permitting progress payments and establishing a dollar threshold for progress payment requests.

Increases

- C *Cost of Pricing Exemption Information* (OMB No. 9000-0013). The Truth in Negotiations Act, 10 U.S.C. 2306a and 40 U.S.C. 254(d) require that the Government obtain certified cost or pricing data from contractors prior to the award of certain contract actions with certain exceptions. The estimates have increased by an additional 9.77 million burden hours, from 333,000 to 10.1 million, because the method of estimating was changed. The amended estimates now include the time to accumulate the data required to be submitted, whereas the prior burden hours estimates included only the time necessary to annotate the date when it was submitted. Nonetheless, the number of actions may be overstated because it does not fully reflect the impact of the commercial item rule on obtaining cost or pricing data. A review is being conducted to reassess the current requirement.

- C *Subcontracting Plans/Subcontracting Report for Individual Contracts* (OMB No. 9000-0006). The HUBZone Act of 1997 (P.L. 105-135) established the HUBZone Program, which seeks to increase employment opportunities, investment, and economic development in areas containing historically underutilized businesses. The Program is expected to promote economy and efficiency in Federal procurement by expanding the pool of potential contractors from the Nation's economically distressed areas that are capable of providing supplies and services at competitive prices.

Most of the burden associated with the HUBZone program attaches to the certification process required by, and cleared under, rules issued by the Small Business Administration (SBA). This clearance covers the requirement for certain prime contractors to report subcontract awards to HUBZone firms. It is expected that the burden will include 90,800 hours, reflecting this requirement to monitor and report those awards.

Significant Changes in Information Collection Burden Planned for FY 2000

There are no specific changes identified at this time. Ongoing reviews at renewal times and other general program reviews are periodically conducted to find other ways to reduce burdens. FAR fully expects that further opportunities for revisions will be identified.

Recent Statutes that Affect Information Collection Activities

- C The HUBZone Act of 1997, Title VI of P.L.105-135, established the HUBZone Program, which seeks to increase employment opportunities, investment, and economic development in areas containing historically underutilized businesses. As discussed above, it is expected that *Subcontracting Plans/Subcontracting Report for Individual Contracts* (OMB No. 9000-0006) will increase by 90,800 hours as a result of this program.

Federal Communications Commission

	Burden Hours (in millions)	Percentage Change from Previous FY
Actual FY 1998	30.34	9.1%
Target FY 1999	31.72	4.6%
Target FY 2000	31.86	0.4%

Need for Collection of Information

An independent regulatory commission, the Federal Communications Commission (FCC) oversees telephone, wireless, radio and television broadcast and other sectors of the telecommunications industry. Telecommunications is one of the nation's fastest growing industry sectors. In 1998, communications services and equipment companies had revenues of \$408 billion and contributed about \$25 billion to GDP growth from 1996 to 1997, increasing their share of GDP by more than 20 percent. The telecommunications services and equipment sectors are estimated to have been directly responsible for the creation of about 200,000 new jobs since 1993.

FCC's main focus continues to be implementation of the Telecommunications Act of 1996 (P.L. 104-104) (the 1996 Act). This sweeping overhaul of the original 1934 Communications Act continues to influence the telecommunications industry in the United States. About 94 percent of the 28 million hours of burden imposed by FCC are regulatory or compliance related, while 3.3 percent are applications for benefits and the remainder relate to program management or general statistics.

FCC continues to work towards minimizing the reporting, recordkeeping, and disclosure requirements imposed on the public while ensuring that the telecommunications marketplace remains fair. In ensuring market fairness, FCC collects information and/or imposes some amount of burden on the public in connection with each of the following activities:

- C FCC regulates tariffs (fees) imposed by long distance telephone carriers and verifies that the accounting systems used by local telephone companies adequately safeguard the consumer from unfair prices and illegal subsidization of other services.
- C FCC is the chief source of information on national and international telecommunications infrastructure and usage, including the pricing of and costs associated with providing local, long distance, and international telephone, wireless communications, and cable, satellite, and broadcast television services. FCC is frequently directed by Congress to study the costs of services provided to consumers. For example, Congress has previously directed FCC to prepare a number of studies of cost and competition in the cable television industry (Cable Television Consumer Protection and Competition Act of 1992, P.L. 102-385) and continues to track industry developments closely.
- C At the direction of the President's Council on Year 2000 Conversion, the FCC has taken the lead in surveying all segments of the telecommunications industry to assess their readiness to handle the Year 2000 computer event.

- C FCC issues licenses that allow public and private entities to use portions of the electromagnetic spectrum without interfering with each other.
- C FCC ensures that electronic equipment sold in the United States does not interfere with the operation of communications and computer systems.
- C FCC, in response to Congressional direction, acts to improve the information services available to Americans. For example, a wide range of new communications services will result from FCC's auctioning of radio spectrum. Congress is also considering several pieces of legislation that would impact the ability of many Americans to receive television programming from satellites.
- C FCC has a leading role in ensuring that no segment of the public lacks access to telecommunications services and that schools, libraries, and rural health care providers can acquire advanced communications capabilities at reasonable prices.

Internal Management of Information Collection

Within FCC, the Office of the Associate Managing Director for Performance Evaluation and Records Management (AMD-PERM) is delegated responsibility to act as the agency clearance office for PRA matters. AMD-PERM reports to the Managing Director of FCC, who also acts as the CIO. Two staff members of the Records Management Team of AMD-PERM oversee the 10 FCC bureaus and offices for all PRA and Information Collection Budget activities. Additionally, each bureau and office has an experienced PRA staff person that acts as a liaison between the bureau and AMD-PERM. The AMD-PERM team independently reviews all bureau information collection submissions and actively pursues communication and coordination between the bureaus.

FCC is only the second agency (after the Securities and Exchange Commission) in the Federal Government to request and receive a limited delegated authority from OMB to review and approve FCC collections. The Managing Director began exercising the new authority in the first quarter of FY 1995. AMD-PERM also developed documentation outlining the costs and benefits of delegated OMB review authority while setting up an internal FCC process for handling this responsibility. This delegation allows FCC to process (in a three year period) 208 information collection requests internally (42 percent of the total), saving time, effort and money.

Burden Reduction Efforts and Goals

The FCC has imposed significant new burden on the public as a result of the 1996 Act. Although the FCC had originally predicted that the burden hours imposed on the public would peak in the beginning of FY 1998, the FCC now anticipates continued growth in burden until 2000, peaking at approximately 32,000,000 hours. The Commission expects a gradual decrease in this burden after 2000 as the FCC continues to replace old regulatory requirements with less burdensome requirements.

Elimination of obsolete regulatory requirements is consistent with the 1996 Act's requirement that FCC perform biennial reviews of all regulations issued under the Act and to repeal those regulations no longer deemed necessary. As part of the 1998 Biennial Regulatory Review, each of the Commission's operating bureaus, together with the Office of General Counsel, hosted a series of public forums to solicit informal public input on regulations that could be revised or eliminated.

While these reviews are relatively new, the first review resulted in streamlined processes, consolidation and elimination of forms and rules, and implementation of electronic filing of applications and related documents. The FCC has also increased its coordination with other government agencies, such as U.S. Customs Service and the Federal Aviation Administration, to eliminate duplicative reporting requirements. Additionally, the Commission continues to actively seek public and industry participation during the rulemaking process to ensure that the information the FCC collects is effectively and efficiently used.

- C *Cable Television.* The Cable Services Bureau focused on three deregulatory or streamlining areas: (1) substantive rules; (2) technical rules; and (3) processes, forms, and record-keeping requirements. The Commission then initiated three cable-related proceedings in 1998 seeking ways to simplify and make more uniform the cable television service pleading and complaint process. Creation of a simpler, more uniform pleading process will lessen confusion and reduce the regulatory burden on franchising authorities, cable operators and other parties.
- C *International.* Also under the umbrella of the Biennial Review in 1998, the Commission started two rulemaking proceedings that propose to greatly reduce the filing requirements for carriers seeking to provide international telecommunications. In the first, the FCC proposes to eliminate roughly 75 percent of international service applications processed by the International Bureau and expects to consider a final decision in this proceeding in the spring of 1999. The second proposes to reform the international settlements policy to promote greater competition and lower international calling prices, thus requiring fewer regulatory filings. Additionally, the Commission may consider initiating a proceeding to examine the issue of international tariffs --which could result in a significant reduction in the information collection burden.
- C *Electronic Filing.* The International Bureau is developing a new Internet-based consolidated licensing and application processing system. The FCC began a pilot system in August 1998 that allows electronic filing of a wide range of applications for International Bureau service areas, including space station, earth station, cable landing license, accounting rate change, recognized operating agency, international signaling point code, data network identification code and foreign carrier affiliation notification filings. The system will also provide users with a whole host of query and reporting options, and allows applicants to check the status of their application using their personal computer. While the Bureau intends to strongly encourage use of the new system, electronic filing of applications will be voluntary until the Commission changes its rules. When fully implemented, the electronic system will reduce the burden for at least six FCC collections.
- C *Universal Licensing System (ULS).* The Wireless Telecommunications Bureau (WTB) is currently building the ULS which will reduce the number and complexity of the FCC application forms and supporting documentation that must be filed for wireless services. ULS consolidates 10 existing licensing databases and 41 FCC forms to a single database and 4 forms. This system is currently being used for all applications being filed in relation to auctions conducted in 1999 and is being expanded on a service-by-service basis.
- C *Greater Reliance on Certification.* FCC is also taking less burdensome approaches towards regulation by adopting a certification requirement rather than mandating information collection and recordkeeping requirements.

- C *Electronic Rulemaking.* FCC has taken a leading role in implementing electronic rulemaking, adopting a Report and Order (R&O) on electronic filing of documents in rulemaking proceedings. The R&O allows comments on rulemakings to be filed via the Internet, thereby increasing their accessibility. In October 1998, the Electronic Comment Filing System became the official source of copies of materials filed at the FCC --with work stations available to the public for viewing and printing materials.
- C *Forbearance from Regulatory Burden.* The 1996 Act gave FCC the ability to forebear from imposing regulatory burden on the public. FCC has taken steps to do so, by, for example, reducing the filing frequency of tariffs and related materials by telecommunications carriers and eliminating certain requirements for smaller firms. Despite FCC's efforts to reduce or eliminate tariffs filed by telecommunications firms, members of the industry have not embraced this effort because these tariffs provide valuable pricing information that firms use in setting their own rates.
- C *Common Carrier Bureau.* Since this bureau has the major role in implementing key provisions of the 1996 Act, its information collection requirements have significantly increased over the last several years -- by over 2 million burden hours since 1997. Despite the new collections that are necessary in order to promulgate the 1996 Act, the Bureau anticipates a modest decrease in public burden as a result of a number of regulatory reviews that began in 1998 and will continue into 1999.
- N *Review of Accounting and Cost Allocation Requirements* --FCC proposes to decrease burden by changing the accounting threshold; consolidating and eliminating certain accounts; and eliminating certain notification requirements.
- N *Review of ARMIS Reporting Requirements* --The FCC proposes to reduce the scope and improve the quality of the Automated Reporting Management Information System. ARMIS data will also be made available through the Internet. The Commission also proposed to reduce reporting requirements for mid-sized incumbent local exchange carriers.
- N *Eliminate the Reporting of Telegraph and Telephone Franks* --The Commission proposes to eliminate Part 41 of its rules that govern the issuance of franks for interstate and foreign telegraph and telephone service by communications common carriers.
- N *Repeal of Part 62 Rules Regarding Interlocking Directorates* --The Commission proposes to repeal many of the requirements related reporting of interlocking directorate positions.
- N *Streamline and Rationalize Information and Payment Collection for Contributors to Telecommunications Relay Service, North American Numbering Plan Administration, Universal Service, and Local Number Portability Administration Funds:* The FCC will attempt to consolidate a number of collections that gather information necessary to calculate individual carriers' contributions to these support and cost recovery mechanisms.
- N *Review of Depreciation Requirements for Incumbent Local Exchange Carriers* - The FCC proposes to reduce or streamline further its depreciation prescription process by allowing summary filings and replacement of defined depreciation rates for incumbent local exchange carriers with values that are within Commission-defined ranges.

- N** *Review of Part 61 and Related Tariffing Requirements:* The Commission began a rulemaking covering a wide range of tariffing issues, including submitting filing fees electronically; requiring carriers to post their tariffs; and updating the Commission's price cap rules and eliminating those that are no longer applicable to any carrier, such as the interexchange carrier price cap rules.

Significant Changes in Information Collection Burden During for FY 1998

Decreases

- C** *Broadcasting Licenses. FCC Form 340* (OMB No. 3060-0034); *FCC Form 323* (OMB No. 3060-0010); *FCC Form 301* (OMB No. 3060-0027); *Part 21, Multipoint Distribution Service Stations* (OMB No. 3060-0206); *FCC Form 302-AM* (OMB No. 3060-0627). For these collections, there was a transfer of hour burdens to cost burdens to accurately reflect that most broadcast licensees/permittees use contract services (i.e., broadcast attorneys and consulting engineers) in the preparation and filing of various information collections. These collections resulted in a decrease of 512,400 burden hours.
- C** *FCC Form 1200 Setting Maximum Initial Permitted Rates* (OMB No. 3060-0601); *FCC Form 1210 Updating Maximum Initial Permitted Rates* (OMB No. 3060-0595); *FCC Form 1220 Cost of Service Rate Filing* (OMB No. 3060-0594); *FCC Form 1240 Annual Updating of Maximum Permitted Rates for Regulated Services* (OMB No. 3060-0685); *Resolution of Complaints Pursuant to Section 76.607* (OMB No. 3060-0500). FCC information collections were reviewed in light of recent filing trends and were found to overstate estimated information collection burdens by approximately 532,000 hours.
- C** *Closed Captioning of Video Programming--Final Rules* (OMB No. 3060-0761). The final rules did not have several of the previously proposed recordkeeping and reporting requirements, saving approximately 207,000 hours.
- C** *Records to be Maintained by Cable Operators For Public Inspection Pursuant to Section 76.305* (OMB No. 3060-0316). The number of entities subject to requirements set forth in Section 76.305 was over-estimated in previous submissions of this collection for OMB clearance. When the collection was submitted for its most recent clearance, the number of subject entities was corrected, resulting in a downward adjustment of approximately 84,000 hours.

Increases

There was a substantial increase in FCC FY 1997 and FY 1998 year end burden totals. More than eighty percent of the increase was attributable to implementation of the 1996 Act. In attempt to recoup some of the burden increase, many of these regulatory actions contain proposals that will consolidate or replace existing information collections --which will be eliminated or narrowed in scope.

- C** *Implementation of the Telecommunications Act of 1996: Telecommunications Carriers' Use of Customer Proprietary Network Information (CPNI) and Other Customer Proprietary Network* (OMB No. 3060-0715). Among other things, carriers are permitted to use technical information about a customer, without their approval, to market offerings based on the customer's existing service relationship with their carrier. Carriers must obtain express customer approval to use CPNI to market services not currently purchased by the client and must provide the customer with a one-time

notification of their rights prior to seeking approval. This requirement increased FCC burden by 721,000 hours.

- C *Billed Party Preference for InterLATA Calls* — CC Docket No. 92-77; 47 CFR Sections 64.703(a), 64.709, 64.710 (OMB No. 3060-0717). The FCC requires operator service providers (OSPs) to distinctly disclose to the consumer, at no charge and before connecting any interstate call, how to obtain rate quotations, including any applicable surcharges. Section 64.709 requires OSPs to file informational tariffs with the Commission. Section 64.710 requires providers of interstate services to inmates at correctional institutions to identify themselves, audible and distinctly, to the party to be billed, among other things. There was a substantial increase of 700,000 hours in this collection as the Bureau consolidated several collections under one OMB control number.
- C *Universal Service: Schools and Libraries Universal Service Program, FCC Forms 470 and 471* (OMB No. 3060-0806); *Universal Service: Health Care Providers Universal Service Program* (OMB No. 3060-0804). These collections were developed to assist the Bureau in administering the funds used to support access to advanced telecommunications services by schools, libraries, rural health providers. A program increase of over 700,000 burden hours were reported to OMB.
- C *Requirements of Toll-Free Service Access Codes 888/877* (OMB No. 3060-0825). This collection implements the process for exercising the right of first refusal to the 888 toll free vanity numbers which were set aside in 1996. Furthermore, it ensures that entities that had existing 800 toll free numbers are given sufficient opportunity to reserve similar 888 numbers of their choice. This requirement caused a program increase of 370,430 burden hours.
- C *Communications Assistance for Law Enforcement Act (CALEA)* (OMB No. 3060-0809). This new collection is part of the Commission's implementation of the statutory obligations of section 301 of CALEA. The information maintained by telecommunications carriers will be used by law enforcement officials to determine the accountability and accuracy of telecommunications carriers' compliance with lawful electronic surveillance orders. This requirement yielded an increase of 46,700 burden hours.
- C *Enhanced or E911 Service* (OMB No. 3060-0813). The Commission adopted rules in the wireless E911 proceeding which remedied technical problems raised in the rulemaking. There were two notification requirements imposed to ensure: a) that wireless E911 calls are referred to emergency response centers that have the technical capability to use the data to the caller's benefit and thus minimize response delays; and b) that responsible government operators of emergency response centers have adequate cost recovery mechanisms in place before imposing E911 service requirements upon covered carriers. These requirements will be used to ensure continued high quality emergency telecommunications service. This resulted in a burden increase of 194,000 burden hours.
- C *Wireless Service Provision. 220-222 MHz Radio Service* (OMB No. 3060-0834); *2.3 GHz and 47 GHz Radio Service* (OMB No. 3060-0846); *39 GHz* (OMB No. 3060-0690). The information contained in these actions will be used by the Commission to verify licensee compliance with Commission rules and regulation, to ensure the integrity of different wireless services, and to ensure that licensees continue to fulfill their statutory responsibilities in accordance with the Communications Act of 1934. This resulted in a burden increase of 104,000 hours.

- C *Implementation of Section 255* (OMB No. 3060-0833). The Notice of Proposed Rulemaking in this proceeding proposes a framework for implementing Section 255 of the 1996 Act, which requires that telecommunications equipment manufacturers and service providers ensure their equipment and services are accessible to persons with disabilities, to the extent that it is readily achievable to do so. This resulted in a burden increase of 87,300 burden hours.
- C *Public Safety Wireless --Section 90.155* (OMB No. 3060-0221); *Section 90.527* (OMB control number 3060-0805); *Section 90.179* (OMB control number 3060-0262). Congress, in the Balanced Budget Act of 1997, directed the FCC to set aside electromagnetic spectrum in the 746-806 MHz band, previously used for analog television broadcasting, for public safety services. These rules govern how rapidly a public safety agency must build out their system in order to remain eligible for the license and what filing requirements must be met to document the buildout. Section 90.527 requires submission of regional plans for systems that would be built in these frequencies. The FCC also established a National Coordination Committee that will develop national standards for the operation and use of the spectrum allocated for nationwide interoperability. Section 90.179 allows the entities applying to the Commission for a license to share these radio stations on a non-profit cost sharing basis if stations document these entities. Collectively, these three requirements are a program increase of 691,000 burden hours.
- C *Streamlining of Mass Media Applications, Rules and Processes* (OMB No. 3060-0829). The Commission has proposed to streamline broadcast application and licensing procedures, reduce licensee administrative and filing requirements, and eliminate rules and procedures that no longer advance key objectives. This requirement resulted in 174,000 burden hours.
- C *Streamlining of Radio Technical Rules in Parts 73 and 74 of the Commission's Rules* (OMB No. 3060-0838). The Commission is attempting to enhance opportunities for broadcasters to improve their facilities and services, while eliminating unnecessary administrative burdens and delays and maintaining the technical integrity of the radio broadcast services. FCC proposals advance a series of new, technical rules to expand options for commercial and noncommercial educational FM and FM translator stations to improve existing broadcast services, and to streamline certain AM and FM technical procedures. If ultimately adopted, these proposals would provide broadcasters greater flexibility to make facility improvements, with a burden of some 28,600 hours distributed to the pertinent individual collections.
- C *Multipoint Distribution Systems and ITFS Two-Way Transmissions* (OMB control number 3060-0831). The Commission proposed a flexible licensing that would allow different technologies and services to be provided using all or part of assigned frequencies. This proposed rule resulted in a burden increase of 17,800 hours.
- C *Streamlining the International Section 214 Authorization Process and Tariff Requirements* (OMB No. 3060-0686). The Commission tentatively proposed to eliminate approximately 75 percent of international service applications processed by the International Bureau. The decision that the Commission ultimately adopts in this proceeding may affect this collection. This requirement resulted in an increase of 66,600 burden hours due to liberalization of the market.

Significant Changes in Information Collection Burden Planned for FY 1999Decreases

- C *Accounting and Cost Allocation Requirement, CC Docket No. 98-81. Uniform Systems of Account* (OMB No. 3060-0370); *Auditor's Attestation Collection* (OMB No. 3060-0384). If adopted as proposed, the modifications will affect three approved OMB collections, reducing the burden on two of those collections. FCC anticipates a total burden reduction of 660,500 hours if the modifications are adopted as proposed. The Uniform Systems of Account, will be reduced by 630,500 burden hours and the Auditor's Attestation collection, will be reduced by 30,000 burden hours.
- C *ARMIS Reporting Requirements, CC Docket No. 98-117.* FCC proposed to reduce the reporting requirements of ARMIS. ARMIS consists of ten reporting requirements. All of these reporting requirements will be reduced to some degree --for a total burden reduction of 161,000 hours.
- C *Reports of Proposed Changes in Depreciation Rates --Section 43.43* (OMB No. 3060-0168). In CC Docket No. 98-137, the Commission proposed to reduce or streamline further its depreciation prescription process. If the proposals are adopted, FCC anticipates a burden reduction of 12,000 hours.
- C On October 22, 1998, the Commission adopted a Report and Order in MM Docket Nos. 98-43 (*1998 Biennial Regulatory Review -Streamlining of Mass Media Applications, Rules, and Processes*) and 94-149 (*Policies and Rules Regarding Minority and Female Ownership of Mass Media Facilities*). The Commission will make fundamental changes in the broadcast application and licensing procedures by reducing filing burdens, increasing the efficiency of application processing, and preserving the public's ability to participate more fully in broadcasting licensing processes. The Report and Order also adopts an electronic filing mandate for 15 key OMB-approved Mass Media Bureau broadcast application and reporting forms. To realize the processing efficiencies obtainable through electronic filing, the Report and Order also eliminates rules and revises procedures that consume significant staff resources, create excessive filing burdens, and/or do not sufficiently advance key regulatory objectives. The Commission has not yet estimated the burden reductions that will result from this initiative.
- C On August 6, 1998, the Commission adopted a Report and Order in MM Docket No. 97-234 (*Implementation of Section 309(j) of the Communications Act --Competitive Bidding for Commercial Broadcast and Instructional Television Fixed Service Licenses*), GC Docket No. 92-52 (*Reexamination of the Policy Statement on Comparative Broadcast Hearings*) and GEN Docket No. 90-264 (*Proposals to Reform the Commission's Comparative Hearing Process to Expedite the Resolution of Cases*). These collections implement provisions of the Balanced Budget Act of 1997 (BBA) which expanded the Commission's competitive bidding authority under Section 309(j) of the Communications Act of 1934. As a result of the BBA, FCC adopted competitive bidding procedures to award construction permits in the commercial broadcast and second broadcast services and amended application filing procedures for the broadcast services to complement the competitive bidding process. The Commission has not yet estimated the burden reductions that will result from this initiative.

Increases

- C *Truth-in-Billing Format, Notice of Proposed Rulemaking, CC Docket No. 98-170* (OMB No. 3060-0854). Increasingly, consumers are concerned about telephone bills that do not provide sufficient

information in a user-friendly format to enable them to understand the services being provided, who is providing them, and what they must pay. Congress has taken a strong interest in this issue and is contemplating legislation. In response, the Commission proposes to impose third party disclosure requirements that affect how telephone bills are organized and what they must say. The information will be used by consumers to help them understand their telephone bills. The FCC anticipates an increase of 185,400 burden hours and a cost burden of \$1,800,000–\$9,000,000 to service providers.

- C *Access Charge Reform for Incumbent Local Exchange Carriers (LEC) Subject to Rate-of-Return Regulation*, CC Docket No. 98-77 (OMB No. 3060-0840). In CC Docket No. 98-77, the Commission began to reform access charge rules applicable to rate-of-return incumbent LECs. The FCC has proposed that rate-of-return LECs conduct cost studies to determine the basis for charging other telecommunications companies for use of their systems. The collections of information will be used by the Commission to ensure that the LECs have complied with the Commission's rules and policies. FCC anticipates a burden increase of 72,300 hours if the proposals are adopted.
- C *Universal Service: Schools and Libraries Universal Service Program Reimbursement Forms, FCC Forms 472, 473 and 474* (OMB Nos. 3060-0853 and 3060-0856). In response to the 1996 Act, the Commission adopted rules providing universal service support for all telecommunications services, Internet access, and internal connections for all eligible schools and libraries. Discounts on eligible services are provided to schools and libraries, and service providers can seek reimbursement for the amount of the discounts. These forms facilitate and validate the reimbursement process. As a result of these collections, FCC anticipates a burden increase of 133,000 burden hours.
- C *Consumer Complaint Forms, FCC Forms 475 and 476*, (OMB No. 3060-0874). Statute and FCC regulations allow consumers to file complaints against common carriers with the Commission. The complaint process and FCC 475 form have been reengineered to provide consumers a concise structured approach to communicate critical information required by the Commission to facilitate complaint resolution and enhance the collection of data related to unjust and unreasonable practices of common carriers. The “Give Us the Scoop Form” (FCC Form 476) allows consumers to communicate critical information needed by the FCC to investigate complaints. The forms will be accessible from the Commission's website making it available to more consumers without increasing the cost to the Commission. As a result of these collections, FCC anticipates a burden increase of 40,000 hours.
- C *Telecommunications Reporting Worksheet and Associated Requirements*, NPRM, CC Docket No. 98-171, (OMB No. 3060-0855). The Communications Act requires telecommunications carriers (and certain other service providers) to contribute to the support and cost recovery mechanisms for telecommunications relay services, numbering administration, local number portability, and universal service. The Commission proposes to combine the reporting requirements associated with these mechanisms so that carriers need only file one worksheet to satisfy all of these requirements. A burden increase of 31,000 hours is projected by the FCC which will be more than offset by elimination of existing collections.
- C *Goodman/Chan Receivership Licensees* (OMB No. 3060-0861). In this new collection which results in an increase of 18,000 hours, the Commission requires certain licensees to make certifications concerning their licenses. The information collected will be used to determine whether or not licensees are entitled to specific benefits and to ensure they are in compliance with the Commission's rules.

- C *Section 90.155(d), Time in which Station Must be Placed in Operation* (OMB No. 3060-NEW) In this new collection, the Commission will require certain radio licensees to submit engineering surveys and prepared maps displaying the service area contour of the licensees. This information will be used to evaluate licensee's service area boundary and coverage. This will result in a burden increase of 27,500 hours.
- C *Implementation of Section 255* (OMB No. 3060-0833). Final action is expected on rules in this proceeding which implements Section 255 of the 1996 Act, and is aimed at extending the benefits of access to telecommunications equipment and services to individuals with disabilities. If the final action adopts the rules as proposed in the NPRM, the result could be an increase of 87,300 burden hours.
- C *C Block Spectrum* (OMB No. 3060-0801). Continued rulemakings on spectrum used for personal communications services requires each applicant for so-called "C block" spectrum to attach a statement made under penalty of perjury indicating whether or not the applicant has ever been in default on any Commission licenses or has ever been delinquent on any non-tax debt owned to any Federal agency. This information will allow the Commission to determine the amount of the up-front payment to be paid by each applicant and will help ensure that C block reauctions are conducted fairly and efficiently. This collection results in an increase of 773,000 hours.
- C *State Public Safety Plans & Y2K* (OMB No. 3060-0858). The Commission has been directed by Congress, in the Balanced Budget Act of 1997, to dedicate 24 megahertz of electromagnetic spectrum in the 746-806 MHz band for public safety services. The FCC 98-191, in WT Docket No. 96-86 proposes service rules and procedures to make this spectrum available for licensing to public safety organizations. The Commission is attempting to determine a planning process to ensure this spectrum is used effectively. The Commission also seeks comments on possible alternative methods of obtaining the current state of Y2K readiness and the progress and range of compliance initiatives that have been taken in the public safety community. If adopted, this proposed collection will result in an increase of approximately 100,500 burden hours.
- C *Digital Television Broadcast Carriage Proposed Rules* (OMB No. 3060-0844). Proposed rules in this new proceeding will impose an annual information collection burden of approximately 92,300 hours on respondents.
- C *MDS and ITFS Two-Way Transmissions* (OMB No. 3060-0831). The Commission has adopted rules to provide Multipoint Distribution System and Instructional Television Fixed Systems licensees with increased technical and operational flexibility. This action will facilitate the provision of a wide array of new, enhanced services including new digital and two-way communications services. FCC anticipates that the burden for this collection will increase by over 210,000 hours.
- C *FCC Remittance Advice and Continuation Sheet* (OMB No. 3060-0589). FCC Form 159, Fee Remittance Advice and Continuation Sheet and Unique Entity Identifier (EUI). The 1996 Act requires the FCC to collect fees from the communications industry to offset the cost of regulation. The Commission will re-engineer its processes to take advantage of commercial systems that reflect best practices and standards. The system will dictate changes in information gathering to improve tracking and matching fee payers with license holders of record. The FCC will also install an agency-wide registration system to support cross-referencing licensing system information with fee payment information for all licensing, authorizing and financial systems. The registration system will be

Web-based, accessible from all electronic filing systems --and will require the public to register only once no matter which filing or financial system they need to use. Commission rules require that filers, applicants, licensees and regulatees provide the FCC with a current valid address at all times. The registration system will provide a single source for the customer to maintain that information. The Commission anticipates an increase in burden hours for FCC Form 159 (OMB No. 3060-0589) however, there are no estimates at this time. Additionally, if the proposed new form for manual registration is adopted, that too, will increase FCC's information collection burden. The result is that there is currently two allowable forms of filing, electronic and paper. Ultimately, existing paper-based collections will be eliminated, reducing FCC's aggregate burden.

Significant Changes in Information Collection Burden Planned for FY 2000

Decreases

FCC anticipates that it will be able to decrease its information collection burden as a result of each bureau's biennial regulatory reviews of regulations and implementation of the Universal Licensing System.

- C *Statement Regarding the Importation of Radio Frequency Devices Capable of Harmful Interference FCC Form 740* (OMB No. 3060-0059). By FY 2000, this information collection will no longer be required by the FCC. Pending Report and Order eliminating the need for duplicate information to be filed with FCC as well as U.S. Customs will be approved by FY 2000. The FCC anticipates elimination of approximately 20,000 hours of burden will result from this effort.

Increases

The Commission does not have any significant changes in information collection burden planned for FY 2000.

Recent Statutes That Affect Information Collection Activities

- C The Telecommunications Act of 1996 (P.L. 104-104) continues to have a great impact the Commission's collections of information. This will contribute approximately 2,400,000 burden hours to FCC's Information Collection Budget over FYs 1998, 1999, and 2000.
- C Balance Budget Act of 1997 (P.L. 105-33) authorizes the Commission to employ competitive bidding procedures to choose from among two or more mutually exclusive applications for certain licensees. Additionally, the Balanced Budget Act of 1997 amends Section 309(j) of the Communications Act of 1934 to extend the Commission's competitive bidding authority until September 30, 2007, and expands the Commission's competitive bidding authority. As amended, Section 309(j)(1) provides that all mutually exclusive applications for initial licenses or construction permits shall be auctioned, with certain exceptions provided in Section 309(j)(2). There may be services and frequency bands that will be auctionable for the first time, in which FCC may need to consider various auction procedures to award licenses and permits for such spectrum, including how their licensing mechanisms should be revised to accommodate the requirements of the Balanced Budget Act. These requirements may impact FCC's efforts to reduce overall paperwork burdens. This will contribute approximately 811,000 burden hours to FCC's Information Collection Budget over FYs 1998, 1999, and 2000.
- C Cable Television Consumer Protection and Competition Act of 1992 (P.L. 102-385) established the requirement for the FCC to regulate certain aspects of cable television industry service pricing and rate

setting. It also created a public complaint and appeals processes as well as requiring certain public disclosures from cable franchisees. This will contribute approximately 120,000 burden hours to FCC's Information Collection Budget over FYs 1998, 1999, and 2000.

- C Section 9 of the Communications Act of 1934, as amended, requires the Commission to collect regulatory fees from the communications industry to offset the cost of regulation. This will contribute approximately 300,000 hours to FCC's Information Collection Budget over FYs 1998, 1999, and 2000.

- C Section 11 of the Communications of 1934, as amended, requires the Commission, in every even-numbered year beginning in 1998, to review its regulations applicable to providers of telecommunications service to determine whether the regulations are no longer in the public interest due to meaningful economic competition between providers of such service and whether such regulations should be repealed or modified. This will reduce burden by approximately 871,000 hours over FYs 1998 and 1999.

Federal Deposit Insurance Corporation

	Burden Hours (in millions)	Percentage Change from Previous FY
Actual FY 1998	7.56	! 11.4%
Target FY 1999	7.57	0.1%
Target FY 2000	7.54	! 0.3%

Need for Collection of Information

The FDIC was chartered by Congress in the Banking Act of 1933 to provide deposit insurance protection on a national basis, and to promote sound banking protection through the regulatory powers granted it by legislation. The FDIC was formed after more than 9,000 banks ceased operations between October 1929 and March 1933. In addition to its role as the Federal insurer of deposits, the FDIC is the primary Federal regulator of federally insured state-chartered banks (commercial and savings) that are not members of the Federal Reserve System, and has back-up supervisory authority over all FDIC-insured institutions. The FDIC's Congressional mandate includes consumer protection. Since 1980, the FDIC has successfully managed the response to the failures of approximately 1,600 banks.

The FDIC depends on the information it collects to monitor the financial condition, performance, and activities of depository institutions, but it makes every effort to keep the recordkeeping and reporting burden on depository institutions to the minimum necessary to ensure a safe and sound banking system, enhance the functioning of the marketplace, or protect consumers.

Internal Management of Information Collection

FDIC seeks to insure that the collections of information it imposes on the public achieve the agency's statutory goals effectively while minimizing burden. Renewals of OMB-approved collections, for example, are never treated routinely. As each collection's scheduled expiration date approaches, FDIC carefully considers the continuing need for the collection, the need to eliminate duplicative collections, and the extent to which changes in technology, business conditions, and other factors may affect the method or substance of the collection.

Procedures for compliance with the PRA are reinforced in an internal FDIC directive on developing regulations. The directive explains key terms used in the Act and in OMB's implementing regulation (5 CFR 1320); describes procedures the FDIC has developed to comply with the OMB clearance process; makes clear where individual and organizational responsibility for PRA compliance is located within the FDIC; specifies the name of the FDIC staff person who serves as liaison with OMB on PRA matters; and contains instructions on how to prepare a supporting statement. The FDIC's CIO, who is Director of the Division of Information Resources Management, is involved in the development of the Corporation's ICB and provides guidance on important information management and dissemination matters. Day-to-day administration of information collection functions required by the PRA, however, is the responsibility of a senior official in the FDIC's Office of the Executive Secretary (OES). OES has demonstrated an ability to meet the procedural requirements of the PRA and has assisted with the coordination of FDIC's burden reduction efforts.

Burden Reduction Efforts and Goals

The FDIC has been and will continue to be guided by the goals of streamlining regulations, reducing burden, and increasing uniformity among bank regulators, consistent with broadly accepted public policies regarding consumer protection and the safety and soundness of the financial sector. The principal challenge is to keep paperwork burden to a minimum while meeting the FDIC's statutorily mandated responsibilities, especially those that were added by Congress after the banking crisis of the 1980s. The FDIC has also been challenged to find ways to meet new, temporary information collection needs — such as those posed by the changeover of insured institutions' automated systems to the year 2000 — through the use of existing collections of information to as great an extent as possible.

The need to coordinate common collections of information with the other banking agencies, however, has hampered the FDIC's ability to reduce the burden of information collections for which it is responsible. Specifically, almost 98 percent of the burden in the FDIC's inventory, about 7.4 million hours, is imposed by interagency collections of information. Of this amount, 6 million hours are imposed by regulations issued by the Federal Reserve Board and the Department of the Treasury. Although the FDIC must enforce these regulations for the banks it supervises (and impose the related reporting requirements), the FDIC has no substantive control over them and has no authority to modify them.

Significant Changes in Information Collection Burden During FY 1998

Decreases

- C *Recordkeeping and Disclosure Requirements in Connection with Regulation Z* (OMB No. 3064-0082). The Federal Reserve Board's Regulation Z, Truth-In-Lending, prescribes uniform methods of computing the costs of credit, disclosure of credit terms, and procedures for resolving billing errors on certain credit accounts. A decline in the number of FDIC-supervised institutions caused a downward adjustment in the burden attributed to the FDIC by the Regulation Z requirements of 787,000 hours.
- C *Recordkeeping and Disclosure Requirements in Connection with Regulation E* (OMB No. 3064-0084). The Federal Reserve Board's Regulation E establishes the rights, liabilities, and responsibilities of parties in electronic fund transfer (EFT) and protects consumers using EFT systems. The decline in the number of FDIC-supervised institutions caused a downward adjustment in the burden attributed to the FDIC by Regulation E requirements of over 120,000 hours.
- C Nineteen other minor program and adjustment changes occurred during FY 1998 that produced a net burden reduction of almost 90,000 hours.

Increase

- C *The Year 2000 Guidelines* (OMB No. 3064-0128). These guidelines, which are issued jointly by the Federal financial institutions regulators, require insured depository institutions to take and document actions to identify year 2000 problems and resolve them. This new information collection increased burden by over 23,000 hours.

Significant Changes in Information Collection Burden Planned for FY 1999Decrease

- C *Monthly Consolidated Foreign Currency Report* (OMB No. 3064-0105). Certain financial institutions with more than \$1 billion in commitments to purchase foreign currencies and U.S. dollar exchange must file this report to help FDIC monitor foreign exchange markets. This collection is no longer needed and will be eliminated, which will reduce burden by 480 hours.

Increases

- C *External Auditing Programs* (OMB No. 3064-0113). This collection requires financial institutions to file an annual report on their financial statements and notify FDIC when they select or change their accountants. A proposal to provide uniform guidance regarding independent external auditing programs will result in a small increase of almost 5,000 hours.
- C *Community Reinvestment Act Regulation* (OMB No. 3064-0092). This interagency information collection, which is mandated by the Community Reinvestment Act (CRA), requires financial institutions to provide information about their community lending activities to allow the public and the banking agencies to assess their performance in meeting the credit needs of the communities they serve. The banking agencies plan to make an adjustment after reexamining their estimates of the reporting and recordkeeping burden based on the actual experience of financial institutions.

Significant Changes in Information Collection Burden Planned for FY 2000Decrease

- C *The Year 2000 Guidelines* (OMB No. 3064-0128). These guidelines, which were established in FY 1998 (see above), will no longer be needed. The elimination of these guidelines will result in a program change of over 23,000 hours.

Recent Statutes that Affect Information Collection Activities

None.

Federal Emergency Management Agency

	Burden Hours (in millions)	Percentage Change from Previous FY
Actual FY 1998	4.68	! 7.5%
Target FY 1999	3.82	! 18.5%
Target FY 2000	3.83	0.3%

Need for Collection of Information

The Federal Emergency Management Agency (FEMA) has responsibility for the Nation's emergency management system and provides leadership to State and local governments in developing and maintaining a national emergency management system that helps people protect themselves, their families, homes and businesses from all hazards. FEMA's information collections are an integral part of the process through which emergency managers prepare for emergencies and disasters, respond to them when they occur, help people and institutions recover from them, mitigate their effects, reduce the risk of loss, and prevent disasters from occurring. FEMA collects information, or require its retention or disclosure in order to:

- C Make recommendations to the President on approval of Presidential disaster declarations and emergencies;
- C Provide grants and technical assistance to State and local governments and disaster assistance to individuals, State and local governments, businesses, and private non-profit organization;
- C Provide training to emergency managers and supporting the nation's fire service and emergency medical services communities;
- C Coordinate the Federal, State, and local partnership fire incident data-collection and analysis;
- C Administer the National Flood Insurance Program; and
- C To evaluate customer satisfaction and program performance.

Internal Management of Information Collection

The Executive Associate Director, Information Technology Services Directorate serves as the CIO. The CIO has delegated responsibilities for the agency's information collections to the Executive Associate Director, Operations Support Directorate. Within the Operations Support Directorate the Chief of the Records Management Branch, Program Services Division has diverse duties and responsibilities including the responsibility to act as the agency's information collections officer for Paperwork Reduction Act matters. In addition, two Records Management Branch staff members assist the Branch Chief in overseeing the agency's directorates and offices to ensure compliance with all Paperwork Reduction Act and Information Collection Budget activities. The Records Management Branch staff also independently review all FEMA information collection submissions. Most of the directorates and offices have a staff person who serves as a liaison between the directorate or office and the Records Management Branch.

During FY 1999 the ICM staff will conduct a comprehensive review of its management and oversight of the agency's Paperwork Reduction Act and Information Collection Budget activities. FEMA plans to seek guidance, assistance, and training from OMB staff on what needs to be included in a paperwork submission package, how ICM staff can assist FEMA program staff in completing the submissions, what the ICM

staff is responsible for, and what role OMB plays in its review and approval process. In addition, FEMA will be meeting with paperwork clearance officers at other Federal departments and agencies to obtain information about their OMB clearance process. FEMA guidance on PRA implementation will be revised and FEMA plans to conduct briefings with all levels of staff --ranging from senior management down to the program staff (who actually complete the clearance packages). FEMA also plans to become proactive in the day-to-day oversight of information collection activities, renew their contacts with the Office of General Counsel staff, particularly in the review of proposed and final rulemaking and new legislation, as well as with the liaisons in the FEMA directorates and offices.

Burden Reduction Efforts and Goals

FEMA will meet the 5 percent burden hour reduction goal for 1999, but increase burden by a small amount in 2000. The burden reduction initiatives described below help to explain FEMA's 1999 reductions, as well as outline several initiatives that could result in longer-term reductions beyond FY 2000.

- C Flood Form. FEMA plans a 2 million hour burden reduction for the *Standard Flood Hazard Determination Form* (OMB No. 3067-0264). A new automated system preprints all of the information, allowing respondents to simply review and sign the form. (See below for more specific description.)
- C Public Assistance Program. During FY 1998 FEMA conducted a comprehensive review of the Public Assistance Program and its process for providing financial and technical assistance to State and local government emergency managers and private-non profit organizations. The assistance is provided for the repair or rebuilding of infrastructure that is damaged or destroyed as a result of a declared major disaster and emergency. The Public Assistance Program requirements have been reengineered and the process for submitting requests and documentation for public assistance has been streamlined. In the public assistance program, applicants play an active role throughout the disaster recovery process. A fundamental goal of the program is to empower applicants to respond to the needs of their communities. This is based on the belief that applicants are in the best position to identify and prioritize local needs and that FEMA, in concert with its state partners, can better serve applicants by providing the type of assistance needed to meet those needs. The primary purpose of the initiative, which was implemented in early FY 1999, was to simplify the process used by the agency to provide disaster recovery assistance. FEMA is reviewing the impact this initiative may have on the data collection activities, particularly to determine if the new program results in significant burden reduction. Testing of the pilot data collections were performed under the information collection approved under OMB control number 3067-0151. While it is not possible for FEMA to specify specific burden reduction numbers at the present time, FEMA anticipates that this initiative could lead to reduced burden as early as FY 2001.
- C NEMIS. Beginning in FY 1999 the National Emergency Management Information System (NEMIS) was used on small disasters to collect or create, manipulate, store, disseminate and retrieve information. The system will handle all incident monitoring activities, situation reports and other reports, Regional and Headquarters declarations processing and initial allocation document preparation will be done using NEMIS for new disasters. This will expedite the decision making process for determining which disasters will ultimately be processed using NEMIS or the legacy systems. NEMIS has been fully used in two disasters where a total of 27,219 registrations for Human Services were processed. During FY 1999, FEMA will be working with NEMIS and disaster assistance program staff to determine if significant burden reductions can be achieved with this system. Several currently

approved and expired collections will be reviewed in conjunction with the use of NEMIS. While its not possible for FEMA to specify specific burden reduction numbers at the present time, FEMA anticipates that this initiative could lead to reduced burden as early as FY 2001.

Significant Changes in Information Collection Burden During FY 1998

Decrease

- C *National Fire Incident Reporting System (NFIRS)* (OMB No. 3067-0161); *Flood Mitigation Assistance, Flood Mitigation Plan* (OMB No. 3067-0271); and *assorted others*. Expiration of OMB approval for ongoing collections resulted in a reduction of 493,000 burden hours. The listed collections constitute the most substantial portion of that burden. The expiration of the National Fire Incident Reporting System reduced accounted for burden by 252,000 hours.

Increases

- C *Individual Disaster Assistance Customer Satisfaction and Program Effectiveness Surveys* (OMB No.3067-0256). FEMA reinstated these surveys to measure customer satisfaction with FEMA programs and services, as well as program effectiveness. Burden increased by 58,216 hours with the reinstatement. The reinstatement included new survey areas of interest that had not been part of the expired collection. The new surveys increased burden by 55,066 hours.
- C *Report to Submit Technical or Scientific Data to Correct Mapping Deficiencies* (OMB No. 3067-0147). Reinstatement of information collection used to determine whether property is within a Special Flood Hazard Area and to determine whether an amendment or revision should be made to the National Flood Insurance Program maps to remove properties from the one-percent annual chance floodplain. The reinstatement increased burden by 22,800 hours.

Significant Changes in Information Collection Burden Planned for FY 1999

Decrease

- C *Standard Flood Hazard Determination Form* (OMB No. 3067-0264). Lending industry adoption of advanced information technology to collect, maintain, and store data on the flood zones of properties will reduce the time needed to research and gather data on individual properties. With the information already maintained in automated information systems, the systems computer generates completed forms that require applicants for new or refinance mortgages to review and sign the form. The burden for this collection in FY 1999 is expected to decrease from 4,000,000 to 2,000,000 hours.

Increases

- C *National Fire Incident Reporting System (NFIRS)* (OMB No. 3067-0161). FEMA will request reinstatement of this information collection. Fourteen thousand fire service organizations voluntary report fire incident data to FEMA for each incident that occurs. The data is used by local, State, and Federal governments for fire incident data analysis. It is also used to prepare an annual report to Congress. The information collection will increase calculated burden by 983,000 hours. Burden will increase 731,000 hours from the previous approval due to a correction in the number of annual responses.

- C *Flood Mitigation Assistance, Flood Mitigation Plan* (OMB No. 3067-0271) and assorted others. In addition to the reinstatement of NFIRS, FEMA plans to increase its burden in FY 1999 by approximately 145,000 hours by reinstating many collections which have expired. The Flood Mitigation Assistance, Flood Mitigation Plan constitutes the most substantial portion of the burden hours to be reinstated. FEMA's reinstatement of this collection will increase burden by 117,000 hours.
- C *Hotel/Motel Sprinkler Certification Survey* (OMB No. 3067-New). FEMA's National Fire Academy will assume responsibility for the data collection, which was previously handled by the General Services Administration. Hotels/motels are required to provide certification that they have installed sprinkler systems and are in compliance with the Hotel/Motel Safety Act. Burden will increase by 580 hours.
- C *Increased Cost of Compliant Proof of Loss and Adjusters Report* (OMB No. 3067-New). The National Flood Insurance Reform Act of 1994 (P.L. 101-325) required an amendment to the National Flood Insurance Program regulation to add coverage under the Standard Flood Insurance Policy to pay the increased cost to rebuild flood-damaged structures to conform with flood plain management ordinances. The information collection will allow an Adjuster to identify whether the insured qualifies for coverage under the ICC and will provide information to be used by insureds and adjusters to establish a settlement on the amount the insured will receive. Burden will increase by 14,000 hours and costs will increase by \$300,000.
- C *NFIP Inspection of Insured Structures by Communities* (OMB No 3067-New). FEMA plans to publish a proposed rule to establish an inspection procedure under the Nation Flood Insurance Program to help verify that structures in a community comply with the community's flood-plain management ordinance and to ensure that property owners pay flood insurance premiums commensurate with their flood risk. Burden will increase by 3,500 hours.

Significant Changes in Information Collection Burden During FY 2000

Increases

- C *The Capability Assessment Report* (OMB No. 3067-New). This report will allow FEMA to continually assess the emergency management capabilities of State and local government and provide technical assistance as needed. The collection is the result of an evaluation and revision of an information collection initially required by Congress on the emergency management capabilities of State and local governments. FEMA estimates that burden will increase by 5,000 hours.
- C *Survey to Update Flood Maps* (OMB No. 3067-New). The National Flood Insurance Reform Act of 1994 (P.L. 101-325, Section 375) requires the Director of FEMA to assess the need to revise and update all flood-plain areas and flood risk zones every five years. To complete this assessment, FEMA expects to survey approximately 3,800 communities per year. Burden should increase by 7,600 hours.

Recent Statutes that Affect Information Collection Activities

- C The National Flood Insurance Reform Act of 1994 (P.L. 101-325, Section 375). The statute requires that once during each 5-year period, or more often as the Director determines necessary, the Director shall assess the need to review and update all flood-plain areas and flood risk zones based on an

analysis of all natural hazards affecting flood risks. This will affect *Survey to Update Flood Maps* (OMB No. 3067-New) by 7,600 hours.

Federal Energy Regulatory Commission

	Burden Hours (in millions)	Percentage Change from Previous FY
Actual FY 1998	5.54	5.8%
Target FY 1999	4.23	! 23.7%
Target FY 2000	3.41	! 19.3%

Need for Collection of Information

The Federal Energy Regulatory Commission (FERC) oversees and regulates interstate oil pipelines, commerce in electricity and natural gas, and hydroelectric power projects. FERC's need to collect information is due to its responsibility for setting rates for these regulated activities. FERC collects industry information to ensure that wholesale rates charged by electric industries and natural gas pipeline companies are reasonable and not unduly discriminatory. Other necessary information includes data associated with investigations and authorizations associated with its regulatory capacity, the issuance of project licenses, safety determinations, and project compliance assessments.

FERC's value to the nation must be measured by how well its economic regulation provides benefits of efficiency and fairness within the industries that it regulates, and how well its non-economic regulation provides benefits like environmental protection. To that end, FERC's Strategic Plan identifies strategic goals and objectives for each of its program areas, as well as for administrative purposes. These goals and objectives include the following:

- C FERC will encourage restructuring in the electric industry to promote competitive commodity markets, as it has in the natural gas industry. True open access to essential facilities is the underpinning of competitive commodity markets for both electricity and gas, and requires constant adjustments in the information that FERC collects from the changing industries.
- C As needs for regulation in the industries change, the ways in which FERC conducts business must change to respond in real time to industries and interveners alike. These changes will include better use of electronic technology to both facilitate the regulatory process and collect information more efficiently. The changes will also involve improved approaches to handling the problems of increasingly market-responsive energy industries, and improvements in environmental reviews. All of these activities require comprehensive, accurate, and current data on the state of power industries.

Internal Management of Information Collection

FERC's Chief Information Officer (CIO) has oversight responsibility for all Commission information technology applications, with the express goal of reducing regulatory burdens, cutting processing times, simplifying filing processes, and generating better information for use by industries and the public. The CIO supervises FERC's internal burden-reduction network, its automated systems, and any electronic innovations for collecting information that are under consideration by FERC. FERC's information collection clearance program is overseen by a coordinator who serves as FERC's Clearance Officer. The Clearance Officer coordinates with FERC's three program offices — FERC's financial staff, the Office of

General Counsel, and the Office of Economic Policy — in implementing the information collection clearance program.

Burden Reduction Efforts and Goals

To reduce burden, FERC has identified the following initiatives:

- C *Reduce the processing time for public requests and other services.* FERC will focus its efforts on those parts of hydropower licensing and pipeline certification decisions that it controls. These areas include processing systems, conflict resolution strategies, and information technology developments.
- C *Minimize filing burden.* FERC will expand and standardize the use of electronic filing to ease the filing burden on the regulated industries. Electronic filing pilot programs via the Commission's website are scheduled to begin in FY 1999.
- C *Generate better information for use by industries.* The availability of information is a key element in moving from a heavily regulated environment to one where lighter-handed regulation and market forces combine to assure just and reasonable rates. Information technology development will make information available in a more timely manner through the Commission's website and will facilitate searching for specific information within the large body of data the Commission maintains.

Significant Changes in Information Collection Burden During FY 1998

Decreases

- C *Open Access Same-Time Information Systems* (OMB No. 1902-0173). FERC has implemented the initial requirements for establishing the process whereby public utilities establish electronic bulletin boards to improve the electric-market transactions. This has reduced the hour burden in this collection by 123,000 hours. All public utilities now have simultaneous access to the same information, thereby facilitating the open trading of electricity.
- C *Electric Rate Schedule Filings* (OMB No. 1902-0096). In Order No. 888, FERC required public utilities to post open access tariffs. Now that all of the open access tariffs are in place, transmission providers submit a considerably streamlined information collection to the Commission -- a reduction of 55,000 burden hours.

Increases

- C *Standards for Business Practices of Interstate Natural Gas Pipelines* (OMB No. 1902-0174). In FERC's continuing effort to increase the competitiveness of the natural-gas market, additional standards and protocols for electronic communication over the Internet were adopted and implemented to simplify the process of transacting business across the interstate natural gas pipeline grid. The increase in the information collection burden (421,000 for FY 1998) reflects the adoption of additional business practices relating to nominations, confirmations, invoicing, and the migration from pipelines' electronic bulletin boards to interactive Web sites.
- C *Records Retention Requirements* (OMB No. 1902-0098). FERC implements the statutory provisions of the Federal Power Act, the Natural Gas Act and Interstate Commerce Act which call for regulations for the preservation of records established by guidelines that prescribe the appropriate retention

periods. These records are used by the regulated companies(public utilities, natural gas companies and oil pipeline companies) as the basis for their required filings reports submitted to FERC. The increase in the information collection burden 36,000 for FY 1998, reflects an adjustment in the number of record-keepers (500 to 515) who are now subject to FERC's jurisdiction.

Significant Changes in Information Collection Burden Planned For FY 1999

Decreases

- C *Standards for Business Practices of Interstate Natural Gas Pipelines* (OMB No. 1902-0174). In an effort to increase the natural-gas market's competitiveness, FERC sought to help equalize opportunities for natural gas pipeline companies by forming an industry consensus group called the Gas Industry Standards Board (GISB). FERC uses communication protocols based on existing electronic standards, such as the Internet, to disseminate information more effectively. By implementing Order Nos. 587 and 587-C, FERC can report a substantial decrease in the paperwork burden of 1.3 million hours in FY 1999 due to the termination of the substantial start-up information requirements for the GISB system.
- C *Gas Pipeline Certificates: Construction, Acquisition, and Abandonment* (OMB No. 1902-0060). In the proposed regulation, RM98-9-000, the Commission proposes to streamline its pipeline certificate regulations to better fit today's less regulated environment of unbundled pipeline sales and open access transportation. The proposed regulations will eliminate ambiguities and obsolete language. The Commission anticipates a reduction of 8,500 hours.
- C *Electric Rate Schedule Filings* (OMB No. 1902-0096). In Order No. 888, FERC required public utilities to post open access tariffs. Now that all of the open access tariffs are in place, transmission providers submit a considerably streamlined information collection to the Commission. In addition, transmission providers are shifting to filing market-based rates. This is significant because the Commission intends to approve a system that will eliminate market-based rate filing altogether. Those transmission providers who have shifted to filing those rates will become exempt. This future policy will result in an hour burden reduction of 266,000 hours.

Increases

- C *Standards for Business Practices of Interstate Natural Gas Pipelines* (OMB No. 1902-0174). The proposed regulations will adopt the most recent version of the standards (version 1.3). Version 1.3 updates and improves the standards, with principal changes occurring in the areas of confirmation practices, further standardization of the information provided on the pipeline's internet web sites, and revisions to the data sets. The Commission estimates that these activities will necessitate more information collection and thus result in an increase of 243,000 burden hours.
- C *Capacity Information (formerly Capacity Release Information)* (OMB No. 1902-0169), (RM98-10). The proposed regulations will update and revise filing requirements, both to reflect changes in the market for short-term transportation services on pipelines and to complement the policies relating to the restructuring of the natural gas industry. The proposed changes include initiatives to revise pipeline scheduling procedures, receipt and delivery point policies, and penalty policies. The proposal will also require that pipelines auction short-term capacity. This would result in an increase of 68,000 burden hours.

- C *Gas Pipeline Rates: Rate Change (Non Formal, Tariffs)*(OMB No. 1902-0154), (RM98-10). The proposed regulations will update and revise filing requirements, both to reflect changes in the market for short-term transportation services on pipelines and to complement the policies relating to the restructuring of the natural gas industry. The proposed changes include initiatives to revise pipeline scheduling procedures, receipt and delivery point policies, and penalty policies. The proposal will also require that pipelines auction short-term capacity. To ensure that pipelines have instituted these initiatives and policies, they are required to file tariffs with FERC documenting these changes to their procedures. FERC anticipates that implementing these revised filing requirements will result in an hour burden increase of 19,600 hours.

Significant Changes in Information Collection Burden Planned For FY 2000

Decreases

- C *Electric Rate Schedule Filings* (OMB No. 1902-0096). FERC Order No. 888 required public utilities to post open access tariffs. Now that all of the open access tariffs are in place, transmission providers submit a considerably streamlined information collection to the Commission. In addition, transmission providers are shifting to filing market base rates. The trend is expected to continue as the electric wholesale marketplace becomes more competitive and the market participants move toward market-based rates. This is significant because the Commission intends to approve a system that will eliminate market-based rate filing altogether. Those transmission providers who have shifted to filing those rates will become exempt. This will result in a reduction of 84,500 burden hours.
- C *Standards for Business Practices of Interstate Natural Gas Pipelines* (OMB No. 1902-0174). FERC order No. 587-G requires that pipelines provide all information and conduct all business using the public Internet system beginning June 1, 1999. This will represent a significant change from the current pipeline communication systems that rely on proprietary pipeline electronic bulletin board systems with unique log-on, software, and procedures. The uniqueness of each pipeline's communication system reduces efficiency and raises the costs of those shipping across multiple pipelines. By FY 2000 pipelines will also have to adhere to the latest version 1.2 of the business practice standards adopted by GISB. By implementing Order No. 587G, FERC can report a substantial decrease in paperwork burden of 411,000 hours due the standardization of information submission procedures.
- C *Gas Pipeline Rates: Rate Change (Non-Formal, Tariffs)* (OMB No. 1902-0154). FERC uses this information collection to gather the information necessary to establish communication protocols based on existing electronic standards, such as the Internet, to disseminate information more effectively. To ensure that pipelines have instituted both the standards and protocols, they are required to file tariffs with FERC documenting these changes to their procedures. Order Nos. 587-G, and 587-H help the transition to these simpler filing methods, and FERC can report a substantial decrease in the burden associated with tariff filings of 9,800 hours.
- C FERC anticipates further reductions in its information collection burden as a result of its earlier initiatives and rapidly changing industries. The industries the Commission regulates are rapidly changing their structures, operations and investment strategies. These changes through mergers, divestiture of facilities, reflect a continuing evolution toward greater competition, an ongoing convergence of gas pipeline and electric power markets, and greater environmental accountability which of itself has reduce the number of entities that are subject to FERC's regulatory oversight. The

continuing evolution of the natural gas and electric commodity markets will require further regulatory adaptations including less reliance on traditional cost of service rate and tariff filings. FERC is expecting a general decrease of 498,000 burden hours due to adjustments to the many existing FERC collections as they respond to the industry changes mentioned above.

Increases

- C *Gas Pipeline Certificates: Construction, Acquisition, and Abandonment* (OMB No. 1902-0060). In RM98-16, the proposed regulations offer pipelines the option of engaging in a voluntary collaborative process with both the public and FERC staff prior to filing a pipeline certificate application. The goals are to improve communication, expand public participation, and resolve potential conflicts earlier in the process. Under this option applicants would notify the Commission and the general public, including landowners and state and local government officials, of their intention to initiate prefiling consultation. As a result of this information collection requirement, the Commission estimates an increase of 13,600 burden hours.

- C *Gas Pipeline Certificates: Environmental Impact Statement* (OMB No. 1902-0128). In RM 98-16, the proposed regulations offer pipelines the option of engaging in a voluntary collaborative process with the public and FERC staff prior to filing a pipeline certificate application. The goals are to improve communication, expand public participation, and resolve potential conflicts earlier in the process. Under this option applicants would notify the Commission and the general public, including landowners and state and local government officials, of their intention to initiate prefiling consultation. This proposal would combine efforts to address Natural Gas Act issues with the National Environmental Policy Act review process in a single filing collaborative process that could also include the administrative processes associated with the Clean Water Act, National Historic Preservation Act, the Endangered Species Act and other relevant statutes. Due to the notification requirements of the proposed regulations, the Commission estimates an increase of 13,600 burden hours.

Recent Statutes that Affect Information Collection Activities

- C Energy Policy Act (EPAct) (P.L. 102-486). In 1992, Congress passed the Energy Policy Act (EPAct), which authorized the Commission to order transmission access for individual wholesale transactions upon request. In 1996, the Commission issued Order No. 888, which required public utilities to offer open access to all wholesale market participants. As a result of the Congressional initiatives in EPAct and its forerunner, the Public Utility Regulatory Policies Act (PURPA), the electric industry is in the early stages of a restructuring that will bring the advantages of competition to the generation and sale of electricity. States have followed by initiating retail access programs that may eventually extend the benefits of competitive market to retail customers. However, there are now several proposals before Congress that would lead to a further restructuring of the industry nationwide. As the legislation changes, it may change the Commission's assumptions and goals (and therefore information needs) in fostering a competitive market.

- C Comprehensive Electricity Competition Act (S.2287). This legislative proposal could result in industry restructuring that would provide FERC with additional authorities that could require FERC to collect more information to:
 - N require transmitting utilities to turn over operational control of transmission facilities to an independent system operator;

- N approve and oversee a private, self-regulating organization that would develop and enforce reliability standards to be followed by all participants in transactions on the transmission grid.
- N extend FERC's jurisdiction over transmission services to municipal, cooperatives, the Tennessee Valley Authority and Federal Power Marketing Administrations to ensure that the transmission rates, terms, and conditions are not unjust or unreasonable.
- N remedy market power in wholesale markets and to remedy market power in retail markets if retail competition is being implemented and the State has insufficient authority to remedy the market power.

Federal Trade Commission

	Burden Hours (in millions)	Percentage Change from Previous FY
Actual FY 1998	126.98	! 13.1%
Target FY 1999	126.83	! 0.1%
Target FY 2000	126.83	0.0%

Need for Collection of Information

The Federal Trade Commission (FTC), in its consumer protection role, administers the Federal Trade Commission Act and all or part of some two dozen additional statutes dealing with trade practices. FTC enforces rules, primarily in the consumer protection area, to carry out not only its own statutory authority but also to implement other statutes such as consumer credit legislation and corresponding regulations issued by the Federal Reserve Board.

Although the FTC has absolutely no direct control over the Federal Reserve Board regulations, most of the burden associated with these regulations fall on creditors and lessors within the Commission's jurisdiction, and the OMB Paperwork Reduction Act regulations thus allocate these hours to the Commission. The disclosure requirements associated with the Federal Reserve regulations are almost without exception specifically required by The Equal Credit Opportunity Act, 15 U.S.C. § 1691 *et. seq.*; The Electronic Fund Transfer Act, 15 U.S.C. § 1693 *et. seq.*; The Consumer Leasing Act, 15 U.S.C. § 1667 *et. seq.*; or The Truth-In-Lending Act, 15 U.S.C. § 1601 *et. seq.* The burden associated with these four statutes (and the corresponding rules) total approximately 77 million hours, which is approximately 62 percent of the Commission's total paperwork burden of 127 million burden hours.

Three consumer protection rules issued pursuant to special statute constitute another 7.5 percent of FTC's paperwork burden (9.5 million hours): (1) The 900 Number Rule (3.2 million hours) establishes requirements for advertising and operating pay-per-call services for billing and collecting charges for these services; (2) The Telemarketing Sales Rule (2.3 million hours) establishes disclosure requirements designed to prevent deceptive telemarketing and to ensure that consumers receive information necessary to make informed purchasing decisions; and (3) The Care Labeling Rule (4 million hours) requires manufacturers and importers to attach a permanent care label to all covered textile clothing.

Only 3.4 percent of FTC's paperwork burden (4.3 million hours) can be attributed to the six Commission rules that are not mandated by particular statutes. These include: (1) The Mail Order Merchandise Rule, 16 C.F.R. Part 453; (2) The R-Value Rule, 16 C.F.R. Part 460; (3) The Funeral Rule, 16 C.F.R. Part 453; (4) The Franchise Rule, 16 C.F.R. Part 436; (5) The Negative Option Rule, 16 C.F.R. Part 425; and (6) The Amplifier Rule, 16 C.F.R. Part 432. From fiscal 1995 to fiscal 1998, FTC reduced the burden hours for these 6 rules alone by 12.4 million hours or approximately 74 percent.

Internal Management of Information Collection

Because FTC is a relatively small agency and most of its information collection burdens are associated with consumer disclosure rules, FTC has placed paperwork management oversight in its Office of General

Counsel while all other information policy and resource responsibilities are placed under the CIO, in the Information and Technology Management Office. Through its interaction with program offices, the CIO conducts a thorough, periodic review of the disclosure rules over which FTC has jurisdiction (see below). In addition, the CIO maintains inventories of FTC consumer and business education materials so that staff can respond quickly to requests for those materials and know how those materials are made available to the public.

Perhaps FTC's most effective aid is through the FTC's Internet site, at <<http://www.ftc.gov>>, which now receives over 4 million "hits" per month, or 25 percent more hits than were received each month last year. The Bureaus and various offices within the FTC, have developed web sites to disseminate directories, data basis, locators, the text of the statutes and rules enforced by the FTC, and reports on the status of adjudicative proceedings before administrative law judges. The FTC's Internet site also provides links to other useful government web sites, such as the Library of Congress, the Federal Register, and the Government Information Exchange. Non-government links include the National Fraud Information Center Web Server and the Better Business Bureau Web Server. The Internet is currently the primary information dissemination management system for FTC.

In addition, attorneys in the Office of General Counsel work closely with the CIO and FTC staff to ensure compliance with PRA. For example, attorneys in the Office of General Counsel coordinate all rulemakings with respect to PRA and provide legal advice to ensure PRA compliance during the rulemaking process. Although progress in burden reduction has been largely confined to adjustments, FTC exercises its internal management responsibilities effectively and responsibly. In light of lack of progress in achieving concrete program reduction changes, the Commission might look to ways of taking more pro-active measures to achieve program change burden reduction.

Burden Reduction Efforts and Goals

The discretionary scope for FTC to reduce burden is limited by the nature of its information collection responsibilities.

- C *Federal Reserve Board Rules.* More than 60 percent, or 77 million hours, of FTC's burden is attributable to four consumer disclosure rules issued by the Reserve Board. The FTC has no authority to amend or otherwise control these disclosure rules.

- C *Disclosure Statutes.* Another 32.7 percent of FTC burden is required by special statutes which mandate specific disclosures that cannot be modified absent specific direction from Congress. To achieve the 5 percent goal, FTC would be required to cut at least 75 percent of the remaining burden, an action that would destroy the effectiveness of the regulations.

As previously mentioned, virtually all of FTC's PRA burden consists of consumer disclosure hours, the majority of which are statutorily required. For example, the "900" Number Rule, 16 CFR Part 308, issued pursuant to the Telephone Disclosure and Dispute Resolution Act of 1992, 15 U.S.C. § 5701 et. seq., imposes 3,241,000 burden hours for disclosure requirements. FTC has imposed only 125 burden hours for recordkeeping provisions, and only because this type of provision is vital for the enforcement of the regulation. Thus, in order for FTC to achieve a 5 percent reduction in burden hours in FY 1999 and 2000, Congress would have to repeal longstanding legislation that serves the consuming public.

In fact, the 105th Congress has recently passed the Children's Online Privacy Protection Act of 1998, (P.L. 105-277), requiring FTC to promulgate rules concerning disclosure of information obtained from children using the Internet. Specifically, this Act requires that FTC promulgate regulations requiring web site or online Internet services to provide notice on the web site of what information is collected from children, how such information is used, and the site operator's disclosure practices for such information. FTC is required to promulgate a final rule in 1999; however, an accurate projection of burden hours necessary to effect such a regulation is not yet available.

In 1992, FTC began a ten-year plan to review and seek information about all of its regulations and guides, including their costs and benefit, and regulatory and economic impact. FTC's regulatory review program incorporates and expands upon the review required by the Regulatory Flexibility Act. As part of this program, FTC has sought to lower burden and achieve certain objectives of the North American Free Trade Agreement ("NAFTA"), global harmonization of regulatory requirements, and the use of international standards where possible. See, for example, the amendment of the Care Labeling Rule, 16 C.F.R., Part 423, to allow the use of the symbol system developed by the American Society for Testing and materials on care labels. At the end of FY 1998, FTC had completed 80 percent of the work planned for the first decade of its regulatory review program. FTC has revoked 38 percent of its rules and guides that were in effect in 1992, and has updated and revised another 30 percent. In addition, FTC is in the process of applying for extensions of existing collections of information contained in 11 rules. Preliminary information suggests that the review of these rules will result in a burden reduction of approximately 157,000 burden hours, or 1 percent of FTC's total paperwork burden. FTC is currently awaiting public comment in connection with these reductions in burden hours. Nonetheless, because of the statutory constraints enumerated above, it is clear that FTC's progress in burden reduction will be largely confined to adjustments.

Significant Changes in Information Collection Burden During FY 1998

Decreases

- C *Mail or Telephone Order Merchandise Rule* (OMB No. 3084-0106). FTC reviewed this rule and determined that most of the 1995 estimated burden (16.2 million hours) was associated with the rule's amendment in 1994 to include the telephone industry and the allocation of hours for that industry to develop and install computer systems to handle telephone orders. The burden was also largely associated with one-time start-up tasks of implementing standard systems and processes and that many of the costs related to the development of the required computer systems in 1994 are no longer applicable today. FTC also determined that the high degree of industry compliance was such that many of the cost burdens originally associated with these rules would be incurred in the normal course of business and should no longer be considered a burden under the PRA. Therefore, the annual burden of the continued collection has been adjusted downward from 12.4 million hours to 3.81 million hours.

- C *Telemarketing Sales Rule* (OMB No. 3084-0097). FTC reviewed this rule and determined that a substantial majority of telemarketers made the disclosures required by the rule in the ordinary course of business and that many state laws require the same or similar disclosures mandated by the rule. Staff was thus able to adjust the estimate of the disclosure burden downward by 75 percent from 9.0 million to 2.25 million hours.

Significant Changes in Information Collection Burden Planned for FY 1999Decreases

- C During the first half of FY 1999, FTC will be applying for extensions of existing collections of information contained in the following eleven Commission rules: (1) *Hart-Scott-Rodino Premerger Notification Rules* (OMB No. 3072-0005); (2) *The Funeral Rule* (OMB No. 3084-0024); (3) *FTC Administrative Activities* (OMB No. 3084-0047); (4) *The Appliance Labeling Rule* (OMB No. 3072-0069); (5) *The Negative Option Rule* (OMB No. 3084-0104); (6) *The Amplifier Rule* (OMB No. 3084-0105); (7) *The Franchise Rule* (OMB No. 3084-0107); (8) *The R-Value Rule* (OMB No. 3084-0109); (9) *The Consumer Product Warranty Rule* (OMB No. 3084-0111); (10) *The Pre-Sale Warranty Availability Rule* (OMB No. 3084-0012); and (11) *The Informal Dispute Settlement Procedures Rule* (OMB No. 3084-0113).

Preliminary information suggests that the review of these rules will result in a burden reduction of approximately 157,000 burden hours, or one percent of FTC's total paperwork burden. Because many of these rules have been in effect for more than twenty years, some of the information collection requirements associated with these rules are now the accepted industry standard and would be performed absent any regulatory requirement. Thus, any reductions in hours are expected to consist mainly of adjustments in the form of burden re-estimates. For example, the R-Value Rule, promulgated in 1979, imposes recordkeeping requirements that most manufacturers and their testing laboratories keep anyway in the ordinary course of business.

Increases

- C As stated above, FTC is required to promulgate another statutorily mandated disclosure rule, The Children's Online Privacy Protection Act of 1998. Staff is currently drafting a Notice of Proposed Rulemaking, reviewing information collection requirements, and working on a paperwork burden estimate.

Significant Changes in Information Collection Burden Planned for FY 2000

- C The FTC will also be applying for extensions of existing collections of information for an additional 11 Rules later in fiscal 1999. Because the expiration date for these rules is December 31, 1999, reductions from these reviews will appear in burden figures for fiscal 2000. These include: (1) *The Fuel Rating Rule* (OMB No. 3084-0068); (2) *Regulation B — Equal Credit Opportunity Act* (OMB No. 3084-0087); (3) *Regulation E — Electronic Fund Transfer Act* (OMB No. 3084-0085); (4) *Regulation M — Consumer Leasing Act* (OMB No. 3084-0086); (5) *Regulation Z — Truth-in-Lending Act* (OMB No. 3084-0088); (6) *Regulations under The Fur Act* (OMB No. 3084-0099); (7) *Regulations under The Wool Act* (OMB No. 3084-0100); (8) *Regulations under The Textile Act* (OMB No. 3084-0101); (9) *The 900 Number Rule* (OMB No. 3084-0102); (10) *The Care Labeling Rule* (OMB No. 3084-0103); and (11) *Regulations under The Fair Packaging and Labeling Act* (OMB No. 3084-0110). During this review process, FTC will examine each rule to determine whether there are any reasonable means to reducing the Paperwork Reduction Act burden.

Among these rules are the four Federal Reserve rules that account for approximately 60 percent of FTC's burden hours. FTC's original calculations for these rules conservatively converted computer time into burden hours. For Regulation E, the recalculation will result in a burden hour reduction of at least 1,388,888 hours. This number reflects an adjustment, not a reduction due to a program change;

however, this recalculation would reduce the total FTC burden by one percent for this rule alone. In addition, there may be other adjustments that allow significant adjustments in the burden hours associated with these four rules.

Recent Statutes that Affect Information Collection Activities.

- C Besides The Children's Online Privacy Protection Act of 1998 (P.L. 105-277) there are no recently enacted statutes that FTC is currently implementing. In 1995, FTC implemented The Telemarketing and Consumer Fraud and Abuse Prevention Act ("Telemarketing Act"), (P.L. 103-297, 15 U.S.C. 6101-6108, enacted by Congress in 1994).

National Aeronautics and Space Administration

	Burden Hours (in millions)	Percentage Change from Previous FY
Actual FY 1998	7.71	! 15.1%
Target FY 1999	7.33	! 5.0%
Target FY 2000	6.96	! 5.0%

Need for Collection of Information

The National Aeronautics and Space Administration's (NASA) information collections are primarily in the area of procurement and program management. Approximately 10 percent of NASA's information collection burden are related to the contract solicitation and award process. As most NASA programs are contractor supported, approximately 90 percent of burden represent program management.

Information is required to enable NASA to monitor progress, expenditures, and other requirements set forth in contracts, grants, and cooperative agreements that have been awarded by this Agency in support of its mission. In many instances, NASA is required to pay the contractor for the preparation of the required reports.

Collections are also used to allow the business community to send NASA bids and proposals, which meet NASA's requirements for contracts, grants, and cooperative agreements. These responses are voluntary for the purpose of obtaining business from NASA.

Because the majority of NASA's information collection burden relates to program management NASA is constantly finding ways to improve the collection process. Several collections are now available electronically; this saves time and resources. Also, NASA is looking for ways to improve the management process where some collections can be combined or eliminated.

NASA is mandated by 31 U.S.C. 3512(b), (c), 31 U.S.C. 3515 (b), 35 U.S.C. 200, 42 U.S.C. 2451, 42 U.S.C. 2473, 44 U.S.C. 3101, as well as the NASA Space Act of 1958 and the NASA Federal Acquisition Regulation Supplement to obtain the information requested in many of its Information Collections.

Internal Management of Information Collection

The Chief Information Officer, (CIO), who reports directly to the Administrator, manages the paperwork review and approval process. Within the CIO office, one staff member works with the office of procurement and other program offices to ensure Paperwork Reduction Act compliance and coordinate with the Office of Management and Budget on all information collections.

Burden Reduction Efforts and Goals

Since 1995, NASA has reduced its information collection burden by 19.4 percent. In FY99 and FY00 NASA plans to continue its reduction efforts and meet or exceed the OMB goals of 5 percent per year. In FY 1995 NASA had 33 approved collections. They have since reduced that to 27 approved collections.

Over the past few years, NASA has made significant strides in reducing burden largely as a result of procurement reform and the availability of the Internet and similar automated technologies to streamline information flows. NASA's procurement automation initiative resulted in reductions of 70,700 hours in 1996, 236,000 hours in 1997, and 491,000 hours in 1998. Increased procurement of commercial off-the-shelf products, as opposed to government-specified and unique products, reduced burden by 242,000 hours in 1997 and 195,000 hours in 1998. Greater use of performance-based contracting techniques and contract consolidation has resulted in burden reductions of 228,000 hours in 1997 and 195,000 hours in 1998. Finally, greater use of credit cards has resulted in burden reductions of 19,000 hours in 1996, 236,000 hours in 1997, and 87,000 hours in 1998. These procurement reform efforts together account for a burden reduction of approximately 20 percent from the 1995 baseline.

Significant Changes in Information Collection Burden During FY 1998

Decreases:

- C *Use of automation for solicitation and collection of information* (OMB Nos. 2700-0047, 2700-0049, 2700-0080, 2700-0085, 2700-0087, 2700-0088, 2700-0089, 2700-0092, 2700-0093). The NASA Acquisition Internet Service (NAIS) is a highly successful agency-wide effort to automate NASA's Announcements of Opportunities on the Internet, which reduces the efforts of contractors to search out those opportunities and to download solicitations. NASA is piloting the electronic receipt of proposals and plans to have this in place in FY 1999. NASA is encouraging the submission of automated contractual reports through the Internet. All NASA synopses and all competitive solicitations over \$25,000 are posted on the Internet.

The NAIS has made three distinct contributions in cost avoidance for contractors. NASA estimates that prospective offerors are realizing approximately \$113,000 in cost avoidance based on 38,037 solicitation files distributed electronically in lieu of paper mailings.

Based on the number of solicitations distributed via the NAIS, industry avoids almost \$1.5 million annually from the on-line identification and access to NASA acquisitions. This is accomplished by providing on-line access 24 hours per day, 7 days per week, enabling vendor on-line searches, and pushing announcements out by e-mail.

The NAIS also hosts a library of procurement regulations, procedures, policies, and forms. Based on the annualized number of accesses to the library, industry avoids almost \$800,00 associated with the former paper process. These automation initiatives have resulted in a program reduction of 491,000 hours in 1998 for these control numbers.

- C *Procurement of commercial off-the-shelf products* (OMB Nos. 2700-0085, 2700-0087, 2700-0088, 2700-0089). Specific to the reduction of burden on contractors, NASA's move from cost-type to fixed-price contracts for purchasing commercial, off-the-shelf items resulted in a significant reduction in the number of reports required. By avoiding the use of cost-type contracts to procure unique (non-commercial) items, NASA no longer requires the contractor to provide additional documentation such as reporting the work being performed, validating the contractors' quality system, creating user manuals, and justifying the expenditure of funds. This resulted in a program reduction of 195,000 hours in 1998 for these control numbers.

- C *Performance-Based Contracting and Contract Consolidation* (OMB Nos. 2700-0073, 2700-0087, 2700-0088, 2700-0089). By utilizing performance-based contracting, NASA increases the use of fixed price contracts and reduces oversight. The result is fewer and less complex reporting. This resulted in a program reduction of 177,000 in 1998 for these control numbers.
- C *Use of Credit Cards* (OMB No. 2700-0086). NASA's use of credit cards simplifies the purchasing process. Rather than going through the complexities and paperwork of making thousands of small purchases through the Government Simplified acquisition procedure, credit card purchases result in a significant reduction in paperwork by both the government and the contractor. This resulted in a program reduction of 87,100 hours in 1988.

Significant Changes in Information Collection Burden Planned for FY 1999

Decreases

- C *Procurement of commercial off-the-shelf products* (OMB Nos. 2700-0085, 2700-0087, 2700-0088, 2700-0089). In FY 1999, NASA continues to anticipate a greater reduction as cost-type contracts expire and NASA changes to fixed price contracts. The burden reduction should total 153,000 hours.
- C *Use of Credit Cards* (OMB No. 2700-0086). In FY 1999, the continued use of credit cards for low-dollar acquisitions will reduce burden. The burden reduction should total 16,000 hours.
- C *Performance-Based Contracting and Contract Consolidation* (OMB Nos. 2700-0073, 2700-0087, 2700-0088, 2700-0089). In FY 1999, NASA will increase its use of performance-based contracts resulting in fewer and less complex reports. The burden reduction should total 148,000 hours.

Significant Changes in Information Collection Burden Planned for FY 2000

- C NASA sees the paperwork reduction initiative as an ongoing activity and as noted in its strategic plan NASA will continue to the "maximum extent possible" to reduce its total paperwork burden. Using the burden reduction techniques described above for FY 1998 and FY 1999, continuing to utilize available technology for its collections, and continuing to verify and certify its continued need for each collection, NASA hopes to reduce burden by approximately 366,000 hours, meeting the five percent reduction goal for FY 2000.

Recent Statutes that Affect Information Collection Activities

None.

National Science Foundation

	Burden Hours (in millions)	Percentage Change from Previous FY
Actual FY 1998	4.73	! 18.3%
Target FY 1999	4.41	! 6.9%
Target FY 2000	4.41	0.0%

Need for Information

As allowed by the National Science Foundation Act of 1950 (42 U.S.C. 1861 *et. seq.*), NSF collects information in connection with its funding and support for education and research in all fields of science and engineering. Under 42 U.S.C. 1862, NSF is authorized to solicit proposals for and fund research programs. Each year, NSF receives approximately 30,000 new or renewal proposals for research, graduate and postdoctoral fellowships, and math/science/ engineering education projects, in response to requests for competitive proposals. Based on these proposals (or information collections), NSF makes 10,000 new awards annually. The awards typically go to universities, colleges, academic consortia, nonprofit institutions, and small businesses. NSF's collection of information from the public that is related to this mission comprises 96 percent of its public burden. The specific collections are: *NSF Proposal Evaluation Process* (OMB No. 3145-0060); *Fellowship Applications* (OMB No. 3145-0023); *Grant Proposal Guide* (OMB No. 3145-0058); and *Requests for Proposals* (OMB No. 3145-0080).

In addition, under 42 U.S.C. 1862, NSF is authorized to "provide a central clearinghouse for the collection, interpretation, and analysis of data on scientific and engineering resources and to provide a source of information for policy formulation by other agencies of the Federal Government." As a result, NSF sponsors several surveys that speak to this authorization, and they comprise part of the remaining 4 percent of NSF's information collections.

Internal Management of Information Collection

NSF's Office of Information and Resource Management, headed by the Chief Information Officer, includes the Division of Administrative Services (DAS), which has administrative responsibility for NSF's information collection activities. In DAS, one full-time staffer works with the program offices to carry out the different tasks involved with information collection (e.g., PRA compliance, internal review, internal coordination).

Burden Reduction Efforts and Goals

Of NSF's planned FY 1999 total burden hour of 4.72 million, approximately 4.54 million hours (or about 96 percent) are attributable to application for benefits (e.g., grants). Thus, the level of NSF burden is tied directly to the level of funding that NSF programs receive. For example, burden for FY 1999 is tied directly to what was authorized by Congress in the most recent NSF appropriations language (P.L. 105-276). In that NSF's burden level is inextricably tied to the level of statute-based funding for NSF programs, it has been difficult for NSF to achieve the 5 percent reduction target. Nevertheless, NSF continues to make considerable progress in moving its information collections to a paperless process. The "FastLane" project was begun in 1994 by NSF to explore methods for creating electronic information

transmission in all business interactions between NSF and the research community. When FastLane is completely operational, the entire grant operation will be performed electronically — proposal preparation and submission, proposal reviews, final project reports, annual project reports, proposal and award status inquiries, and cash transaction requests. As a result of this implementation, it is expected that overall burden on applicants preparing and submitting proposals will be reduced significantly, as the need for manual processes to reproduce and collate paper copies of proposals is eliminated, thus enabling researchers, their departments, and Sponsored Research Offices/business offices to move proposals through the approval process rapidly and efficiently. The Fastlane project has helped NSF offset the burden increase caused by the yearly expansion of NSF programs.

Significant Changes in Information Collection Burden During FY 1998

Decreases

- C *Collaboratives for Excellence in Teacher Preparation (CETP), Surveys and Interview Protocols* (OMB No. 3145-0160); *Cross Projects Evaluation of the Local Systematic Change Through Teacher Enhancement Program* (OMB No. 3145-0161); *An Evaluation of the Experimental Program to Stimulate Competitive Research* (OMB No. 3145-0163). The titles listed above were discontinued as three separate information collections and incorporated into the Generic Survey Clearance of the Education and Human Resources (EHR) Impact Database resulting in a decrease of 7,500 hours. By maintaining one generic clearance package of surveys that fall within the scope of the Education and Human Resources Directorate, considerable burden has been reduced on the public for review and comment on the separate information collection packages. (See below for description of the EHR Generic Survey Clearance.)
- C *Grant Proposal Guide* (OMB No. 3145-0058). The Grant Proposal Guide is used by NSF as the vehicle by which NSF awards grants to colleges, universities, and other research and/or education organizations. Improved calculations on the number of anticipated applicants allowed NSF to adjust burden downward by 960,000 hours.

Increase

- C *Generic Survey Clearance of the Education and Human Resource (EHR) Impact Database* (OMB No. 3145-0136). A generic clearance for the EHR Impact Database was sought because of its unique capability to integrate pre-existing and newly generated data. The data collections under this clearance have a similar structure and while they seek information from different programs, they are often designed to collect information so as to allow for comparison and aggregation across programs. A taxonomy of data elements for NSF training programs has been developed, and five major areas have been identified: funding; characteristics of individuals participating in training-related activities; characteristics of organizations implementing training-related programs; implementation activities; and outcomes. When the information collection was renewed in FY 1998, two new tasks were added and, in addition, three separate collections were “rolled” into this generic clearance. The burden for this collection was therefore increased by 20,300 hours. However, this increase is partially offset by the elimination of the collections described above.

Significant Changes in Information Collection Burden Planned for FY 1999Decreases

- C *1999 Survey of Doctorate Recipients* (OMB No. 3145-0020); *1999 National Survey of College Graduates* (OMB No. 3145-0141). These information collections are components of the Scientists and Engineers Statistical Data System (SESTAT), which produces national estimates of the Nation's science and engineering population. Both collections, Survey of Doctorate Recipients and Survey of College Graduates, will have their burden reduced by 8,500 and 6,100 hours respectively due to sample size reductions as a result of budget constraints.
- C *Survey of Industrial Research and Development* (OMB No. 3145-0027). This survey measures the amount and indicates the direction of R&D expenditures by U.S. Industry. NSF is proposing to replace the current questionnaire used alternately for odd-numbered and even-numbered years, Form RD-1L and RD-1S, respectively, with a single questionnaire, Form RD-1. This will simplify reporting for respondents by deleting several burdensome items and will streamline processing and follow-up so that resulting statistics may be published in a more timely manner. The result is a reduction of 3,800 hours.
- C *NSF Survey of Research and Development Funding* (OMB No. 3145-0170). This survey is a continuation of NSF's efforts to collect information on the science and engineering (S&E) research and development (R&D) activities of nonprofit organizations in 1996 and 1997. The previous study (reported in NSF's FY 1998 ICB) had 27,600 hours. The new version of the study reduces the number of respondents and uses a less burdensome survey instruments, resulting in a reduction of 24,100 hours from the FY 1998 total.
- C *Proposal Review Process* (OMB No. 3145-0060). This collection implements the NSF process of having scientists, engineers, and other officials to evaluate proposals submitted to the Agency. NSF reviewed this collection and found that the amount of reviews that a proposal goes through is not as many as previously indicated resulting in a downward adjustment of 304,000 hours.

Increase

- C *Generic Survey Clearance of the Education and Human Resource (EHR) Impact Database* (OMB No. 3145-0136). NSF's Directorate for Education and Human Resources has been instructed by Congress to conduct ongoing evaluations of all of EHR's programs every five years (see Senate Reports 101-474, 102-107). As a result, there is an ongoing need to add and evaluate programs, and it is anticipated that approximately 15 new tasks will require clearance under this generic clearance in any given year. It is expected that overall response burden, therefore, will be increased by 25,100 hours.

Significant Changes in Information Collection Burden Planned for FY 2000

- C *Proposal Evaluation Process* (OMB No. 3145-0060); *Fellowship Applications* (OMB No. 3145-0023); *Grant Proposal Guide* (OMB No. 3145-0058); and *Requests for Proposals* (OMB No. 3145-0080). NSF uses these collections to solicit proposals for and fund research programs. By expanding the FastLane project, and thus increasing the electronic reporting associated with these collections, NSF anticipates a modest reduction in administrative burden due to receipt of up to 35 percent of its proposals via FastLane by the end of FY 2000. It is expected that the combined burden

hours for these collections will remain constant for FY1999 and 2000. NSF does not have a precise burden reduction estimate at this time.

Recent Statutes that Affect Information Collection Activities

None.

Nuclear Regulatory Commission

	Burden Hours (in millions)	Percentage Change from Previous FY
Actual FY 1998	9.67	! 3.7%
Target FY 1999	9.59	! 0.9%
Target FY 2000	9.05	! 5.6%

Need for Collection of Information

The Nuclear Regulatory Commission (NRC) collects information to carry out its mandated responsibilities under the Atomic Energy Act to protect the health and safety of the public from radiation hazards from nuclear power reactors and the use and production of source, byproduct, and special nuclear materials. The NRC collects license application information sufficient to evaluate whether a licensee can safely operate a production or utilization facility, or manufacture, distribute, or use equipment, radioactive drugs, and devices containing byproduct material. Once a license has been issued, the NRC requires that the licensee maintain records and submit reports on a frequency sufficient to ensure that the program is safely managed. Records are inspected for regulatory compliance, for review of actions taken and changes made that do not require reporting to NRC, and to identify potential safety problems associated with licensees' programs for which specific or generic action may be required. Variances from technical specifications and licensee commitments and abnormal events must be reported on a schedule commensurate with their severity so that the NRC may take any actions necessary to protect the public health and safety.

Internal Management of Information Collections

The Chief Information Officer (CIO) heads an independent office, the Office of the Chief Information Officer (OCIO), that manages the NRC's information collection program. The CIO, who reports directly to the Chairman of the Commission, has established agencywide policies and procedures to ensure NRC compliance with the requirements of the Paperwork Reduction Act. NRC Manual Chapter 0230, "Collections of Information and Reports Management," outlines the offices' responsibilities and the process for identifying information collections that may be imposed by rulemaking, policy statement, generic letter, and other means. The process and responsibilities are also summarized in NUREG/BR-0053, Rev. 4, "NRC Regulations Handbook," and in NUREG/BR-0058, Rev. 2, "Regulatory Analysis Guidelines of the U.S. Nuclear Regulatory Commission."

To assist in implementing the agency's information collection program and to ensure that all agency information collections are captured, the CIO requires each office director and regional administrator to designate an Information Management Coordinator (IMC) to serve as the contact for all the information collection activities for the office. Each IMC reviews its respective office's documents for proposed information collections, evaluates the supporting documentation for identified information collections, and coordinates its findings with OCIO staff for new, revised, and renewed information collections. OCIO coordinates all new and controversial renewal clearances with the Office of the General Counsel to ensure that any potential legal concerns are resolved. In addition, the CIO has procedures in place with the office responsible for publishing information in the Federal Register to ensure that before any document is published in the Federal Register, OCIO staff reviews it for information collection implications.

The CIO is a member of the NRC's Executive Council (EC), which consists of the Chief Financial Officer (CFO), the Executive Director for Operations (EDO), and the CIO. The EC reports directly to the Chairman of the Commission. As a member of the EC, the CIO reviews and concurs in all rulemaking plans. Membership on the Council affords the CIO the opportunity to discuss possible information collections and their resource implications before a rule is formulated. The CIO continuously works with the EC to seek ways to improve NRC's methodologies of collection. This process enables the CIO to secure the needed support at the executive level, thus ensuring support at the staff level. For example, one of the CIO's primary strategic initiatives is the deployment of the Agencywide Documents Access and Management System (ADAMS) as a means of promoting the electronic interchange of information between the NRC and its external stakeholders. The CIO introduced this initiative to the EC, which accepted it for implementation. Thus, the CIO has obtained the support of the CFO and the EDO staffs to bring this project to fruition. The deployment of ADAMS is expected to greatly reduce the burden on NRC and its stakeholders, primarily NRC licensees and applicants, by improving the efficiencies of operation.

Burden Reduction Efforts and Goals

In 1997, NRC's Regulatory Review Group (RRG) completed a comprehensive assessment of the requirements imposed on power reactor licensees, and recommended changes to reduce the burden and improve regulatory efficiencies. As a result of the RRG's recommendations and other burden reduction initiatives over the past several years, the NRC has codified a number of regulations that resulted in burden reductions. The NRC continues to codify regulations that result in burden reductions. In FY 1999, revised Fitness for Duty requirements will be codified in a form that will reduce burden by 11,900 hours for 10 CFR Part 26. These reductions will result from efforts to eliminate duplication and the maintenance of certain records, as well as reducing the frequency of required reporting.

In FY 2000, the NRC will realize major burden reductions from three codified rulemakings:

- C The complete revision to "Medical Use of Byproduct Material," 10 CFR Part 35, will reduce the burden on licensees by an estimated 492,000 hours, by orienting the regulation to a more risk and performance basis, and eliminating certain prescriptive requirements.
- C A revision to event reporting requirements in 10 CFR 50.72 and 50.73 eliminates reporting for events determined to be of lesser risk significance, and will decrease the burdens for Part 50 and NRC Form 366, "Licensee Event Report," by 13,700 hours.
- C The NRC Acquisition Regulation will be streamlined to allow simplified procedures, resulting in an expected burden decrease of 26,700

In addition, the NRC is developing several electronic information initiatives that are expected to result in greater agency efficiencies and burden reductions to licensees. These are the Agencywide Documents Access and Management System (ADAMS), the Standard Financial Integrated Resource Enterprise System (STARFIRE), and Information Technology (IT) architecture.

- C ADAMS is an electronic information system that will maintain NRC's unclassified official program and administrative records in a centralized electronic document repository that will allow processing of records and reports electronically. ADAMS will also allow the NRC to receive and disseminate, and licensees to submit, licensing information electronically. These changes will alleviate the need for

licensees to print and submit multiple paper copies. ADAMS is schedule to be fully deployed by October 1, 1999.

- C STARFIRE is an automated and integrated approach to conducting agency-wide financial and resource functions, including: accounting, budget formulation, travel management, property, funds control, cost accounting, payroll, debt management/fee billing, labor cost distribution, procurement, and performance measurement. This system will interface with ADAMS to streamline activities where financial activities interface with document management activities, such as the processing of license submissions associated with fees.
- C The NRC has developed a Technical Reference Model to provide guidance to NRC staff procuring technology or technical services. The model also provides the public with greater assurance that the NRC plans IT investments carefully to obtain technology that effectively supports its mission and avoids unnecessary expenses and risks.

Although the NRC will not meet its programmatic burden reduction goal of five percent in FY 1999, it will meet the goal in FY 2000. NRC will nevertheless realize an overall burden reduction in FY 1999 as described below.

The NRC continues to implement regulatory and innovative initiatives to reduce burden, where possible, such as various electronic initiatives, consolidation of license guidance, simplified procedures, and working directly with industry and licensees to agree on requirements. However, present resources do not permit the NRC to undertake a systematic section-by-section assessment and possible revision of its portion of the CFR in an effort to further identify and implement burden reduction initiatives.

While NRC achieved almost a 6 percent burden decrease in FY 1998 and is expected to achieve a similar decrease in FY 2000, the agency expects to achieve only a minimal decrease in FY 1999 (! 0.1 percent). Because the NRC is mandated by the Atomic Energy Act to protect the health and safety of the public from radiation hazards from nuclear power reactors and the use and production of source, byproduct and special nuclear material, the agency requires its licensees and applicants to maintain records and/or submit reports to aid in satisfying this safety mandate.

In FY's 1996 through 1998, the NRC implemented various rule changes that resulted in major burden reductions. However, during this same period, the NRC for the first time accounted for the burden to the Agreement States (almost 1.7 million hours) in its information collection inventory. Therefore, the burden reductions realized from these rulemakings is not readily apparent.

Despite its safety mandate, the NRC is not implementing any rules in FY 1999 that impose new information collection requirements associated with safety concerns. The NRC has made a managerial decision, to the extent practical, to issue risk-informed and performance based regulations. This approach provides the licensees greater flexibility in meeting the requirements of the regulations. As a result, whether or not the information collection burden increases or decreases depends on how a licensee chooses to meet the regulatory requirements. Two such rules that will increase the information collection burden in FY 1999 but are later expected to result in burden decreases are 10 CFR Part 50 and 72, "Changes, Tests, and Experiments," (66,100 hours) and 10 CFR Part 55, "Requirements for Initial Operator License Exams," (30,400 hours). For licensees who choose to perform a stringent safety evaluation of relevant systems, the Part 50 and 72 rule will allow them to make certain changes to systems covered by the

evaluation without submitting a license amendment. Although the burden for performing the safety evaluation will initially increase, in the future the burden will decrease because licensees will not have to submit license amendments for changes covered by the safety evaluation. For the Part 55 rule, the future burden for licensees to prepare their examinations, rather than NRC preparing and billing for them, is expected to decrease because of licensee efficiencies gained based on experience in preparing the examinations.

Significant Changes in Information Collection Burden During FY 1998

During FY 1998, the majority of burden changes were made in conjunction with clearance renewals and were made primarily because of changes in the universe of licensees covered or the number of applications expected to be tendered during the clearance period.

Decrease

- C *Physical Protection of Plants and Materials, 10 CFR Part 73* (OMB No. 3150-0002). Implementation of the rule, "Reduction of Requirements for Protection Against Insider Threat," 10 CFR 73.55, consolidated two access lists and changed access reapproval requirements for vital areas from monthly to quarterly, resulting in an annual burden decrease of 7,700 hours.
- C *Packaging and Transportation of Radioactive Material, 10 CFR Part 71* (OMB No. 3150-0008). The burden for the renewal clearance was adjusted by ! 10,360 hours primarily because of a reduction in the number of licensees required to submit a quality assurance program to NRC for approval and to maintain the program (35 in place of the previous 100 licensees).
- C *Domestic Licensing of Production and Utilization Facilities, 10 CFR Part 50* (OMB No. 3150-0011). The bulk of the 709,000 burden hour reduction took place in FY 1997, but NRC will take credit for the reduction in FY 1998. 374,000 hours of this total reduction is due to programmatic changes.

Increases

- C *Notices, Instructions, and Reports to Workers, 10 CFR Part 19* (OMB No. 3150-0044). The burden for the renewal clearance increased by 12,600 hours because of the addition of 300 new licensees that are required to prepare training material for workers and 6,100 licensees that must prepare and disseminate periodic updates pursuant to 10 CFR 19.12. In addition, the number of monitored workers increased from 401,000 to 414,800, primarily because of an influx of temporary workers who request exposure reports at employment termination to maintain current their exposure data. Data is reflective of NUREG-0713, Vol. 18, "Occupational Radiation Exposures at Nuclear Power Reactors and Other Facilities."
- C *Licenses and Radiation Safety Requirements for Well Logging, 10 CFR Part 39* (OMB No. 3150-0130). The clearance renewal includes the burden to Agreement State licensees and increases the burden by 21,400 hours. Previously, only the information collection burden for NRC licensees was included in the clearance.
- C *Requirements for Renewal of Operating Licenses for Nuclear Power Reactors, 10 CFR Part 54* (OMB No. 3150-0155). The renewal clearance anticipates that three license renewal applications will

be tendered during the current clearance period, thereby increasing the burden by 24,800 hours. The previous renewal projected two applications.

- C *Licenses for Radiography and Radiation Safety Requirements for Industrial Radiographic Operations, 10 CFR Part 34* (OMB No. 3150-0007). The clearance renewal increases the burden by 29,400 hours. The clearance renewal includes the burden to the Agreement State licensees (121,000 hours) but also reflects a 91,400 burden hour decrease because of a reduction in the number radiography licensees (158 down from 450) and from efficiencies gained from licensees operating under the revised Part 34.
- *NRC Form 5, Occupational External Radiation Exposure for a Monitoring Period*, (OMB No. 3150-0006). The renewal clearance increases the burden by 36,400 hours. The increase is due to a reevaluation, based on experience, of the burden required for completing the form and maintaining the associated records.

Significant Changes in Information Collection Burden Planned for FY 1999

Decreases

- C *Standard for Protection Against Radiation, 10 CFR Part 20* (OMB No. 3150-0014). The renewal clearance estimates a downward adjustment of 45,200 hours because of a reduction in the number of licensees and a re-estimation of the number of responses per licensee.
- C *Fitness for Duty, 10 CFR Part 26* (OMB No. 3150-0146). The revised rule will streamline fitness-for-duty requirements by referencing requirements contained in other 10 CFR Parts instead of duplicating the requirements in Part 26. This will affect burden by reducing the frequency of program performance reports from biannual to annual, and by eliminating the requirement to retain negative reports. These changes will result in a burden reduction of 11,900 hours.
- C *Licenses and Radiation Safety for Large Irradiators, 10 CFR Part 36* (OMB No. 3150-0158). Fewer Part 36 licensees have retained their licenses in the current clearance period. In addition, the renewal clearance has eliminated 21 self-shielded irradiators previously included that are licensed and already cleared and accounted for under Part 30, resulting in a Part 36 burden reduction of 39,300 hours.
- C *Early Site Permits, Standard Design Certifications, and Combined Licenses for Nuclear Power Plants, 10 CFR Part 52* (OMB No. 3150-0151) and *Seismic and Geologic Siting Criteria for Nuclear Power Plants, 10 CFR Part 100* (OMB No. 3150-0093). The renewal clearances are expected to result in a downward adjustment of 65,333 hours for 10 CFR Part 52, and 18,000 hours for 10 CFR Part 100 because no applications are expected during the clearance period.
- C *Wide-Ranging Reductions in the Frequency of Auditing*. NRC has made a concerted effort to decrease the frequency of its auditing and reporting activities. While these reductions in burden hours are not great for any one collection, as a group they will account for a 30,000 hour decrease in burden.

Increases

- C *Domestic Licensing of Production and Utilization Facilities, 10 CFR Part 50* (OMB No. 3150-0011) and *Licensing Requirements for the Independent Storage of Spent Fuel and High-Level Radioactive*

Waste, 10 CFR Part 72 (OMB No. 3150-0131). NRC expects to issue a rule amending 10 CFR Parts 50 and 72, "Changes, Tests, and Experiments," in May 1999 which will increase the burden by an estimated 66,100 hours. The rule will allow licensees to make certain changes, tests, and experiments without prior NRC approval provided that the licensee has performed a few additional evaluations to ensure that minimal increases in the probability of accidents or their consequences will result from the changes. The licensee must also revise his procedures and training accordingly. The one-time revision to procedures and training accounts for the majority of the annualized burden increase (53,100 hours). This increased burden estimate does not include the future potential marginal burden reductions from the licensee's use of these comprehensive evaluations to make changes without the need to prepare and submit a license amendment. The rule is estimated to be codified in May 1999, and marginal burden reductions could be realized as early as the end of FY 1999.

- C *Operators Licenses, 10 CFR Part 55* (OMB No. 3150-0018). A rule NRC expects to issue in FY 1999, "Requirements for Initial Operator Licensing Examinations," will require power reactor licensees to write and administer operator licensing examinations, resulting in an expected burden increase of 30,400 hours. Currently, NRC recovers the cost of preparing these examinations through license fees. From a pilot study and licensee input into the rulemaking process, it is expected that licensee efficiencies in preparing exams will result in a cost savings to the licensees once sufficient experience has been gained. These efficiencies accrue because industry dollar rates are significantly less than the cost plus overhead NRC rate (currently \$124 per hour), and because less of the required examination material will need to be collected and forwarded to NRC.
- C *NRC Forms 741 and 741A, Nuclear Material Transaction Reports* (OMB No. 3150-0003). The renewal clearance is expected to result in a burden increase of 12,400 hours because two large users, previously under the Department of Energy (DOE), began reporting to NRC in 1997. The adjusted increase in NRC burden should be offset by an equivalent burden reduction for DOE.

Significant Changes in Information Collection Burden Planned for FY 2000

In FY 2000, significant decreases in burden will be achieved by codification of three rules as described below.

Decreases

- C *Medical Use of Byproduct Material, 10 CFR Part 35* (OMB No. 3150-0010). A complete revision to Part 35 will incorporate the separately cleared Quality Management provisions (OMB No. 3150-0171). The revised regulation will eliminate certain quality management program requirements, as well as prescriptive requirements for radiation safety committees and prescriptive general technical requirements. It will also require interdepartmental/disciplinary coordination of the licensee's radiation protection program only for licensees with multiple modalities or multiple users, and allow licensees to revise their radiation protection program without Commission approval under specified circumstances. The rule is estimated to decrease the burden to NRC and Agreement State licensees by 492,300 hours.
- C *Domestic Licensing of Production and Utilization Facilities* (OMB No. 3150-0011) and *NRC Form 366, Licensee Event Report* (OMB No. 3150-0104). NRC expects to issue an amendment to 10 CFR Part 50.72 and 50.73, "Modification to Event Reporting Requirements for Power Reactors," in FY 2000 to eliminate reporting for events that NRC believes to be of lesser risk. The rule will decrease the

burden for initial NRC notification cleared in Part 50 by 450 hours and will decrease the burden for completing the written follow-up reports on NRC Form 366 by 13,200 hours.

- C *Nuclear Regulatory Commission Acquisition Regulation, (NRCAR) 48 CFR Part 20* (OMB No. 3150-0169). The revised NRCAR streamlines many burdensome submission requirements, among the most burdensome being competitive and task order proposal submission requirements. These are being replaced with the use of oral presentations and a minimum number of evaluation criteria in the source selection process. In addition, the simplified acquisition threshold has been increased from \$50,00 to \$100,000, reducing the number of contracts that NRC must track as they are now awarded using FAR Part 13 simplified acquisition procedures. When codified in FY 2000, the regulation will result in a burden decrease of 26,700 hours.

Increase

- C *General Domestic Licenses for Byproduct Material, 10 CFR Part 31* (OMB No. 3150-0016). A rule NRC expects to issue in FY 2000, "Requirements for Possession of Certain Industrial Devices," will require that approximately 6,000 general licensees register around 24,000 materials devices to improve accountability for generally licensed devices. Many general licensees are not aware of their regulatory responsibilities, resulting in lost and inappropriately disposed of sources and causing unnecessary exposure to the public and significant cleanup costs from contamination of steel, steel plants, and products. Registration will improve general licensees' regulatory awareness, improve compliance, and improve NRC's ability to keep track of general licensees and the devices they possess. Information will be collected on devices and general licensees beginning in FY 2000 and will result in an annualized burden increase of 2,100 hours.

Recent Statutes that Affect Information Collection Activities

None.

Securities and Exchange Commission

	Burden Hours (in millions)	Percentage Change from Previous FY
Actual FY 1998	75.68	+ 49.2%
Target FY 1999	75.41	+ 0.4%
Target FY 2000	75.51	0.1%

Need for Collection of Information

The Securities and Exchange Commission (SEC) is an independent regulatory agency with responsibility for administering and enforcing the federal securities laws of the United States in order to protect investors and to maintain fair, honest, and efficient markets. The securities laws provide that companies seeking to raise capital through these markets fully disclose to investors sufficient information to permit informed investment decisions.

The principle function of most of the SEC's rules and forms under the securities laws' disclosure provisions is to make information widely available to participants in the securities markets. The SEC itself uses very little of the collected information (except on an occasional basis in the enforcement of the securities laws). In this respect, these information collections differ significantly from most other federal information collections that are primarily for the use and benefit of the collecting agency. SEC's information disclosure requirements permit SEC, State and local regulators, and the public to verify the securities industry's compliance with securities laws and SEC regulations and assure the public that equal information is available to all investors. This information is used by security holders, investors, brokers, dealers, investment banking firms, professional securities analysts, and others in evaluating securities and making investment and voting decisions.

Internal Management of Information Collection

The primary staff for PRA compliance at the SEC works in the Office of Filings and Information Services (OFIS), within the Office of the Executive Director. This staff works with the rulemaking divisions to ensure compliance with the PRA under the direction of the CIO.

Burden Reduction Efforts and Goals

In the area of information collection management, the SEC established the following priorities:

- C *Collect from the public only the amount and type of information pertaining to securities.* Information collection will comply with requirements of the Paperwork Reduction Act in not placing any unnecessary burden on the filing community. Information collected is essential for the SEC in fulfilling its role as a regulatory and law enforcement body.
- C *Process collected information in the most economic and efficient manner and ensure that all public information filed by registrants is disseminated in a timely manner.* Information collections are revised to speed SEC's consideration of submissions and the availability of submissions to the public.

- C *Ensure that processing systems are modern and cost effective and efficiently serve the needs of the agency.* Agency information collection systems are revised to exploit evolving technology through the development of applications designed specifically to assist the agency in keeping up with the ever changing financial world and research innovative methods to collect and disseminate information.

To further these goals, the Commission created the Electronic Data Gathering Analysis and Retrieval (EDGAR) system, a means by which companies participating in securities markets could submit filings to the SEC electronically and the SEC could immediately make available public disclosures through the Internet. SEC believes that by accelerating the processing, dissemination, and analysis of time-sensitive corporate information filed with the Commission, they increase the overall efficiency of the securities markets by improving the flow of information. A review at the request of Congress confirmed EDGAR's utility and effectiveness, leading the SEC to require most mandatory filings in electronic form. Mandatory electronic filing, combined with the improvements by the SEC in information dissemination processes, has dramatically increased the availability of information to a broader range of the investing public.

While the SEC collects a wide variety of information, the number of respondents depends in great part to the vibrance of the market itself. For example, the frequency of response, number of respondents, and resulting information collection burden of certain rules depend on the number of investment advisers registered with the Commission and on the quantity of assets managed by these advisers. Title III of the National Securities Markets Improvement Act of 1996, the Investment Advisers Supervision Coordination Act (Coordination Act), amended the Investment Advisers Act of 1940 (1940 Act) to, among other things, divide the regulatory responsibility for investment advisers between the Commission and the securities regulatory authorities of the states. These amendments became effective on July 8, 1997. In 1997 and 1998, the Commission adopted new rules and rule amendments to implement the Coordination Act. Implementation of the Coordination Act has reduced the number of Commission-registered advisers from 23,350 to approximately 7,500. Since the information collection burden of the rules under the 1940 Act depends, in part, on the number of registered advisers required to respond, the burden is less.

In its burden reduction efforts, the Commission is continuously assessing whether there are disclosure burdens on public companies that can be removed or alleviated without comprising investor protection. In November 1998, the Commission issued two significant rulemaking proposals that, if adopted, could remove many reporting burdens on public companies. The first proposes widespread changes to the capital formation process. The proposal would affect registration of securities under the Securities Act of 1933 and, among other things, would alleviate the disclosure burdens placed on large companies when they choose to publicly offer their securities. The second proposes a new Regulation M-A that would unify and simplify disclosure requirements in connection with merger and acquisition transactions.

In August 1998, the Commission announced a moratorium on the implementation of new Commission rules that require major reprogramming of computer systems by SEC-regulated entities between June 1, 1999 and March 31, 2000. The moratorium is intended to facilitate and encourage securities industry participants to allocate significant time and resources to addressing the potential problems caused by the year 2000 conversion.

While paperwork reduction is a long-term goal of the Commission, informal meetings and contacts with securities industry participants have made abundantly clear the preference for maintaining the information collection status quo since changes would likely require the reprogramming of their automated systems.

With this in mind, the Commission continues to examine rulemaking that will reduce the paperwork burden, while minimizing the requirement for computer programming changes.

The Commission currently is working with the National Association of Securities Dealers, Inc. and other industry participants to modernize the Central Registration Depository system. The improvements would allow for the electronic filing of various forms associated with the registration of broker-dealer firms and their associated persons with “one stop” filing. It is anticipated that electronic filing of these forms will substantially reduce the paperwork burden. Through efforts like this, the Commission will continue to examine the use of modern technology to reduce current paperwork burdens of other information collections.

While the Commission continues in its efforts to reduce the burden on the public, the continued growth in the investment company industry, the number of registered investment companies required to respond to information collection requirements, and the assets with respect to which the companies will have to report and keep records will continue to increase, increasing the total information collection burden on investment companies.

Significant Changes in Information Collection Burden During FY 1998

Decreases

- C *Rule 30d-1 under the Investment Company Act of 1940 – Reports to Stockholders of Management Companies* (OMB No. 3235-0025). SEC reduced the burden of this collection by 1.7 million hours to correct an error in counting the number of investment companies required to comply with Rule 30d-1.
- C *Rule 17f-2 under the Investment Company Act of 1940 – Custody of Investments by Registered Management Investment Company* (OMB No. 3235-0223). This rule requires verification, at least three times annually, of assets held in custody. The rule also requires that an independent public accountant perform the verifications. At least two of the audits must be unscheduled. SEC reduced its estimate of the number of hours the respondents’ employees spend on the verifications by 540 hours. SEC also moved to section 30(g) of the Investment Company Act the burden of participating in the scheduled audit. These actions resulted in a reduction in burden of 21,000 hours. In addition, SEC reported for the first time the nonlabor costs of this collections as \$880,000.
- C *Rule 206(4)-2 under the Investment Advisers Act — Custody or Possession of Funds or Securities of Clients* (OMB No. 3235-0241). Effective July 8, 1997, the Investment Advisers Supervision Coordination Act (P.L. 104-290) reallocated federal and state responsibility for the regulation of investment advisers. To comply with these amendments, SEC amended Rule 206(4)-2 to make it applicable only to Commission-registered advisers. As a result, in FY 1998, the number of advisers subject to the rule was reduced from 604 to 211, reducing the burden by 61,600 hours.
- C *Form S-8 under the Securities Act of 1933 — Registration Statement Used for Securities Issued Pursuant to Employee Benefit Plans* (OMB No. 3235-0066). Form S-8 allows companies to provide streamlined disclosure in connection with the registration of employee benefit plan securities. In February 1998, the Commission proposed amendments to Form S-8 that, if adopted, would require companies to provide additional disclosure regarding their issuance of securities to consultants and advisers. The amendments are intended to eliminate abuse of Form S-8. The proposed amendments

also would allow the use of Form S-8 for the exercise of stock options by family members of employee optionees. These amendments reduce the burden of this collection by 90,000 hours.

- C *Regulation 13D-G and Schedule 13D and 13G — Equity Securities* (OMB No. 3235-0145). In January 1998, the Commission adopted amendments to make the short-form Schedule 13G available, in lieu of Schedule 13D, to all investors beneficially owning less than 20 percent of the outstanding class that have not acquired and do not hold the securities for the purpose of, or with the effect of, changing or influencing the control of the issuer of the securities. This program change resulted in a decrease of 8,800 hours.
- C *Rule 10b-10 — Confirmation of Securities Transactions* (OMB No. 3235-0444). SEC reduced the estimate of the burden of this collection by 73.8 million hours. SEC staff, through discussions with industry, revised by their estimates of the number of securities transactions subject to the rule and the time necessary to comply with the rule's requirements. In addition, since broker-dealers were permitted to send confirmations electronically starting in 1996, technology has dramatically decreased the burden, thanks to the firms' automation of the required recordkeeping and reporting requirements.
- C SEC eliminated the following rules or forms: *Rule 30b3-1 — Quarterly Report for Money Market Funds* (OMB No. 3235-0458); *Form SR — Sales of Securities and Use of Proceeds Therefrom* (OMB No. 3235-0124); *Form ADV-B — Annual Report on Investment Adviser's Brokerage Direction* (OMB No. 3235-0455); and *Form ADV-S — Annual Supplement for Investment Advisers* (OMB No. 3235-0046). The net decrease for these information collections is 167,000 hours.
- C SEC reported a decreased burden of these collections due to a decrease in the number of filers: *Rule 15c3-3 — Customer Protection: Reserves and Custody of Securities* (OMB No. 3235-0078); and *Rule 15g-9 — Sales Practice Requirements for Certain Low-Priced Securities* (OMB No. 3235-0385). The net decrease totaled 72,000 hours.

Increases

- C *Regulation C — Registration Statements* (OMB No. 3235-0074). In October 1998, SEC started requiring companies to write significant pieces of their prospectuses in plain English. SEC estimates that this rule imposes a burden of 451,000 hours in the first year to rewrite prospectuses, but that costs will drop in subsequent years as companies gain experience communicating in plain English.
- C *Rule 15c2-11 — Publication or Submission of Quotations Without Current Information* (OMB No. 3235-0202). This rule governs the way in which broker-dealers can quote prices for securities not traded on the national exchanges. These securities (so-called "microcaps") are often thinly traded and thus are ripe for manipulation by unscrupulous market players. The proposed amendments to Rule 15c2-11 would expand the information collection and disclosure requirements on broker-dealers issuing quotes on microcap securities to combat such manipulation and to protect the broker-dealer's customers. The revised increase burden hour estimate of 163,000 includes the indirect burden on issuers of microcaps, which SEC had previously not counted in its estimate.
- C *Rule 30d-1 under the Investment Company Act of 1940 — Reports to Stockholders of Management Companies* (OMB No. 3235-0025) and *Rule 154 under the Securities Act of 1933 — Delivery of Prospectuses to Investors at the Same Address* (OMB No. 3235-0495). In November 1997, the

Commission proposed for public comment amendments to allow companies to deliver annual and semi-annual reports and investment prospectuses by sending a single report to two or more investors sharing the same address, subject to certain conditions. The proposed amendments would add a burden of 105,000 hours for preparation of notice and consent forms for shareholders and investors.

- C *Form N-6 under the Investment Company Act of 1940 and the Securities Act of 1933 — Registration Statement of Variable Life Insurance Separate Accounts Registered as Unit Investment Trusts* (OMB No. 3235-0503). The Commission proposed for public comment new Form N-6 under the Investment Company Act of 1940 and the Securities Act of 1933, Registration Statement of Variable Life Insurance Separate Accounts Registered as Unit Investment Trusts. The proposed form would provide a means for variable life separate accounts to register offerings of securities under the Securities Act and register as investment companies under the Investment Company Act on a single form. For these separate accounts Form N-6 would replace Forms S-6 and N-8B-2. This proposal would result in a net increase of 60,000 hours and a cost of \$2,500,000.
- C *Rule 204-5 under the Investment Advisers Act of 1940 — Year 2000 Compliance, Investment Advisers Report* (OMB No. 3235-0513). The Commission proposed and adopted in 1998 this rule requiring most registered investment advisers to file the new form ADV-Y2K, a report regarding preparations for the Year 2000 computer problem. This proposal of a new rule netted an increase of 14,800 hours.
- C *Rule 11Ac1-3 — Customer Account Statements* (OMB No. 3235-0435). Rule 11Ac1-3 brokerage firms to disclose on each new account form, and on a yearly basis thereafter on the annual statement, its policies regarding receipt of payment for order flow from any market makers, exchanges, or exchange members to which it routes customers' orders in national market securities for execution. It also requires brokerage firms to disclose information about its aggregate payments, discounts, rebates, or reductions in fees over the past year. Amendments to the rule increased the burden by 28,000 hours.
- C *Regulation 14A — Proxy Statements to Security Holders* (OMB No. 3235-0059) and *Regulation 14C — Information Statements to Security Holders* (OMB No. 3235-0057). SEC proposed to permit companies to send one copy of the annual report that must precede or accompany delivery of the proxy statement to two or more investors sharing the same address. Although SEC expects this change to eventually decrease burden, there is an increase in burden of 19,000 hours because the proposed rule would require companies to send out a notice to affected investors 60 days or more before they take advantage of this streamlining.
- C *Rule 30d-2 under the Investment Company Act of 1940 — Reports to Shareholders of Unit Investment Trusts* (OMB No. 3235-0494). SEC discovered this rule did not have PRA approval during a rulemaking. SEC estimated the paperwork burden of the existing rule to be 50,000 hours and 4.56 million dollars. In addition, SEC proposed in November, 1997, amendments to this rule which would allow companies to send a single report to multiple investors at the same address, increasing burden by approximately 10,000 hours.
- C SEC reported an increased burden for the following collections due to an increase in use: *Form S-8 under the Securities Act of 1933 — Registration Statement Used for Securities Issued Pursuant to Employee Benefit Plans* (OMB No. 3235-0066); *Regulation 13D-G and Schedules 13D and 13G —*

Equity Securities (OMB No. 3235-0145); *Rule 17a-3 — Records To Be Made By Certain Exchange Members, Brokers And Dealers* (OMB No. 3235-0033); *Form S-3 — Registration Statement Under the Securities Act of 1933* (OMB No. 3235-0073); *Rule 15c2-12 — Municipal Securities Disclosure* (OMB No. 3235-0372); *Regulation 14A — Proxy Statements to Security Holders* (OMB No. 3235-0059); and *Regulation 14C — Information Statement to Security Holders* (OMB No. 3235-0057) . The net increase for these information collections is 1.5 million hours.

Significant Changes in Information Collection Burden Planned For FY 1999

Decreases

- C In November 1998, SEC proposed Regulation M-A, a series of comprehensive amendments to modernize and clarify the regulatory structure for offerings under the Securities Act of 1933 while maintaining investor protection. The proposals would permit larger seasoned issuers flexibility in the timing of securities offerings and greater freedom to communicate with the market and investors. The proposals also would provide predictability to medium-sized seasoned issuers that register offerings and permit issuers of all sizes and their underwriters greater freedom to communicate with investors in writing during the offering process.

The amendments would change information collections, such as *Form SB-1 — Small Business Issuers Registration Statement* (OMB No. 3235-0423); *Form S-8 — Employee Benefit Plan Securities* (3235-0066); *Form 8-A — Securities Registration* (OMB No. 3235-0056); *Form 10 — Annual Reports under the Exchange Act* (OMB No. 3235-0064); *Form 10-Q — Quarterly Reports* (OMB No. 3235-0070); *Form 18 — Foreign Government Securities Registration* (OMB No. 3235-0121); and a variety of related forms. These amendments will also require four new forms. These changes will result in an net increase in burden of 1.8 million hours. However, SEC has reexamined the burden of all collections affected by this amendment and will request an adjustment to their burden totals to reflect a more realistic balance of the burden between respondents and their unaffiliated contractors. This adjustment will decrease reported burden by 11 million hours and increase reported cost burden by 4.82 billion dollars.

- C In October 1998, the Commission proposed new rules, schedules, and amendments to update and simplify the rules and regulations that apply to takeover transactions, including tender offers, mergers, and similar extraordinary transactions. The proposals would more closely align merger and tender offer requirements. These amendments would change the following information collections: *Regulation 14A (Commission Rules 14a-1 through 14b-2 and Schedule 14A) — Proxy Statements* (OMB No. 3235-0059); *Regulation 14C (Commission Rules 14c-1 through 14c-7 and Schedule 14C) — Information Statements* (OMB No. 3235-0057); *Regulations 14D and 14 E, Schedules 14D-1 and 14D-9 — Tender Offers* (OMB No. 3235-0102); and *Rule 13e-3, Schedule 13E-3 — Private Transaction* (OMB No. 3235-0007). The amendments would also require a new form. These changes will result in an net decrease in burden of 23,000 hours. However, SEC has reexamined the burden of all of these collections and will request an adjustment to their burden totals to reflect a more realistic balance of the burden between respondents and their unaffiliated contractors. This adjustment will decrease reported burden by 730,000 hours and increase reported cost burden by \$109 million.
- C *Rule 204-2 under the Investment Advisers Act of 1940 — Books and Records to be Maintained by Investment Advisers* (OMB No. 3235-0278). In 1994, SEC proposed a revision of the recordkeeping requirements in Rule 204-2 under the Investment Advisers Act of 1940 that would require advisers to

place in their client records any documents the adviser received in response to inquiries it had made to determine the suitability of investment advice. The proposal also would require advisers to place in their client records copies of custodian account statements received by the advisers. SEC will likely take the staff recommendation not to adopt these proposals, reducing reported burden by 333,000 hours annually.

Increases

- C *Rule 17a-5(e)(5) and Form BD-Y2K Reports to be Made by Certain Brokers and Dealers, Year 2000 Problem* (OMB No. 3235-0511); and *Rule 17Ad-18 and Form TA-Y2K Year 2000 Readiness Reports to be Made by Certain Transfer Agents* (OMB No. 3235-0512). SEC imposes these collections of information to ensure Y2K compliance for brokers, dealers, and transfer agents. The net burden for these collections is 159,000 hours.

- C SEC will report an increased burden for the following collections due to an increase in use: *Form S-4 — Registration Statement* (OMB No. 3235-0324); *Rule 3a-4 — Status of Investment Advisory Programs under the Investment Company Act of 1940* (OMB No. 3235-0459); and other collections. The total net burden increases 10.1 million hours.

Significant Changes in Information Collection Burden Planned for FY 2000

- C SEC has committed to a moratorium on new SEC rules that would require major reprogramming of computer systems by SEC-regulated entities between June 1, 1999 and March 31, 2000. SEC intends this moratorium to facilitate and encourage securities industry participants to give the time and resources necessary to solve any problems they may have with the Y2K computer bug.

- C By the year 2000, SEC will have completed its collections of information on industry's Y2K compliance. Thus the following collections will be eliminated: *Rule 17a-5(e)(5) and Form BD-Y2K* (OMB No. 3235-0511); *Rule 17Ad-18(f) and Form TA-Y2K* (OMB No. 3235-0512); and *Rule 204-5 and Form ADV-Y2K* (OMB No. 3235-0513). The net decrease in burden will be 174,000 hours.

- C SEC plans to propose a new registration form for issuers registering asset-backed securities under the Securities Act of 1933. The proposed rules would harmonize existing Securities Act requirements with the unique disclosures required by these issuers. These changes would require modifications to *Form S-1 — Registration Statement* (OMB No. 3235-0065), *Form S-3 — Reports under the Exchange Act* (OMB No. 3235-0073), and *Form S-11 — Real Estate Entities Registration Statement* (OMB No. 3235-0067) and development of a new form, *Form ABS*. SEC expects the net increase in burden would be 270,000 hours.

Recent Statutes that Affect Information Collection Activities

The frequency of response, number of respondents, and resulting information collection burden of certain rules depends on the number of investment advisers registered with the Commission and on the quantity of assets managed by these advisers. Title III of the National Securities Markets Improvement Act of 1996, (P.L. 104-290) the Investment Advisers Supervision Coordination Act (Coordination Act), amended the Investment Advisers Act of 1940 (1940 Act) to, among other things, divide the regulatory responsibility for investment advisers between the Commission and the securities regulatory authorities of the states. These amendments became effective on July 8, 1997. In 1997 and 1998, the Commission adopted new rules and

rule amendments to implement the Coordination Act. Implementation of the Coordination Act has reduced the number of Commission-registered advisers from 23,350 to approximately 7,500. Since the information collection burden of the rules under the 1940 Act depends, in part, on the number of registered advisers required to respond, the burden is less.

In 1998, the Commission adopted a rule amendment that made a significant change in the information collection burden under the 1940 Act. The Commission amended *Rule 206(4)-2 under the 1940 Act, Custody or Possession of Funds or Securities of Clients* (OMB No. 3235-0241), in 1998 to make it applicable only to Commission-registered advisers. As a result, the number of advisers subject to the rule was reduced from 604 to 211, reducing the burden by 61,600 hours.

Small Business Administration

	Burden Hours (in millions)	Percentage Change from Previous FY
Actual FY 1998	3.07	105.4%
Target FY 1999	3.17	3.5%
Target FY 2000	3.17	0.0%

Need for Collection of Information

The Small Business Administration (SBA) collects information for the general purposes of providing aid, counseling, and support for small business. In addition, SBA ensures that small business receive a fair portion of Federal Government purchases and contracts, including subcontracts. SBA collects information in order to support the following program activities:

- C To administer loans to small business for plant and equipment, including supplies, and for working capital.
- C To provide assistance through loans and grants to nonprofit organizations and to very small businesses needing small-scale (micro-loan) financing and technical assistance.
- C To lend money to help the victims of floods, riots or other catastrophes repair or replace disaster-damaged property.
- C To enable socially and economically disadvantaged persons to participate in the Minority Small Business Development 8(a) management and technical assistance program. Small businesses that are at least 51 percent unconditionally owned, controlled, and managed by one or more individuals determined by SBA to be socially and economically disadvantaged are eligible to participate in the 8(a) program.
- C To administer its Surety Bond Guarantee Program, through which SBA makes the contract bonding process accessible to small and emerging contractors who otherwise would be unable to secure surety bonds.
- C To collect customer satisfaction information from those involved in and affected by its programs.

SBA's information collection activities support the following Agency goals:

- C Increase opportunities for small business success.
- C Transform SBA into a 21st century leading edge financial institution.
- C Help businesses and families recover from disasters.

Internal Management of Information Collection

SBA's CIO is responsible for the submission of SBA's ICB, but the Office of Administration (OA) develops the ICB and is responsible for the day-to-day information collection functions required under the PRA. OA has demonstrated its ability to adequately meet the procedural requirements of the PRA.

The Office of the CIO selects and approves the tools used by program offices for electronic forms and is involved in the re-engineering processes from paper-based to electronic methods of working. The office

initiates or reviews the electronic methods of information collection to ensure that they conform to the Agency IT architecture and Agency information technology standards. SBA's CIO requests IT project-related data on information collection activities through the IT capital planning process.

Burden Reduction Efforts and Goals

The Small Business Administration's (SBA) strategic plan for managing its information collection activities is an outgrowth of broader modernization efforts underway throughout the Agency. These larger efforts are aimed at improving the delivery of SBA's most vital programs and services to more of the eligible public.

SBA is re-engineering virtually all aspects of its credit and financial management systems. Although not the primary goal, the Agency expects to see burden reductions on a per-customer basis, as selected operations are shifted to private sector resource partners.

SBA's Office of Disaster Assistance (ODA) is working toward a fully integrated Electronic/Paperless Disaster Home Loan Application and loan process, which includes system and data sharing with other Government agencies and making disaster loan applications by telephone. ODA is also pursuing an Inspection Redesign Process with the Federal Emergency Management Agency (FEMA), involving the agencies' sharing of data from disaster victims, necessitating only one damage verification.

The Office of Portfolio Management (PM) is reviewing information collection requirements regarding pending revisions to liquidation regulations. The monthly 1502 lender reporting process has been streamlined to lessen the reporting burden on SBA participating lenders. Additionally, PM is working on electronic reporting of *SBA Form 172*, which accompanies all lender payments to SBA loan collections after guaranty purchase. PM also issued revised liquidation regulations, eliminating unnecessary forms.

The Loan Program Division has revised *SBA Form 4L – Application for LowDoc Loan* to eliminate the need for submission of additional information on loans under \$50,000 and to accommodate credit scoring to expedite credit decisions.

In FY 1998 the Investment Division introduced "just-in-time" funding which allows a small business investment company (SBIC) to obtain a leverage commitment from SBA and then draw funds as needed over five fiscal years. In return for more frequent financial reporting, SBICs will receive an assured source of funding and improved cash flow management. Also, all SBICs now submit *SBA Form 468 – Financial Statement* and *SBA Form 1031 – Portfolio Financing Report* electronically. The office is revising *SBA Form 415 – License Application* to guide applicants through a series of carefully focused questions. Expected benefits are facilitation of SBA application review, more timely notification of clearly unqualified applicants, and reduction of the need for clarification, modifications, or additional information from qualified applicants.

FY 1999 goals of the Office of Minority Enterprise Development (MED) are to simplify content, automate information collection processes, and eliminate unnecessary and duplicative information collections. The office expects to introduce the electronic application in the first quarter FY 1999. An estimated 10 percent of FY 1999 applicants will apply to the 8(a) program electronically. By the end of FY 2000, the office expects to receive an average of 68 percent of applications electronically.

Significant Changes in Information Collection Burden During FY 1998Decreases

- C *SBA Form 1222 — Notice of Award* (OMB No. 3235-0140). SBA's Office of Grant Management changed its practice of using the SBA Form 1222 to change grants and has instead starting using the *SF-30 — Amendment of Solicitation/Modification of Contract*. SBA reported a reduction in burden of 89,000 hours due to this change.
- C *SBA Form 1815 – 8(a) Capability Statement* (OMB No. 3245-0277). SBA eliminated this form, but will continue to collect similar information electronically through *ProNet* (formerly the Procurement Automated Source System) (OMB No. 3235-0024), which links federal contractors with small firms able to do work for the government. This change reduced reported burden by 4000 hours. However, SBA has not requested an offsetting increase for ProNet.
- C *Procurement Automated Source System (PASS)* (OMB No. 3235-0024). SBA reported a reduction in the number of people using PASS, reducing burden by 14,000 hours.
- C SBA inadvertently allowed the following collections to expire: *Application for Certification of Competency* (OMB No. 3245-0013); *Application for Section 504-502 Loan* (OMB No. 3245-0071); and *Certified Development Company Program Annual Report Guide* (OMB No. 3245-0074). These violations reduced reported burden by 32,000 hours

Increases

- C *Application for the Small Disadvantaged Business (SDB) Program* (OMB No. 3245-0317). The Office of Minority Enterprise Development created this new program as a result of the Department of Justice's review of Federal procurement affirmative action programs. This application allows businesses to apply for status as an SDB. This new collection increased burden by 90,000 hours.
- C *Application Forms for the 8(a) Program* (OMB No. 3245-0015). SBA reported an increase in the number of applicants for the 8(a) program, increasing burden by 122,000 hours.
- C SBA reinstated two previously expired collections that had been ongoing: *Request from Borrowers* (OMB No. 3245-0012); *Application for Business Loans* (OMB No. 3245-0016); and *SBA Counseling Evaluation* (OMB No. 3245-0183). These reinstatements increased reported burden by 1.4 million hours.

Significant Changes in Information Collection Burden Planned for FY 1999Decreases

- C *Liquidation Activities* (OMB No. 3245-0164). SBA will eliminate this collection, having determined that they no longer need the information, eliminating 28,000 hours of burden.
- C *SBA Form 1849 — Application for Associate Development Company (ADC) Designation* (OMB No. 3245-0284) and *SBA Form 1850 — ADC Annual Report* (OMB No. 3245-0285). SBA's Office of Financial Assistance allowed these collections to expire due to a lack of activity in the program. This will reduce burden by 300 hours.

- C *SBA Form 1429 — Use of Proceeds* (OMB No. 3245-0193). SBA will eliminate this form because similar information was integrated into a different form, reducing burden by 600 hours.
- C *SBA Form 1980 — 504 and 7(a) Loan Program* (OMB No. 3245-0309). SBA concluded this collection and will eliminate it, reducing burden by 580 hours and \$14,600.
- C SBA will report a reduced burden of the following collections due to fewer respondents: *SBA Form 5C — Home Loan Application* and *SBA Form 739 — Verification of Personal Property* (both included in OMB No. 3245-0018); and *SBA Form 700 — Disaster Home Loan/Business Loan Inquiry Report* (OMB No. 3245-0084). These adjustments will reduce reported burden by 17,000 hours.

Increases

- C *HUBZone Program Application* (OMB No. 3245-0320). HUBZone is a new Minority Enterprise Development (MED) program which SBA will implement during FY 1999, through the HUBZone Act of 1997 (Title VI of P.L. 105-135). This program will provide federal contracting assistance for qualified small business concerns located in historically underutilized business zones in an effort to increase employment opportunities and investment in those areas. The application for this program will increase paperwork burden by 20,000 hours.
- C *SBAExpress* (OMB No. 3245-New). The SBA Express program was established with the premise of reducing customer and Agency district offices' information collection burden. Its mission is to increase SBA efficiency while minimizing SBA required forms, procedures, and processing time. SBA Express will provide 24-hour access to electronic versions of necessary information. The web sites will serve as one-stop repositories for internal, public, and lender specific electronic documentation. Initial implementation of this program will impose an additional 40,000 burden hours.
- C SBA will report increased burden due to reinstatements of the following previously-expired collections: *Disaster Business Loan Application* (OMB No. 3245-0017); *SBA Form 1244 — Application for 502/504 Loan* (OMB No. 3245-0071); *SBA Form 1246 — Application for Certification as a Certified Development Company (CDC)* (OMB No. 3245-0073); *SBA Form 1253 — CDC Annual Report Guide* (OMB No. 3245-0074); *SBA Form 1081 — Statement of Personal History* (OMB No. 3245-0080); *Request for Eligibility Reconsideration* (OMB No. 3245-0143); *Notice of Change in Ownership* (OMB No. 3245-0145); *Request for Approved Joint Venture* (OMB No. 3245-0146); *8(a) Annual Report* (OMB No. 3245-0205); *Semi-Annual Report on Representatives* (OMB No. 3245-0270). These reinstatements will increase reported burden by 76,000 hours and \$196,000.

Recent Statutes that Affect Information Collection Activities

- C HubZone Act of 1997 (Title VI of P.L. 105-135). SBA's Office of Minority Enterprise will implement the HubZone program during FY 1999. This program will provide federal contracting assistance for qualified small business concerns located in historically underutilized business zones in an effort to increase employment opportunities and investment in those areas. The application for this program will increase paperwork burden by 20,000 hours.

Social Security Administration

	Burden Hours (in millions)	Percentage Change from Previous FY
Actual FY 1998	22.08	! 10.9%
Target FY 1999	21.60	! 2.2%
Target FY 2000	21.78	! 0.8%

Need for Collection of Information

The Social Security Administration (SSA) administers the Title II Old Age, Survivors, and Disability Insurance (OASDI) Program and the Title XVI Supplemental Security Income (SSI) Program, and enforces compliance with the Social Security Act. OASDI serves 44.2 million beneficiaries, providing monthly benefits to retired and disabled workers. SSI serves 6.6 million recipients. The vast majority of SSA's information collections are explicitly required by the Social Security Act, through regulations or through judicial decisions. SSA has 210 active information collections to administer their two key benefit programs:

- C *Retirement Systems.* The Social Security Act creates a legal obligation for both SSA and beneficiaries to provide information as a condition of receiving payments for the elderly, poor, disabled, and survivors of recipients who are deceased. The Act specifies detailed eligibility requirements for initial and ongoing eligibility. The Act requires SSA to collect information on resources, income, household status, education, employment history (including lifetime wage data on all covered individuals), children, spouses, and benefit receipts. Beyond these collections, SSA is responsible for verifying accuracy and employment information. This often requires SSA to verify wage records with employers and beneficiaries. The Act also requires SSA to collect information from individuals on their earnings after retirement.
- C *Disability Programs.* The Social Security Act covers Title II OASDI and Title XVI SSI programs. The SSI program provides means-tested income support to persons aged, blind, or disabled. Under the OASDI and SSI disability programs, SSA must collect extensive, detailed medical history and earnings information from the individuals and physicians.

In addition to administering the programs outlined above, SSA is also responsible for compliance with the Government Performance and Results Act of 1993 (GPRA). To comply with the requirements of GPRA, SSA has identified the following objectives to support its mission of promoting "the economic security of the nation's people through compassionate and vigilant leadership in shaping and managing America's social security programs,": (1) customer service and program integrity in all SSA-administered programs; (2) increasing public understanding of SSA programs; (3) responsiveness of SSA programs; and (4) valuing and investing in SSA employees. Information collection enables SSA to enhance service to its customers, improve payment accuracy, prevent and detect fraud, identify and recover overpayments, identify and respond to public concerns, conduct research to improve programs, and assist individuals to return to work. These are examples of specific areas covered by SSA's performance objectives.

For the most part, where SSA has identified the need for improved measures, it expects to be able to derive them from existing data sources without the need to collect additional information. However, the GPRA's focus on outcomes has led SSA to identify certain areas, such as public satisfaction with, and knowledge about, SSA programs, for which new information will be needed to enable it to assess its performance. SSA has developed a plan for an integrated, Agency-wide process for obtaining customer and stakeholder input to use in planning and assessing performance. When implemented, it should help to offset whatever increased information burden is created by GPRA, and in fact, may lessen the information burden overall.

Internal Management of Information Collection

The Principal Deputy Commissioner, as the Chief Information Officer (CIO) for SSA, has assigned the primary responsibility for developing SSA's information collection strategy to the Deputy Commissioner for Finance, Assessment and Management (DCFAM), who serves as the Deputy CIO. The DCFAM directs the office responsible for paperwork clearance and works with the Office of Systems, the Office of Policy, and the Office of Disability and Income Security Programs to develop and implement SSA's information collection policy. Overall, SSA manages its responsibilities under the PRA efficiently and has demonstrated a commitment to paperwork reduction. This is evidenced by the 11 percent reduction in burden hours from 1997 to 1998. The greatest potential for burden reduction in the future is in electronic service delivery. SSA is working towards automating some of its major information collection systems; estimates of anticipated burden reduction are not yet available.

Burden Reduction Efforts and Goals

SSA has made, and will continue to make, a concerted effort to reduce its reporting burden, as mandated by the Paperwork Reduction Act (PRA) of 1995. SSA has reduced burden hours by 13 percent between FY 1995 and FY 1998. SSA intends to achieve further burden reductions through eliminating and streamlining forms and through automation of systems. Streamlining efforts have included the following:

- C In FY 1998, SSA published a final rule eliminating the requirement for beneficiaries to file an annual report of earnings. SSA now accepts the W-2 form filed with the IRS or income reported by the self-employed on their tax returns as the report of earnings. This resulted in the elimination of the SSA-777 and SSA-7770, *Annual Report of Earnings*, and a reduction of 331,000 burden hours.
- C SSA plans to greatly reduce the need for the SSA-3881, *Questionnaire for Children Claiming SSI Benefits*. The agency has included certain questions from the SSA into a revised form SSA 3820-BK which will be used during the initial claims interview. The SSA-3881 will now only be needed when a claim is appealed. This change will reduce burden by 423,000 hours.
- C SSA also intends to eliminate the SSA-3945, *Work Activity Report-Continuing Disability* by consolidating it with the SSA-821, *Work Activity Report-Employee* SSA uses this information to determine entitlement to disability benefits. The elimination of the SSA-3945 will reduce burden by 105,000 hours.

SSA is in the process of automating several of its systems and their associated information collections. SSA currently collects this information through personal and telephone interviews. Use of automated systems would eliminate the burden on the public of completing paper forms, and in some cases, the need to visit a Social Security office. It also improves reporting accuracy, thereby eliminating the need for recontacts, resulting in improved customer service. Automation will also allow for respondents spending

less time completing forms as the electronic form guides the respondent through the questions which are relevant to the respondent. SSA intends to automate Title II and Title XVI Claims systems, as well as Direct Deposit, Representative Payee, Death Input, and Enumeration systems. SSA does not yet have estimates of burden reductions resulting from its automation efforts. These calculations will be based on a survey of a sample of SSA field offices. SSA plans to place several information collections on the Internet and make additional forms available to the public on its Web site. SSA is exploring software and technology which will add intelligence to forms allowing the public to complete a traditional-looking form on-line, sign it electronically, and send the information to SSA. A key requirement will be providing adequate security and maintaining the confidentiality of the transmitted data.

While SSA expects to achieve a 2.2 percent net reduction including adjustments and program changes, 5 percent reduction will not be possible for FY 1999. Further, the net program change is expected to be an increase of 389,000 burden hours. This increase is attributable primarily to an increase of 840,000 hours for Continuing Disability Reviews (CDRs). In FY 2000, SSA may achieve a 5 percent reduction for FY 2000 if anticipated reductions through SSA's automation of its claims and related systems are realized.

Most of the information that SSA collects for program purposes is required by the Social Security Act. A relatively small information collection burden is imposed by surveys and other studies that focus on customer satisfaction, customer service, and program improvements. SSA conducts these studies not only to identify and test program improvements, but also to fulfill the performance measure requirements as specified by the GPR.

While SSA intends to make a vigorous effort to implement burden reduction efforts through the strategies listed above, due to statutory and regulatory requirements surrounding welfare reform and the increased use of CDR's, SSA is unable to change its information collection requirements to meet the 5 percent burden reduction goal for FYs 1999 and 2000. A detailed description of how the welfare reform law, Personal Responsibility and Work Opportunity Reconciliation Act (P.L. 104-193), enacted on August 22, 1996, affected SSA's burden reduction efforts appears in the section below entitled "Recent Statutes Affecting Burden". As a general matter, if SSA were to cut burden by 5 percent, they would be prevented from properly administering its programs, resulting in fraud, waste and abuse. Furthermore, not collecting the information that SSA is required to collect would have several adverse consequences on the public: earnings records would not be accurately or adequately maintained; insufficient initial claims information, including medical histories, would be collected resulting in inaccurate or delayed decisions and recontacts with the claimant to obtain the necessary information; and post-entitlement information to update benefit eligibility and status would be inadequate to maintain accurate records, resulting in underpayments and overpayments.

Significant Changes in Information Collection Burden During FY 1998

Decreases

- C *Schedule SSA, Annual Registration Statement Identifying Separated Participants with Deferred Vested Benefits* (OMB No. 0960-0556). SSA reported a reduction of 1.9 million hours, because it was determined that the recordkeeping required by this collection is a normal business practice for pension fund managers and thus not subject to PRA approval. Schedule SSA is an IRS form filed annually with IRS by pension plan administrators as part of a larger series of pension plan documents, required by the IRS Code at 26 U.S.C. 6057.

- C *SSA-777 and SSA-7770, Annual Report of Earnings* (OMB No. 0960-0057). SSA eliminated this collection by eliminating the requirement for beneficiaries to file an annual report of earnings. SSA now accepts the W-2 report filed by the beneficiary with the Internal Revenue Service or income reported by the self-employed on their tax returns as the report of earnings. This change resulted in the elimination of 331,000 burden hours for approximately 1 million social security beneficiaries.

Increases

- C *Disability Forms, SSA-3373, Report of Function* (OMB No. 0960-0539) and *SSA-3370, Pain Questionnaire-Adult* (OMB No. 0960-0540). Sections 223(d)(5)(A) and 1631(e) of the Social Security Act require claimants to provide evidence to establish disability. This information was previously collected on forms SSA-3373 and SSA-3371 which were discontinued because of customer difficulties in completing them. SSA is developing new Federal forms, but has allowed the DDSs to use their own versions of the forms in the interim. The elimination of the Federal forms resulted in a decrease of 754,000 burden hours in FY 1998. However, an equivalent increase is included in OMB No. 0960-0555, Clearance of Information Collections Conducted by State Disability Determination Services (DDS) on Behalf of SSA, which is in the OMB clearance process.
- C *SS-5, Application for a Social Security Card* (OMB No. 0960-0066). The information collected on the SS-5 is used by SSA to assign each individual a Social Security Number in order to correctly identify an individual so that wages and self-employment income can be posted to the individual's record. The Taxpayer Relief Act of 1997 (P.L. 105-34) requires SSA to collect parents' SSNs as evidence for a minor child's SSN application. It also requires SSA to share parents' SSNs with the Department of Treasury for the purpose of administering the provisions of the Internal Revenue Code of 1986 as it relates to tax benefits based on support or residence of children. The additional questions required on the form SS-5 to collect parents' SSNs affect approximately 1 million respondents and has increased a total of 8,300 hours. Further, the overall increase in burden due to increased number of respondents is 275,000 hours.

Significant Changes in Information Collection Burden Planned for FY 1999

Decreases

- C *DDS Collections, Generic Clearance of Information Collections Conducted by State Disability Determination Services on Behalf of SSA* (OMB No. 0960-0555). The Consultative Exam Report (CER) and Medical Evidence of Record (MER) are used in the determination of disability. The Social Security Act provides that an individual has the responsibility to furnish medical evidence showing that he or she has a mental or physical impairment, and the severity of such impairment. SSA has changed the methodology for estimating the number of respondents for the CER and MER collections, which results in an overall decrease in the public reporting burden. SSA is now projecting the burden based on SSA budget estimates for reimbursing DDSs. Through this change, SSA has adjusted its burden downward by 800,000 hours.
- C *SSA-3881, Questionnaire for Children Claiming SSI Benefits* (OMB No. 0960-0499). SSA developed a new form, SSA 3820-BK (OMB No. 0960-0577), which eliminated the need to complete the SSA-3881-BK at the initial claim interview. The savings in burden hours for the SSA-3881-BK is realized through the incorporation of questions from the SSA-3881 into the SSA-3820. The information collected on form SSA-3881-BK is used by SSA to evaluate disability in children who

apply for SSI benefits. Form SSA-3881-BK will still be needed at the reconsideration and subsequent appeals of initial claims. However, the burden can be reduced by 423,000 hours.

- C *SSA-831, Disability Determination and Transmittal* (OMB No. 0960-0437). The information collected on form SSA-831 is used by SSA to document the DDS decision about whether an individual who applies for disability benefits is eligible for those benefits based on his or her alleged disability. SSA is projecting a decrease in the use of form SSA-831 due to the current strong economic atmosphere, which has resulted in a low national unemployment rate. For FY 1999, SSA projects a 96,300 burden hour reduction in the use of this form.

Increase

- C *SSA-832, Cessation or Continuance of Disability or Blindness* (OMB No. 0960-0443); *SSA-454, Report of Continuing Disability Interview* (OMB No. 0960-0072); *SSA-833, Determination and Transmittal -Title II* (OMB No. 0960-0442); and *SSA-455, Disability Update Report* (OMB No. 0960-0511). The Social Security Independence and Program Improvements Act of 1994 (P.L. 103-296), Personal Responsibility and Work Opportunity Reconciliation Act of 1996 (P.L. 104-193), Senior Citizen's Right to Work Act of 1996 (P.L. 104-121) and the Balanced Budget Act of 1997 (P.L. 105-33) provided for an increase in the yearly continuing disability reviews. This will result in increased use of the above captioned disability forms. Many of these reviews resulted in the claimant's benefits being terminated. By law, these claimants were entitled to a hearing before a disability hearing officer to review medical and other evidence to determine if the cessation was justified. This has resulted in an increase in the number of requests for hearing, and has generated an increase in the volume of information collected by these forms. Collectively these CDR forms account for an overall increase of 797,000 burden hours during FY 1998 and FY1999.

Significant Changes in Information Collection Burden Planned for FY 2000

Decreases

- C *Automated Systems Burden* (OMB No. 0960-NEW). SSA may achieve a 5 percent reduction for FY 2000 if anticipated reductions through SSA's automation of its claims and related systems are realized. SSA estimates a possible 5 percent saving in reporting burden among automated systems for Title II, Title XVI, Direct Deposit, and Representative Payees. SSA estimates that it eventually will collect somewhat over 95 percent of the pertinent information through the automated systems. The savings, however, are estimated and are not based on any studies. The burden calculations will be based on a survey of a sample of SSA field offices.
- C *Information Collections Conducted by State DDSs on Behalf of SSA* (OMB No. 0960-0555). In 1998, State DDSs began using their own versions of the SSA-3370 and SSA-3373 to collect information on pain and how a claimant's disability condition affects his/her ability to function. A copy of State versions of these forms are cleared under 0960-0555. In FY 2000, Federal forms will replace state versions of the SSA-3370 and SSA-3373, which will result in a decrease of 816,000 burden hours.
- C *SSA-3945, Work Activity Report—Continuing Disability* (OMB No. 0960-0108). By the end of FY 1999, SSA will eliminate the SSA-3945 by consolidating it with the SSA-821 (0960-0059). The Social Security Act authorizes SSA to collect evidence necessary to determine eligibility for disability. SSA will reduce its annual reporting burden by 105,000 hours with the elimination of the SSA-3945.

Increases

- C *SSA-3370, Symptoms Report and SSA-3373, Function Report -Adult* (OMB No. 0960-NEW); *SSA-3380, Function Report -Third Party* (OMB No. 0960-New). The Social Security Act requires claimants to provide evidence to establish disability. Specific information on pain and how a claimant's disabling condition affects his/her ability to function is used with other evidentiary information to make a disability determination. SSA is now developing new Federal forms to collect pain and function information, which are targeted for implementation in FY 2000. SSA is projecting an increase in its annual burden of approximately 994,000 hours for these forms. Currently, State DDSs are using their own versions of the SSA-3370 and SSA-3373 to collect the information (OMB No. 0960-0555). However, the Federal forms will replace state versions of the SSA-3370 and SSA-3373, which will result in an offsetting decrease in OMB No. 0960-0555, Clearance of Information Collections Conducted by State Disability Determination Services on Behalf of SSA (see below).
- C *SSA-833, Cessation or Continuance of Disability or Blindness Determination and Transmittal, Title II*, (OMB No. 0960-0442); *SSA-832, Cessation or Continuance of Disability or Blindness Determination and Transmittal, Title XVI*, (OMB No. 0960-0443); *SSA-454, Report of Continuing Disability Interview* (OMB No. 0960-0072); and *SSA-455, Disability Update Report* (0960-0511). The Social Security Act requires SSA to review the cases of current beneficiaries to determine their continuing eligibility to benefits, based on disability. The Social Security Independence and Program Improvements Act of 1994 (P.L. 103-296), Personal Responsibility and Work Opportunity Reconciliation Act of 1996 (P.L. 104-193), Senior Citizen's Right to Work Act of 1996 (P.L. 104-121) and the Balanced Budget Act of 1997 (P.L. 105-33) provided for increases in the number of Continuing Disability Reviews to be conducted. In addition, in March 1998, the Commissioner notified Congress and OMB that the 7-Year Continuing Disability Review (CDR) Plan had been revised. As a result, the new goals for were established to meet the Agency's commitment with respect to doing CDRs under both titles II and XVI of the Act, by the close of FY 2002. Many of these reviews resulted in the claimant's benefits being terminated. By law, these claimants are entitled to a hearing before a disability hearing officer to review medical and other evidence to determine if the cessation was justified. This has resulted in an increase in the number of requests for hearing, and has generated an increase in the number of reviews and redeterminations. Therefore, SSA anticipates an increase of 110,000 hours for these information collections.

Recent Statutes That Affect Information Collection Activities

The Social Security Independence and Program Improvements Act of 1994 (P.L. 103-296), Personal Responsibility and Work Opportunity Reconciliation Act of 1996 (P.L. 104-193), Senior Citizen's Right to Work Act of 1996 (P.L. 104-121) and the Balanced Budget Act of 1997 (P.L. 105-33) increased the burden of CDRs and redeterminations of children under OMB Nos. 0960-0072, -0442, -0443 and -0511 by 797,000 hours in FY 1998 and FY 1999 and is expected to increase the burden by 110,000 hours in FY 2000 .

As mentioned above, it is the statutory and regulatory requirements surrounding welfare reform and other legislation has made it difficult for SSA to achieve overall burden reductions.

- C The Senior Citizens Right to Work Act of 1996 (P.L. 104-121) provided for increased funding for Continuing Disability Reviews (CDRs) for fiscal years 1996 through 2002. Many of these reviews result in the claimant's benefits being terminated. By law, these claimants are entitled to a hearing to

review evidence to determine if the cessation was justified. This has resulted in an increase in the number of requests for hearing, and has generated an increase in the volume of information collected by the forms provide the needed evidence..

- C Personal Responsibility and Work Opportunity Reconciliation Act (P.L.104-193) enacted on August 22, 1996, established more stringent disability criteria for SSI child disability benefits, provided for disability redeterminations of certain SSI childhood and age-18 cases, and mandated CDRs within certain timeframes for many SSI childhood cases. (P.L. 105-33, enacted August 5, 1997, revised some of the timeframes mandated in P.L. 104-193, as shown below.) The welfare reform provisions include the following:
- N SSA must redetermine the eligibility of all Title XVI child disability beneficiaries whose eligibility might cease under the new provisions (i.e., whose disability was based on an individualized functional assessment (IFA), or on “maladaptive behavior”) using the new criteria established by P.L. 104-193. This leads to additional burden because eligibility needs to be redetermined through recontacting beneficiaries.
 - N SSA must perform CDRs:
 - P at least every three years for children whose impairments are likely to improve (or at the Commissioner's option, whose impairments are unlikely to improve);
 - P not later than 12 months after birth for children whose eligibility is based on low birth-weight (unless, at the time of the initial disability determination, the Commissioner determines the impairment is not expected to improve within 12 months after birth, and schedules a CDR at a later date – P.L. 105-33); and
 - P for all individuals eligible for SSI by reasons of disability in the month before attaining age 18, SSA must redetermine eligibility using the adult initial eligibility rules, during the 1-year period beginning on the individual's 18th birthday (or, in lieu of a CDR, whenever the Commissioner determines that an individual is subject to such a redetermination – P.L. 105-33).

Chapter 5. From Collection to Dissemination: How the Government Manages and Uses Information

The Paperwork Reduction Act provides a policy foundation for the management of government information throughout its entire life cycle. Agency information collection practices, which are the focus of chapter 4, represent the first step in this life cycle. Information in the possession of the government must be properly managed to ensure the fulfillment of agency mission, it is to be disseminated as appropriate to ensure an informed citizenry, and it must ultimately be archived or otherwise disposed of. The PRA and OMB Circular A-130 also recognize that emerging technologies, particularly the Internet and its World Wide Web are important tools in fulfilling these functions. This chapter examines the policies and agency practices associated with the post-collection aspects of the information life cycle, with particular emphasis on how and why the government actively disseminates its information. The first part focuses on the policies associated with information management. The second part describes agency practices in the area of information dissemination.

Sound scientific research, public health and safety, and the equitable collection and distribution of tax receipts are a few of the national priorities that depend on Federal information systems. In addition, the unique nature of information in a free society — Thomas Jefferson called it “the currency of democracy” — gives Government policies special importance.

Over the past decade, a broad consensus has developed in the United States that Government information is a public asset and a valuable national resource to be managed in accordance with the following principles. The Government should make information available to the public on timely and equitable terms. It is also necessary to foster the existing diversity of information sources, in which the private sector, along with state and local governments, libraries, and other entities, are significant partners. This means that the Government should not try to duplicate value-added information products produced by the private sector. Rather, Government should actively disseminate its information — particularly the raw content from which value-added products are created — at cost and not attempt to exert copyright-like controls or other restrictions.

These consensus principles are set forth in OMB Circular A-130.²⁷ The core information dissemination principles of OMB Circular A-130 are codified in the 1995 PRA, which directs OMB to develop and oversee implementation of policies that relate to Federal agency dissemination of information, regardless of form or format, and that will promote public access to public information including through the use of information technology. Agencies are to ensure the public timely and equal access to public information. Agencies are also charged with “encouraging a diversity of public and private sources for information based on public information.”

²⁷ “Management of Federal Information Resources,” 61 Fed. Reg. 6428 (daily ed., February 20, 1996).

Maximizing the Benefits of Government Information

Information is created, shared, and used by many entities. These include Federal agencies, for-profit information businesses, libraries and nonprofit organizations, state and local governments, and individuals. Each of these entities play varied but complementary roles.

In the United States, state, local, and tribal governments are partners of the Federal Government in the collection, processing, and dissemination of information. For example, state governments are the principal producers of information in the areas of health, welfare, education, labor markets, transportation, the environment, and criminal justice. The states supply the Federal Government with data on Temporary Assistance for Needy Families, Medicare, education, health, demographics, employment and labor market developments, and statistics used for census geography. National information resources are greatly enhanced through these cooperative efforts.

Another major player in this information partnership is the nonprofit sector, particularly libraries. They serve as critical links in the chain of information distribution. Located in nearly every community, libraries not only serve educational needs, but also form part of the nation's economic "safety net" by distributing information on various important Government health, welfare, and other services to those who need it.

The open and unrestricted availability of Government information has also assisted in the growth of a number of vibrant new industries. These industries contribute to the economic health of the nation by creating jobs and generating tax revenue. Here are a few examples:

- C A number of firms take Government-produced weather data and package it into various products, including commercial weather broadcasts. Indeed, there is now a nationwide cable weather television station bringing weather information to homes 24 hours a day. There is even a specific trade association in Washington, D.C. made up of commercial weather services firms.
- C Industrial productivity is enhanced by the growing number of specialized companies that take patent information from the Patent and Trademark Office (PTO) and package it in a variety of ways for various industries and that provide custom-tailored information products to manufacturers who want to keep abreast of developments in particular technologies. This improvement of dissemination initiatives by the PTO will help this segment of the information industry to improve their value-added information products.
- C Americans take for granted the maps they buy and use, whether for travel or for work. U.S. maps are largely derived from Government-produced geographic data bases. Indeed, one can now buy a privately manufactured CD-ROM product showing all the roads in the country, including the dirt roads in national parks and forests.
- C The now almost ubiquitous CD-ROM itself is perhaps the best example of the diversity principle at work. Today, CD-ROMs offer a wide range of services, from computer games to interactive encyclopedias. The U.S. CD-ROM manufacturing industry, by far the largest in the world, emerged largely because of the vast amount of copyright-free Government information that was available in the United States.

The information activities of governments, the for-profit sectors of the economy, and the volunteer community can and must coexist. Those information activities should be complementary, not competitive. There is more than enough room in the economy for all to play their respective roles.

The policy advocating a diversity of sources and channels of information is based on the reality that no one supplier can design modern information products to suit the needs of all users. Instead, market forces and entrepreneurial energy are crucial for determining user needs and for experimenting in the marketplace with different distribution and marketing techniques and different value-added features in order to satisfy those needs.

Elements of Federal Information Policy

The 1995 PRA established a broad mandate for agencies to perform their information activities in an efficient, effective, and economical manner. OMB Circular A-130 embodies the specific policies and practices for agencies to carry out the principles of the 1995 PRA. It focuses on the concept of the information life cycle, dealing with the creation and collection of information, through its use and dissemination, and ultimately to its disposition. The following sections highlight some of the major elements of the information life cycle and their related policies.

Information Management Planning. The first stage in managing the information life cycle is planning. This is the process of establishing a course of action to achieve desired results with available resources. Planners translate organizational missions into specific goals and, in turn, into measurable objectives.

The 1995 PRA embodies the concept of information resources management and the principle of information as an institutional resource that has both value and associated costs. Information resources management is a tool that managers use to achieve agency objectives. Information resources management is successful if it enables managers to achieve agency objectives efficiently and effectively.

Information resources management planning is an integral part of overall mission planning. Agencies need to plan from the outset for the steps in the information life cycle. When creating or collecting information, agencies must plan how they will:

- receive and process the information;
- use the information;
- protect its integrity;
- provide access to the information;
- disseminate it as appropriate;
- store and retrieve it; and
- dispose of it.

Electronic Information Collection. Circular A-130 articulates a basic assumption that modern information technology can help the Government provide better service to the public through improved management of Government programs. One potentially useful application of information technology is in the Government's collection of information. While some information collections may not be good candidates for electronic techniques, many are. Agencies with major electronic information collection programs have found that automated information collections allow them to meet program objectives more efficiently and effectively. Electronic data interchange (EDI) and related standards for the electronic exchange of information will ease transmission and processing of routine business transaction information

such as invoices, purchase orders, price information, bills of lading, health insurance claims, and other common commercial documents. These techniques hold similar promise for the routine filing of regulatory information such as tariffs, customs declarations, license applications, tax information, and environmental reports. Benefits to the public and agencies from electronic information collection appear substantial. Electronic methods of collection reduce paperwork burden, reduce errors, facilitate validation, and provide increased convenience and more timely receipt of benefits.

Records Management. Circular No. A-130 incorporates the fundamental requirement for Federal records management is that agencies create and keep adequate and proper documentation of their activities. Federal agencies cannot carry out their missions in a responsible and responsive manner without adequate record keeping.

Records support the immediate needs of Government -- administrative, legal, fiscal -- and ensure its continuity. Records are essential for protecting the rights and interests of the public and for monitoring the work of public servants. The Government needs records to ensure accountability to the public, which includes making information available to the public.

Each stage of the information life cycle carries with it records management responsibilities. Agencies need to record their plans, carefully document the content and procedures of information collection, ensure proper documentation as a feature of every information system, keep records of dissemination programs, and, finally, ensure that records of permanent value are preserved.

Preserving records for future generations is the archival mission. Advances in technology affect the amount of information that can be created and saved and the ways this information can be made available. Technological advances can thus ease the task of records management. The rapid pace of change in modern technology, however, makes decisions about the appropriate application of technology critical to records management. Increasingly, the records manager must be concerned with preserving valuable electronic records in the context of a constantly changing technological environment.

Information Dissemination Policy

Every agency has a responsibility to inform the public within the context of its activities. This responsibility requires that agencies distribute information at the agency's initiative, rather than merely responding when the public requests information.

The Freedom of Information Act (FOIA) requires each agency to publish in the Federal Register current descriptions of agency organization, where and how the public may obtain information, the general methods and procedural requirements by which agency functions are determined, rules of procedure, descriptions of forms and how to obtain them, substantive regulations, statements of general policy, and revisions to all the foregoing.²⁸ The Privacy Act also requires publication of information concerning "systems of records," which are records retrieved by individual identifier such as name, Social Security Number, or fingerprint.²⁹ The Government in the Sunshine Act requires agencies to publish meeting announcements.³⁰ The 1995 PRA requires agencies to publish notices when they submit information collection requests to OMB for approval. The public's right of access to Government information under these statutes is balanced against

²⁸ 5 U.S.C. 552(a)(1).

²⁹ 5 U.S.C. 552a.

³⁰ 5 U.S.C. 552b(e)(1).

other concerns, such as an individual's right to privacy and protection of the Government's deliberative process.

As agencies satisfy these requirements, they provide the public basic information about Government activities. Other statutes direct specific agencies to issue specific information dissemination products or to conduct information dissemination programs. Beyond generic and specific statutory requirements, agencies have responsibilities to disseminate information as a necessary part of performing their functions. For some agencies, the responsibility is made explicit and sweeping. The Agriculture Department, for example, is directed to "...diffuse among people of the United States, useful information on subjects connected with agriculture" ³¹ For other agencies, the responsibility may be much more narrowly drawn.

Information dissemination is also a consequence of other agency activities. Agency programs normally include an organized effort to inform the public about the program. Most agencies carry out programs that create or collect information with the explicit or implicit intent that the information will be made public. Disseminating information is, in many cases, the logical extension of information creation or collection.

In other cases, agencies may have information that is not meant for public dissemination but which may be the subject of requests from the public. When the agency establishes that there is public demand for the information and that it is in the public interest to disseminate the information, the agency may decide to disseminate it automatically.

OMB Circular A-130 sets forth several factors agencies must take into account in conducting their information dissemination programs. First, agencies must balance two goals, both of which are founded on the basic purposes of the 1995 PRA:

- C maximizing the usefulness of the information to the Government and the public, and
- C minimizing the cost to both.

These two goals are frequently in tension because increasing usefulness usually costs more. Second, agencies are to conduct information dissemination programs equitably and in a timely manner. This includes taking advantage of all dissemination channels, including recognizing the role of private sector entities in packaging and redisseminating Government information for various public uses.

An adjunct responsibility is the need to assist the public in finding Government information. Agencies may accomplish this, for example, by specifying and disseminating "locator" information, including information about content, format, uses and limitations, location, and means of access. This is the purpose of the developing Government Information Locator System (GILS).

Avoiding Improperly Restrictive Practices. Federal agencies are often the sole suppliers of the information they hold. The agencies have either created or collected the information using public funds, usually in furtherance of unique governmental functions, and no one else has it. Hence agencies need to take care that their behavior does not inappropriately constrain public access to Government information.

When agencies use private contractors to accomplish dissemination, they must take care that they do not permit contractors to impose restrictions that undercut the agencies' discharge of their information dissemination responsibilities. The contractual terms should assure that, with respect to dissemination, the

³¹ 7 U.S.C. 2201.

contractor behaves as though the contractor were the agency. For example, an agency practice of selling, through a contractor, on-line access to a database but refusing to sell copies of the database itself may be improperly restrictive because it precludes the possibility of another firm making the same service available to the public at a lower price. If an agency is willing to provide public access to a database, the agency should be willing to sell copies of the database itself.

By the same reasoning, agencies should behave in an even-handed manner in handling information dissemination products. If an agency is willing to sell a database or database services to some members of the public, the agency should sell the same products under similar terms to other members of the public, unless prohibited by statute. When an agency decides it has public policy reasons for offering different terms of sale to different groups in the public, the agency should provide a clear statement of the policy and its basis.

Agencies should not attempt to exert control over the secondary uses of their information dissemination products. In particular, agencies should not establish exclusive, restricted, or other distribution arrangements that interfere with timely and equitable availability of information dissemination products, and they should not charge fees or royalties for the resale or redissemination of Government information. These principles follow from the fact that the law prohibits the Government from exercising copyright.

Agencies should inform the public of any limitations inherent in the information dissemination products they provide (e.g., possibility of errors, degree of reliability, and validity) so that users are fully aware of the quality and integrity of the information. If circumstances warrant, an agency may wish to establish a procedure by which disseminators of the agency's information may at their option have the data and/or value-added processing checked for accuracy and certified by the agency. Using this method, redisseminators of the data would be able to respond to the demand for integrity from purchasers and users. This approach could be enhanced by the agency using its authority to trademark its information dissemination product, and requiring that redisseminators who wish to use the trademark agree to appropriate integrity procedures. These methods have the possibility of promoting diversity, user responsiveness, and efficiency as well as integrity. However, an agency's responsibility to protect against misuse of a Government information dissemination product does not extend to restricting or regulating how the public actually uses the information.

User Charges. Statutes such as the FOIA and the Government in the Sunshine Act establish a broad and general obligation on the part of Federal agencies to make Government information available to the public and to avoid erecting barriers that impede public access. User charges higher than the cost of dissemination may be a barrier to public access. The economic benefit to society is maximized when Government information is publicly disseminated at the cost of dissemination. Absent statutory requirements to the contrary, the general standard for user charges for Government information dissemination products should be to recover no more than the cost of dissemination. It should be noted in this connection that the Government has already incurred the costs of creating and processing the information for governmental purposes in order to carry out its mission.

Underpinning this standard is the FOIA fee structure that establishes limits on what agencies can charge for access to Federal records. That Act permits agencies to charge only the direct reasonable cost of search, reproduction and, in certain cases, review of requested records. In the case of FOIA requests for information dissemination products, charges would be limited to reasonable direct reproduction costs alone. No search would be needed to find the product, thus no search fees would be charged. Neither would the

record need to be reviewed to determine if it could be withheld under one of the Act's exemptions since the agency has already decided to release it. Thus, FOIA provides an information "safety net" for the public.

While OMB Circular A-130 does not prescribe procedures for pricing Government information dissemination products, the cost of dissemination may generally be thought of as the sum of all costs specifically associated with preparing a product for dissemination and actually disseminating it to the public. When an agency prepares an information product for its own internal use, costs associated with such production would not generally be recoverable as user charges on subsequent dissemination. When the agency prepares the product for public dissemination, and disseminates it, costs associated with preparation and actual dissemination would be recoverable as user charges.

In the case of Government databases that are made available to the public on-line, the costs associated with initial database development, including the costs of the necessary hardware and software, would not be included in the cost of dissemination. Once a decision is made to disseminate the data, additional costs logically associated with dissemination can be included in the user fee. These may include costs associated with modification of the database to make it suitable for dissemination, any hardware or software enhancements necessary for dissemination, and costs associated with providing customer service or telecommunications capacity.

In the case of information disseminated via CD-ROM, the costs associated with initial database development would likewise not be included in the cost of dissemination. However, the costs associated with formatting the data for CD-ROM dissemination and the costs of mastering the CD-ROM, could logically be included as part of the dissemination cost, as would the cost associated with licensing appropriate search software.

Determining the appropriate user fee is the responsibility of each agency, and involves the exercise of judgment and reliance on reasonable estimates. Agencies should be able to explain how they establish user fees that represent average prices and can be expected to recover the costs associated with dissemination, given the likely demand for the product.

When agencies customize information services for specific individuals or groups, full cost recovery, including the cost of collection and processing, is appropriate. For example, if an agency prepares special tabulations or similar services from its databases to answer a specific request from the public, all costs associated with fulfilling the request would be charged and the requester would be so informed before work is begun.

Agencies must balance the requirement to establish user charges and the level of fees charged against other policies, specifically, the proper performance of agency functions and the need to ensure that information dissemination products reach the public for whom they are intended. If an agency mission includes disseminating information to certain specific groups or members of the public and the agency determines that user charges will constitute a significant barrier to carrying out this responsibility, the agency may have grounds for reducing or eliminating its user charges for the information dissemination product, or for exempting some recipients from the charge. Such reductions or eliminations should be the subject of agency determinations on a case-by-case basis and justified in terms of agency policies.

Electronic Information Dissemination. Advances in information technology have changed Government information dissemination. Agencies now have available new media and formats for dissemination,

including CD-ROM and public networks. For example, the use of electronic bulletin boards to advertise Federal contracting opportunities and to receive vendor quotes has achieved wider dissemination of information about business opportunities with the Government than has been the case with traditional notices and advertisements. In addition, the development of public electronic information networks, such as the Internet, provides an additional way for agencies to increase the diversity of information sources available to the public. Emerging applications such as the World-Wide Web are being used increasingly to facilitate dissemination of Government information such as environmental data, international trade information, and economic statistics in a networked environment.

A basic purpose of the 1995 PRA is to “provide for the dissemination of public information on a timely basis, on equitable terms, and in a manner that promotes the utility of the information to the public and makes effective use of information technology.” (44 U.S.C. 3501(7)) Agencies can frequently enhance the value, practical utility, and timeliness of Government information as a national resource by disseminating information in electronic media. Electronic collection and dissemination may substantially increase the usefulness of Government information dissemination products for three reasons:

- First, information disseminated electronically is likely to be more timely and accurate because it does not require data re-entry.
- Second, electronic records often contain more complete and current information because, unlike paper, it is relatively easy to make frequent changes.
- Third, because electronic information is more easily manipulated by the user and can be tailored to a wide variety of needs, electronic information dissemination products are more useful to the recipients.

Agencies can frequently make Government information more accessible to the public and enhance the utility of Government information as a national resource by disseminating information in electronic media. Agencies generally do not use data in raw form. Rather, they edit, refine, and organize the data to make it more accessible and useful for their own purposes. Information is made more accessible to users by aggregating data into logical groupings, tagging data with descriptive and other identifiers, and developing indexing and retrieval systems to facilitate access to particular data within a larger file. As a general matter, and subject to budgetary, security, or legal constraints, agencies should make available such features developed for internal agency use as part of their information dissemination products.

There will also be situations in which an agency determines that its mission will be furthered by providing enhancements beyond those needed for its own use, particularly those that will improve the public availability of Government information over the long term. In these instances, the agency should evaluate the expected usefulness of the enhanced information in light of its mission, and, where appropriate, construct partnerships with the private sector to add these elements of value. This approach may be particularly appropriate as part of a strategy to utilize new technology enhancements, such as graphic images, as part of a particular dissemination program.

Information Safeguards

OMB Circular A-130 also recognizes that agencies should provide an appropriate level of protection to Government information, based on an assessment of the risks associated with its maintenance and use. Among the factors to be considered include meeting the specific requirements of the Privacy Act and the Computer Security Act.

In particular, agencies are to ensure that they meet the requirements of the Privacy Act regarding information retrievable by individual identifier. Such information is to be collected, maintained, and protected to preclude intrusion into the privacy of individuals and the unwarranted disclosure of personal information. Individuals must be accorded access and amendment rights to records, as provided in the Privacy Act. To the extent that agencies share information which they have a continuing obligation to protect, agencies should see that appropriate safeguards are instituted.

Also, the Computer Security Act requires that agencies plan to secure their systems commensurate with the risk and magnitude of loss or harm that could result from the loss, misuse, or unauthorized access to information contained in those systems. It includes assuring the integrity, availability, and appropriate confidentiality of information. It also involves protection against any potential harm to individuals or entities inside or outside of the Federal Government. OMB Circular A-130 prescribes a minimum set of controls to be included in Federal automated information resources security programs and assigns Federal agency responsibilities for the security of automated information resources. It also includes limits on collecting and sharing information and procedures to assure the integrity of information as well as requirements to adequately secure the information.

Agency Reports of Progress

Given the importance of these broad policies related to information resources management and, in particular, agency efforts to disseminate information, OMB requested agencies to describe their activities in this area. OMB Bulletin 98-09, "Fiscal Year 1999 Information Collection Budget" (September 17, 1998) instructed agencies to provide the following information:

How does your agency manage the dissemination of information, as required by OMB Circular A-130? Describe your agency's progress in implementing the Government Information Locator System. Provide examples of your more important dissemination initiatives and how the information provided benefits the public.

In response to this request for information, the agencies provided descriptions of their information dissemination activities. What follows is a summary of these agency descriptions.

Department of Agriculture

<www.usda.gov>

The U.S. Department of Agriculture (USDA) makes a concerted effort to disseminate information to the public on all of USDA's systems and programs through paper-based and electronic formats. The National Agricultural Library, with over two million volumes and a leadership role in information services and technology applications, is a significant resource to the public and is one of the world's largest and most accessible agricultural research libraries.

USDA also contributes on an ongoing basis to the GILS. The records in this data base represent the information systems of the USDA organizations and were created by these organizations to foster public access to their systems. There are currently 18 USDA agencies represented in the GILS data base, which consists of 170 individual data files containing information about USDA agency information systems.

USDA's use of the Internet continues to grow and an increasing number of uses for publicizing information about agency programs and initiatives are being implemented. The Internet, for example, is used not only to provide information on programs, but as a means of soliciting information from the public and conducting day-to-day business.

Department of Commerce

<www.doc.gov>

Information is the Department of Commerce's primary product. This mission is accomplished, in large part, by collecting and providing information on international trade, scientific and technological advancements, the Earth's physical environment and oceanic resources, patents and trademarks, demographic and economic conditions, domestic economic development, minority business entrepreneurs, and telecommunications. The Commerce Department has a responsibility, and in many cases a requirement, to actively share this information with the public through various and decentralized dissemination programs. Indeed, mission attainment depends on the accurate and timely dissemination of information to the public.

Coupling cutting-edge science and technology programs and initiatives with the development and maintenance of an unrivaled information base is an important element in fulfilling the Department's mission. The Department's bureaus collect and disseminate information to American businesses and the American public. This, in turn, strengthens our economic presence world-wide and improves living standards for all Americans. This vital information is used to stimulate and protect American innovation and ingenuity, deliver government information, provide vital data for public and private analytical purposes, assure the basis for the U.S. measurement and standards in commerce and industry, and provide preventive warning and information systems which save lives and property.

As a strong supporter of OMB Circular A-130, the Department has long recognized the importance of electronic information dissemination activities to meet the needs of its customers. Commerce electronic information dissemination policy assigns the Department's bureaus with the responsibility for planning for the effective and efficient uses of information. This decentralized approach allows dissemination efforts to be directly integrated into program activities. The Department is making every effort to use the Internet and CD-ROM technology to provide information in a cost-effective manner. It also continues to make use of Federal Depository Libraries and the Government Printing Office for distribution of some materials. Many of DOC's products and services are part of the Department's Government and Information Locator System records. Below is a small sampling of its efforts.

The **Economics and Statistics Administration's STAT-USA/Internet** consists of two primary components: (1) **State of the Nation**, which is used to convey information and health of the U.S. economy; (2) **GLOBUS** (Global Business Opportunities Service) and the **National Trade Data Bank**, which are used to convey a comprehensive collection of export promotion information produced from all U.S. Government agencies.

The **Census Bureau**, recognizing that government information is a vital national good, has a large dissemination program. In the near future, Census will unveil its Internet-based **American FactFinder** system that will provide quick and easy access to the results of the 1997 Economic Census and eventually to the results of Census 2000.

Both **Census** and **Bureau of Economic Analysis** participate in the multi-agency **FedStats** project which provides a single point of contact for locating statistical information for 70 agencies. Census maintains the **FedStats** system information server.

The **National Institute of Standards and Technology's Standard Reference Database** series which includes over 60 electronic databases in chemistry, physics, materials, building and fire research, etc. Electronic access provides easier dissemination of data needed by scientists and engineers.

The **National Oceanic and Atmospheric Administration** is most known for the National Weather Service (NWS) and its issuance of forecasts and warnings. The **NOAA Weather Wire Service** is a satellite communications system that transmits NWS weather forecasts, warnings, and other products directly to external users who have obtained the necessary receiving equipment. The **NOAA Weather Radio** is a nationwide network of VHF-FM radio transmitters which provide voice broadcasts of weather forecasts and warnings. **NEXRAD Information Dissemination System** provides users with Doppler weather surveillance data from the radar systems.

The **National Technical Information Service** is well known for its **FedWorld** on-line information network. It is recognized as the primary source for scientific, technical, engineering and other business-related information produced by the government.

At the heart of the **Patent and Trademark Office** are the copies of the patents and trademarks. PTO has a large automation project underway which will take advantage of the Internet. For example, the **Web Trademark Database** contains the bibliographic data and full text of all registered trademarks and pending trademark applications. PTO is also establishing a **Web Patent Database** that will contain the full text and document images for all patents issued from 1976 to present. The trademark and patent databases will contain 20 million pages of information. This information is essential for those wishing to apply for a patent or a trademark.

Department of Defense
<www.defenselink.mil>

Shortly after issuance of OMB Bulletin 95-01, "Establishment of Government Information Locator Service," the Department of Defense (DOD) began to develop a World-Wide Web-based GILS. This development was integrated with implementation of the Defense Department's web information service, DefenseLINK, which the Office of the Assistant Secretary of Defense for Public Affairs (OASDA(PA)) manages. The GILS system currently resides on the DefenseLINK, which provides a single entry point for the public to access defense information.

The DOD policy on GILS is formalized in a memorandum from the Deputy Secretary of Defense, dated September 2, 1995. The memorandum sets forth responsibilities and establishes an order of priority for completing GILS records, beginning with websites and major publications. This memorandum and other GILS documents are available on DefenseLINK <www.defenselink.mil>. Click on "Questions" and then "About DefenseLINK." Most recently, GILS has been integrated into the new web policy, which has been expanded to address significant web security issues. The policy requires the release authority be identified and that the authority certify in the GILS record that the web site meets the requirements of the new policy.

GILS again played an important role when DOD was determining the best way to make FOIA records available through electronic means. By adding a new category for GILS record submission and a means to search GILS records, the GILS system permitted registration of FOIA documents that were being made available on-line.

The World Wide Web offered an opportunity to implement GILS in a distributed fashion, providing document originators with the means to create GILS records remotely and conveniently. In turn, GILS provided a mechanism for the Department to: (1) ensure the proper release of defense information through publicly accessible web information services by identifying and validating the release authority associated with information, and (2) create a public index of available information.

To complete a GILS record, the user goes to an on-line form on DefenseLINK under "Search." The user first chooses the type of document being registered. A special form is used for web sites, and the information collected is used both to create the GILS records and register the site with the appropriate public affairs office.

A DefenseLINK user is given several means to search for information. One choice is the use of GILS. The user can browse the GILS records, or enter search text. The search text method returns the title of each matched GILS record, and the GILS record in turn provides a live link to the document if it is on-line. If the DefenseLINK user searches via the general search entry field, the returned information identifies not only the full-text matches, but shows how many GILS records were found, and lists each one.

There are over 1,000 GILS records in the DOD GILS system and there were about 250,000 accesses to the system during 1998. OASD(PA) is working with the Services to integrate their registration systems with GILS. The Air Force system is already integrated.

Department of Education

<www.ed.gov>

The Government Information Locator Service (GILS) is accessible through the web home page of the Department of Education (ED) and is updated as needed. GILS lists the agency's major automated information systems and describes them according to GILS guidance. GILS also has records about the ED Privacy Act Systems, the Education Publication Center (ED Pubs), and the Database of ED Publications in the Education Resources Information Center (ERIC). Each GILS record contains a linked e-mail contact.

One-Stop Shop for ED Information Products. ED operates the Education Publications Center (ED Pubs), which has the responsibility as the one-stop shop for disseminating ED's information products. The National Library of Education within the Office of Educational Research and Improvement is responsible for the management and oversight of this center.

ED Pubs staff perform the following tasks:

- C responding to requests for ED publications that come by toll-free phone call, mail, fax, or e-mail;
- C receiving and storing ED publications, videos, CD-ROMS, posters, bookmarks, announcements, and other products;
- C mailing bulk quantities of student financial aid materials;

- C maintaining mailing lists for ED;
- C fulfilling individual, bulk and mass mailing publication requests from ED staff and the general public;
- C maintaining a database of all ED-produced information products;
- C conducting marketing activities including a User's Guide to ED Pubs and catalogs for ED products;
- C providing an electronic file of the publications database to populate an online catalog on the ED web site; and
- C shipping materials to conferences and other ED events.

There is a GILS record describing ED Pubs on the Department's website: <www.ed.gov/databases/gils>.

Information Dissemination through ED's Web Site. The ED web site <www.ed.gov> currently includes more than 20,000 files and databases containing thousands of records. The website receives an estimated one million visits per month and was recently cited in a survey of Internet use in schools as the website most used by teachers.

One of ED's publications, the *Guide to ED Programs and Resources* <web99.ed.gov/GTEP/Program2.nsf>, has adopted an innovative production approach that uses distributed network-based database updating and groupware processes to involve all ED program offices in maintaining a monthly up-to-date version on the Internet. As a result, the Guide is more complete, accurate, and timely than it ever could be as a traditionally produced annual print publication.

ED has sponsored several successful efforts to build websites that provide authoritative, value-added entry points to information and services on particular topics or for particular target audiences. These sites are not merely electronic publishing outlets for their host organizations. The site managers select high-quality content, organize, and present it in ways designed to help customers understand issues, identify sources of assistance, and make well-informed decisions. Two examples are:

- C **Pathways to School Improvement** <www.ncrel.org/sdrs/pathwayg.htm> offers easy-to-find, concise, research-based information on school improvement. The Pathways server provides information on a variety of categories, including Assessment, At-Risk Children and Youth, Goals and Standards, Governance/Management, Leadership, Learning, Literacy, Mathematics, Parent and Family Involvement, Professional Development, Safe and Drug-Free Schools, School-to-Work transition, Science, and Technology.
- C The **National Parent Information Network (NPIN)** <www.npin.org> provides: (1) information for parents and those who work with them through a web site operated by the project and (2) an Internet-based question-answering service through PARENTS AskERIC (a division of the AskERIC) on topics related to parenting, child development, child care, and education; and operates a listserv for parents called PARENTING-L.

ED also sponsors several projects intended to facilitate access to education information across hundreds of websites. Among these are:

- C The **Cross-Site Index (CSI)** <www.search.ed.gov/csi/> uses Ultraseek, a consistently top-rated search engine, to provide ED's customers access to approximately 250,000 items across approximately 300 education-specific web sites sponsored by ED and other Federal agencies.

- C **Topics A-Z** <www.ed.gov/topicsaz/> uses the familiar format of an alphabetical index to provide customers convenient access to the best starting points to find information about several hundred topics on ED's website and other ED-funded websites. A professional librarian maintains the list.
- C The **Federal Resources for Educational Excellence (FREE)** <www.ed.gov/free> is a web site that makes hundreds of teaching and learning resources from across the Federal Government available in one place.
- C The **Gateway to Educational Materials (GEM)** <www.thegateway.org> and <www.geminfo.org> is a standard way of describing and finding education resources distributed across numerous Internet sites. GEM has developed specifications for an education-specific meta-data profile and controlled vocabularies, a set of tools to apply and use the profile, and The Gateway, a master database that currently contains more than 3,000 resources from 40 sites. The GEM Consortium includes such organizations as the National Education Association, Microsoft Encarta, the American Association of School Librarians, the Library of Congress, the North Carolina Department of Public Instruction, and the Smithsonian Office of Education, Department of Education, and others.

In addition, ED sponsors a number of reference and referral data bases to help customers identify and locate organizations, programs, services, and individual experts that can provide information on technical assistance in a particular topical or geographical area. Two examples are:

- C The **Education Resource Organizations Directory (EROD)** <www.ed.gov/BASISDB/EROD/direct/SF> is used by thousands of customers each month to identify organizational sources of education information and technical assistance that serve their states and can help them with a particular topic. The database includes more than 2,100 national, regional, and state-level organizations that provide education information or technical assistance. It provides a single authoritative source for the many lists of ED-funded and state organizations that appear on the ED web site.
- C The **National Center for Education Statistics (NCES)** <nces.ed.gov/ncestaff/> and <nces.ed.gov/pubsearch/> has cross-referenced its staff, survey, and publication directories so that a customer who locates a publication of interest can then find the survey itself and the staff who produced it.

One ED-funded program, **ERIC**, has extensive experience in Internet-based question answering. For over five years, the ERIC Clearinghouse on Information & Technology has run **AskERIC** <www.askeric.org>, an award-winning distributed Q&A Service for K-12 education. AskERIC Q&A Service involves more than 20 ERIC and other expert organizations in a distributed system that answers education questions from educators and others. AskERIC information specialists, drawing on the vast resources and expertise of the ERIC System, respond with ERIC database searches, ERIC Digests, and Internet resources to more than 50,000 questions per year. The AskERIC Virtual Library is an Internet site of selected resources for education and general interest. Q&A Trends drive the development of the Virtual Library. The AskERIC Research and Development team was formed so that AskERIC could continue to utilize cutting edge technology to provide high quality service to the education community.

The **Virtual Reference Desk (VRD)** <www.vrd.org> is an R&D project designed to address the emerging need for a national cooperative digital reference service to coordinate participants in the growing field of

on-line question answering services, a field in which AskERIC is preeminent but in which no single service will be able to meet the demand anticipated as the E-Rate (discounted Internet rates for education) helps bring thousands of schools, teachers, and students onto the Internet in the next several years. VRD offers a strong model for distributed customer service Q&As by ED offices and ED-funded institutions. The includes the capture of all questions and answers in a data repository, as well as analysis and data mining of that repository.

EDInfo <www.ed.gov/MailingLists/> is an email-based service that each week provides 2-3 messages on ED reports, updates, and funding opportunities to more than 12,500 direct subscribers and many “pass along” readers.

Department of Energy
<www.doe.gov>

The Department of Energy maintains a management system for all of its information dissemination products.

The Energy Information Administration’s (EIA) Review Processes and Dissemination Efforts. All prospective EIA information products and services undergo a rigorous internal review to determine whether they meet the criteria established in the strategic plan. Special committees on analysis and data requirements set a yearly publishing agenda, taking into account legislative and customer requirements and the adequacy of information already available from other sources. Then, once prepared, products undergo internal and external peer review to assure quality.

EIA maintains inventories of all information dissemination products on its fully searchable website (organized by subject matter bookshelves) and quarterly CD-ROM product, the *Energy InfoDisc*. An annual inventory of printed products (*EIA Publications Directory*) is also published. Additional aids in locating information dissemination products include an automatic electronic document distribution service (listserve), featuring new releases notification, and fully compliant GILS records. The GILS service will be augmented in 1999 with a fully accessible, one-stop registry of all EIA information dissemination products irrespective of location or medium. The new releases service will be expanded to include notification about all EIA information dissemination products and services, irrespective of location or medium. EIA’s National Energy Information Center continues to respond to e-mail, telephone, letter, and walk-in requests for assistance in locating energy information. In EIA’s *Publishing Style Guide*, a requirement exists that every table or figure in an EIA publication be accompanied by a source, whether EIA or an outside agency.

EIA also ensures access to information by members of the public with disabilities. The National Energy Information Center provides information in alternate formats, including Braille, upon request. The information center is fully wheelchair-accessible and can be contacted via telephone, e-mail, or Telecommunications Device for the Deaf (TDD).

Important Initiatives and Public Benefit. One of EIA’s major information dissemination initiatives continues to be objective contributions to the policy development process and therefore to public understanding and sound policy decisions. Two recent examples:

- As the restructuring of the electricity power industry has moved to the front of the energy debate, EIA information on how the industry works has been presented to several congressional audiences, including testimony before the House Energy and Power Subcommittee. The brochure, *The Restructuring of the Electric Power Industry - A Capsule of Issues and Events*, has had wide Internet and paper dissemination.
- A study on the cost and economic impact of proposed reductions in greenhouse gas emissions called for in the Kyoto Protocol was requested by House Science Committee. The report was presented to the committee and subsequently released to the public. In addition to the report itself, which was lengthy and highly detailed, EIA prepared a summary companion volume for wide public distribution entitled, *What Does the Kyoto Protocol Mean to U.S. Energy Markets and the U.S. Economy?*

Moreover, EIA has dramatically increased its customer base through an aggressive program to expand dissemination of its information products, both electronically and through the news media. The increased use of electronic (Internet, CD-ROM, and listserve) technology for product dissemination has led to an explosive growth in product distribution. In 1998 alone, monthly file downloads from EIA's Internet website increased from 600,000 to 1.2 million, and monthly Internet sessions increased from 100,000 to 250,000.

Department of Health and Human Services

<www.hhs.gov>

Agencies within the Department of Health and Human Services (HHS) manage the dissemination of information in a variety of ways:

The Administration for Children and Families (ACF). ACF provides GILS "Cards" (ascii text files) to HHS, which incorporates the data on its website for public access. Six cards have been provided for each of ACF's most prominent and largest systems, which generate the greatest public interest. Three of the systems represented are from the Office of Child Support Enforcement:

- Federal Parent Locator System (FPLS),
- Project 1099, and
- Tax Refund Offset System.

The other systems are:

- Adoption and Foster Care Reporting System (AFCARS),
- Head Start Program Information Report (HSPiR), and
- National Center for Abuse and Neglect Data System (NCANDS).

The ACF contact receives calls and requests for information, which are either handled immediately or referred to the program office for fuller response. In FY 1998, ACF updated the information on two of the systems. The remaining four are in the process of being updated.

The Agency for Health Care and Policy Research (AHCPR). The Agency has a well-developed dissemination system that incorporates the use of the AHCPR Publications Clearinghouse and its Web site. AHCPR creates a GILS record for each information product it develops. GILS records are loaded to the

AHCPR website and submitted to the HHS GILS administrator, as required. Other sources of dissemination are presentations, the AHCPR newsletter, *Research Activities*, data tapes, and CDs and through the Government Printing Office (GPO). The Medical Expenditure Panel Survey (MEPS) data was available on public use tapes in 1997. MEPS data will also be used in a series of studies to be published by AHCPR researchers and other research publications in the scientific literature.

The Administration on Aging (AoA). AoA is listed on the White House website under the topic of aging, which is linked directly to the AoA website. The AoA also is listed under Federal agencies on the Government Information Exchange website.

The AoA website lists the National Aging Information Center (NAIC), which is geared to professionals in the field of aging, providing information and referrals on topics related to aging. The AoA website also lists the consumer-oriented National Eldercare Locator. Operators can provide older persons and their families with information about benefits and services, as well as the number of the designated Area Agency on Aging serving the older person's community. In addition, the AoA website provides information geared specifically to various target audiences and provides links to other useful websites dealing with aging and related subject areas.

The AoA disseminated fact sheets that can be used by both professionals and the general public to gain access to services and assistance, as well as additional information on a number of vital issues, including elder abuse, housing, transportation, nutrition, health promotion, employment, and voluntarism. The AoA also displays *The AoA Update* on its website. This newsletter provides information about innovative programs at the state and local levels and developments at the Federal level that impact or are useful to members of the aging network.

The Centers for Disease Control and Prevention (CDC). CDC implemented GILS pursuant OMB Circular A-130 and OMB Bulletin 95-01, under the Department of Health and Human Services umbrella. Currently, CDC has 28 locator records of information dissemination products in GILS. CDC has surveyed its components and created an inventory of its automated information systems. CDC is in the planning phase to augment GILS with the results of the survey.

Food and Drug Administration (FDA). FDA's information dissemination services play a critical role in promoting and protecting public health by informing consumers of the safety and effectiveness of regulated products, the accuracy of product labeling, and compliance with Federal laws and FDA regulations. FDA's various information dissemination mechanisms properly direct industries to pertinent laws, FDA regulations, and compliance guidance manuals.

FDA accomplishes information dissemination in a variety of ways. In FY 1998, an emphasis was placed on improving the quality of information locator records residing at the FDA GILS website via the HHS GILS website. This included providing consumers with information on how FDA performs its regulatory functions and adding information locator records on various compliance guidance manuals in Agency core mission areas. In addition, out-of-date locator records have been removed from the site. The FDA GILS website is linked via the FDA Internet (e.g. Electronic Reading Room) and from the GPO Access.

FDA actively takes advantage of Internet and Intranet services on the World-Wide Web. The FDA website contains industry guidance documents, drug/product approvals, health warnings, and other public information that are accessible to FDA regulated industries and consumers. The FDA Intranet is a means

for FDA to disseminate regulatory and administrative information to reviewers, investigators, and employees. As consumers continue to rely upon the FDA website, FDA has expanded Internet/Intranet programs into the FDA's core business functions. For example, FDA has made most of the public-use forms available on the Internet. This initiative streamlined unnecessary manual reporting processes performed both by the agency and the public.

The Health Care Financing Administration (HCFA). HCFA has in place an extensive system for disseminating information to the public. Information about HCFA's programs is provided to beneficiaries through publications, radio and television public service announcements, and the agency's websites. Publications and other appropriate information are routinely posted on the websites, and this medium is evolving as one of the more important information dissemination vehicles for the agency. Another important information dissemination initiative is the Plain Language in Government effort. This initiative was announced by the President in June 1998. HCFA has moved forward aggressively to implement an action plan to comply with the President's directive.

HCFA's reorganization in 1997 created a focal point within the agency for communication strategies and standards. HCFA's Office of Communications and Operations Support is responsible for continuously developing strategies to improve the quality and usefulness of information dissemination activities. HCFA has also developed its portion of the GILS in accordance with the HHS guidelines.

The Health Resources and Services Administration (HRSA). HRSA's Office of Communications provides leadership and general policy and program direction for HRSA and conducts and coordinates its communications and public affairs activities. This Office serves as a focal point for coordination of HRSA communications activities with those of other health agencies within the HHS, and with field, State, local, voluntary, and professional organizations. Other activities include (1) the development and implementation of policies and procedures related to external media relations and internal employee communications, including those for the development, review, processing, and (2) dissemination of HRSA communications materials, including exhibits and those disseminated electronically.

The HRSA website has made available to the public a wide variety of products: catalogs, publications, articles, news briefs, fact sheets, news releases, grant information, resource guides, contract information, executive summaries, and other program materials. Most items can be downloaded from the Internet, viewed, and printed. This website also provides for individuals to the GILS, which can provide further assistance in obtaining HRSA documents.

The Substance Abuse and Mental Health Services Administration (SAMHSA). SAMHSA has six major information dissemination management programs, the first two of which have entries in the GILS:

- **The National Clearinghouse for Alcohol and Drug Information (NCADI)** has become the largest information source in the world on preventing, intervening, and treating alcohol and drug problems. NCADI offers a wide variety of services to the public, most free of charge, including an Information Services Department, Library, Prevention Pipeline magazine subscriptions, and PREVline electronic communication system via the Internet. The Information Services Department responds to alcohol and substance abuse inquiries by telephone, e-mail, postal mail, TDD, and fax. Requesters may place publication orders, speak to an information specialist, request literature searches, and obtain referrals to other organizations and crisis/suicide hot lines located throughout the U.S. The NCADI Library, located in Rockville, Maryland, is free and open to the public. Prevention Pipeline offers current,

comprehensive information about preventing substance abuse problems. The PREVline National Substance Abuse Web Index (NSAWI) provides the public with an electronic library indexing function for searching the contents of the most authoritative web sites in relation to substance abuse prevention and treatment. Information on illicit drugs, alcohol, and tobacco are provided in these websites.

- **The National Mental Health Services' Knowledge Exchange Network (KEN)** provides information about mental health via toll-free telephone services, an electronic bulletin board, and publications. KEN staff direct callers to Federal, State, and local organizations dedicated to treating and preventing mental illness. Through KEN, people can access a publications list or order articles, booklets, fact sheets, and videos on issues that affect consumers of mental health services. KEN also has information on Federal grants, conferences, and other events. KEN is online with a toll-free electronic bulletin board. Users can network with others, join discussions on mental health, and search KEN's library of information files.
- **The Substance Abuse and Mental Health Data Archive (SAMHDA)** provides ready access to substance abuse and mental health research data and promotes sharing of these data among researchers, academics, policy makers, service providers, and others, thereby increasing the use of the data in understanding and assessing substance abuse and mental health problems and the impact of related treatment systems. The data archive is also intended to expand the variety of media on which data are available and ensure that data are in user friendly format. The project involves archiving data, establishing a website as a vehicle for making the data and other substance abuse and mental health research information publicly available, and providing training in the use of the data. Some of the data acquired and archived under SAMHDA have never been before been publicly distributed. Data files, documentation, and reports are downloadable from the website and in public use format. The website features an on-line data analysis system that allows users to conduct analyses on selected datasets within the archive. A user support help line is also available.
- **The SAMHSA Website** <www.samhsa.gov> provides convenient public access to information on SAMHSA's programs, employment opportunities, grants, contracts, statistics, news releases, and employment opportunities. Selected areas on the SAMHSA webserver can be searched. Every word in each text file and HTML page has been indexed. A search can be performed on the entire server or within a specific area/topic.
- **The Center for Substance Abuse (CSAP) Workplace Help line**, a toll-free telephone consulting service at 1-800-967-5752, provides help to private sector employers, labor unions, and community-based substance abuse programs on how to implement substance abuse prevention and intervention programs and strategies that will reduce or eliminate alcohol and drug abuse in the workplace. Publications are also available.
- **The Treatment Improvement Exchange (TIE)** provides an Internet information exchange between the Center for Substance Abuse Treatment (CSAT) and State and local alcohol and substance abuse agencies. Internet links are provided to CSAT publications and resources, including technical assistance, block grant applications, statistics, and links to State information, other Federal online resources, and private online resources.

Department of Housing and Urban Development
<www.hud.gov>

The Department of Housing and Urban Development (HUD) disseminates an enormous amount of information over the internet via HUD's home page. Additionally, HUD provides eight information clearinghouses accessible through the Internet or by toll-free phone numbers. The public can also access document-ordering services at HUD's website or via a toll-free phone number (1-800-767-7468). HUD will also make available data from its planned Information Collection Budget Tracking system. HUD's portion of the GILS is a simple search system accessible from the HUD Home and from GILS Online via GPO Access. HUD is reviewing ways to make more information accessible from HUD GILS.

Department of the Interior
<www.doi.gov>

As defined in OMB Circular A-130, an information dissemination management system is composed of a number of characteristics. These characteristics of the Department of the Interior's information dissemination management system are described below.

- C **Assure that information dissemination products distributed to the public are necessary for proper performance of agency functions.** The budget process includes full review of bureau and office budget activities and initiatives by the Office of Information Resources Management Desk Officers. These and other review officials ensure that information technology budgets accurately represent management priorities and align properly with bureau and office budget proposals. In addition, Interior's planning committees operate as cross-cutting organizations and function as a check and balance system for information-based initiatives to ensure that investments in information dissemination products and related activities are appropriate to organizational purposes and missions.
- C **Consider whether information dissemination products available from other organizations fills the responsibilities of the Department.** The Department is heavily involved in interagency committees. Through these communications links and extensive use of Internet technology the Department is able to identify and address potential redundancies in data collection and dissemination products and activities. In some case the Department has established working agreements with other agencies to leverage resources and streamline operations.
- C **Develop information locator systems and services.** The Department has implemented DOIGILS as its link to the GILS and made it available via the Internet through both its home page and the GPO ACCESS system. The data base was updated during FY 1998 and the server hardware and software systems that support the locator were upgraded. In addition, DOIGILS is linked to, and in many cases combined with, other information catalogs and index services. DOIGILS is supported by off-the-shelf software packages.
- C **Establish and maintain an inventory of information dissemination products.** The Department's information dissemination products are identified, promoted, and managed through an extensive World-Wide Web home page network by the "owners" of the products. Further, the Department has established a number of information clearinghouses to ensure that information dissemination products are easily identified as to their availability for sharing across organizational lines.

- C Provide for reasonable access to information and information dissemination products by people with disabilities.** The Department currently uses the Federal Acquisition Regulation Part 22 in its review processes to ensure that technology investments and services accommodate the needs of handicapped employees. This guidance will be expanded in the next revision of Departmental Manual 376, Part 4, which contains the general technology acquisition and management policy for the Department. Similar language will be included in other relevant Departmental Manual chapters as they are revised.
- C Make information dissemination products routinely available to Federal Depository Libraries.** Departmental Manual Part 314, Chapter 4 outlines the policy and procedures addressing support of the Federal Depository Library System and implements the requirements of U.S.C. Chapter 19, and the Depository Library Act of 1963.³² In addition, a single point of coordination and oversight is provided by the Department's Publishing Officer. To ensure effective agency-wide coordination, a Departmental Publishing Council has been established to coordinate publications-related information sharing and distribution of Department and bureau publications. This Council also links the Department's Webmaster's Council and Library Committee to the process.
- C Communication with the public and state and local governments to ensure information dissemination products meet their needs.** Public meetings are held with constituents to gather feedback on specific issues affecting local jurisdictions. The Department's home page networks provide for direct input by concerned groups and citizens. In addition, Interior's major interagency coordinating groups have established procedures to involve local governments in the discussion process. Public reading rooms are also in place as feedback collection points as are map sales and distribution sites.
- C Provide adequate notice on changes to information dissemination products.** The Department uses a wide variety of methods to notify the public about changes affecting its information dissemination products. The methods used depends upon the change being made and the community it has the potential to affect. These methods include:
- (1) FAX lists to specific user communities provided by both the Department and each of its bureaus;
 - (2) announcements via the Department's World-Wide Web home page network;
 - (3) spotmaster's information service wherein information is provided to radio stations along with a fax number that interested parties can use to obtain more detailed information;
 - (4) U.S. Newswire information dissemination services; and
 - (5) information postings in bureau public reading rooms.

Department of Justice

<www.usdoj.gov>

The Department of Justice (DOJ) makes information available to the public through a variety of mechanisms such as websites, guidebooks, programs, locator services, electronic reading rooms, and a toll-free telephone service.

³² P.L. 87-579.

DOJ serves as counsel for public citizens by representing and assisting them in enforcing the laws in the public's interest. Through the World-Wide Web, citizens can obtain information on numerous subjects of interest to the public, including the Uniform Crime Reports – Crime in the United States, the Freedom of Information Act Guide and Privacy Act Overview, and the Freedom of Information Case List.

DOJ uses the World-Wide Web to fulfill its obligations for information dissemination to the public, including a "Kids Page." The website information dissemination is supported by a management system administered and coordinated by the director of the Justice Management Division Library Staff and the designated "content managers" located in the various DOJ components. They are working in close collaboration with the management and technical staff of the Department's Justice On-line Information Network. These technical experts provide webmaster support and ensure the operational effectiveness and integrity of the Department's electronic information dissemination, and its website search engine. In addition, DOJ has integrated into its Web presence the electronic reading room mandated by the recent amendments to the Freedom of Information Act.

Office of Justice Programs (OJP). Information from the National Criminal Justice Reference Service's computerized database system is available through contracts with OJP. Under these contracts, information can be obtained from several departmental clearinghouses, such as the Drugs and Crime Data Center, the Bureau of Justice Assistance, Justice Statistics, and Juvenile Justice.

Office of Community Oriented Policing Services (COPS). Another recent dissemination effort is a result of the Crime Act of 1994, which created COPS. COPS has supported the Department's dissemination effort by providing website information on their office, specific grants programs, and several applications and links to other websites relevant to community policing. COPS is directly accessible through their Internet address and through the DOJ home page's Community Policing Consortium link. Program grants are also published in the Catalog of Federal Domestic Assistance.

Civil Division. The Civil Division provides claim forms and guidebooks for the Radiation Exposure Compensation Act to provide assistance to persons submitting claims without an attorney. Outreach efforts include a toll-free telephone line, visiting the Navajo Indian Reservation to assist current and potential claimants issuing press releases, and submitting notices to oncology related publications.

Department of Labor

<www.dol.gov>

The Labor Department (DOL) has implemented the GILS on its World-Wide Web service utilizing the DOD input form, associated support software, and documents. Agencies within DOL create GILS records using the input form. GILS records reference the Department's information dissemination products and major information systems. The National Archives and Records Administration (NARA) maintains GILS records through the GPO home page for all of the Department's Privacy Act Systems of Records.

DOL plans to use GILS as the source for future maintenance of the Department's records management inventory requirements. GILS will also reference all departmental information that will be available through the Internet, and both regulatory and non-regulatory content will increase. Other tools will be added to facilitate use of the information by businesses that are subject to DOL regulations, by the general public, and by DOL employees.

In addition, DOL envisions that Internet technology will be the primary means of communicating with the general public. To fully utilize these technologies, the DOL Chief Information Officer is undertaking a major effort to develop and implement enterprise-wide business, website, and Information Technology architectures. Such architecture will use the Internet and website-based technologies for the dissemination and gathering of information from constituents and trading partners maximizing the use of technology for the conduct of DOL business.

Department of State

<www.state.gov>

The Assistant Secretary of State for Public Affairs ensures that the Department of State's information dissemination promotes overall public communication strategies of the Department and makes best use of its informational and financial resources. The Bureau of Public Affairs must approve all dissemination products to the public, including electronic, organized hard copy, and audiovisual materials. It coordinates dissemination of a wide range of information on foreign policy and about the Department, including agency organization, activities, programs, policies, meetings, systems of records and other information holdings, and how the public may gain access to agency information resources. The Bureau of Public Affairs also arranges for archived information products to be provided through a Federal Depository Library located at the University of Illinois.

The Department's website is the most comprehensive means of providing the public information on policies and services provided by the Department as well as information on the Department itself. In particular, the Bureau of Consular Affairs provides information on U.S. passports, visas and travel abroad. The State website also provides a link to the GILS. Currently, 95 documents and/or information systems are catalogued in the GILS..

The Department logs over 3 million "hits" a month from the general public who access the U.S. foreign policy information provided on the website. These dissemination products allow the public to keep abreast of the U.S. Government's foreign policies to help formulate economic business strategies, or to provide background for research or educational products. They also provide the public with information on how to obtain the Department's services and information resources, particularly in the area of passports, visas, and munitions control licenses.

Department of Transportation

<www.dot.gov>

The Internet is used as the primary information dissemination management system for DOT. In FY 1998, the Office of the Chief Information Officer (CIO) deployed a new, easy-to-use, and comprehensive information search service that allows Department of Transportation (DOT) customers (both internal and external) to discover, select, access, and retrieve all information located on publicly available DOT World-Wide Web pages. More than 100,000 documents located on over 150 DOT websites have already been indexed by DOTBOT. By typing in a keyword or phrase in the search block located at the DOT home page, a user is able to find all relevant information available on DOT websites. DOTBOT embraces the spirit of the GILS, which is to provide for decentralized locators of information resources using standardized metadata.

In addition, DOT has developed and deployed a DOT Information Collection Database. Information from this database is available to Internet users. The database contains key information concerning each collection of information, including OMB number, title of collection, number of annual burden hours, public costs, expiration date, Federal Register notice issuance dates, and other related information. Operating Administrations have also developed websites to disseminate reports, catalogs, directories, databases, locators, etc.

Federal Aviation Administration (FAA). FAA maintains both paper and electronic information management systems. The FAA has three major publication systems. Indices of all the publications in each of these systems are regularly prepared and disseminated to the public. These publications systems are:

- C An advisory circular (AC) system, which is used to disseminate non-regulatory information to the public. The paper system is disseminated through a mailing list. AC's are also placed on the Internet by the responsible line of business.
- C An internal directive system, which provides that, if any particular directive is determined to have a public impact, GPO offers it for sale.
- C Safety related documents, such as airworthiness directives, which are disseminated through a formal mailing list or electronically.

Research and Special Projects Administration (RSPA). In September 1998, RSPA held DOT's first electronic public meeting about the Hazardous Material (infectious substances) rulemaking on the RSPA website.

Federal Transit Administration (FTA). The wide-area network provides FTA-wide Internet access, electronic Federal assistance programs for grantees, electronic mail, and high-speed data transfer capabilities. FTA has aggressively continued to develop a paperless grant award process, which has reduced the paperwork burden placed on recipients. In November 1998, FTA introduced its third generation of electronic enhancements with the Transportation Electronic Award and Management (TEAM) System.

Bureau of Transportation Statistics (BTS). One of the BTS missions is to make transportation information — beyond what BTS itself collects — readily accessible. It distributes products and services to as wide an audience as possible through diverse media. Among its initiatives for improving customer service are:

- C **The National Transportation Data Archive.** This is a collection of transportation databases, created by DOT and other sources, that are accessible through the Internet.
- C **The Statistical Information Line.** This is a toll-free telephone line to provide transportation statistics.
- C **The National Transportation Library.** This is an umbrella for user access to DOT on-line library services.
- C **The National Spatial Data Infrastructure.** BTS has the lead for the transportation portion of this Governmentwide effort to make geographic information easier to use and share.

Department of Treasury

<www.ustreas.gov>

The Office of the Chief Information Officer (CIO) manages and promotes electronic information dissemination within the Department. The CIO encourages dissemination of information through several different media and formats. Most noteworthy is the implementation of the Treasury website with links to the Treasury bureaus' websites. The websites are used to disseminate a variety of information about Treasury programs and services to the public. The information provided appears to be of benefit to the public as webmasters monitor the number of "hits" on various sites

The Department of the Treasury GILS has been operational since January 1996. GILS is a component of the Department's public information dissemination infrastructure and Treasury has dedicated staff resources to its continued operation and maintenance. The Department developed an initiative for Fiscal Year 1999 to enhance the service which includes more electronic links to bureaus' websites for the actual information. GILS is located on the GPO Access System and is accessible from the Treasury website.

The passage of the Electronic Freedom of Information Act (EFOIA) of 1996 is yet another means that the Department uses to ensure that the public has access to requested information. The CIO uses electronic information technology to enhance the public availability of FOIA reading room information. The CIO has developed an EFOIA Internet-based system which meets the requirements to provide electronic access to certain types of information. As the reading room is populated with information, the public's need to send written requests for information should decrease. Enhancements to this system are planned for Fiscal Year 1999 to make searching for information easier.

The Department of the Treasury continues to disseminate information on the Department's products and services using the National Technical Information Service, FedWorld Bulletin Board System. In addition, the Treasury Electronic Library (TEL) on FedWorld has been in operation since 1993.

Department of Veterans Affairs

<www.va.gov>

The Department of Veterans Affairs (VA) GILS was established and placed in operation in December 1995 as an on-line service to assist the public locate and obtain VA information resources. VA GILS is an integral part of VA's information management and dissemination infrastructure and facilitates both the identification and direct retrieval of Government information. It contains information concerning automated information systems, Privacy Act systems of records, and information dissemination products. Each record describes the information resource and content, identifies the location of the information, and provides on-line assistance on how to obtain it. Reviews are performed periodically to identify new GILS records and to update records currently in GILS. Organizational support to GILS is provided by all VA organizations who have locator records on the service. To date, a total of 161 VA GILS records are available on the service. GILS records are available through VA's home page.

A publicly accessible Electronic Reading Room (ERR), as required by the Freedom of Information Act (FOIA) Amendments of 1996, is now available on the World-Wide Web at <<http://www.va.gov/foia>>. FOIA response material and other material routinely available to the public is now available electronically.

The ERR allows the public to receive information from VA while avoiding bureaucratic procedures. The cutting of red tape significantly reduces correspondence and related Government forms. The outcome is noteworthy in that it provides faster responses to public requests for information and provides a greater scope and breadth of information sharing among VA, Government, and the public, while also cutting costs.

VA's *Board of Veterans' Appeals (BVA)* continues to pursue its goal of making information about VA's appellate program easily accessible to the public. CD-ROMs, updated quarterly and distributed through the Board and the GPO, now include the "Veterans' Benefits Law Index Annotated," as well as the Board's accumulated appellate decisions. The "Veterans' Benefits Law Annotated" is a BVA authored product which indexes and analyzes decisions of the United States Court of Veterans Appeals (renamed the United States Court of Veterans Claims on and after March 1, 1999). BVA's decision and a "plain language" pamphlet explaining the appellate process are available on the World-Wide Web. BVA plans to add a variety of veterans' law research tools to VA's website during FY 1999 and, when security issues are resolved, to establish a method for appellants to log on and check the status of their pending appeals.

Environmental Protection Agency

<www.epa.gov>

EPA places great emphasis on the Internet's World Wide Web as a primary method of disseminating information to the public. EPA encourages all offices to place all their public information on its integrated website and provides centralized management and funding for the infrastructure and overall public interface. The success of the public's experience using its website can be measured in part by the decline in FOIA requests from calendar year 1997's monthly average of 1901 requests to calendar year 1998's monthly average of 1764 requests. A more detailed view of how EPA manages its information dissemination responsibilities, and the implementation of GILS is described below.

Information Activities Resulting From Existing Laws:

EPA is faced with increasing activities to facilitate the dissemination of Agency information products. EPA is required to provide information dissemination products as a result of existing laws. These laws impact the Federal government as a whole and several were written specifically for the Agency. Following are some examples:

Title III of the Superfund Amendments and Re-authorization Act of 1986 (the Community Right-to-Know Act). EPA is making toxic release information available to the public through electronic means.

Clean Air Act, Section 307, 1977. EPA has established an information center to assist industry in implementing TSCA.

CERCLA, 1980 and 1986. EPA is making administrative records and a proposed National Contingency Plan available to the public.

Clean Air Act Amendments of 1989. EPA is providing emission control technology information for ozone non-attainment permits to States and the general public through the Best Available Control Technology/Least Achievable Emission Rate (BACT/LAER) Clearinghouse.

Groundwater Research, Management and Education Act of 1989. EPA, Departments of Agriculture, Interior, Defense, and Health and Human Services and the National Science Foundation have formed an Interagency Groundwater Research Task Force. The Task Force has provided oversight for the formation of a clearinghouse which will facilitate coordination of Agency groundwater information systems. EPA has also established a technical transfer and information center which will serve as a repository of reliable groundwater information.

Recycling Information Clearinghouse Act of 1989. EPA is promoting recycling efforts through a national clearinghouse which contains information on the economic feasibility of recycling material and successful State and local initiatives.

Agency Committees Which Address Information Dissemination:

Under the coordination of the Office of Education Communication and Public Affairs, the Agency has established a product review committee. This committee is composed of members of various stakeholder groups, representatives from across the Agency and other Federal institutions. Information dissemination products are reviewed to ensure consistency with and support of Agency mission, cost benefit, partnership potentials, and contribution to environmental knowledge.

An Executive Steering Committee (ESC) for Information Resources Management (IRM) has been established to review and approve Information technology investments of the Agency taking under advisement the process standards dictated under the Clinger-Cohen Act, Agency mission, partnerships with States and other stakeholders.

Agency Activities to Establish and Maintain Inventories of Information Dissemination Products:

The National Center for Environmental Publications and Information (NCEPI) serves as the centralized source for Agency publications and electronic products. NCEPI produces the Agency's publication catalog on the Internet and provides full text access to over 6,000 publications.

The Center for Environmental Research Information (CERI) is the focal point for the exchange of scientific and technical environmental information produced by EPA. It is responsible for the inventory, production and distribution of scientific and technical reports.

Access EPA is a comprehensive inventory of the Agency's major information resources and services available to the public. The last edition was 1995/96 and the contents are available on the EPA Web site.

The Information Systems Inventory (ISI) is the Agency's comprehensive collection of summary-level descriptions of computer applications, models, and databases.

The National Library Network is composed of libraries at Headquarters, Regional and Field Offices, Environmental Research Centers, and Laboratories. The network maintains a common union list of serials and an inventory of library holdings in its network catalog.

Government Information Locator System (GILS) provides an intelligent locator and inventory listing over 200 major EPA information systems. GILS is available on the Internet.

U.S. National Technical Information Service (NTIS) provides a central source for the public sale of EPA documentation.

U.S. Government Printing Office assures public access to EPA information through the Agency's participation in the Federal Depository Library Program.

Major EPA Catalogs and Directories That Exist for the Location of Agency Information:

The US EPA Web Site is the single most important vehicle for dissemination of EPA information products. It contains over 100,000 pages and receives over 20,000,000 "hits" each month. A web inventory meta data record is being populated to enhance its dissemination capabilities. The EPA Web site provides linkages from its information to Web sites of other Federal Agencies, States and local partners as appropriate.

Envirofacts provides a data warehouse of the major databases developed and supported by EPA. The repository provides query capability across the component databases enabling an integrated response to environmental questions.

Clearinghouses and hotlines have been developed to respond to legislative initiatives. Clearinghouses are central access points with inventories of hard-to-locate technical reports and documents in programmatic areas.

Directories and Catalogs are issued, as appropriate, by each of the Program Offices as finding aids to their respective publications.

Technical Information Packages (TIPS) provides miniature resource libraries of full-text documentation in 12 core environmental topic areas available on the Internet.

Communications With the Public and With State and Local governments on Information Dissemination Products:

Direct interaction through focus groups comprised of the targeted stakeholders is a key method by which Program Offices elicit the input from members of the public, State and local governments on proposed information dissemination projects. Surveys and user feedback comments are also analyzed on established systems. EPA consults directly with the Environmental Council of States (ECOS) on various aspects of its information dissemination. Also, there are many programs designed specifically to provide the State and local interaction and input to EPA information dissemination. The following are examples of that activity (They are not all inclusive):

One Stop Initiative works in partnership with states in the development of data standards and methods to better share information and reduce reporting burden. Provides grants to states to assist them in compliance.

Environmental Monitoring for Public Access and Community Tracking (EMPACT) works in partnership with local governments to develop real time information provision in subject areas that localities define as critical, utilizing delivery mechanisms and formats which best meet local needs.

Center for Environmental Information and Statistics (CEIS) will improve EPA information on multi-media environmental status and trends to provide a more integrated picture of the environment to the public and other environmental decision-makers. The CEIS coordinates with federal, state and local environmental agencies that produce and use environmental data and information and improves public access through establishment of systems which allow users access at all levels of data--from raw data to highly processed information.

Consumer Labeling Initiative worked cooperatively with a Task Force composed of other Federal and State agencies, industry partners and other interested groups to learn directly from consumers what problems or dissatisfactions they have with current labels and how those labels could be improved.

State, Local and Tribal Web site page designed in consultation with States, local entities and tribal groups provides direct links to environmental and regulatory information of mutual interest and facilitates sharing of information.

Surf Your Watershed permits the public to locate, use and share environmental information on their watershed or community.

Project XL gives a limited number of responsible companies the opportunity to demonstrate eXcellence and Leadership by according them flexibility to develop alternative strategies that will replace current regulatory requirements, while producing environmental benefits.

National Environmental Performance Partnership System (NEPPS) works with States to develop joint environmental goals and priorities and measures progress in terms of “outcomes” enabling EPA to reward strong State performance with reduced oversight.

Brownfields builds partnerships with State, cities and community representatives and among Federal agencies to develop strategies for promoting public partnerships and community involvement in Brownfields decision-making.

National Advisory Council for Environmental Policy and Technology (NACEPT) is a formally chartered, external advisory group designed to provide information on important environmental issues. The diverse group includes members from Federal, State, local, community, tribal, environmental interest, and industry entities.

EPA Implementation of the Government Inventory Locator System (GILS):

The Federal GILS initiative was begun as part of the National Performance Review(NPR) and US National Information Infrastructure (NII) through the Paperwork Reduction Act of 1995 under the implementation guidance of the Office of Management and Budget (OMB) with standards established by the National Institute of Standards and Technology. EPA GILS is designed to assist the public to prevent pollution and protect the environment and human health..

In order to facilitate public access to EPA’s vast holdings of environmental data and help position the Agency for the implementation of GILS, a workgroup was formed comprised of representatives from across the Agency. The workgroup recommended what can be described as an “intelligent “ locator. This

approach presented the public with an electronic locator for accessing, retrieving or requesting Agency information, backed up with human intervention (information specialists) to supplement the locator and provide customer assistance upon request.

A phased-in approach was implemented for FY95 and FY96 to allow incremental funding for the development and implementation of the locator. Because of the magnitude of this new Government-wide initiative, a major, new Agency system, the workgroup recommended the formation of a broad-based Agency task force under the auspices of the Executive Steering Committee for IRM, to analyze options for implementing an Agency locator, congruent with the GILS model.

The EPA GILS resides on the EPA Web site and contains descriptions of over 200 Agency information systems. The types of resources described in GILS include databases, hotlines, clearinghouses, and catalogs of publications. The GILS records for these resources are not the resources themselves, but are descriptions of the resources which inform users what information is available, where it is located, and how it can be accessed. In cases in which the information resource exists in electronic form, a direct link to that resource is available. Links are also provided to other Federal GILS sites. The GILS search page is well utilized by the public. The entire GILS area and GILS-type records receives about 15,000/monthly hits that is due to links to clearinghouses, hotlines, and formatted topical buttons.

Federal Deposit Insurance Corporation

<www.fdic.gov>

The Federal Deposit Insurance Corporation's (FDIC's) Public Information Center (PIC) is the overall information dissemination management system used for collecting, organizing, storing, and distributing on a timely and equitable basis the Corporation's publications and other public information. The PIC is located in Washington, DC. Public access is by telephone, letter, facsimile, e-mail, or in person. A detailed document index database is maintained by the PIC and is used to provide reference services in response to public inquires. An index of acquisitions during the most recent three months is posted on the Internet. This Internet index is updated monthly.

The document collection consists of historical Resolution Trust Corporation (RTC) documents covering the entire period of its existence from August 1989 through December 1995, and historical and current FDIC publications from 1985 to the present. The information includes descriptions of the agencies, their organizations, missions, programs and policies, and statistical information related to the banking industry. These documents tend to be unavailable from other Federal or non-Federal sources, but certain banking statistical publications are also distributed in various media formats through the GPO Depository Library program and the NTIS.

Electronic versions of current documents, historical statistical data, information on assets available for sale and other general information, as well as helpful links to related Federal information services and sources, are available through the FDIC's Internet website. It is continuously updated with new public documents in a variety of data file formats. One feature invites the public to subscribe to a listserv that delivers automatic e-mail announcements of the latest developments at the FDIC and in the financial services industry. The documents referred to can be accessed through Internet, the PIC, or through a private sector-provided fax service that the public may telephone directly.

The FDIC communicates directly with the public through several toll-free telephone hotline services staffed with trained Federal employees. These employees assist the public in obtaining documents or information; respond to consumer or depositor concerns or complaints; mediate disputes; and provide bank financial performance reports. The consumer hotline is also available to the hearing-impaired through a TDD toll-free number. Inquiries that cannot be addressed adequately through the various channels of the information dissemination management system are referred to the appropriate FDIC program office or, as necessary, to the FOIA office.

Federal Emergency Management Agency

<www.fema.gov>

The Federal Emergency Management Agency's (FEMA's) information dissemination management system is comprised of several methods to disseminate information to the public and state and local governments. Information is disseminated through catalogues and indexes of FEMA's publications, directives, and forms. At the FEMA Publications Warehouse, a new automated warehousing system enables publications to be requested, processed, and shipped to requesters within five days.

FEMA also uses an Internet website to make information and, to a limited extent, information dissemination products readily available to the public. FEMA's Map Service Center makes Flood Insurance Rate Maps and Flood Hazard Boundary Maps available to State, local, and community officials, insurance companies, lending institutions, etc. Information regarding FEMA records is available in the GILS. In addition, many of the major organizations in FEMA have established Intranet websites that provide an array of information about FEMA's mission, functions, programs, and activities. FEMA routinely disseminates in disaster declared areas a newsletter titled "Recovery Times," which provides information to local officials, businesses, private non-profit organizations, and disaster victims on the types of assistance available under the disaster declaration, how to request assistance, and other recovery tips.

Federal Energy Regulatory Commission

<www.ferc.fed.us>

The Public Reference Room is the Federal Energy Regulatory Commission's (FERC's) main point of contact for meeting the public's information needs. The Records Maintenance Center is the official repository of the Commission's records and documents. Under the Commission's information rules, most documents are readily available for inspection and photocopying. The Public Reference Room serves as both a library and Reference Center for the public and Commission staff, providing requested records and documents in electronic and microfilm/microfiche formats.

In 1996, the Commission in conjunction with the National Technical Information Service developed a home page on the World-Wide Web. During 1997, the Commission developed its own on-site home page on the World-Wide Web with additional capabilities, including a new Records and Information Management System (RIMS) that featured a comprehensive index of documents. RIMS provides the public with documents issued and submitted to the FERC. In 1998, documents in RIMS and the Commission Issuance Posting System (CIPS) – an on-line information system providing the public with daily issuances including rulemakings, orders, and notices issued by the FERC as appropriate — were made available via the Internet. The FERC's Remote Public Access (RPA) is a mainframe application which the public and

Government can use to access several automated applications on FERC's mainframe. FERC's goal is to make the FERC Website the vehicle for electronic filing of documents and information dissemination to the public.

The FERC also maintains GILS records that identify the public information resources available at FERC. FERC has established a link on its home page to facilitate electronic access to these records. FERC staff are currently in the process of updating the records identified on GILS to provide the public with greater access to all of the information resources available at FERC.

The Commission is continuously enhancing its ability to provide Commission staff, the public, and the regulated industries with the most effective and efficient means for obtaining and using information. Moreover, for competition to flourish, industry needs timely access to information. The Commission is developing a major three-year strategy for a comprehensive information management system to meet the needs of both internal staff and outside parties. The future comprehensive information management system will encompass electronic filing over the Commission's home page, which will save industry costs associated with paper, postage, and messenger services when filing documents with the Commission, and also will allow staff to work directly with electronically filed documents.

The timely availability of information is a key element in moving from a heavily regulated environment to one in which lighter-handed regulation and market forces combine to assure just and reasonable rates. The Commission currently operates its website plus an electronic bulletin board system accessible by modem. Both systems provide access to documents filed with the Commission (RIMS) and documents generated by the Commission (CIPS).

The web-enabled Records Management Information System (RIMSWEB) gives users electronic access to and local printing capability of RIMS Index Information for public and mixed document pages, plus public document pages. The RIMS database contains more than 20 million images for 1.7 million documents, with approximately 1,500 new documents added to the data base each week.

The Commission Issuance Posting System (CIPS) provides electronic access to the public of documents generated by the Commission, including rulemakings, orders, notices, and administrative decisions.

The Commission has set a goal of making its information more accessible to the public and more pertinent to the needs of a changing industry. The Commission intends to make all public information available electronically and working with the industries it regulates to make market-monitoring information available while preserving commercial confidentiality as appropriate.

To meet this goal over the next five years, the Commission will continue to do the following:

- C Take advantage of the new technology, especially for information. The Commission will continue to automate internal processes and make its computerized information more easily accessible to the public more pertinent to the needs of industry.
- C Improve communication and cooperation. Up-front staff involvement, technical conferences, public meetings, and collaborative procedures are essential tools for avoiding needless confrontation, shortening processing, and maintaining litigation at appropriate and reasonable levels in all program areas.

The Commission is committed to accountability in its programs. For the coming year, the Commission will ensure that specific performance measures are developed along with the quantitative information needed to support them. To this end, the Commission will establish a high level working group, chaired by the Deputy Chief Financial Officer. The working group will present quarterly progress reports to the Chairman on the status of the performance measures.

To improve accountability in the longer run, the Commission will institute ongoing assessment reviews at least annually. As part of each review, the Commission will report how well it is meeting its goals, how and why its goals and objectives should be modified (if necessary), and what changes to indicators are needed to improve how well it is measuring its performance. A top priority involves improving its information systems to provide credible measurements of key performance indicators.

Federal Trade Commission

<www.ftc.gov>

The Federal Trade Commission's (FTC's) information dissemination management system is an integral part of the agency's operation. One of the primary law enforcement tools used by the Commission is education. FTC provides information through various means to help educate consumers on specific problems in the marketplace and to help them make more informed decisions. FTC also provides other information to help the business community understand how to comply with the statutes that the FTC enforces.

Because the FTC is a small agency, FTC ensures that each information dissemination effort is appropriate for the agency and that there is no other acceptable alternative source for the information. FTC maintains inventories of its consumer and business education materials to permit FTC to respond quickly to requests for those materials and know how those materials are made available to the public. FTC's most effective aid in locating materials is through the FTC's Internet website, which now receives over 4 million "hits" per month, or 25% more hits than were received each month last year.

The Commission "partners" with other Government agencies and with private organizations to develop some educational materials. FTC believes that these other agencies and organizations can offer unique perspectives on the issues addressed in its materials and can aid in its educational efforts by assisting in distributing materials to their constituents and partners. All materials that are created through joint efforts are appropriately marked. Again, through FTC's partners, FTC can develop materials for members of the public with special needs and restrictions.

FTC has a long history of providing important Commission publications to the depository libraries. The most important ongoing publication produced by the FTC is "FTC Decisions," which is the official report of formal decisions made by the agency. A new volume of that publication is issued approximately every year, and copies are automatically provided to the GPO for inclusion in the depository libraries.

National Aeronautics and Space Administration

<www.nasa.gov>

The National Aeronautics and Space Administration (NASA) has several information dissemination systems that provide public access to Agency information, including GILS. In December 1995, NASA established its GILS system, which consisted of an inventory of its current automated systems, Privacy Act systems, and some locators of other information products and services throughout the agency. Over the intervening years, data have been added to the data base as new information products and services are developed or discovered. The system requires users to review and recertify all core record entries every six months. NASA's GILS system automatically notifies initiators that they must review their record(s) to ensure that the information is still relevant and accurate. In addition, NASA's records managers are required to inventory and inform the GILS data base administrator of new or revised information dissemination products or services as they are encountered in their routine records management activities. NASA also has a direct link to GILS from its Freedom of Information Act home page.

Nuclear Regulatory Commission

<www.nrc.gov>

The Nuclear Regulatory Commission (NRC) makes its information products available to the public through the sales programs of the GPO and the NTIS. The agency also makes information available to the public at its Public Document Room in Washington, D.C., and through Local Public Document Rooms (LPDRs) located near the sites of nuclear power plants. LPDRs are also established for certain low-level waste and fuel cycle facilities, the potential high-level radioactive waste geologic repository, gaseous diffusion plants, and other selected facilities. The agency also posts a variety of current and reference materials at its World-Wide Web website.

The information at these outlets does not duplicate or overlap information provided by other Government agencies or private entities. NRC also publishes semi-annual and annual cumulations of abstracts for and subject indexes of its technical reports literature.

The agency provides a variety of finding aids to its information collections:

- Regulatory and Technical Reports (Abstract/Index Journal)
- Title List of Documents Made Publicly Available
- The Citizen's Guide to NRC Information
- User's Guide to the Public Document Room
- Local Public Document Room Guide

In addition to providing the Excite search engine, the NRC website is organized to facilitate public access to agency programmatic areas (reactors, materials, waste, news and information, radiation protection, etc.). To support the communication needs of speech and hearing-impaired individuals, the agency also accepts calls from telephones equipped with TDD.

Notice to the Public. In response to a requirement from the Commission that arose from the Public Communications Direction Setting Issue of the agency Strategic Plan, the staff has established a Communication Coordinating Committee to better focus the NRC's response to public enquiries and

concerns. On September 10, 1998, the Commission approved several public communication initiatives and assigned responsibility for implementing those initiatives to the Deputy Executive Director for Regulatory Effectiveness. The Commission directed that the implementing plan should be short and flexible enough to accommodate changes. The initiatives include:

- training to improve communication techniques used by managers and staff;
- writing high profiled documents in plain English;
- conducting tutorials at the beginning of public meetings so that the public understands the context of the matters to be discussed at the meeting;
- updating the agency's glossary on technical terms, acronyms, and complex technical terms in plain English and posting it on the NRC website;
- routinely identifying potential serious public concerns and events or actions that may necessitate additional public involvement in weekly meeting of the Executive Director for Operations with office directors and senior staff;
- developing a public involvement plan on major initiatives and a public involvement handbook as a staff reference and training aid;
- improving responsiveness to public inquires; and
- updating agency strategies for providing public information, specifically taking into consideration the NRC new electronic document management system (ADAMS) and Internet access from public libraries.

NRC regularly publishes Federal Register notices soliciting comment and announcing the availability of certain types of information. An increasing number of agency draft documents are also posted to the NRC website for the duration of their public comment period. Changes in the way agency information is made available to the public are also announced in the Federal Register, e.g., NRC's August 1997 announcement that its FedWorld Collection at NTIS was being moved to the NRC website.

NRC GILS Initiative. The NRC posted its GILS information through the NTIS' FedWorld in February 1996 as World-Wide Web and Internet accessible. The NRC announced its availability the following month via e-mail through the list server for the Open Systems Environment Implementors Workshop/Special Interest Group on Library Applications (OIW/SIG-LA) GILS Subgroup, now known as OIW/SIG-GILS. The NRC GILS is also accessible through the GILS GPO Access website.

The NRC GILS website <<http://www.fedworld.gov/gils/nrc/>> includes hyperlinks to other NRC GILS records, NRC home page HTML files, and to information products external to the agency Intranet. Those systems that support administrative processes having no appreciable impact on the public are not included in the NRC GILS.

The NRC GILS is a key component of the agency's program of public dissemination of information. The information products and locators contained in GILS reflect many products and locators identified in the NRC Citizen's Guide. The actual NRC Citizen's Guide is also a GILS record with a hypertext link into the agency home page. Such locators as the NRC Public Document Room, regional Local Public Document Rooms, NRC Information Digest, NRC home page, and NRC Press Releases and Speeches are examples of public information sources offering metadata and World-Wide Web access to electronic documents. Changes to GILS are made as appropriate.

National Science Foundation<www.nsf.gov>

The National Science Foundation (NSF) has an active program for dissemination of information about the agency's research opportunities. NSF's information dissemination program is designed to meet the information needs of a wide range of audiences, including researchers, educators, research administrators, and the public. NSF's core audience is the grantee community. NSF's strategy for meeting the information needs of the research community is to develop electronic dissemination as the primary means of distributing information about the agency. Implementation of this strategy includes:

- C continuous updates of NSF's central external web site;
- C a document management database (the Online Document System – which houses both current and archived documents); and
- C a web- and email-enabled Custom News Service, which uses “push” technology to alert the community about new publications and information of interest to each individual subscriber.

Together, these initiatives have:

- C strengthened the technical infrastructure of the agency's website and databases;
- C reduced the duplication of data management within the agency; and
- C substantially improved the accuracy and timeliness of NSF's communications with its communities.

Community reaction to these initiatives has been extremely positive, and a major effort has been made to quantify NSF's progress. NSF is gathering meaningful statistics to help in decisionmaking, to aid with short-term and long-term planning, and to help achieve Government Performance and Results Act (GPRA) objectives. During 1998, NSF's outreach through electronic information dissemination showed increases in website visitors (up to 90% over the year before) and total electronic document retrievals (up 100%). Meanwhile, requests for paper publications decreased significantly. The Custom News Service continues to grow rapidly and steadily, and now serves over 15,000 subscribers.

As NSF implements this electronic dissemination strategy, it is important to ensure that NSF information can be accessed by everyone. NSF defines the issue of accessibility broadly. NSF is particularly concerned with meeting the needs of persons with disabilities as well as those who do not have access to high-speed computers (or any computers at all). Paper copies of NSF publications are always available upon request, and NSF provides the community with adequate notice if any products are going to be substantially modified or terminated. NSF publications are available to the public via the Online Document System accessible through the NSF home page. Additionally, printed copies of some of NSF publications are sent to the Depository Libraries program.

The GPO hosts NSF's GILS record, which is essentially a pointer to NSF's web site. The NSF GILS record can be found at <http://www.access.gpo.gov/su_docs/dpos/gilspath/nsf020.html>.

Small Business Administration

<www.sba.gov>

The Small Business Administration's (SBA's) clearance process ensures that information dissemination products are necessary for proper performance of agency functions. Nearly all of the Agency's information dissemination conveys information unique to SBA programs, with no other viable source of similar information available.

The SBA clearance process will ensure that the source of information from another agency is identified in information dissemination products. SBA program information and application materials are disseminated to members of the public with disabilities in the following ways:

- C SBA job vacancy announcements are displayed on SBA's home page and on the Office of Personnel Management's home page.
- C SBA publications are displayed on SBA's home page for viewing, printing and downloading.
- C The telephone number to a TDD is printed on the back of every vacancy announcement and on the back page of every SBA publication.
- C An SBA telephone number is printed on the back of each vacancy announcement. An applicant can call this number to request a copy of the announcement or to get additional information.
- C Copies of SBA's vacancy announcements are mailed to organizations affiliated with individuals with various disabilities.
- C Individuals can request information on vacancy announcements and on SBA services and products via TDD machines maintained in SBA Personnel Offices that publish vacancy announcements.
- C SBA's Office of Equal Employment Opportunity and Civil Rights Compliance (EEO&CRC) annually briefs managers and supervisors on their responsibilities under the Rehabilitation Act and the Americans with Disabilities Act to ensure that they provide reasonable accommodation to persons with disabilities.
- C EEO&CRC publishes an annual Agency Affirmative Action Program Report for Individuals with Disabilities. This report identifies progress made in the hiring, promotion, and retention of persons with disabilities.
- C An 800 telephone number is printed on the back of every SBA publication so that persons can make a no-cost request for a copy of the publication by mail. Fax numbers are also provided so that persons can get information regarding SBA programs and applications.

These steps help ensure that SBA provides reasonable accommodation to SBA programs, information, services, and application materials to individuals with disabilities.

SBA maintains communication with the public to determine their information dissemination needs through the following:

- C conferences and workshops conducted by SBA's Offices of Business Initiatives, Veterans' Affairs, Women's Business Ownership, Minority Enterprise Development, and International Trade;
- C the National Small Business Week Conference for state small business winners, national advocate, and special award winners;
- C Visions 2000: The States and Small Business Conference conducted by the Office of Advocacy to identify models of excellence in small business programs, policies, and practice in the states;
- C attendance at trade and professional conferences by SBA program officials;

- C customer satisfaction surveys on SBA programs conducted by the Office of Marketing and Customer Service; and
- C marketing research studies conducted by the Office of Marketing and Customer Service.

SBA provides notice of information dissemination plans through the following:

- C announcements of laws, regulations, and proposed rule making published in the Federal Register;
- C solicitation announcements to the public;
- C agency notice (directives) system, available on the agency's website; and
- C press releases.

SBA's portion of the GILS is available on the SBA website at <www.sba.gov/gils>. As of December 12, 1998, this resource contains 75 GILS records, which are listed under 16 generic, user-oriented categories for ease of browsing. A search feature is also provided. Direct linkage is provided from the GILS records to those information resources available on the SBA website. Linkage is also provided to the U.S. Business Advisor website.

Information provided via the SBA website ranges from elementary business guidance for prospective business owners to complex legal and financial documents for SBA's private sector partners. SBA maintains a comprehensive website to help small businesses cope with the Year 2000 computer problem. SBA has a number of important information dissemination initiatives that use Internet-based technology. They include the following:

- **PRO-Net** is a one-stop website open to Government contractors and small businesses seeking contracts. It helps contracting officers fill contracts and small companies market their firms to Government agencies.
- **ACE-Net**, the Angel Capital Electronic Network, is an Internet-based securities-listing service that provides small businesses an opportunity to seek equity capital from accredited investors throughout the United States. It was developed by SBA's Office of Advocacy to increase the size, efficiency, and effectiveness of the capital financing process for emerging small businesses, as well as reduce costs.
- **U.S. Business Advisor** was developed by SBA and the Commerce Department, is an Internet service providing links to nearly all the Federal Government's available small business information. It provides businesses with access to a full range of plain language regulatory guidance and compliance assistance, as well as to Government forms, business-development software, and topic-specific information.

SBA is leading an interagency effort involving member agencies of the Trade Promotion Coordinating Committee to develop an interactive "Export Advisor" on the Internet called TradeNet. This tool will help expand export sales and create opportunities for small exporters to succeed. It will have five principal functions: finance, trade lead matchmaking, profiler/readiness assessment, information, and education/counseling/tutorials.

In conjunction with electronic loan processing, the *SBAExpress* program plans to post fillable electronic forms, marketing material, program guides, and interactive training modules on its Internet, Intranet, and lender-specific websites. By thoroughly leveraging its use of the Internet and information technology,

SBAExpress will provide 24-hour access to electronic versions of all necessary information. The websites will serve as one-stop repositories for internal, public, and lender-specific electronic documentation.

Securities and Exchange Commission

<www.sec.gov>

The Securities and Exchange Commission's (SEC's) **Electronic Data Gathering and Retrieval (EDGAR)** system performs automated collection, validation, indexing, acceptance, and dissemination of submissions by companies and others that are required by law to file disclosures and other information with the SEC. EDGAR's primary purpose is to increase the timeliness, efficiency, and fairness of the securities market for the benefit of investors, corporations, and the economy by accelerating the receipt, acceptance, dissemination, and analysis of time-sensitive information filed with the agency.

In July 1998, the SEC awarded a three-year contract to TRW, Inc. for the modernization and ongoing operation and maintenance of the EDGAR system. Through the implementation of modern processing technologies, the EDGAR modernization will substantially improve the presentation quality, utility, and structure of SEC filings.

The SEC's Internet website, launched in September 1995, provides the public with basic access to the EDGAR database of electronic filings on a 24-hour delayed basis, and provides on-line access to litigation releases, news digests, press releases, Commission rulemaking activities, and a wide range of other information of interest to the investing public.

As prescribed in OMB Circular A-130, the SEC also established and maintains a GILS database. This database can be found on the GPO website at <www.access.gpo.gov/su_docs/gils/gils.html>.

Social Security Administration

<www.ssa.gov>

The Social Security Administration's (SSA's) information dissemination management system combines manual and automated procedures. An inventory of SSA's information dissemination products is maintained in an automated database that is reviewed cyclically and updated on an as-required basis.

SSA provides these products to the public in numerous ways:

- C electronically through its Internet website;
- C manually through its nationwide network of field locations;
- C telephone requests and subsequent mailings;
- C automated self-service options; and
- C mailings, such as the Personal Earnings and Benefit Estimate Statement, both as mandated by Congress and at the request of the public.

By providing varying accessibility to its information dissemination products, SSA has ensured reasonable access to these products for members of the public with disabilities.

SSA maintains an automated database of its recordkeeping policies and procedures in the form of an internal data base known as the Organizational and Administrative Records Schedules (OARS). OARS is one source from which SSA extracts the necessary data to construct GILS records using an automated script that extracts the information in a GILS-formatted data base. These data are forwarded periodically to the GPO, which is host for SSA GILS material.

Someone searching the GPO Access server hosting GILS would find 1,203 records for SSA that provide information on a wide range of topics, including automated information systems and Privacy Act systems of records. In addition, selected SSA publications available through the Federal Depository Library Program may be found by browsing Pathway GILS records. According to a recent GPO report on GILS usage statistics, in a measurement of comprehensive use for the period January 1996 through August 1998, SSA had approximately 147,000 agency-specific searches and 129,000 document retrievals. These data, along with its data base maintenance and extraction activities, and its participation in GILS-related seminars and workgroups, illustrate the important role that GILS plays in SSA's information dissemination management system.

Appendix A. Information Collection Budget Tables

Information Collection “Burden Hours”

The aggregate paperwork burden presented in tables A.1, A.2, and A.3 are stated in terms of annual “burden hours.” While the process of developing the ICB only started in 1981, the estimates of paperwork burden hours on which it relies started years earlier based on the Federal Reports Act of 1942. Agency estimates of paperwork burden hours are prepared separately for each collection of information at the time the agency submits each individual collection for OMB review and approval. Typically, the hour burden measured includes the time spent reading and understanding a request for information as well as the time spent developing, compiling, recording, reviewing, and providing the information. Agencies generally do not use the same burden estimation techniques. A more detailed discussion of the concept of burden can be found in chapter 3.

Burden hours are a significant metric in information resources management for judging changes in paperwork burdens and evaluating the reasons for these changes. Despite each agency’s unique experience with estimating reporting burden hours, these estimates have proven to be useful in measuring the direction and rate of change in the amount of paperwork over time. The annual development of the ICB is built upon that historical experience and established record.

Information Collection Costs

In addition to burden hours, agencies are required to report any other costs borne by the public associated with the collection of information. For example, such costs may include the cost of mailing forms, the cost of systems necessary to collect or submit required information, or the fees that must accompany certain forms.

The financial costs of information collections (the costs not accounted for by considering only the time spent on information collections) were not explicitly included in the statutory definition of information collection burden until the 1995 Act. Thus, agencies have significantly less experience estimating the financial costs of paperwork than they do estimating hour burdens. Because agency practice in reporting the costs associated with information collections vary widely, any overall reporting of the financial costs of information collection, let alone aggregating these costs, is undertaken with great uncertainty. Estimates of aggregate costs, shown in table A.4, should be viewed in this context.

OMB anticipates that this situation will improve over the next three years. The discussion on burden in chapter 3 will lead to more detailed OMB guidance on the calculation of burden and more consistent consideration of financial cost in agency submissions.

Changes in Burden

An agency’s information collection burden can change from year to year for a variety of reasons. OMB categorizes changes in burden as either “program changes” or “adjustments.” The important distinction between these two categories is the presence or absence of agency action. A program change takes place

due to an agency action of some type. An adjustment takes place due to factors which do not directly affect the real burden imposed on individual respondents.

Program Changes: Program changes are actions taken by the government that increase or reduce burden. There are three different causes for program changes: agency-initiated changes; changes due to new or newly implemented statutory requirements; and changes due to violations of the PRA through the expiration of ongoing collections or through reinstatements of expired collections.

Agency-initiated actions can span a wide variety of activities, usually through the promulgation, elimination or streamlining of regulations, forms, and collection processes. Agencies have made significant progress in the past few years as well introducing and facilitating the electronic submission of information.. In FY 1998 agency actions accounted for a burden decrease of 50.6 million hours. Chapter 4 reports significant agency actions taken in FY 1998 or planned for FY 1999 or FY 2000 to reduce the information collection burden on the American public.

Often, however, changes in burden result not from policy decisions made by the agency but rather changes in statutes. In recent years, new statutory obligations have required the collection of more not less information. New statutes often mean new requirements; new requirements mean greater burden. In large part, increase in burden due to program changes in FY 1998 is explained increases in burden due to new statutes; agencies imposed just under 80 million additional hours of burden in FY 1998 due to new or newly implemented statutory requirements. Chapter 2 gives a more detailed discussion and examples of statutory changes in FY 1998 that have led to burden increases.

The final category of program changes, expired collections or reinstatements of previously expired collections, results from agencies unintentionally allowing OMB approval for their ongoing collections to expire. These expirations are violations of the Paperwork Reduction Act. OMB records both the action of the collection expiring and the reinstatement of the expired collection to come back into compliance with the PRA as program changes. These changes are usually insignificant portions of the total program changes of a particular agency but there are exceptions. For example, in FY 1998 there were nearly 10 million hours in reductions at the Department of Justice (DOJ) and over 8 million hours at the Department of Agriculture (USDA) due to "violation" expirations. As these are reinstated in FY 1999, they will be recorded as burden increases for DOJ and USDA. The Government wide total of program changes due to "violation" expirations or reinstatements for FY 1998 is a net increase of 11.7 million hours (meaning there were more hours reinstated than expired). Appendix B lists the violations for FY 1998 and discusses some of the actions OMB is taking to help agencies remedy any difficulties they may have keeping their PRA approvals current.

OMB reports "Program Changes (corrected)" throughout chapter 1 and in this appendix. The net corrected program change equals the uncorrected program change less the program changes due to expirations and reinstatements from PRA violations. If there were more hours expired during the fiscal year, this correction increases the program changes reported. If more hours were reinstated, this correction decreases program changes.

Where corrected program changes are reported as a percentage, it is the corrected program changes as a percentage of the previous fiscal year's total burden plus the program changes due to expirations and reinstatements from PRA violations. For example, if 10 million hours were reinstated during FY 1998, the corrected program changes would be 10 million less than the uncorrected program changes, and the

percentage change would be the corrected program changes as a percentage of the FY 1997 total plus 10 million hours. This correction implies that reinstatements to remedy violations should be part of the previous year's base and has the effect of lowering the reported percentage change.

Adjustments: Often the burden of a particular collection on the public 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. Changes such as these can result in significant changes in burden hours. These changes are characterized as "adjustments." Adjustments, while often having large effects on estimates of overall burden do not represent government efforts either to reduce or increase the burden of information collection.

This report provides calculations of the burden reduction both including and excluding adjustments for the government as a whole and for individual agencies. These two numbers differ quite profoundly. For example, in FY 1998, a total net reduction of approximately 61.4 million hours was due to adjustments. Examples of large adjustments include a 74 million hour adjustment by SEC that reflects a recalculation of the burden of requiring brokers-dealers to document transactions made on behalf of their customers and a 14.5 million hour adjustment by the Occupational Safety and Health Administration (OSHA) in the burden associated with its process safety management program. While these adjustments are important and necessary to enable us to get a true picture of the information collection burden, they are not examples of government agencies reducing or increasing the burden on the American public.

Table A.1
Information Collection Budget for FY 1998
(millions of hours)

	FY 1997 Total Hour Burden	FY 1998 Program Changes		FY 1998 Program Changes (corrected)		FY 1998 Adjustments		FY 1998 Total Hour Burden
Government Total*	6,998.69	41.07	0.6%	29.37	0.4%	(61.37)	-0.9%	6,967.18
Government Total, excluding Treasury	1,416.57	8.48	0.6%	(3.25)	-0.2%	(148.89)	-10.5%	1,264.94
Departments								
Agriculture	84.29	(9.49)	-11.3%	(1.11)	-1.5%	(2.85)	-3.4%	71.95
Commerce	8.21	5.27	64.2%	5.27	64.2%	0.00	0.0%	13.49
nonperiodic	7.06	(0.26)	-3.7%	(0.26)	-3.7%	0.00	0.0%	6.80
periodic	1.15	5.54	480.3%	5.54	480.3%	0.00	0.0%	6.69
Defense	138.51	(17.76)	-12.8%	(17.09)	-12.4%	(1.75)	-1.3%	119.00
Education	43.73	(2.24)	-5.1%	(2.24)	-5.1%	(0.58)	-1.3%	40.90
Energy	4.48	(0.03)	-0.7%	(0.05)	-1.1%	0.02	0.4%	4.46
Health and Human Services	137.01	5.36	3.9%	2.75	2.0%	(3.06)	-2.2%	139.31
Housing and Urban Development	32.21	(9.49)	-29.5%	(2.87)	-11.2%	(4.24)	-13.2%	18.48
Interior	5.19	0.14	2.7%	(0.12)	-2.2%	(0.76)	-14.6%	4.57
Justice	37.38	(10.33)	-27.6%	(0.52)	-1.9%	(1.24)	-3.3%	25.82
Labor	216.81	11.98	5.5%	11.87	5.5%	(29.80)	-13.7%	198.99
State**	30.56	(1.66)	-5.4%	(1.77)	-5.8%	0.00	0.0%	28.90
Transportation	111.38	33.78	30.3%	(2.94)	-2.0%	(6.40)	-5.7%	138.75
Treasury	5,582.12	32.59	0.6%	32.63	0.6%	87.52	1.6%	5,702.24
Veterans Affairs	6.23	(3.19)	-51.2%	0.48	18.9%	(0.40)	-6.3%	2.64
Agencies								
EPA	115.67	4.86	4.2%	4.86	4.2%	(1.35)	-1.2%	119.18
FAR	24.52	(0.27)	-1.1%	(0.22)	-0.9%	0.16	0.7%	24.42
FCC	27.81	2.01	7.2%	2.01	7.2%	0.52	1.9%	30.34
FDIC	8.54	0.02	0.3%	0.02	0.3%	(1.00)	-11.7%	7.56
FEMA	5.06	(0.38)	-7.6%	0.00	0.1%	0.01	0.1%	4.68
FERC	5.23	0.28	5.3%	0.25	4.8%	0.03	0.5%	5.54
FTC	146.16	0.00	0.0%	0.00	0.0%	(19.18)	-13.1%	126.98
NASA	9.09	(1.36)	-15.0%	(1.36)	-15.0%	(0.01)	-0.2%	7.71
NSF	5.79	(0.09)	-1.6%	(0.09)	-1.6%	(0.97)	-16.8%	4.73
NRC	10.27	(0.38)	-3.7%	(0.38)	-3.7%	(0.21)	-2.1%	9.67
SEC	148.93	0.60	0.4%	0.60	0.4%	(73.86)	-49.6%	75.68
SBA	1.49	1.46	98.0%	0.07	2.6%	0.11	7.2%	3.07
SSA	24.78	(0.63)	-2.5%	(0.69)	-2.8%	(2.07)	-8.4%	22.08

* Government Total includes burden imposed by all Federal agencies subject to the Paperwork Reduction Act but were not subject to OMB Bulletin 98-09. These agencies imposed approximately 27.2 million hours of burden in FY 1997 and 16.0 million hours in FY 1998.

** The reported burden for the Department of State is adjusted, as described in the FY 1998 ICB, appendix B.

Table A.2
Information Collection Budget for FY 1999
(millions of hours)

	FY 1998 Total Hour Burden	FY 1999 Expected Program Changes		FY 1999 Expected Program Changes (corrected)		FY 1999 Expected Adjustments		FY 1999 Expected Total Hour Burden
Government Total	6,967.18	183.83	2.6%	147.49	2.1%	51.59	0.7%	7,202.59
Government Total, excluding Treasury	1,264.94	34.58	2.7%	(1.72)	-0.1%	(9.36)	-0.7%	1,290.15
Departments								
Agriculture	71.95	12.23	17.0%	0.70	0.8%	(0.63)	-0.9%	83.55
Commerce	13.49	(3.06)	-22.7%	(3.06)	-22.7%	0.32	2.3%	10.74
nonperiodic	6.80	1.37	20.2%	1.37	20.2%	0.32	4.6%	8.48
periodic	6.69	(4.43)	-66.3%	(4.43)	-66.3%	0.00	0.0%	2.25
Defense	119.00	(6.00)	-5.0%	(6.00)	-5.0%	(7.80)	-6.6%	105.20
Education	40.90	(5.01)	-12.2%	(5.01)	-12.2%	0.00	0.0%	35.89
Energy	4.46	(0.56)	-12.5%	(0.56)	-12.5%	(0.02)	-0.4%	3.88
Health and Human Services	139.31	22.28	16.0%	19.75	13.9%	2.95	2.1%	164.55
Housing and Urban Development	18.48	6.26	33.9%	(2.10)	-7.8%	(2.41)	-13.0%	22.33
Interior	4.57	0.32	7.0%	0.12	2.5%	0.08	1.8%	4.98
Justice	25.82	9.98	38.7%	0.18	0.5%	1.57	6.1%	37.37
Labor	198.99	(2.65)	-1.3%	(2.78)	-1.4%	(3.30)	-1.7%	193.04
State*	28.90	0.00	0.0%	(0.01)	0.0%	0.00	0.0%	28.90
Transportation	138.75	5.72	4.1%	5.72	4.1%	(1.27)	-0.9%	143.20
Treasury	5,702.24	149.25	2.6%	149.21	2.6%	60.95	1.1%	5,912.44
Veterans Affairs	2.64	1.22	46.3%	(1.99)	-34.0%	0.00	0.0%	3.87
Agencies								
EPA	119.18	1.25	1.0%	1.25	1.0%	0.18	0.1%	120.61
FAR	24.42	(6.86)	-28.1%	(6.86)	-28.1%	2.79	11.4%	20.36
FCC	30.34	0.37	1.2%	0.37	1.2%	1.01	3.3%	31.72
FDIC	7.56	0.00	0.1%	0.00	0.1%	0.00	0.0%	7.57
FEMA	4.68	(1.60)	-34.1%	(1.99)	-39.2%	0.73	15.6%	3.82
FERC	5.54	(1.31)	-23.7%	(1.31)	-23.7%	0.00	0.0%	4.23
FTC	126.98	0.00	0.0%	0.00	0.0%	(0.16)	-0.1%	126.83
NASA	7.71	(0.39)	-5.0%	(0.39)	-5.0%	0.00	0.0%	7.33
NSF	4.73	(0.02)	-0.5%	(0.02)	-0.5%	(0.30)	-6.4%	4.41
NRC	9.67	0.08	0.9%	0.08	0.9%	(0.16)	-1.7%	9.59
SEC	75.68	1.81	2.4%	1.81	2.4%	(2.08)	-2.7%	75.41
SBA	3.07	0.11	3.5%	0.03	1.0%	0.00	0.0%	3.17
SSA	22.08	0.39	1.8%	0.34	1.5%	(0.87)	-3.9%	21.60

* The reported burden for the Department of State is adjusted, as described in the FY 1998 ICB, appendix B.

Table A.3
Information Collection Budget for FY 2000
(millions of hours)

	FY 1999 Expected Total Hour Burden	FY 2000 Expected Program Changes		FY 2000 Expected Program Changes (corrected)		FY 2000 Expected Adjustments		FY 2000 Expected Total Hour Burden
Government Total	7,202.59	163.76	2.3%	163.76	2.3%	69.11	1.0%	7,435.45
Government Total, excluding Treasury	1,290.15	33.87	2.6%	33.87	2.6%	(0.26)	0.0%	1,323.76
Departments								
Agriculture	83.55	(5.77)	-6.9%	(5.77)	-6.9%	0.03	0.0%	77.81
Commerce	10.74	26.39	245.7%	26.39	245.7%	0.19	1.8%	37.32
nonperiodic	8.48	(0.14)	-1.7%	(0.14)	-1.7%	0.19	2.3%	8.53
periodic	2.25	26.53	1177.0%	26.53	1177.0%	0.00	0.0%	28.79
Defense	105.20	(5.26)	-5.0%	(5.26)	-5.0%	0.00	0.0%	99.94
Education	35.89	0.00	0.0%	0.00	0.0%	0.00	0.0%	35.89
Energy	3.88	0.00	0.0%	0.00	0.0%	0.00	0.0%	3.88
Health and Human Services	164.55	18.91	11.5%	18.91	11.5%	0.00	0.0%	183.45
Housing and Urban Development	22.33	0.13	0.6%	0.13	0.6%	0.00	0.0%	22.46
Interior	4.98	0.01	0.2%	0.01	0.2%	(0.02)	-0.4%	4.96
Justice	37.37	(0.05)	-0.1%	(0.05)	-0.1%	(0.27)	-0.7%	37.05
Labor	193.04	(2.49)	-1.3%	(2.50)	-1.3%	0.23	0.1%	190.78
State	28.90	0.03	0.1%	0.03	0.1%	0.00	0.0%	28.94
Transportation	143.20	0.00	0.0%	0.00	0.0%	0.00	0.0%	143.20
Treasury	5,912.44	129.89	2.2%	129.89	2.2%	69.37	1.2%	6,111.69
Veterans Affairs	3.87	0.00	0.0%	0.00	0.0%	0.00	0.0%	3.87
Agencies								
EPA	120.61	3.87	3.2%	3.87	3.2%	0.00	0.0%	124.48
FAR	20.36	(1.02)	-5.0%	(1.02)	-5.0%	0.00	0.0%	19.34
FCC	31.72	0.14	0.4%	0.14	0.4%	0.00	0.0%	31.86
FDIC	7.57	(0.02)	-0.3%	(0.02)	-0.3%	0.00	0.0%	7.54
FEMA	3.82	0.01	0.3%	0.01	0.3%	0.00	0.0%	3.83
FERC	4.23	(0.32)	-7.5%	(0.32)	-7.5%	(0.50)	-11.8%	3.41
FTC	126.83	0.00	0.0%	0.00	0.0%	0.00	0.0%	126.83
NASA	7.33	(0.37)	-5.0%	(0.37)	-5.0%	0.00	0.0%	6.96
NSF	4.41	0.00	0.0%	0.00	0.0%	0.00	0.0%	4.41
NRC	9.59	(0.53)	-5.5%	(0.53)	-5.5%	0.00	0.0%	9.05
SEC	75.41	0.10	0.1%	0.10	0.1%	0.00	0.0%	75.51
SBA	3.17	0.00	0.0%	0.00	0.0%	0.00	0.0%	3.17
SSA	21.60	0.10	0.5%	0.10	0.5%	0.07	0.3%	21.78

Table A.4
Information Collection Cost Burden
(millions of dollars)

	FY 1998 Estimated Total Cost Burden	FY 1999 Expected Total Cost Burden
Government Total	\$ 51,924.1	\$ 68,279.6
Government Total, excluding Treasury	\$ 51,923.4	\$ 68,277.9
Departments		
Agriculture	\$ 244.5	\$ 244.5
Commerce	\$ -	\$ -
Defense	\$ 2.0	\$ 2.0
Education	\$ -	\$ -
Energy	\$ 303.1	\$ 266.4
Health and Human Services	\$ 1,018.0	\$ 1,018.0
Housing and Urban Development	\$ 140.4	\$ 50.5
Interior	\$ 60.8	\$ 60.5
Justice	\$ 794.0	\$ 1,025.5
Labor	\$ 3,363.1	\$ 4,240.5
State	\$ -	\$ -
Transportation	\$ 7,109.7	\$ 16,660.5
Treasury	\$ 0.7	\$ 1.7
Veterans Affairs	\$ -	\$ -
Agencies		
EPA	\$ 18,899.0	\$ 18,856.4
FAR	\$ 15.1	\$ 854.9
FCC	\$ 3,371.1	\$ 3,447.2
FDIC	\$ -	\$ -
FEMA	\$ 12.0	\$ 12.3
FERC	\$ 210.4	\$ 159.2
FTC	\$ 164.0	\$ 216.5
NASA	\$ 12,850.9	\$ 12,850.9
NSF	\$ -	\$ -
NRC	\$ 24.2	\$ 24.2
SEC	\$ 3,107.6	\$ 8,054.2
SBA	\$ 233.5	\$ 233.7
SSA	\$ -	\$ -

Appendix B. Paperwork Reduction Act Violations

Section V of OMB Bulletin No. 98-08 (September 17, 1998) asked that each agency document its compliance with the information collection provisions of the Paperwork Reduction Act of 1995. Appendix B of No. 98-08 indicated that OMB is required to report to Congress all violations of the PRA and its implementing regulations (5 CFR 1320).

Agencies were asked to report on (1) the title of the collection of information, (2) the nature of violation, and (3) how the violation was discovered and remedied. The violations reported are described in two lists. The first list, "FY 1998 Violations: Expiration of an Ongoing Collection," identifies by agency (and agency component) those collections of information for which OMB approval had expired. Agencies have reinstated a large number of these. The second list, "FY 1998 Violations: Collections without OMB approval or modified without OMB approval," identifies agency use of a collection of information (or substantive or material modification thereof)³³ without having first obtained OMB approval under the Paperwork Reduction Act.

OMB continues to work with agencies and the Chief Information Officers to remedy existing violations and prevent ones in the future. In the near future, OMB will publish on its web site a list of all OMB approvals that expired during the last month along with its existing daily report of information collections submitted and approved.

**Table B.1 FY 1998 Violations
Expiration of Ongoing Collections**

OMB Control Number	Collection Title	Date of Expiration	Date of Reinstatement
Department of Agriculture/Agricultural Research Service			
0518-0020	Supplemental Children's Survey to the Continuing Survey of Food Intakes by Individuals	1/31/1997	11/3/1997
Department of Agriculture/Cooperative State Research, Education, and Extension Service			
0524-0030	Grant Application Kit for Higher Education Programs	9/30/1997	12/22/1997
Department of Agriculture/National Agricultural Statistical Service			
0535-0217	Wildlife Damage	1/31/1998	11/23/1998
0535-0220	Cotton Ginnings	11/30/1997	1/26/1998
Department of Agriculture/Foreign Agricultural Service			
0551-0001	Administering the Dairy Import Licensing System	6/30/1997	10/3/1997
0551-0008	Request for Vessel Approval (Form CC105-Cotton)	9/30/1998	—

³³ "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).

OMB Control Number	Collection Title	Date of Expiration	Date of Reinstatement
0551-0014	Certificate of Quota Eligibility	7/31/1997	11/12/1997
0551-0024	Buyer Alert	11/30/1997	—
Department of Agriculture/Farm Service Agency			
0560-0004	Report of Acreage	6/30/1997	—
0560-0006	Peanut Quota Regulations for the 1996 through 2002 Crops — 7 CFR Part 729 - Addendum	8/31/1997	—
0560-0025	Farm Reconstitutions	10/31/1997	—
0560-0058	Tobacco Domestic Marketing Assessment — 7 CFR 723.501–508	9/30/1997	—
0560-0074	Cotton Loan Program	1/31/1998	—
0560-0082	Conservation and Environmental Program — 7 CFR Part 701	7/31/1997	—
0560-0116	Indemnity Payment Programs, Dairy Indemnity Payment Program — 7 CFR Part 760	6/30/1997	11/20/1997
0560-0121	Payer's Request for Identifying Number	6/30/1997	10/3/1997
0560-0134	Marketing Assessments – Sugar — 7 CFR Part 1435	6/30/1997	—
0560-0148	Importer Assessments — 7 CFR Part 1464, Subpart B	12/31/1996	12/29/1998
0560-0155	Implementation of Preferred Lender Program and Streamlining of Guaranteed Regulations	7/31/1998	2/8/1999
0560-0157	Insured Farm Ownership Loan Policies, Procedures, and Authorizations	5/31/1998	2/11/1999
0560-0159	Emergency Loan Policies, Procedures, and Authorizations — 7 CFR Part 1945-D	8/31/1997	—
0560-0161	Farmer Program Account Servicing Policies — 7 CFR Part 1951-S	9/30/1997	1/6/1998
0560-0164	Disaster Set-Aside Program	8/31/1998	—
0560-0165	Agriculture Loan Mediation Program	3/31/1998	—
0560-0174	CCC Conservation Contract, Addendum	10/31/1997	5/13/1998
0560-0175	Noninsured Crop Disaster Assistance Program	5/31/1998	—
0560-0176	Request for Aerial Photography	10/31/1997	—
0560-0179	Livestock Indemnity Program	1/31/1998	—
0560-0181	Request for FSA County Committee Ballot and Declaration of Eligibility to Vote	7/31/1998	—
0560-0182	Tobacco Marketing Quota Referenda	9/30/1998	—
Department of Agriculture/Rural Business–Cooperative Service			
0570-0015	Rural Development Loan Fund Servicing	4/30/1998	—

OMB Control Number	Collection Title	Date of Expiration	Date of Reinstatement
Department of Agriculture/Rural Utilities Service			
0572-0002	Accounting Requirements for Electric Borrowers	9/30/1997	— ^a
0572-0012	Manual for Preservation of Borrower's Records, Electric	10/31/1997	— ^a
0572-0014	Report of Progress of Construction and Engineering Service and Engineer's Monthly Report of Substation Progress	4/30/1996	—
0572-0015	Financial Requirement and Expenditures Statement, Electric	9/30/1997	—
0572-0020	Request for Approval to Sell Capital Assets	6/30/1996	—
0572-0023	Advance and Disbursement of Funds—Telephone Loan Program	8/31/1997	—
0572-0031	Financial and Statistical Report for Telephone Borrowers	9/30/1998	—
0572-0041	Request for Release of Lien and/or Approval of Sale	5/31/1996	—
0572-0051	Request for Mail List Data	11/30/1997	—
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
0572-0079	Pre-Loan Procedures and Requirements for Telecommunications Program	12/31/1996	—
0572-0089	Wholesale Contracts for the Purchase and Sale of Electric Power	10/31/1997	—
0572-0095	RUS Policy on Audits for Electric and Telephone Borrowers	9/30/1998	—
0572-0097 ^c	Deferments of REA Loan payments for Rural Development Projects	8/31/1997	—
0572-0100	Lien Accommodations and Subordinates	5/31/1996	—
0572-0104	State Telecommunications Modernization Plan	1/31/1998	—
0572-0105	Demand Side Management Plan and Integrated Resource Plan	6/30/1997	—
0572-0107	Electric System Construction Policies and Procedures	11/30/1997	—
Department of Agriculture/Rural Housing Service			
0575-0018	Civil Rights Compliance Requirements	8/31/1997	2/1/1999
0575-0045	Farm labor Housing Loan and Grant Policies, Procedures, and Authorizations	7/31/1998	1/29/1999
0575-0064	Certification of Beneficial Ownership and Insured Notes	11/30/1997	—
0575-0109	Liquidation of Loans Secured by Real Estate and Acquisition of Real and Chattel Property	8/31/1997	10/28/1997

^a The agency states that these collections have been merged with 0572-0003, but OMB has not received or approved this revision.

^b The agency intends to merge this collection with 0572-0059.

^c This collection has been transferred to USDA/Rural Business—Cooperative Service and will be reinstated.

OMB Control Number	Collection Title	Date of Expiration	Date of Reinstatement
0575-0127	Application Certification, Federal Collection Policies for Consumer or Commercial Debts	11/30/1997	—
0575-0158	Supervised Bank Accounts	11/30/1996	10/28/1997
Department of Agriculture/Natural Resources Conservation Service			
0578-0007	Agriculture and Urban Drainage Surveys	6/30/1997	—
0578-0013	Long-Term Contracting Conservation Plan of Operations	8/31/1998	—
0578-0018	Application for Payment	7/31/1997	12/09/1997
0578-0019	Rural Abandoned Mine Program	6/30/1997	12/08/1997
Department of Agriculture/Animal and Plant Health Inspection Service			
0579-0007	National Poultry Improvement Plan (NPIP)	11/30/1997	2/20/1998
0579-0015	Prohibited and Restricted Importation of Meats, Animal Byproducts, Poultry, Organisms and Vectors into the U.S.	11/30/1997	4/30/1998
0579-0020	U.S. Origin Health Certificate	6/30/1997	10/24/1997
0579-0049	Foreign Quarantine Notices	4/30/1997	9/13/1998
0579-0088	Domestic Quarantines	12/31/1996	—
0579-0122	Asian Long-Horned Beetle	5/31/1997	10/3/1997
0579-0125	Porcine Reproductive and Respiratory Syndrome (PRRS)	12/31/1997	8/10/1998
Department of Agriculture/Agriculture Marketing Service			
0581-0033	Poultry Market News Report	1/31/1998	7/27/1998
Department of Agriculture/Food Safety and Inspection Service			
0583-0089	Processing Procedures and Quality Control Systems	10/31/1997	1/22/1998
0583-0090	Ante-Mortem and Post-Mortem Inspection	11/30/1997	—
0583-0092	Official Marking Devices, Labeling, and Packaging Material	12/31/1997	—
0583-0094	Exportation, Transportation, and Importation of Meat	12/31/1997	—
Department of Agriculture/Food and Nutrition Service			
0584-0009	Food Stamp Accountability Report	10/31/1997	6/10/1998
0584-0010	PRS, ME, Data Analysis, and Corrective Action	10/31/1997	— ^d
0584-0037	Report of Coupon Issuance and Commodity Distribution for Disaster Relief	9/30/1997	12/3/1998
0584-0052	Affidavit of Returned or Exchange of Food Coupons	11/30/1997	11/18/1998
0584-0062	Annual Report for the Nutrition Education and Training Program	9/30/1997	1/21/1998

^d Collection Discontinued

OMB Control Number	Collection Title	Date of Expiration	Date of Reinstatement
0584-0064	Food Stamp Forms: Periodic Reporting, Notice of Late/Incomplete Report, Etc.	4/30/1997	10/3/1997
0584-0067	State Administrative Expense Funds	9/30/1998	—
0584-0080	Issuance Reconciliation Report	11/30/1997	7/8/1998
0584-0124	Food Stamp Program Identification Cards	4/30/1997	10/6/1997
0584-0293	Food Distribution Regulations and Forms	9/30/1997	1/21/1998
0584-0314	Food Coupon Deposit Document	9/30/1997	1/5/1998
0584-0339	Employment and Training Program Report	10/31/1997	2/19/1998
0584-0479	Waiver Guidance for Food Stamp Time Limits	6/30/1997	2/5/1999
Department of Agriculture/Forest Service			
0596-0016	Application for Permit, Non-Federal Commercial Use of Roads Restricted by Order	9/30/1998	—
0596-0078	Statewide Survey of Forest-Land Ownership	10/31/1997	—
0596-0084	Youth Conservation Corps (YCC) Application and Medical History	10/31/1997	—
0596-0085	Free Use Permit, Timber	8/31/1997	1/4/1999
0596-0097	Interpretive Association Annual Report	6/30/1997	—
0596-0099	Application for the Senior Community Service Employment Program	6/30/1997	—
0596-0105	Land Ownership Adjustments, Land Exchanges	8/31/1998	—
0596-0106	Recreation Fee Permit Envelope	8/31/1998	—
0596-0118	Employment Interest Survey	10/31/1998	—
0596-0120	State and Private Forestry Assistance	6/30/1998	—
0596-0121	Baseline and Trend Information on National Forest Communication Use and Users	8/31/1998	—
0596-0127	National Survey on Outdoor Recreation	9/30/1998	—
0596-0136	National Private Landowners Survey	10/31/1997	—
Department of Commerce/International Trade Administration			
0625-0118	Information on Articles for Physically or Mentally Handicapped Persons Imported Free of Duty	6/30/1998	10/15/1998
Department of Commerce/National Oceanic and Atmospheric Administration			
0648-0083	Marine Mammal Certificate of Inclusion	10/31/1997	1/15/1998
0648-0121	Management and Oversight of the National Estuarine Research Reserve System	10/31/1997	1/15/1998
0648-0218	South Pacific Tuna Act	1/31/1998	5/1/1998

OMB Control Number	Collection Title	Date of Expiration	Date of Reinstatement
0648-0259	Tag Recapture Card	12/30/1997	5/1/1998
0648-0282	Alaska Region Moratorium Application and Transfer Forms	8/31/1997	11/28/1997
0648-0283	Teacher-At-Sea Program	6/30/1997	2/20/1998
0648-0335 /0648-0040	Fisheries Certificate of Origin	10/6/1997	11/28/1997
Department of Commerce/Bureau of Export Administration			
0694-0107	National Defense Authorization Act	7/31/1998	10/15/1998
Department of Defense			
0701-0001	Application for Training Leading to a Commission in the USAF	01/31/1998	3/1/1999
0701-0026	Nomination for Appointment to the United States Military Academy, Naval Academy, and Air Force Academy	05/31/1998	10/29/1998
0701-0042	Unescorted Entry Authorization Certificate	09/30/1998	— ^e
0701-0042	Unescorted Entry Authorization Certificate	09/30/1998	— ^f
0701-0050	Civil Aircraft Landing Permit System	02/28/1997	12/19/1997
0701-0063	Air Force Academy Candidate Activities Record	06/30/1997	12/19/1997
0701-0064	Air Force Academy Candidate Personal Data Record	05/31/1997	1/06/1998
0701-0066	Air Force Academy Request for Secondary School Information	06/30/1997	12/19/1997
0701-0070	Family Support Center Information	06/30/1996	10/17/1997
0701-0078	Health Professions Accession Forms	02/29/1996	2/12/1998
0701-0079	Nonprior Service and Prior Service Accessions	12/31/1995	2/12/1998
0701-0080	Air Force Officer Training School (OTS) Accession Forms	02/29/1996	2/12/1998
0701-0087	Air Force Academy Precandidate Questionnaire	09/30/1998	12/7/1998
0701-0096	Application for Appointment as Reserves of the Air Force or USAF Without Component	02/28/1998	9/17/1998
0701-0103	Air Force ROTC Scholarship Nomination	08/31/1997	6/03/1998
0701-0105	Application for AFROTC Membership	02/28/1998	6/24/1998
0701-0114	Application for Establishment of Air Force Junior ROTC Unit	12/31/1994	6/24/1998
0701-0122	Request for Family Member Educational Information	10/31/1996	12/19/1997
0701-0134	Request for Approval of Foreign Government Employment of Air Force Members	08/31/1997	6/24/1998
0701-0136	Survey of Separated Community College of the Air Force (CCAF)	01/31/1998	1/31/1998

^e Collection Discontinued

^f Collection Discontinued

OMB Control Number	Collection Title	Date of Expiration	Date of Reinstatement
0701-0138	National Civic Outreach Program	02/28/1998	— ^g
0701-0139	Air Force ROTC Pre-Applicant Questionnaire	02/28/1998	— ^h
0701-0145	Department of Defense/United States Air Force (USAF) Military	09/30/1998	— ⁱ
0702-0018	Uniform Tender Rates and/or Charges for Transportation	1/31/1996	11/29/1998
0702-0021	Application and Agreement for Establishment of a Junior Reserve Officers' Training Corps Unit	03/31/1998	3/31/1998
0702-0022	Tender of Service and Letter of Intent	10/31/1995	10/29/1998
0702-0027	Signature and Tally Record	5/31/1997	10/29/1998
0702-0060	Pre-Candidate Procedures	02/28/1998	—
0702-0061	Candidate Procedures	02/28/1998	—
0702-0062	Offered Candidate Procedures	02/28/1998	—
0702-0068	Marksmanship Competition Rifle and Pistol (Individual & Team) Entry and Score Cards	01/31/1998	— ^j
0702-0083	Application for the U.S. Army ROTC 2-year and 3-year Scholarship	08/31/1998	—
0702-0088	Freight Carrier Qualification Statement/Required Documents	03/31/1998	10/29/1998
0704-0004	Application for Review of Discharge or Dismissal from the Armed Forces of the United States	08/31/1994	10/17/1997
0704-0006	Request for Verification of Birth	09/30/1998	12/7/1998
0704-0007	Police Record Check	10/31/1996	1/06/1998
0704-0056	Tender of Service, Mobile Homes	03/31/1998	11/3/1998
0704-0100	Application for Discharge of Member or Survivor of Member of Group Certified to Have Performed Active Duty with the Armed Forces of the United States	05/31/1998	9/17/1998
0704-0125	Survey of Local Registrars and Election Officials (NVRA), Post-Election Survey of Local Election Officials, and Post-Election Survey of Overseas Citizens (UOCAVA)	03/31/1997	9/17/1998
0704-0175	Individual Facility Report, Health-Related Survey	07/31/1998	—
0704-0194	Department of Defense Security Agreement, Appendage to the Department of Defense Security Agreement, Certificate Pertaining to Foreign Interest	09/30/1997	—
0704-0221	Request for Visit Authorization	12/31/1997	—

^g Collection Discontinued

^h Collection Discontinued

ⁱ Collection Discontinued

^j Collection Discontinued

OMB Control Number	Collection Title	Date of Expiration	Date of Reinstatement
0704-0223	Department of Defense Dependents Schools Voluntary Questionnaire	10/31/1997	— ^k
0704-0261	Department of Defense Standard Tender of Freight Services	07/31/1995	7/20/1998
0704-0262	Research and Development Contracting, Defense FAR Supplement Part 235 and Related Clauses in Part 252	09/30/1998	— ^l
0704-0265	Home Health Care Demonstration, Inpatient Costs vs. Home Health	12/31/1997	— ^m
0704-0277	Defense Federal Acquisition Regulation Supplement (DFARS) Section 203.170, Statutory Prohibitions on Compensation to Former DoD Employees, and the Clause at DFARS 252.203-7000	09/30/1998	— ⁿ
0704-0291	Carrier Selection and Performance	09/30/1998	— ^o
0704-0314	Stars and Stripes Audience Survey	04/30/1993	10/17/1997
0704-0324	Defense Outplacement Referral System (DORS) and Public and Community Service (PACS) Programs	12/31/1996	12/19/1997
0704-0327	Notification and Reporting of Substantial Impact on Employment, Defense Federal Acquisition Regulation Supplement (DFARS) 249.7002 and the Clause at DFARS 252.249-7001	09/30/1998	— ^p
0704-0331	Service Contracting, Defense Federal Acquisition Regulation Supplement (DFARS) Part 237, Identification of Uncompensated Overtime, DFARS 252.237-7019	09/30/1998	— ^q
0704-0334	Repatriation Automated Tracking System	05/31/1998	9/29/1998
0704-0337	Report of Medical History	08/31/1998	— ^r
0704-0343	Defense FAR Supplement Subpart 223.70, Hazardous Waste Disposal; Clause 252.223-7005	09/30/1998	— ^s
0704-0360	Defense FAR Supplement Part 209, Contractor Qualifications, and Related Clause at 252.209	06/30/1998	— ^t

^k Collection Transferred to 0704-0370

^l Collection Discontinued

^m Collection Discontinued

ⁿ Collection Discontinued

^o Collection Discontinued

^p Collection Discontinued

^q Collection Discontinued

^r Collection Discontinued

^s Collection Transferred to 0704-0272

^t Collection Discontinued

OMB Control Number	Collection Title	Date of Expiration	Date of Reinstatement
0704-0366	National Security Education Program (NSEP) Grants to Institutions of Higher Education	08/31/1997	2/12/1998
0704-0367	Indebtedness of Military Personnel, Involuntary Allotments	09/30/1997	6/03/1998
0704-0368	National Security Education Program (Service Agreement Report for Scholarship and Fellowship Awards)	10/31/1997	2/12/1998
0704-0370	Department of Defense Dependents Schools Overseas Employment Opportunities for Educators	12/31/1997	6/03/1998
0704-0371	Evaluation of the Department of Defense Student Testing Program	12/31/1997	— ^u
0704-0372	Responsible Prospective Contractors, Defense Federal Acquisition Regulation Supplement (DFARS) Subpart 209.1, DFARS Subpart 252.2, Texts of Provisions Clauses	12/31/1997	— ^v
0704-0375	Department of Defense Base Closure Communities Customer Service	12/31/1997	— ^w
0704-0377	Industrial Capabilities Questionnaire	06/30/1998	—
0704-0378	Evaluation of the Department of Defense/Department of Education Career Academies	08/31/1998	— ^x
0704-0381	Chemical Weapons Exposure	08/31/1998	— ^y
0704-0383	Defense Reutilization and Marketing Service Customer Service Survey	09/30/1998	— ^z
0704-0384	DoD Request for Personnel Security Investigation	09/30/1998	—
0704-0385	Defense Federal Acquisition Regulation Supplement, Subpart 223.72 , Safeguarding Sensitive Conventional Arms, Ammunition, and Explosives	09/30/1998	— ^{aa}
0704-0387	Defense Capability Preservation Agreements	05/31/1998	— ^{bb}
0704-0399	Department of Defense M256A1 Outreach	05/31/1998	— ^{cc}
0710-0002	Recreation Research, Use Surveys	09/30/1998	— ^{dd}
0710-0007	Terminal and Transfer Facilities Survey	08/31/1998	11/16/1998

^u Collection Discontinued

^v Collection Discontinued

^w Collection Discontinued

^x Collection Discontinued

^y Collection Discontinued

^z Collection Discontinued

^{aa} Collection Transferred To 0704-0272

^{bb} Collection Discontinued

^{cc} Collection Discontinued

^{dd} Collection Discontinued

OMB Control Number	Collection Title	Date of Expiration	Date of Reinstatement
0710-0008	Lock Performance Monitoring System (PMS) Waterway Traffic Report	07/31/1998	12/3/1998
0710-0010	USACE Customer Satisfaction Survey	12/31/1997	— ^{ee}
0710-0011	PERMIT Application Process Evaluation, Galveston District Corps of Engineers	02/28/1998	— ^{ff}
0720-0008	TRICARE Enrollment Application Form	09/30/1998	—
0730-0002	Statement of Claimant Requesting Recertified Check	12/31/1996	2/12/1998
Department of Education/Special Education and Rehabilitative Services			
1820-0017	Annual Vocational Rehabilitation Program/Cost Report	09/30/1997	12/14/1998
1820-0557	Report on Infants and Toddlers Receiving Early Intervention Services	12/31/1997	8/25/1998
1820-0577	Report of Program Settings Early Intervention Services	12/31/1997	— ^{gg}
Department of Education/Office of Vocational and Adult Education			
1830-0026	Adult Education State Plan	11/30/1994	1/29/1999
1830-0027	Adult Education Financial and Performance Report	12/31/1993	—
1830-0503	Performance Report state-Administered Vocational Technical Education Programs	01/31/1997	—
1830-0510	Adult Education General Reporting Requirements	10/31/1994	—
Department of Education/Office of Postsecondary Education			
1840-0700	Cancellation and Deferment Request Forms for the Federal Direct Student Loan	02/28/1998	—
Department of Education/Office of Intergovernmental and Interagency Affairs			
1860-0502	USA Learn Telephone Service Database	10/31/1995	— ^{hh}
Department of Energy			
1901-0298	Steam-Electric Plant Operation and Design Report	5/31/1997	12/17/1997
Department of Health and Human Services/Food and Drug Administration			
0910-0001	New Drug and Antibiotic Regulations — 21 CFR 314	11/30/1989	11/18/1998
0910-0012	Veterinary Adverse Drug Reaction, Lack of Effectiveness, Product Defect Report	4/30/1997	12/17/1998
0910-0016	Food Additive Petitions	9/30/1996	11/3/1997

^{ee} Collection Discontinued

^{ff} Collection Discontinued

^{gg} Collection Transferred to 1820-0557

^{hh} Collection Discontinued

OMB Control Number	Collection Title	Date of Expiration	Date of Reinstatement
0910-0019	Transmittal of Periodic Reports and Promotional Materials for New Animal Drugs — 21 CFR Part 510	11/30/197	— ⁱⁱ
0910-0025	Reporting and Recordkeeping for Electronic Products, General Requirements	9/30/1994	10/24/1997
0910-0032	New Animal Drug Application	4/30/1996	7/22/1998
0910-0039	Transmittal of Labels and Circulars	5/31/1996	11/19/1997
0910-0045	Registration of Producers of Drugs and Listings of Drugs in commercial Distribution	12/31/1997	4/27/1998
0910-0048	Notice of Availability of Sample Electronic Product	9/30/1996	11/25/1997
0910-0053	Radioactive Drug Research Committee - Report on Research Use of Radioactive Drug Membership Summary and Radioactive Drug Research Use of Radioactive Drug Study Summary	1/31/1998	5/19/1998
0910-0073	Medical Device: Good Manufacturing Practices (GMP) Regulations	6/30/1995	7/22/1998
0910-0116	Current GMP Regulations for Blood and Blood Components	5/31/1996	2/13/1998
0910-0117	Investigational Use of New Animal Drugs	12/31/1997	11/18/1998
0910-0120	Premarket Notification Submission (510(k)), Subpart E	8/31/1993	10/29/1998
0910-0124	Establishment and Product License Application	6/30/1998	11/29/1998
0910-0131	Agreement for Shipments of Devices for Sterilizations	9/30/1998	11/19/1997
0910-0139	Current GMP for Finished Pharmaceuticals	2/29/1996	—
0910-0140	Conditions for the Use of Narcotic Drugs for Treatment of Narcotic Addictions	10/31/1995	4/27/1998
0910-0151	Exemption Petitions for the Conduct of Food Labeling Experiments	5/31/1996	— ^{jj}
0910-0152	GMP Regulations for Medicated Feeds	5/31/1996	8/27/1998
0910-0154	Current GMP Regulations for Type A Medicated Articles	4/30/1996	8/27/1998
0910-0167	Orphan Drug Regulations — 21 CFR Part 316	4/30/1996	7/6/1998
0910-0168	Shipment of a Blood Product Prior to Completion of Testing for Hepatitis B Surface Antigen (HBsAg) and Shipment of Blood Products known Reactive for HbsAg	2/29/1996	4/2/1998
0910-0171	Hearing Aid Devices: Professional and Patient Labeling and Conditions for Sale	9/30/1996	11/26/1997
0910-0182	Use of Impact-Resistant Lenses in Eyeglasses; and Sunglasses	1/31/1994	3/2/1998
0910-0192	Petition for Administrative Reconsideration of Action	12/31/1996	5/19/1998
0910-0194	Petition for Administrative Stay of Action	1/31/1997	4/27/1998

ⁱⁱ Collection Transferred to 0910-0012

^{jj} Collection merged with Food Labeling Regulations (OMB No. 0910-0381)

OMB Control Number	Collection Title	Date of Expiration	Date of Reinstatement
0910-0206	Request for Samples and Protocols; Official Release	3/31/1996	11/19/1997
0910-0213	Specific Product Requirements, Electronic Products	6/30/1998	12/3/1998
0910-0230	Adverse Drug Experience Reporting	5/31/1996	11/3/1998
0910-0231	Premarket Approval of Medical Devices — 21 CFR 814	2/28/1997	12/30/1997
0910-0235	Foreign Language Disclosure Labeling	9/30/1996	— ^{kk}
0910-0264	Export of Medical Devices, Foreign Letters of Approval	9/30/1996	11/25/1997
0910-0287	Food Labeling: General Requirements for Health Claims for Food	3/31/1996	— ^{ll}
0910-0288	Food Labeling: Nutrient Content Claims, General Principles, Petitions, Definitions of Nutrient Content Claims	3/31/1996	— ^{mmm}
0910-0291	MedWatch: FDA's Medical Product Reporting Program	5/31/1996	7/29/1998
0910-0297	User Fee Cover Sheet	2/28/1997	4/27/1998
0910-0298	Food Additives, Threshold of Regulations for Substances Used in Food Contact Articles	3/31/1997	3/2/1998
0910-0302	Human Tissue Intended for Transplantation	5/31/1997	2/13/1998
0910-0305	Abbreviated New Drug Application Regulations, Patent and Exclusivity Provisions	1/31/1998	5/19/1998
0910-0309	Information Collection for Mammography Facilities	7/31/1998	12/31/1997
0910-0320	Request for Information from US Processors that Export to the European Community	9/30/1996	7/22/1998
0910-0324	Small Business Exemption Notice	9/30/1996	— ⁿⁿ
0910-0358	Tobacco Retailer Tracking Study	5/31/1998	—
Department of Health and Human Services/Health Resources and Services Administration			
0915-0061	Progress Reports for Continuation of Training Grants	12/31/1997	11/18/1998
Department of Health and Human Services/Indian Health Services			
0917-0002	IHS Contract Health Service Report	12/31/1997	4/27/1998
0917-0009	IHS Medical staff Credentials and Privileges File	7/31/1998	—
0917-0010	IHS CHR Activity Reporting Survey	2/28/1997	10/28/1997
Department of Health and Human Services/Centers for Disease Control			
0920-0004	National Disease Surveillance Program — II. Disease Summaries	10/31/1996	—

^{kk} Collection merged with Food Labeling Regulations (OMB No. 0910-0381)

^{ll} Collection merged with Food Labeling Regulations (OMB No. 0910-0381)

^{mmm} Collection merged with Food Labeling Regulations (OMB No. 0910-0381)

ⁿⁿ Collection merged with Food Labeling Regulations (OMB No. 0910-0381)

OMB Control Number	Collection Title	Date of Expiration	Date of Reinstatement
0920-0006	Application of Excludability under Immigration and Nationality Act	9/30/1998	12/4/1998
0920-0009	National Disease Surveillance Program — I. Case Reports	11/30/1996	—
0920-0134	Foreign Quarantine — 42 CFR Part 71	6/30/1997	5/26/1998
0920-0237	Fourth National Health and Nutrition Examination Survey	12/31/1994	6/5/1998
0920-0260	Health Hazard Evaluation, Technical Assistance and Emerging Problems	8/31/1997	1/26/1998
0920-0261	Training Grants, Applications and Regulations - 42 CFR Part 86	3/31/1997	11/3/1997
0920-0274	CDC Model Performance Evaluation Program (MPEP) for Retroviral and AIDS-Related Testing	3/31/1998	6/5/1998
0920-0337	Childhood Blood Lead Surveillance System	1/31/1997	3/2/1998
0920-0344	Multi-Center Short Study to Assess the risk and Consequences of Hepatitis C Virus Transmission from Mother to Infant	3/31/1997	11/13/1997
0920-0349	Airways Disease in Miners	8/31/1997	11/19/1997
0920-0350	Occupational Asthma Identification Methods	9/30/1997	2/18/1998
0920-0387	Intensive Care Antimicrobial Resistance Epidemiology	7/31/1997	8/27/1998
Department of Health and Human Services/National Institutes of Health			
0925-0368	American Stop Smoking Intervention Study for Cancer Prevention (ASSIST) Final Evaluation: Tobacco Use Supplement to the 1998-99 Current Population Survey	3/31/1997	8/5/1998
0925-0383	National Donor Research and Education Survey II	4/30/1996	1/20/1998
0925-0401	Leukemia and Other Cancers Among Chernobyl Cleanup Workers in Lithuania	8/31/1996	5/26/1998
0925-0406	Agricultural Health Study (A Prospective Cohort Study of Cancer and Other Diseases Among Men and Women in Agriculture)	11/30/1997	11/3/1998
Department of Health and Human Services/substance Abuse and Mental Health Services Administration			
0930-0119	1997 Survey of Mental Health Organizations and General Hospital Mental Health Services (SMHO)	3/31/1997	4/30/1998
Department of Health and Human Services/Health Care Financing Administration			
0938-0025	Request for Termination of Premium Hospital and/or Supplementary Medical Insurance and Supporting Regulations on 42 CFR 406.28 and 407.27	08/31/95	10/31/1997
0938-0041	Third-Party Premium Billing Request and Supporting Regulations in 42 CFR 408.6	03/31/97	10/03/1997

OMB Control Number	Collection Title	Date of Expiration	Date of Reinstatement
0938-0086	Medicare/Medicaid Disclosure of Ownership and Financial Control Interest Statement	04/30/97	1/02/1998
0938-0094	Medicaid-Integrated Quality Control Review Manual Instructions and Supporting Regulations — 42 CFR 431.800, .865	8/31/97	6/8/1998
0938-0101	Medicaid Program Budget Reports and Supporting Regulations — 42 CFR 400.00-430.00	12/31/97	5/26/1998
0938-0144	Corrective Action Plan, Medicaid Eligibility Quality Control — 42 CFR 431.800-820	02/28/98	8/12/1998
0938-0155	Municipal Health Services Cost Report Form and Supporting Regulations — 42 CFR 405.427	07/31/96	10/20/1997
0938-0214	Questions on Other Insurance Available to Medicare Beneficiaries, Medicare Secondary Payer	7/31/1996	5/31/1998
0938-0227	Medical Review of Outpatient Therapy	12/31/1997	—
0938-0251	Application for Hospital Insurance — 42 CFR 406.7	06/30/98	9/21/1998
0938-0272	Annual Report on Home and Community-Based Services Waivers — State Medicaid Manual Section 2700.6 and Supporting Regulations in 42 CFR 440.181 and 441.300-305	02/28/98	7/30/1998
0938-0279	Medicare Uniform Institutional Provider Bill	10/31/1995	—
0938-0282	Quarterly Showing of Validation Survey	12/31/1996	11/14/1997
0938-0300	Negative Case Action Review Process/Annual Report and Supporting Regulations — 42 CFR 431.800	11/30/97	2/10/1998
0938-0365	Home Health Medicare Conditions of Participation (COP) Information Collection Requirements (CR's) as Outlined in 42 CFR 484	5/31/97	11/18/1997
0938-0366	Intermediate Care Facilities for the Mentally Retarded	10/31/1996	—
0938-0448	End Stage Renal Disease Death Notification	8/31/1997	—
0938-0454	Physician Certification/Recertification in Skilled Nursing Facilities (SNFs)	3/31/98	8/03/1998
0938-0469	Health Maintenance Organizations and Competitive Medical Plans and Supporting Regulations 42 CFR 417.126, 417.478, 417.162	1/31/98	5/11/1998
0938-0470	Competitive Medical Plan, Medicare Contract Application, Medicare Contract Application for Federally Qualified HMO and Supporting Regulations -- 42 CFR 417.408, 417.143	07/31/97	10/31/1997
0938-0472	Requirement to Disclose HMO Financial Information to Members and Supporting Regulations in 42 CFR 417.124	5/31/97	11/5/1997
0938-0501	Medicare Qualification Statement for Federal Employees and Supporting Regulations at 42 CFR 406.15	6/30/97	1/15/1998

OMB Control Number	Collection Title	Date of Expiration	Date of Reinstatement
0938-0512	Organ Procurement Organization's Request for Designation — 42 CFR 486.301-486.325	05/31/98	9/4/1998
0938-0526	Peer Review Contracts: Solicitation of Interest from In-State Organizations, General Notice and Supporting Regulations — 42 CFR 462.102, 462.103, 462.104	10/31/97	6/19/1998
0938-0564	Information Collection Requirements in BPD 302-F, Medicare Secondary Payer	3/31/1996	—
0938-0650	Alternate Quality Assessment Survey	2/28/98	5/11/1998
0938-0707	Application Model Template for State Child Health Plan under Title XXI of the Social Security Act, State Children's Health Insurance Plan	3/31/98	6/24/1998
Department of Health and Human Services/Administration for Children and Families			
0970-0004	Annual Statistical Report on Children in Foster Homes and Children in Families Receiving AFDC Payments in Excess of the Poverty Income Level	5/31/98	1/5/1999
0970-0030	Refugee Resettlement Program Estimates: CMA	8/31/97	4/2/1998
0970-0037	Quarterly Estimates for Low-Income Home Energy Assistance	6/30/98	11/16/1998
0970-0076	ACF Grantee Survey of the Low-Income Home Energy Assistance Program (LIHEAP)	3/31/96	6/19/1998
0970-0123	Runaway and Homeless Youth Management Information System (MIS)	12/31/1994	—
0970-0129	Collection of Child Welfare Data under the Voluntary Cooperative Information System (VCIS)	12/31/98	1/20/1998
0970-0132	Notice of Proposed Rulemaking (NPRM) for Developmental Disabilities Program	08/31/98	8/31/1998
0970-0155	Community-Based Family Resource and Support Grants	09/30/97	5/13/1998
0970-0157	Temporary Assistance for Needy Families (TANF) Tribal Plan	10/31/97	2/12/1998
0970-0174	Native Employment Works (NEW) Program Plan Guidance and Report Requirements	06/30/98	—
Department of Health and Human Services/Office of Human Development Services			
0980-0160	Developmental Disabilities Annual Protection and Advocacy Program Performance Report	06/30/94	10/09/1997
0980-0162	State Developmental Disabilities Council 3-year State Plan for Fiscal Years 1997-2000	07/31/95	10/09/1997
0980-0172	State Developmental Disabilities Council Annual Program Performance Report Disabilities Council Annual Program Performance Report	01/31/94	10/09/1997

OMB Control Number	Collection Title	Date of Expiration	Date of Reinstatement
0980-0193	Small Business Innovation Research Program Phase Proposal; Cover Sheet Abstract of Research Plan	08/31/98	—
0980-0196	Application and Program Reporting Requirement for the Children's Justice Act Authorized by the Child Abuse Prevention and Treatment Act (as Amended)	08/31/97	5/14/1998
0980-0242	Appeal procedures for Head Start Grantees and Current of Former Delegate Agencies	08/31/98	—
0980-0243	Head Start Grants Administration (45 CFR 1031)	09/30/98	—
Department of Health and Human Services/Administration on Aging			
0985-0004	Supplemental Form to the Financial Status Report (SF-269), title III of the Older Americans Act, Grants for State and Community Programs on Aging	01/31/1998	5/25/1998
0985-0005	State Annual Long-Term Care Ombudsman Report	02/28/1997	10/16/1997
Department of Health and Human Services/Office of Family Assistance			
0992-0003	April 1998 Current Population Survey Supplement on Child Support	04/30/97	4/17/1998
Department of Housing and Urban Development/Office of the Secretary			
2501-0013	HOME Investment Partnership	11/30/1997	11/25/1998
Department of Housing and Urban Development/Office of Housing			
2502-0005	Title II Approval of Lender Eligibility Requirements	6/30/1996	—
2502-0010	Survey Instructions for MF Projects	10/31/1993	3/16/1998
2502-0017	Title I Approval of Lender Eligibility Requirements	11/30/1994	—
2502-0029	Application for M/F Housing Project	9/30/1997	—
2502-0052	Statement of Profit and Loss	9/30/1998	—
2502-0057	Eligibility of Non-Profit Corporation	11/30/1997	—
2502-0058	Supplement to Subscription Agreement for Cooperative Housing Applicants Under Section 213 and 221(D)(3)	11/30/1996	—
2502-0082	Recertification of Family Composition	7/31/1997	11/26/1997
2502-0098	Financial Statement	6/30/1998	—
2502-0122	Application for Designation of Fee Personnel	11/30/1997	—
2502-0141	Application for Mortgage Insurance	4/30/1997	10/17/1997
2502-0187	Requisition for Disbursement of 202 Loan Funds	6/30/1998	—
2502-0189	Compliance Inspection Report, Mortgagee's Assurance Completion	7/31/1998	—
2502-0190	Application for Home ownership Assistance	10/31/1997	1/5/1998

OMB Control Number	Collection Title	Date of Expiration	Date of Reinstatement
2502-0192	Description of Materials	1/31/1996	1/5/1998
2502-0204	Owner/Tenant Certification	11/30/1997	4/6/1998
2502-0210	Certification of Need for Health Facility	11/30/1994	—
2502-0243	Land Sales Registration	5/31/1998	1/11/1999
2502-0253	Manufactured Home Construction and Safety Standards Act Reporting Requirements	11/30/1996	8/10/1998
2502-0265	Good Faith Estimate / Closing Statement	5/31/1997	10/14/1997
2502-0267	Sec. 202 Supportive Housing for the Elderly Application	6/30/1998	—
2502-0275	Application for Transfer for Physical Assets (TPAs)	6/30/1997	—
2502-0301	Deed-in-Lieu of Foreclosure	4/30/1998	—
2502-0313	Technical Suitability of Products	1/31/1998	8/18/1998
2502-0321	Minimum Property Standards, Request for Local Review of Acceptable Building Codes	8/31/1997	4/24/1998
2502-0322	Insurance of Adjustable Rate Mortgage	5/31/1997	12/4/1997
2502-0331	Project Application	6/30/1995	3/12/1999
2502-0340	Single Family Mortgage Insurance on Indian Reservations and Other Restricted Lands	10/31/1997	3/10/1998
2502-0349	Certification for Adjustments for Damages and Neglect	9/30/1997	—
2502-0352	Utility Allowance Adjustments	7/31/1997	11/12/1997
2502-0372	Preferences for Admission to Assisted Housing	1/31/1997	—
2502-0395	Flexible Subsidy / Capital Improvement Loan	3/31/1996	1/5/1998
2502-0404	Single Family Mortgage Instruments	8/31/1998	—
2502-0410	Survey of Tenants in Properties with HUD-held and Foreclosed Mortgages	9/30/1996	3/6/1998
2502-0416	Request for Termination of Multifamily Insurance	5/31/1998	—
2502-0418	Statement of Taxes	8/31/1998	—
2502-0447	Service Coordinators in Section 8, 202, 221, and 236 Housing and Projects	6/30/1997	—
2502-0458	Disclosure of Probable Transfer of Loan Servicing	11/30/1997	—
2502-0462	Sec. 811 Supportive Housing for Persons with Disabilities	6/30/1998	—
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	—
2502-0483	Sec. Repayment Agreement	5/31/1998	—

OMB Control Number	Collection Title	Date of Expiration	Date of Reinstatement
2502-0491	Real Estate Settlement Procedures Act (RESPA), Amendments to RESPA in the Housing and Community Development Act of 1991 — P.L. 102-550	4/30/1997	—
2502-0500	Housing Finance Agency Risk-Share Program	10/31/1996	1/26/1997
2502-0505	Comprehensive Needs Assessment (CNA)	8/31/1997	—
2502-0507	AAF Rent Increase Requirement	4/30/1998	7/24/1998
2502-0512	Automated Clearinghouse Title I Insurance	5/31/1998	10/30/1998
2502-0513	HUD Condominium “Spot Loan” Checklist and Warranty	5/31/1997	—
2502-0519	Mark to Market/Portfolio Reengineering Demonstration Program Guidelines	7/31/1997	3/19/1998
Department of Housing and Urban Development/Government National Mortgage Association			
2503-0004	Issuer’s Monthly Accounting Reports	10/31/1996	10/14/1997
2503-0026	Loan Level Reporting for the GNMA Mortgage Backed Securities Program	8/31/1997	—
2503-0027	Automated Clearhouse Title I Insurance	12/31/1996	12/4/1997
2503-0031	Customer Satisfaction Survey	6/30/1998	11/3/1998
Department of Housing and Urban Development/Office of Community Planning and Development			
2506-0085	State CDBG Program	7/31/1997	11/19/1997
2506-0117	Consolidated Plan for Community Investment	3/31/1998	6/17/1998
2506-0121	Relocation and Real Property Acquisition Recordkeeping	8/31/1997	—
2506-0123	Section 108 Loan Guarantee Program	12/31/1996	—
2506-0147	Progress Report for Innovative Project Funding	8/31/1995	10/29/1997
2506-0151	Floodplain Management	10/31/1997	1/7/1998
2506-0152	Proposed rule: Residential Anti-Displacement and Relocation	8/31/1997	—
2506-0153	Economic Development Initiative Grant Program	12/31/1996	6/17/1998
2506-0159	Loan Guarantee Recovery Fund Established Pursuant to the Church Arson Act of 1996	6/30/1997	9/21/1998
Department of Housing and Urban Development/Office of the General Counsel			
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	—
Department of Housing and Urban Development/Policy Development and Research			
2528-0016	American Housing Survey	3/3/1997	1/23/1998

OMB Control Number	Collection Title	Date of Expiration	Date of Reinstatement
2528-0142	Section 8 Random Digit Dialing Fair Market Rent Telephone Survey	6/30/1997	6/05/1998
Department of Housing and Urban Development/Office of Fair Housing and Equal Opportunity			
2529-0034	Nondiscrimination Based Upon Handicap in Federally Assisted Programs and Activities of the Department of HUD	3/31/1997	—
2529-0043	Employment Opportunities for Low- and Very Low-Income — Part 135	7/31/1997	4/6/1998
Department of Housing and Urban Development/Office of Lead-Based Paint and Poison			
2539-0013	NOFA Local Lead Hazard Awareness Campaign	7/31/1998	10/19/1998
2539-0014	NOFA National Lead Hazard Awareness Campaign	8/31/1998	10/19/1998
Department of Housing and Urban Development/Office of Public and Indian Housing			
2577-0006	Lease Requirements	5/31/1998	9/16/1998
2577-0012	Outline Specifications	10/31/1997	4/24/1998
2577-0021	Certificate of Completion, Consolidated	8/31/1993	10/14/1997
2577-0025	Periodic Estimate for Partial Payment	9/30/1997	4/24/1998
2577-0026	Operating Budget	10/31/1997	6/15/1998
2577-0027	Public Housing Construction Report	10/31/1996	—
2577-0029	Performance Funding System	12/31/1997	5/11/1998
2577-0033	Public Housing Development and Mixed Development of Units	9/30/1996	12/10/1997
2577-0037	Analysis of Property Main Construction Report	6/30/1997	4/8/1998
2577-0046	Procedures for Obtaining Cert. Of Insurance Dev. and Mod. Proj.	1/31/1997	5/8/1998
2577-0064	Electricity, Gas, Water, and Sewage Disposal Data	10/31/1996	—
2577-0075	Demolition/Disposition application and Reporting	4/30/1998	7/28/1998
2577-0078	Pet Ownership in Public Housing for the Elderly	9/30/1997	3/6/1998
2577-0088	Contract/Subcontract Activity Report for Public and Indian Housing	10/31/1996	10/29/1997
2577-0125	Performance Funding System; Energy Conservation Savings	8/31/1997	—
2577-0149	Requisition for Partial Payment of Annual Contributions	4/30/1998	7/1/1998
2577-0195	Section 8 Certificates and Vouchers	7/31/1997	—
2577-0200	Mortgage Credit Analysis for Loan Guarantee Program	12/31/1997	12/9/1998
2577-0201	Section 5(H) Home ownership Program for PIH	8/31/1997	6/17/1998
2577-0210	Standards, Viability, and Removal Plan for Conversion of Certain PH to Tent-Based Section 8 Vouchers and Certificates	11/30/1996	11/21/1997

OMB Control Number	Collection Title	Date of Expiration	Date of Reinstatement
2577-0213	Report of Tenants Accounts Receivable, Indian	3/31/1997	—
2577-0214	PHAs' Plan for Exception Request, Site-Based Waiting Lists	3/31/1997	4/24/1998
2577-0216	PH/Section 8 Moving to Work Demo Request to Qual.	3/31/1997	—
2577-0218	Native American Housing Block Grant Program, Notice of Transition Req.	9/30/1997	1/9/1998
2577-0219	Community Renaissance Fellows Program: Budget, Payment Voucher Reporting	7/31/1997	1/23/1998
Department of the Interior/Bureau of Land Management			
1004-0001	Free Use of Timber Application and Permit — 43 CFR 5510, Form 5510-1	5/31/1996	11/28/1997
1004-0019	Range Improvement Permit — 43 CFR 4120, Form 4120-7	8/31/1997	11/28/1997
1004-0058	Timber Export Reporting and Substitution Determination — 43 CFR Part 5400, Form 5460-17	6/30/1995	11/28/1997
1004-0109	Statement Federal Land Payments — 43 CFR 1881	7/31/1996	4/11/1997
1004-0132	Geothermal Resources Operations — 43 CFR 3260, Forms 3260-2, 3260-3, 3260-4, and 3260-5	7/31/1996	11/28/1997
1004-0134	Oil and Gas Operating Regulations — 43 CFR 3160	7/31/1996	11/28/1997
1004-0135	Sundry Notices and Reports on Wells — 43 CFR 3160, Form 3160-5	7/31/1996	11/28/1997
1004-0136	Application for Permit to Drill, Form 3160-3	2/28/1995	11/28/1997
1004-0137	Well Completion or Recompletion Report and Log, Form 3160-4	2/28/1995	11/28/1997
Department of the Interior/Fish and Wildlife Service			
1018-0010	Mourning Dove Abundance Hunting Regulations	5/31/1995	11/4/1998
1018-0019	North American Woodcock Singing Ground Survey	5/31/1995	11/4/1998
1018-0022	Federal Fish and Wildlife License/Permit	7/31/1997	2/6/1998 ^{oo}
1018-0097	Depredation Orders for Double Crested Cormorant	8/31/1998	—
Department of the Interior/Bureau of Indian Affairs			
1076-0017	Social Services Family Profile, Record of Income and Resources, Employment Information — 25 CFR Part 20	6/30/1993	—
1076-0018	Grant Application for Community Colleges — 25 CFR 41	6/30/1993	—
1076-0020	Direct Loan & Loan Guaranty Program Applications and Requirements — 25 CFR 101 and 103	7/31/1995	—

^{oo} At the time of reinstatement, this collection was split into four collections, assigned OMB Nos. 1018-0022, -0092, -0093, and -0094.

OMB Control Number	Collection Title	Date of Expiration	Date of Reinstatement
1076-0062	Application for Training or Employment Assistance, Form BIA-3205	12/31/1992	—
1076-0094	Law and Order on Indian Reservations	3/31/1995	—
1076-0096	Education Contracts under Johnson-O'Malley Act Application and Regulatory Requirements — 25 CFR 273	7/31/1993	—
1076-0101	Higher Education Grant Program Application/Annual Report, Form 25 CFR 41	5/31/1998	—
1076-0105	Grants, Tribally Controlled Community Colleges and Navajo Community College Annual Report — 25 CFR Part 41	8/31/1993	—
1076-0107	ISEP Student Transportation Form	1/31/1991	—
1076-0108	Indian School Equalization Program Student Membership Form	7/31/1993	—
1076-0110	“Financial Statement” from a State or Other Agency Pursuant to a Contract with BIA — 25 CFR 21.6	11/30/1993	—
1076-0112	Contents of Reassumption Petitions	11/30/1993	—
1076-0114	Application for Admission to Haskell Indian Junior College and to Southwestern Indian Polytechnic Institute, Forms BIA-6222 and BIA-6223	1/31/1994	—
1076-0120	Adult Education Annual Report Form, Adult Education Needs Assessment, and Adult Education Program Application	10/31/1997	—
1076-0121	Maintenance and Control of Student Records in Bureau Schools, Annual Notification of Rights — 25 CFR 43.4	12/31/1993	—
1076-0122	Student Enrollment Application, Form BIA-6248	12/31/1993	—
1076-0128	Employer and Personal Reference Inquiry Form	6/30/1994	—
1076-0131	Indian Child Welfare Act Quarterly Report	1/31/1996	12/7/1998
1076-0134	Student Transportation (Revision)	9/30/1997	—
1076-0135	A Reporting system for P.L. 102-477 Demonstration Project	3/31/1998	1/12/1999
Department of Justice/General Administration			
1103-0035	Police Corps Final Rule	2/28/1997	— ^{PP}
1103-0036	Police Corps Service Agreement	3/31/1997	4/17/1998
Department of Justice/Legal Activities			
1105-0052	Claims Under the Radiation Exposure Compensation Act	2/28/1998	11/10/1998
1105-0063	Database of Providers for Offender Job Training	9/30/1998	—
1105-0064	Appeal Fee Waiver Request	9/30/1998	—
1105-0065	Notice of Appeal to the Board of Immigration Appeals of a Decision of an Immigration Judge	9/30/1998	—

^{PP} Collection Transferred to 1103-0048

OMB Control Number	Collection Title	Date of Expiration	Date of Reinstatement
1105-0066	Change of Address Form	9/30/1998	—
Department of Justice/Federal Bureau of Investigation			
1110-0004	Number of Full Time Law Enforcement Employees as of October 31	4/30/1998	—
1110-0008	Monthly Return of Arson Offenses Known to Law Enforcement	4/30/1998	—
1110-0009	Analysis of Law Enforcement Officers Killed and Assaulted	2/28/1998	—
Department of Justice/Immigration and Naturalization Services			
1115-0005	Application for Travel Document	10/31/1997	12/23/1997
1115-0008	Application to File Declaration of Intention	10/31/1997	12/23/1997
1115-0009	Application for Naturalization	9/30/1998	11/18/1998
1115-0015	Application to Replace a Naturalization/Citizenship Certificate	1/31/1998	—
1115-0019	Application for Non-Resident Alien's Border Crossing Card	9/30/1998	—
1115-0022	Request for Certification of Military or Naval Service	10/31/1997	12/23/1997
1115-0029	Guarantee of Payment	2/28/1998	—
1115-0035	Application for Transfer of Petition for Naturalization	12/31/1997	—
1115-0042	Application for Waiver of Passport and/or Visa	12/31/1997	—
1115-0053	Application to Register Permanent Residence or Adjust Status	1/31/1998	—
1115-0055	Application for Stay of Deportation or Removal	7/31/1998	11/13/1998
1115-0063	Baggage and Personal Effects of Detained Aliens	7/31/1998	—
1115-0068	Notice to Student or Exchange Visitor	10/31/1997	—
1115-0070	Petition for Approval of School for Nonimmigrant Students	9/30/1998	—
1115-0073	Application to Pay Off or Discharge Alien Crewman	1/31/1998	—
1115-0077	Arrival and Departure Record	11/30/1997	—
1115-0079	Application for Replacement/Initial Nonimmigrant Arrival Departure Document	10/31/1997	12/23/1997
1115-0093	Application to Extend/Change Nonimmigrant Status	12/31/1997	—
1115-0099	Application for Admission to Reapply for Admission into the United States	9/30/1998	—
1115-0104	Health and Human Services Statistical Data for Refugee/Asylee	5/31/1998	—
1115-0108	Supplementary Statement for Graduate Medical Trainees	12/31/1997	—
1115-0115	Alien Address Report Card	9/30/1998	—
1115-0117	Petition for Amerasian, Widower, or Special Immigrant	1/31/1998	1/31/1999
1115-0118	Affidavit of Financial Support and Intention to Petition for Legal Custody for Public Law 97-359 Amerasian	9/30/1998	—

OMB Control Number	Collection Title	Date of Expiration	Date of Reinstatement
1115-0122	Document Verification Request	3/31/1998	1/31/1999
1115-0128	Intracompany Transferee Certificate of Eligibility	1/31/1998	—
1115-0135	Notice of Appeal	9/30/1998	—
1115-0136	Employment Eligibility Verification	12/31/1997	7/9/1998
1115-0142	Immigration User Fee	9/30/1998	2/28/1999
1115-0145	Petition to Remove the Conditions on Residence	1/31/1998	1/14/1999
1115-0151	Application for Issuance or Replacement of Northern Mariana Card	10/31/1997	12/23/1997
1115-0152	Application for Certificate of Citizenship on Behalf of an Adopted Child	11/30/1997	—
1115-0154	Certificate of Satisfactory Pursuit	9/30/1998	—
1115-0155	Application to Status from Temporary to Permanent Resident	9/30/1998	—
1115-0162	Request for the Return of Original Documents	9/30/1998	2/28/1999
1115-0163	Application for Employment Authorization	4/30/1998	—
1115-0166	Application for Voluntary Departure Under the Family Unity Program	10/31/1997	—
1115-0170	Application for Temporary Protected Status	10/31/1997	12/23/1997
1115-0176	Application for Action on an Approved Application or Petition	10/31/1997	12/23/1997
1115-0181	Dedicated Commuter Lane Usage Survey	9/30/1998	—
1115-0182	Guidelines on Producing Master Exhibits for Asylum Applications	9/30/1998	—
1115-0183	--Notice of Immigration Pilot Program	9/30/1998	—
1115-0184	Emergency Federal Law Enforcement Assistance	9/30/1998	—
1115-0192	Telephone Verification System Phase II Pilot	9/30/1998	12/15/1998
1115-0196	Interagency Alien Witness and Informant Record	9/30/1998	—
1115-0197	ABC Change of Address Form and Special Filing Instructions for ABC Class Members	7/31/1998	—
1115-0201	Joint Employment Verification Pilot	3/31/1998	—
1115-0203	Application for Transmission of Citizenship	12/31/1997	—
1115-0204	Reengineering foreign students and schools pilot program	8/31/1998	12/11/1998
1115-0214	Application for Support under Section 213A of the Act and Notification of Reimbursement of Means Tested Benefits	3/31/1998	4/16/1998
1115-0215	Sponsor's Notice of Change of Address	3/31/1998	4/16/1998
1115-0217	Election Form to Participate in an Employment Eligibility Program	9/30/1998	1/31/1999

OMB Control Number	Collection Title	Date of Expiration	Date of Reinstatement
1115-0219	Fax Request Form from Benefit Agency to INS for Confirmation of Status	9/30/1998	1/31/1999
Department of Justice/Office of Justice Programs			
1121-0024	Claim for Death Benefits	9/30/1998	—
1121-0025	Report of Public Safety Officer's Death	9/30/1998	—
1121-0078	National Prisoner Statistics Midyear Count	11/30/1997	5/18/1998
1121-0115	Victim's of Crime Act, Crime Victim's Assistance Grant Program	9/30/1998	—
1121-0130	National Judicial Reporting Program	12/31/1997	2/28/1999
1121-0148	Denial of Federal Benefits for Drug Offenders	9/30/1998	—
1121-0185	Certification of Compliance with the Eligibility Requirements of the Violence Against Women Act	3/31/1998	12/9/1998
1121-0186	Certification of Compliance with the Statutory Eligibility Tribal Governments	3/31/1998	—
1121-0197	Bureau of Justice Assistance- State Criminal Alien Assistance Program Application Form,	12/31/1997	7/21/1998
1121-0214	BJA-Byrne Formula Grant Program Annual Institutionalization Eligibility Requirement of the Violence Against Women Act	10/31/1997	—
1121-0217	State Identification Systems Formula Grant Program Application	11/30/1997	—
1121-0220	Application for Federal Law Enforcement Dependents Assistance	1/31/1998	—
1121-0223	Crime Mapping Survey	3/31/1998	—
1121-0227	Use of Force in the Arrest of Persons with Impaired Judgement	3/31/1998	—
Department of Justice/Civil Rights Division			
1190-0010	Redress Provisions for Japanese Americans: Guidelines Under Ishida v United States	9/30/1998	—
Department of Labor/Employment and Training Administration			
1205-0025	Job Corps Data Sheet	9/30/1983	—
1205-0026	Job Corps Statement from the Court	8/31/1995	—
1205-0031	Job Corps Request for Readmission	6/30/1996	—
1205-0040	Senior Community Service Employment Program	10/31/1996	—
1205-0051	Disaster Unemployment Assistance Reporting Forms	4/30/1996	8/26/1998
1205-0179	Unemployment for Former Federal Employees Handbook	7/31/1997	12/9/1997
1205-0215	Migrant and Seasonal Farm Worker Reporting Requirements	7/31/1995	9/4/1998

OMB Control Number	Collection Title	Date of Expiration	Date of Reinstatement
1205-0228	UI Preliminary Estimates of Average Employer Tax Rates	3/31/1997	12/4/1997
1205-0238	UI Income & Eligibility Verification	8/31/1997	1/16/1998
1205-0243	JTPA Service Delivery Area Reorganization Plan Appeal	8/31/1997	—
1205-0273	JTPA Title III Biennial Plan	6/30/1996	3/17/1998
1205-0308	JTPA Indian & Native American Reporting	8/31/1997	5/19/1998
1205-0329	State Job Training Plan	6/30/1998	12/17/1997
1205-0336	State Job Plans/Govs. Coordination and Special Services	6/30/1996	12/17/1997
1205-0341	JTPA Annual Service Delivery Area Reporting Requirements	9/30/1996	2/6/1998
1205-0350	Standardized Participant	6/30/1996	10/16/1998
1205-0374	Work Opportunity Tax Credit	6/30/1997	— ⁹⁹
Department of Labor/Occupational Safety and Health Administration			
1218-0000 (Previously 1218-0110)	Consultation Agreements	10/31/1994	—
1218-0020	Initial and Renewal Application for Training and Education Grant	8/31/1997	4/28/1998
1218-0064	Notice of Alleged Safety and Health Hazards	1/31/1997	9/3/1998
1218-0100	Trading Grants—Grantee Quarterly Progress Report	3/31/1997	4/9/1998
1218-0172	Trading Grants—Student Data Form	5/31/1997	5/20/1998
Department of Labor/Mine Safety and Health Administration			
1219-0024	Application for Waiver of Surface Facilities Requirement	8/31/1998	12/8/1998
1219-0030	Main Fan Operation and Inspection - 30 CFR 57.22204	8/31/1996	11/13/1998
1219-0037	Noise Data Report Form and Calibration Records (30 CFR 70.506, 70.507, 70.508, 70.509, 71.801, 71.803 and 71.804)	9/30/1998	—
1219-0039	Gamma Radiation Exposure Records — 30 CFR 57.5047	1/31/1997	12/4/1997
1219-0041	Program to Prevent Smoking in Hazardous Areas	4/30/1998	6/19/1998
1219-0073	Record of Mine Closure	8/31/1998	—
1219-0078	Alternate Mine Rescue Capability for Small and Remote Mines	9/30/1996	11/18/1997
1219-0082	Records of Preshift and Onshift Inspections of Slope and Shaft Areas — 30 CFR 77.1901	4/30/1997	10/3/1997
1219-0095	Explosive Materials and Blasting Units	10/31/1996	11/4/1997

⁹⁹ Collection incorporated into Work Opportunity and Welfare to Work Tax Credits (OMB No. 1205-0371) on 9/29/1998

OMB Control Number	Collection Title	Date of Expiration	Date of Reinstatement
Department of Labor/Office of the Assistant Secretary of Veterans Affairs			
1293-0002	Eligibility Date Form for requesting Assistance in Obtaining Veterans' Reemployment Rights	6/30/1998	7/24/1998
Department of State			
1405-0002	Application for Registration, Forms DSP-0009 and DSP-0009a	3/31/1996	1/19/1999
1405-0003	Application/License for Permanent Export of Unclassified Defense Articles and Technical Data, Form DSP-0005	12/31/1995	1/19/1999
1405-0007	Application for Federal Employment	6/30/1998	10/31/2001
1405-0008	Registration/Application for Foreign Service Examination, Form DSP-0024	6/30/1991	8/31/1998
1405-0011	Application for Consular Report of Birth Abroad of a Citizen, Form FS-0579	9/30/1992	3/16/1998
1405-0013	Application/License for Temporary Import of Unclassified Defense Articles, Form DSP-0061	12/31/1995	1/19/1999
1405-0018	Application for Nonimmigrant Visa, Form OF-0156	10/31/1995	4/1/1998
1405-0021	Nontransfer and Use Certificate, Form DSP-0083	3/31/1996	1/19/1999
1405-0022	Application/License for Permanent/Temporary Export or Temporary Import of Classified Defense Articles and Related Technical Data, Form DSP-0085	12/31/1995	1/19/1999
1405-0023	Application/License for Temporary Export of Unclassified Defense Articles, Form DSP-0073	12/31/1995	1/19/1999
1405-0025	Statement of Political Contributions, Fees, or Commissions in Connection with Sale of Defense Articles or Services, Form Rpt.-0017	3/31/1996	1/19/1999
1405-0029	Application for Employment as a Foreign Service National, Background Check for Employment, Form OF-0174.	2/28/1994	— ^{rr}
1405-0031	Approval of Funding to Support Specific Educational Programs, Form JF-0045	6/30/1995	3/16/1998
1405-0036	Overseas Schools Questionnaire, Information Regarding Professional Staff, Overseas Summary Budget Information, Overseas Schools Request for Assistance	7/31/1998	10/31/2001
1405-0042	Survey of Factors Which Caused a Dramatic Increase in 1983 Passport Applications	11/30/1983	— ^{ss}
1405-0046	Marine Note of Protest	9/1/1986	—
1405-0048	Report of the Death of an American Citizen Abroad, Form OF-180	10/31/1989	3/16/1998

^{rr} Collection Discontinued

^{ss} Collection Discontinued

OMB Control Number	Collection Title	Date of Expiration	Date of Reinstatement
1405-0051	Authority to Export Defense Articles and Defense Services Sold under the Foreign Military Sales Program, Form DSP-0094	3/31/1996	1/19/1999
1405-0052	Seaman Action Certificate, Form FS-0463	10/31/1988	—
1405-0053	Application for Benefits Under Hostage Relief Act, Form Rpt.-10	10/31/1988	— ^{tt}
1405-0054	Evacuation Documentation Card, Form OF-0028	10/31/1991	— ^{uu}
1405-0066	Application for Department of State Building Pass, Form DSP-97	12/31/1996	3/16/1998
1405-0068	Medical History & Examination for Foreign Service, Form DS-1622 and DS-1843	10/31/1994	—
1405-0069	Applications for Exemptions from Taxes on Utilities and Gasoline, Forms DSP-0099 and DSP-0099a	1/31/1996	3/16/1998
1405-0076	Application for Assistance under the Hague Convention for International Child Abductions, Form DSP-105	8/31/1995	—
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	—
1405-0080	Application for Consideration (Visa Program), Form Rprt-6	9/30/1994	—
1405-0082	Petition to Classify Special Immigrants under INA 203(B)(4), Form DS-1884	2/28/1995	—
1405-0088	Affidavit of Identifying Witness, Form DSP-0071	11/30/1995	10/6/1997
1405-0091	Application to Determine Returning Resident Status, Form DSP-0117	1/31/1996	3/16/1998
1405-0092	Application for Amendment to License for Export or Import of Classified or Unclassified Defense Articles and Related Technical Data, Form DSP-0119	12/13/1995	1/19/1999
1405-0093	Request for Approval of Manufacturing License Agreements, Form Rprt-18	3/31/1996	1/19/1999
1405-0096	Nonimmigrant Fiancé(e) “K” Visa Application, Form OF-156K	2/29/1996	12/15/1998
1405-0097	Ground Rules for U.S. Initiative on Joint Implementation, Form Rprt-2	1/31/1997	—
1405-0098	Supplemental Registration for the Diversity Immigrant Visa, Form DSP-122	3/31/1997	—
1405-0100	Application for A, G, NATA Visa, Form DS-1648	5/31/1997	—

^{tt} Collection Discontinued

^{uu} Collection Discontinued

OMB Control Number	Collection Title	Date of Expiration	Date of Reinstatement
1405-0101	Nonimmigrant Treaty Trader/Investor Visa Application, Form OF-156E	7/31/1997	3/16/1998
1405-0102	Refugee Biographical Data Sheet	8/31/1997	3/16/1998
47-R0187	Skills Test Bank	3/1/1981	—
47-R0178	Statement of Non-Receipt of Passport	9/1/1978	—
Department of Transportation/Office of the Secretary			
2105-0510	Report of DBE Awards and Commitments	7/31/1997	3/24/1998
2105-0520	Uniform Administrative Requirements for Grants & Cooperative Agreements to State and Local Governments	2/28/1997	3/24/1998
Department of Transportation/U.S. Coast Guard			
2115-0133	Various Forms and Posing Requirements under 46 CFR Concerning Commercial Vessel Inspections	4/31/1997	12/18/1997
2115-0552	Liquefied Natural Gas and Liquefied Hazardous Gas Waterfront	3/31/1997	11/19/1997
Department of Transportation/Federal Highway Works Administration			
2125-0010	Bid Price Data	8/31/1997	3/27/1998
2125-0019	Highway Safety and Improvement Program and Priorities (Federal-Aid Highway Construction Equal Employment Opportunity)	12/31/1996	12/1/1997
2125-0519	Developing and Recording Costs for Utility Adjustments	2/28/1997	11/17/1997
2125-0542	Commercial Driver Licensing and Testing Standards	3/31/1997	2/3/1998
2125-0571	Request for Revocation of Authority Granted	8/31/1997	1/15/1998
2125-0572	Application for Certificate of Registration for Certain Foreign Motor Carriers	6/30/1997	1/23/1998
Department of Transportation/National Highway Transportation Safety Administration			
2127-0004	Defect & Noncompliance Report — 49 CFR Part 573	1/31/1997	2/18/1998
2127-0006	Fatal Accident Reporting System	2/29/1996	2/18/1998
2127-0019	Automotive Fuel Economy Reports — 49 CFR 537	1/31/1997	2/18/1998
2127-0038	Assigning DOT Code Numbers to Glazing Materials	8/31/1996	2/18/1998
2127-0043	Manufacturer identification — 49 CFR Part 566	4/30/1997	2/18/1998
2127-0044	Names and Addresses of First Purchasers of Motor Vehicles	1/31/1997	2/18/1998
2127-0045	Petitions for Inconsequentiality — 49 CFR Part 556	10/31/1996	2/23/1998
2127-0506	Warning Devices (Labeling) — 49 CFR Section 571.125	3/31/1996	2/18/1998
2127-0512	Consolidated Vehicle ID Number Requirements for Motor Vehicle (Except VIN Number)	8/31/1996	2/18/1998
2127-0518	Motorcycle Helmets (Labeling) — 49 CFR 571.218	10/31/1996	2/18/1998

OMB Control Number	Collection Title	Date of Expiration	Date of Reinstatement
2127-0521	Motor Vehicle Brake Fluids — 49 CFR Part 571.116	6/30/1996	2/18/1998
2127-0569	Labeling of Reflective Material for Trailer Conspicuity	2/29/1996	2/18/1998
2127-0573	Motor Vehicle Content Labeling — 49 CFR Part 583	7/31/1997	2/27/1998
2127-0588	Authorization to Deactivate an Airbag	7/31/1997	11/12/1997
Department of the Treasury/Departmental Offices			
1505-0152	Request for Transfer of Property Seized/Forfeited by a Treasury Agency	8/31/1997	2/27/1998
1505-0158	Presidential Awards for Excellence in Microenterprise Development	4/30/1997	4/8/1998
1505-0160.	Registration of Claims of U.S. Nationals against the Government of North Korea and North Korean entities	5/31/1997	11/26/1997
Department of the Treasury/Financial Crimes Enforcement Network			
1506-0005	Currency Transaction Report by Casinos	11/30/1997	2/17/1999
Department of the Treasury/Financial Management Service			
1510-0066	Management of Federal Agency Disbursements	10/31/1996	11/05/1997
Department of Veterans Affairs			
2900-0001	Veterans Application for Compensation or Pension	9/30/1998	10/16/1998
2900-0003	Application for Burial Benefits	5/31/1998	—
2900-0005	Application for Dependency and Indemnity Compensation by Parent(s) (Including Accrued Benefits and Death Compensation When Applicable)	1/31/1998	—
2900-0006	Application for Accrued Amounts of Veteran's Benefits Payable to Surviving Spouse, Child or Dependent Parents	4/30/1998	—
2900-0009	Disabled Veterans Application for Vocational Rehabilitation	8/31/1996	5/11/1998
2900-0011	Application for Reinstatement, VA Form 29-352	5/31/1997	—
2900-0012	Application for Cash Surrender or Policy Loan	9/30/1997	3/30/11998
2900-0013	Application for US Flag for Burial Purposes	9/30/1998	—
2900-0014	Authorization and Certification of Entrance or Reentrance into Rehabilitation and Certification or Status	9/30/1998	—
2900-0017	Fiduciary Account Book, Fiduciary Account	9/30/1998	—
2900-0020	Designation of Beneficiary	7/31/1998	10/23/1998
2900-0021	Notice of Default, VA Form 26-6851	3/31/1997	12/23/1997
2900-0022	Notice of Intention to Foreclose, VA Form 26-6851	4/30/1997	—
2900-0024	Insurance Deduction Application	8/31/1998	—

OMB Control Number	Collection Title	Date of Expiration	Date of Reinstatement
2900-0028	Application for Service Representatives for Placement on Mailing List	9/30/1998	—
2900-0032	Report and Certification of Disbursement	5/31/1998	10/23/1998
2900-0033	Application for Reinstatement, VA Form 29-353	5/31/1997	—
2900-0034	Trainee Request for Leave — 38 U.S.C. Chapter 31, VA Form 28-1905H	6/30/1997	—
2900-0036	Statement of Disappearance, VA Form 21-1775	12/31/1996	1/22/1999
2900-0041	Compliance Inspection Report	5/31/1998	10/16/1998
2900-0043	Declaration of Status of Dependents	3/31/1998	—
2900-0046	Statement of Heirs for Payment of Credits Due Estate of Deceased Veteran	6/30/1998	10/16/1998
2900-0049	Request for Approval of School Attendance	9/30/1998	—
2900-0057	School Attendance Report	4/30/1998	—
2900-0060	Claim for Life Insurance Proceeds, (NSLI & USGLI), Invitation and Claim for One Sum Payment (NSLI & USGLI), Claim for Monthly Installments (NSLI) and Claim for Monthly Installments (USGLI)	6/30/1998	—
2900-0061	Request for Supplies	9/30/1998	—
2900-0064	Application for Amounts Due Estate of Persons Entitled to Benefits	9/30/1998	—
2900-0066	Request to Employer for Employment Information in Connection with Claim for Disability Benefits	1/31/1998	10/23/1998
2900-0068	Application for Service-Disabled Insurance, VA Forms 29-4364 and 29-3464-1	4/30/1997	—
2900-0076	Request to Creditor Regarding Applicant's Indebtedness	9/30/1998	—
2900-0077	Court-Appointed Fiduciary's Account	9/30/1998	—
2900-0080	Authorization and Invoice for Medical and Hospital Service; Claim for Payment of Unauthorized Medical Services; and Invoice for travel by Ambulance or other Hired Vehicle	9/30/1998	5/22/1998
2900-0085	Appeal to Board of Veteran's Appeal; Withdrawal of Services by a Representative; Fee Agreement; Motion for Review Expenses; Request for change in Hearing Date; and Motion for Reconsideration	7/31/1998	—
2900-0090	Application for Voluntary Service, VA Form 10-7055	7/31/1997	—
2900-0091	Application for Health Benefits and Yearly Reapplication of Health Benefits — Title 38, CFR Sections 17.36(d)(1) and 17.36(d)(4)(iii)	7/31/1998	10/23/1998

OMB Control Number	Collection Title	Date of Expiration	Date of Reinstatement
2900-0094	Supplement to VA Forms 21-526, 21-534 and 21-535 (For Philippine Claims)	9/30/1998	—
2900-0095	Pension Claim Questionnaire for Farm Income, VA Form 21-4165	12/31/1996	1/22/1999
2900-0098	Application for Survivors' and Dependents' Educational Assistance under 38 U.S.C. Chapter 35, VA Form 22-5495	1/31/1997	12/3/1997
2900-0099	Request for Change of Program or Place of Training, Survivors' and Dependent's Educational Assistance, VA Form 22-5495	11/30/1996	10/21/1997
2900-0103	Application for Dependency and Indemnity Compensation by Child, VA Form 21-4183	6/30/1997	3/9/1999
2900-0111	Statement of Purchaser or Owner Assuming Seller's Loan	8/31/1998	—
2900-0112	Statement of Holder or Servicer of Veteran's Loan, VA Form Letter 26-559	8/31/1995	10/6/1997
2900-0113	Application for Fee Personnel Designation, VA Form 26-6681	5/31/1997	10/6/1997
2900-0115	Supporting Statement Regarding Marriage	9/30/1998	—
2900-0117	Supporting Statement Regarding Marriage, VA Form 21-4171	1/31/1997	—
2900-0123	Federal Fiduciary's Account	9/30/1998	—
2900-0128	Notice of Lapse	6/30/1998	—
2900-0129	Supplemental Disability Report	9/30/1998	—
2900-0130	Status of Loan Account, Foreclosure or other Liquidation	9/30/1998	—
2900-0138	Request for Details of Expenses	9/30/1998	—
2900-0143	Offer to Rent on Month-to-Month Basis and Credit Statement of Prospective Tenant	7/31/1998	10/16/1998
2900-0144	HUD/VA Addendum to Uniform Residential Loan Application and Uniform Residential Loan Application	6/30/1998	10/23/1998
2900-0148	Notice of Past Due Payment	9/30/1998	—
2900-0149	Application for Conversion	7/31/1998	—
2900-0153	Disability Benefit Questionnaire	7/31/1998	10/16/1998
2900-0154	Application for Education Benefits, VA Form 22-1990	8/31/1997	12/3/1997
2900-0158	Daily Report of Workmen and Material Daily Log, Formal Contract, VA Form 08-6131	2/28/1997	—
2900-0161	Medical Expense Report	8/31/1998	—
2900-0162	Monthly Certification of Flight Training	8/31/1998	—
2900-0168	Request for estate Information	7/31/1998	—
2900-0171	Application and Enrollment Certification for Individualized Tutorial Assistance, VA Form 22-1990T	2/28/1997	10/21/1997

OMB Control Number	Collection Title	Date of Expiration	Date of Reinstatement
2900-0178	Monthly Certification of On-the-Job and Apprenticeship Training, VA Forms 22-6553D and 22-6553D-1	6/30/1997	10/6/1997
2900-0179	Application for Change of Permanent Plan (Medical)	6/30/198	—
2900-0186	Computation of Loan Amount for Manufactured Home Unit, VA Form 26-8641A	1/31/1997	—
2900-0187	Placement Certification for Manufactured Home, VA Form 26-8644	12/31/1996	—
2900-0196	Report of Automatic Manufactured Home and/or Lot Loan, VA Form 08-6299	1/31/1997	—
2900-0202	Application for Ordinary Life Insurance (Age 70) and Information about Modified Life Insurance Reduction and Replacement Features	6/30/1998	10/23/1998
2900-0205	Application for Employment and Appraisal of Applicant for Title 38 Position	6/30/1998	—
2900-0208	Architect-Engineer Fee Proposal	9/30/1998	—
2900-0211	Supplement to SF-129, Solicitation Mailing List Application, VA Form 08-6299	11/30/1996	—
2900-0212	Veterans Mortgage Life Insurance	6/30/1998	10/12/1998
2900-0216	Application for Reimbursement from Accrued Amounts Due a Deceased Beneficiary	8/31/1998	—
2900-0227	Customer Feedback surveys	9/30/1998	—
2900-0234	Request to Mortgage Company for Amount of Unpaid Mortgage	7/31/1998	—
2900-0252	application for Authority to Close Loans on an Automatic Basis Non-Supervised Lenders	4/30/1998	10/16/1998
2900-0254	Transfer of Ownership Data, Portfolio Loan, VA Form 26-8792	4/30/1997	—
2900-0255	Application for Dependency ad Indemnity Compensation or Death Pension (Including Accrued Benefits where Applicable) from the Department of Veterans Affairs	9/30/1998	—
2900-0260	Request for and Consent to Release of Medical Records Protected by 38 USC 7332	2/29/1998	5/25/1998
2900-0265	Application for Counseling	9/30/1998	—
2900-0270	Financial Counseling Statement	6/30/1998	—
2900-0276	Manufactured Home Appraisal Report, VA Form 26-8712	6/30/1997	2/6/1998
2900-0317	Request for Identifying Information re: Veteran's Loan Records	6/30/1998	10/16/1998
2900-0319	Fiduciary Agreement	8/31/1998	—
2900-0324	Supplement Physical Examination Report	9/30/1998	—
2900-0342	Apprenticeship and On-the-Job Training	5/31/1998	10/6/1998

OMB Control Number	Collection Title	Date of Expiration	Date of Reinstatement
2900-0362	Claim Under Loan Guaranty, Supplemental Claim Form, Adjustable Rate Mortgage	8/31/1998	—
2900-0368	Monthly Statement of Wage Paid to Trainee, 38 U.S.C. Chapter 31, VA Form 1917	8/31/1997	—
2900-0377	Claim for Repurchase of Loan, VA Form 26-8084	6/30/1997	12/11/1997
2900-0386	Interest Rate Reduction Refinancing Loan Worksheet, VA Form 26-8923	6/30/1997	2/6/1998
2900-0387	Request for Verification of Deposit	4/30/1998	10/6/1998
2900-0390	Application of Surviving Spouse or Child for REPS Benefits (Restored Entitlement Program for Survivors)	7/31/198	—
2900-0393	VA Acquisition Regulation (VAAR) — 48 CFR Chapter 8, Parts 813, 814, and 815	11/30/1996	—
2900-0394	Certification of School Attendance, REPS, VA Form 21-8926	4/30/1997	10/16/1998
2900-0396	Certification of Training, VA Form 22-8929	4/30/1997	3/30/1998
2900-0400	Complaints 38 CFR 18.55452, Notice of Subrecipient 38 CFR 18.532	7/31/1998	—
2900-0404	Veteran's Application for increased Compensation Based on Unemployability	11/30/1997	—
2900-0405	REPS Annual Eligibility Report	9/30/1998	—
2900-0406	Verification of VA Benefit-Related Indebtedness, VA Form 26-8937	7/31/1997	3/30/1998
2900-0408	Manufactured home Loan Claim Under the Guaranty (Manufactured Home Unit Only), Combination Loan (Manufactured Home Unit and Lot or Lot Only) and Records Maintained by Holders of Loans	2/28/1998	—
2900-0432	Invitation, Bid, and/or Acceptance or Authorization, VA Form 26-6724	4/30/1997	12/15/1997
2900-0438	List of Names and Addresses - 38 CFR 1.519(A)	3/31/1996	12/15/1997
2900-0442	Request for Armed Forces Records from Veteran, VA Form Letter 21-80E	8/31/1997	1/23/1998
2900-0455	Equal Opportunity Compliance Review Report, and Supplement to Equal Opportunity Compliance Report, VA Forms 27-8734 and 27-8734A	5/31/1997	12/11/1997
2900-0463	Notice of Waiver of VA Compensation or Pension to Receive Military Pay and Allowance	9/30/1998	—
2900-0465	Monthly Verification of Pursuits	8/31/1997	12/11/1997
2900-0466	Certification of Balance on Deposit	9/30/1998	—
2900-0467	Mortgage Status Information	6/30/1998	—

OMB Control Number	Collection Title	Date of Expiration	Date of Reinstatement
2900-0469	Certification Showing Residence a Heirs of Deceased Veteran or Beneficiary	9/30/1998	—
2900-0477	Notice of Default and Intention to Foreclose, VA Form 26-6850A	5/31/1997	—
2900-0495	Marital Status Questionnaire, VA Form 21-0537	8/31/1997	3/30/1998
2900-0496	Claim for Veterans Mortgage Life Insurance	9/30/1998	—
2900-0500	Status of Dependents Questionnaire	3/31/1998	—
2900-0501	Veterans Mortgage Life Insurance Inquiry	8/31/1998	—
2900-0503	Veterans Mortgage Life insurance Change of Address Statement	9/30/1998	—
2900-0505	Collection of Government Funds via Credit Card	6/30/1998	—
2900-0507	Medical Information for Reinstatement	9/30/1998	—
2900-0509	Veterans Mortgage Life Insurance Health Statement	8/31/1998	—
2900-0510	Application for Exclusion of Children's Income	8/31/1998	—
2900-0519	Locality Pay System Survey, Department of Veterans Affairs Nurses Pay Act of 1990	8/31/1998	—
2900-0523	Loan Analysis, VA Form 26-6393	1/31/1997	2/6/1998
2900-0529	Study of Reproductive Health Outcomes among Women Vietnam Veterans	9/30/1998	—
2900-0541	Customer Service/Lender Survey	6/30/1998	—
2900-0545	Report of Medical, Legal and other Expenses Incident to Recovery for Injury or Death	9/30/1998	—
2900-0556	Patient Advance Directive	3/31/1998	—
2900-0558	National Health Survey of Gulf War Era Veterans and their Families	9/30/1998	—
2900-0561	Study of Environmental Health and Persian Gulf War Syndrome, VA Form 10-20989(NR)	5/31/1997	— ^{vv}
2900-0563	Army Chemical Corps Vietnam Health Study	3/31/1998	—
2900-0582	Request for IRS 1099-MISC Tax Collection and Federal 1057 Socio-Economic Status	4/30/1998	—
Federal Communications Commission			
3060-0059	Statement Regarding the Importation of Radio Frequency Devices Capable of Causing Harmful Interference	7/31/1997	—
3060-0207	Test of the Emergency Broadcast System and Radio Monitoring and Attention Signal Transmission Requirements — Sections 73.961 and 73.932	2/28/1997	—

^{vv} Collection Discontinued

OMB Control Number	Collection Title	Date of Expiration	Date of Reinstatement
3060-0812	Assessment and Collection of Regulatory Fees for FY 1997 - MD Docket No. 96-186	6/30/1998	9/28/1998
Federal Emergency Management Agency			
3067-0018	National Flood Insurance Program Biennial Report	5/31/1997	9/22/1998
3067-0066	Request for Fire Suppression Assistance	10/31/1997	—
3067-0113	The Declaration Process	10/31/1997	—
3067-0120	Implementation of Coastal Barrier Resources Act	5/31/1997	6/17/1998
3067-0146	State Administrative Plan for Individual and Family Grant Program	7/31/1998	—
3067-0161	National Fire Incident Reporting System (NFIRS)	6/30/1998	—
3067-0166	Crisis Counseling Assistance and Training	10/31/1997	—
3067-0169	Write-Your-Own Program	5/31/1997	—
3067-0181	Survey of Contractor Responsibility	11/30/1996	—
3067-0196	National Flood Insurance Program Erosion Benefits	4/30/1998	—
3067-0201	Federal Assistance for Offsite Radiological Emergency Planning and Preparedness Under Executive Order 12657	9/30/1998	—
3067-0207	Hazard Mitigation Grant Program Application	9/30/1996	—
3067-0208	Administrative Plan for the Hazard Mitigation Grant Program	9/30/1996	—
3067-0212	Hazard Mitigation Planning	9/30/1996	—
3067-0229	Mortgage Portfolio Protection Program	6/30/1998	—
3067-0235	Residential Basement Floodproofing Certificate	6/30/1998	—
3067-0248	Emergency Management Exercise Reporting System	10/31/1996	—
3067-0250	Electromagnetic Pulse Protection Inspection and Maintenance Procedures	6/30/1998	—
3067-0259	Write Your Own (WYO) company Participation Criteria, New Applicants	6/30/1998	—
3067-0265	Community Rating System Program Evaluation, National Flood Insurance Program	5/31/1998	—
3067-0267	The FEMA/Federal Insurance Administration's Cover America Project, Marketing Program	6/30/1998	—
3067-0271	Flood Mitigation Assistance, Flood Mitigation Plan	6/30/1998	—
3067-0272	Capability Assessment tool	4/30/1998	—
Federal Energy Regulatory Commission			
1902-0143	Indexes of Essential Power Site Withdrawals	6/30/1987	—
National Aeronautics and Space Administration			

OMB Control Number	Collection Title	Date of Expiration	Date of Reinstatement
2700-0009	AST Technology Utilization	12/31/1997	4/7/1998
2700-0050	Patent Waiver Report	3/31/1998	8/10/1998
Nuclear Regulatory Commission			
3150-0163	Policy Statement on Cooperation with States at Commercial Nuclear Power Plants and Other Production or Utilization Facilities	8/31/1997	10/27/1997
Small Business Administration			
3245-0012	Requests From Borrower	6/30/1997	9/9/1998
3245-0013	Application for Certification of Competency	6/30/1998	—
3245-0016	Applications for Small Business Loans	9/30/1997	5/20/1998
3245-0063	SBIC Financial Reports	1/31/1998	4/7/1998
3245-0071	Application for Section 504-502 Loan	6/30/1998	—
3245-0073	Application for Certification as a CDC	11/30/1996	—
3245-0074	Certified Development Company Program Annual Report Guide	11/30/1997	—
3245-0080	Statement of Personal History	6/30/1996	—
3245-0183	SBA Counseling Evaluation	7/31/1997	10/16/1997
3245-0190	Supplemental Guaranty Agreement, Preferred Lenders Program	3/31/1997	—
3245-0205	8(a) Annual Update	1/31/1997	—
3245-0212	Secondary Market Disclosure and Assignment of Guaranteed Interest	6/30/1996	—
3245-0213	Application for Pool of Guaranteed Interest Certificates	12/31/1997	9/9/1998
3245-0226	Client Service Report and Verification Form (Non-Task Order Service) — Form 7-J	11/30/1997	—
3245-0228	Client's Report of 7(J) Task Order Assistance Received	12/31/1997	5/28/1998
3245-0265	SBA Environmental Questionnaire	11/30/1993	— ^{ww}
3245-0270	Semi-Annual Report on Services in Connection with Obtaining Federal 8(a) Contracts	4/30/1997	—
Social Security Administration			
0960-0029	Request for Correction of Earnings Records, Form SSA-7008	2/28/1997	9/15/1998
0960-0059	Work Activity Report, Form SSA-821	7/31/1997	11/4/1997
0960-0598	Work History Report	4/14/1994	1/15/1999

^{ww} Collection Discontinued

**Table B.2 FY 1998 Violations
Collections Without OMB Approval or Modified Without OMB Approval**

OMB Control Number	Collection Title	Description of Violation	How Discovered and Remedied
Department of Agriculture/Farm Service Agency			
—	Hay Net Register	Unapproved collection	OMB discovered the violation through media bulletins and alerted the Department. OCIO notified staff in FSA who indicated that they felt the collection was exempt because it collected identifying information. However, one additional piece of information, hay variety, was also being collected which triggered the need for PRA approval. FSA resolved the violation by removing the requirement for customers to specify hay variety.
—	Mississippi State Customer Survey	Unapproved collection	An article published in the USDA News quarterly newsletter was brought to OCIO's attention by the agency. The collection was a one time effort; therefore, OMB approval was not sought. Instructions were issued to information field office regarding requirements of the PRA.
0560-0004	Report of Acreage	Expiration and disapproval of ongoing collection	OMB sent a Notice of Action on 11/26/1997 disapproving the reinstatement of this collection as lacking need and practical utility. The agency continues to conduct this collection without a currently valid OMB control number.
0560-0182	Tobacco Marketing Quote Referenda	Unapproved collection	The agency discovered the violation through an internal review and submitted a package to OMB. OMB approved this collection on 1/5/1998.

OMB Control Number	Collection Title	Description of Violation	How Discovered and Remedied
Department of Agriculture/Natural Resources Conservation Service			
0578-0007	Agriculture and Urban Drainage Surveys	Modification of an approved collection without prior OMB approval	OCIO discovered the violation in preparation for the Information Collection Budget. In addition, the collection expired on 6/30/1997 and has yet to be reinstated.
Department of Agriculture/Animal and Plant Health Inspection Service			
—	Customer Satisfaction Survey	Unapproved collection	APHIS discovered the violation upon learning that there was no longer a generic approval for the Department for customer service collections. A new information collection approval request package is in development.
Department of Agriculture/Agricultural Research Service			
0518-0022	Agroecosystem Use Survey	Unapproved Collection	OMB discovered the violation while reviewing the ARS home page on the Internet and alerted the Department. Upon investigation by the agency, it was determined that the survey had expired but was no longer in use and due to an oversight was not removed from the website. ARS removed the survey.
Department of Agriculture/Risk Management Agency			
—	Survey for Defining New Crop Insurance Programs	Unapproved collection	OMB discovered the violation through a directive published on the USDA web site and alerted the Department. OCIO notified staff in RMA confirmed the violation. An information collection approval request is being developed to address this violation.

OMB Control Number	Collection Title	Description of Violation	How Discovered and Remedied
—	Customer Service Comment Card	Unapproved collection	Forest Service discovered the violation upon learning that there was no longer a generic approval for the Department for customer service collections. A new information collection approval request package is in development.
0596-0082	Special-Use Application, Permitting, and Administration	Modification of an approved collection without prior OMB approval	The Salida Ranger District substantially increased the reporting burden beyond the approved collection. L&L, Inc. of Orem, Utah, wrote to OMB and USDA to complain about the burden. The Forest Service reviewed his complaint and informed him that he was not obligated to provide the information not previously approved by OMB.
Department of Commerce/International Trade Administration			
0625-0105	Petition Format for Requesting Relief Under U.S. Antidumping Duty Law	ITA inadvertently allowed this package to expire	It was discovered when the Department received a phone call from another agency questioning ITA's handling of antidumping cases. During these discussions it was discovered that the approval had expired. The 60 day notice has been published and official reinstatement will be sent to OMB shortly.
Department of Commerce/National Oceanic and Atmospheric Administration			
0648-0272	Individual Fishing Quotas for Pacific Halibut and Sablefish in the Alaska Fisheries	The program office established new requirements and added data elements to existing requirements without OMB approval.	When a form was revised to reflect a new OMB clearance expiration date and sent to the NOAA clearance officer it became apparent that additional data elements had been added to the form. Discussions revealed that other requirements had also not been part of the recent clearance request. OMB clearance will be sought.

OMB Control Number	Collection Title	Description of Violation	How Discovered and Remedied
—	Gear Marking Requirements in the Large Whale Take Reduction Plan	A rule was published that contained an unapproved information requirement. NOAA intended the effective date to be delayed, but it became effective on January 1, 1998 without approval.	Participants in the affected fisheries had been informed that the requirements were not yet in effect, so no information had been submitted. When preparing a PRA request for the requirement the NOAA clearance officer noted that it was technically already in effect. The request was completed and submitted to OMB.
Department of Commerce/Patent and Trademark Office			
0651-0040	Petition to Cancel a Trademark Registration	Unapproved collection	Routine staff review of the regulation “Miscellaneous Changes to Trademark Trial and Appeal Board Rules” determined that this collection was in use without OMB approval. OMB approved this collection on 1/28/1998.
—	Public Search Room	An electronic badging database is being used to issue plastic Public User ID badges. These new Public User ID badges are being used to maintain and control the patent and trademark reference documents.	When the program office discovered that the electronic badging database needed to be approved under the PRA, they approached the Records Officer for assistance with the approval process. A 60-Day Notice for this information collection was published in the Federal Register in June 1998. One public comment was received. The program office has reviewed and responded to this comment and prepared the information collection package for submission to OMB. The information collection package was received at OMB for review in March, 1999.

OMB Control Number	Collection Title	Description of Violation	How Discovered and Remedied
—	Online Employment Application Form	An employment application form available on the PTO's web site which applicants can submit to the PTO electronically.	When Human Resources discovered that OMB approval was needed for this online employment application form, they approached the PTO Records Officer for assistance with the approval process. The PTO Records Officer and the contractor support staff worked with them to obtain information for the 60-Day Notice. The PTO published the 60-Day Notice in December, 1999.
Department of Commerce/Office of the Secretary			
0690-0015	Complaint of Employment Discrimination	An existing form in use without approval	The form was discovered by the Office of General Council (OGC) when a similar one was drafted for the decennial census. The Department's Paperwork Clearance Officer immediately began the process for clearance. The approval from OMB was received on 10/15/98.
Department of Commerce/National Institute of Standards and Technology			
0693-0009	Advance Technology Program/Business Reporting Requirement	Unapproved collection	The agency discovered this violation during a review of program requirements and corrected the oversight by submitting the collection for renewal. OMB approved the collection on 11/28/1997.
—	Licensing of Government\ Owned Inventions (Section 37 CFR.404.8)	A rule section has an unclear paperwork requirement	The requirement was discovered when a question was raised by NIST staff. A proposed rule will be issued shortly revising the existing requirement and a paperwork package will be developed at that time.

OMB Control Number	Collection Title	Description of Violation	How Discovered and Remedied
Department of Defense			
0704-0400	Central Contractor Registration	Unapproved collection	OMB discovered the violation on the World Wide Web and alerted the agency clearance officer. A package was prepared, and OMB approved this collection on 11/20/1997.
Department of Defense/Defense Finance and Accounting Service			
—	DD Form XX2, Waiver Application —DoD Civilian Employees, Reserve, National Guard, and Former Military Members	Unapproved collection	Several of these forms were misdirected to the DoD Clearance Officer. The agency is working to bring this collection into compliance.
Department of Education/Office of the Undersecretary, Planning and Evaluation Service			
—	Phase 1, Evaluation of Effective Adult Basic Education	Unapproved collection	OMB discovered violation in the supporting statement of submission.
—	Letter requesting States to provide ED with copies of their request Evaluations of the Basic Adult education Programs	Mailed to States in October 12, 1998 - never cleared	Discovered while OMB was reviewing another related information collection. A reference to the survey below was made in the supporting materials. OMB asked the agency what the OMB control number was for the referenced survey. The Agency discovered they had never obtained one. The collection was not repeated.
Department of Health and Human Services/Food and Drug Administration			
0910-0387	Medical Device Registration and Listing	Unapproved collection	During the preparation for the ICB, the agency discovered that these requirements had been inadvertently omitted from the approved collection with OMB number 0910-0059. The collection was approved by OMB on 12/9/1998.

OMB Control Number	Collection Title	Department of Commerce/Patent and Trademark Office	Description of Violation	How Discovered and Remedied
0651-0040	Petition to Cancel a Trademark Registration		Unapproved collection	Routine staff review of the regulation “Miscellaneous Changes to Trademark Trial and Appeal Board Rules” determined that this collection was in use without OMB approval. OMB approved this collection on 1/28/1998.
—	Public Search Room		An electronic badging database is being used to issue plastic Public User ID badges. These new Public User ID badges are being used to maintain and control the patent and trademark reference documents.	When the program office discovered that the electronic badging database needed to be approved under the PRA, they approached the Records Officer for assistance with the approval process. A 60-Day Notice for this information collection was published in the Federal Register in June 1998. One public comment was received. The program office has reviewed and responded to this comment and prepared the information collection package for submission to OMB. The information collection package was received at OMB for review in March, 1999.
—	Online Employment Application Form		An employment application form available on the PTO’s web site which applicants can submit to the PTO electronically.	When Human Resources discovered that OMB approval was needed for this online employment application form, they approached the PTO Records Officer for assistance with the approval process. The PTO Records Officer and the contractor support staff worked with them to obtain information for the 60-Day Notice. The PTO published the 60-Day Notice in December, 1999.

OMB Control Number	Collection Title	Description of Violation	How Discovered and Remedied
Department of Defense			
0704-0400	Central Contractor Registration	Unapproved collection	OMB discovered the violation on the World Wide Web and alerted the agency clearance officer. A package was prepared, and OMB approved this collection on 11/20/1997.
Department of Defense/Defense Finance and Accounting Service			
—	DD Form XX2, Waiver Application —DoD Civilian Employees, Reserve, National Guard, and Former Military Members	Unapproved collection	Several of these forms were misdirected to the DoD Clearance Officer. The agency is working to bring this collection into compliance.
Department of Education/Office of the Undersecretary, Planning and Evaluation Service			
—	Phase 1, Evaluation of Effective Adult Basic Education	Unapproved collection	OMB discovered violation in the supporting statement of submission.
—	Letter requesting States to provide ED with copies of their request Evaluations of the Basic Adult education Programs	Mailed to States in October 12, 1998 - never cleared	Discovered while OMB was reviewing another related information collection. A reference to the survey below was made in the supporting materials. OMB asked the agency what the OMB control number was for the referenced survey. The Agency discovered they had never obtained one. The collection was not repeated.
Department of Health and Human Services/Food and Drug Administration			
0910-0387	Medical Device Registration and Listing	Unapproved collection	During the preparation for the ICB, the agency discovered that these requirements had been inadvertently omitted from the approved collection with OMB number 0910-0059. The collection was approved by OMB on 12/9/1998.

OMB Control Number	Collection Title	Description of Violation	How Discovered and Remedied
Department of Health and Human Services/Health Resources and Services Administration			
—	National Health Service Corps Scholarship Program: Costs of Attendance Form	Unapproved collection	The agency discovered this violation and informed the program office of the requirements under the PRA.
—	Application to Request Assignment of a National Health Service Corps Practitioner	Unapproved collection	The agency discovered this violation and informed the program office of the requirements under the PRA.
—	National Health Service Corps Application for Recruitment and Retention Assistance.	Unapproved collection	This violation was reported in the FY 1998 ICB. A clearance package has been submitted to OMB.
—	National Health Service Site Waiver	Unapproved collection	This violation was discovered during routine review of data collection activities in the Agency. The program is currently preparing the clearance package.
Department of Health and Human Services/Administration for Children and Families			
0970-0183	Project 1099	Unapproved collection	Discovered in discussions with PRA staff
—	Managing for Results Bulletin #16, How to translate your 1998-2000 state plan objectives into performance targets and comply with GPR	Unapproved collection	A contractor to the Administration on Developmental Disabilities (ADD) included a questionnaire in the Bulletin without OMB approval. The Consortium of Developmental Disability Councils wrote a letter to HHS and OMB complaining that the questionnaire was sent in the absence of public comment and is probably a violation of the PRA. The questionnaire was a one-time request for information.
Department of the Interior/Bureau of Land Management			
1004-0023	Indian Allotment Application Form	Unapproved Collection	Discovered while preparing final Indian allotment regulations.

OMB Control Number	Collection Title	Description of Violation	How Discovered and Remedied
1004-0182	Alaska Reindeer Grazing	Unapproved Collection	Discovered while preparing proposed regulations on reindeer grazing. Approved by OMB on 12/8/1998.
1004-0183	Wild Horse and Burro Electronic Adoption Customer Comment Card	Unapproved Collection	Discovered while checking the Internet for comment cards/surveys. Approved by OMB on 10/24/1998.
Department of the Interior/Fish and Wildlife Service			
1018-0096	Information Collection Requirements for Experimental Populations	Unapproved collection	OMB approved this collection on 3/6/1998.
Department of the Interior/National Park Service			
1024-0220	Park Visitor Study	Unapproved Modification	Identified by National Park Service staff. The data from the unapproved questions will not be reported or used.
Department of the Interior/Office of Surface Mining Reclamation and Enforcement			
—	Citizen Complaint Form	Unapproved collection	OSM staff discovered the violation on the OSM World Wide Web site. The package has been submitted to OMB for review.
Department of the Interior/Bureau of Indian Affairs			
—	American Indian Trust Evaluation Process	Unapproved collection	DOI discovered the violation during a program review.
—	Certificates of Degree of Indian and Alaska Native Blood	Unapproved collection	BIA discovered this violation during rulemaking.
—	Child Abuse and Neglect Reporting Form	Unapproved collection	BIA discovered the violation during a program review. Field offices have been using forms of their own design to collect information required by statute.

OMB Control Number	Collection Title	Description of Violation	How Discovered and Remedied
—	Indian Service Population and Labor Force Report	Unapproved collection	BIA discovered the violation during a program review.
—	Preference in Employment	Unapproved collection	BIA discovered this violation during rulemaking.
—	Welfare Assistance Analysis of Funds Report	Unapproved collection	BIA discovered the violation during a program review.
—	Welfare Reform Monthly Statistics	Unapproved collection	BIA sent a letter on June 20, 1997, to local offices (Bureau and tribal) requiring a monthly report of statistics. The Indian and Native American Employment and Training Coalition notified OMB and the agency of this violation on August 8. BIA is developing a response.
1076-0017	Social Services Family Profile, Record of Income and Resources, Employment Information —25 CFR Part 20	Modification for previously approved collections	
1076-0147	Indian Service Population and Labor Force Report	Unapproved collection	Identified by BIA staff. OMB approved the collection on 12/8/1998.
Department of the Interior/Office of Equal Opportunity			
1091-0001	Applicant Background Survey	Unapproved collection	The violation was discovered through an anonymous tip to the OMB desk officer. A revised form was approved by OMB on 12/21/1998.
Department of the Interior/Office of Financial Management			
1093-0003	Customer Reactions to Financial Accountability Report	Unapproved collection	Agency staff identified the violation and submitted a request for approval. OMB approved this collection on 12/11/1997

OMB Control Number	Collection Title	Description of Violation	How Discovered and Remedied
Department of Labor/Occupational Safety and Health Administration			
1218-0238	Fire Extinguishers	Unapproved collection	Collection approved 5/20/1998.
—	Rules pertaining to State-Plan State Approval	Existing collection in effect without approval. The collections are associated with OSHA rules relating to State Plan approval.	Departmental & Agency review of Occupational safety and health rules and regulations. Currently preparing the necessary supporting materials to seek public comment. The agency expects to publish a preclearance notice early FY 1999.
—	Roofing Pilot Program	Collections in effect without approval. This new partnership program involved collecting information from participants which were originally thought to be exempt from PRA.	During FY 1998, prepared the preclearance notice. Notice was published in November, 1998. OMB approval to be sought within 90 days of the preclearance notice.
1218-0216	Aerial Lifts in Construction	Unapproved collection	OMB approved this collection on 10/8/1997.
1218-New (previously 1218-0196)	Marine Terminal Operations/Long Shoring Rules (Part 1917 and 1918)	Collections in effect without OMB approval. The standards had obtained OMB approval while in the proposal stage. Additional collections within the rule were later discovered that had not been included in the submission to OMB.	Departmental and Agency review. Preparing the necessary supporting materials to seek public comment. The preclearance notice is expected to be published early 1999.

OMB Control Number	Collection Title	Description of Violation	How Discovered and Remedied
Department of Labor/Bureau of Labor Statistics			
1220-0032	Annual Refiling Survey	Modification of an approved collection without prior OMB approval	A member of the public notified the agency of this violation. OMB approved the modified collection on 1/16/1998.
1220-0134	Multiple Worksite Report	Modification of an approved collection without prior OMB approval	A member of the public notified the agency of this violation. OMB approved the modified collection on 1/16/1998
1220-0167	Unapproved Collection	The Bureau of Labor Statistics requested information from representatives of State agencies participating in BLS/State cooperative programs regarding Year 2000 (Y2K) compliance. The inquiries were developed in connection with urgent Y2K reporting requirements of BLS and went out in advance of receiving OMB clearance.	Departmental & Agency review. An emergency review was requested on June 3, 1998, utilizing OMB 05/01/98 PRA clearance procedures. OMB approved this collection of information on June 16, 1998.
Department of State			
1400-0009	Affidavit Regarding Change of Name, Form DSP-60	Unapproved collection	OMB approved this collection on 4/20/1998
1400-0010	Birth Affidavit, Form DSP-10a	Unapproved Collection	OMB approved this collection on 4/20/1998

OMB Control Number	Collection Title	Description of Violation	How Discovered and Remedied
1405-0107	Request for Building Pass Identification Card	Unapproved Collection	OMB approved this collection on 3/16/1998
—	Information for Determining US Citizenship	Unapproved Collection	Department review discovered violation and Department is preparing PRA Submissions for OMB approval.
—	Request for Copies of Documents Regarding Birth	Unapproved Collection	Department review discovered violation and Department is preparing PRA Submissions for OMB approval.
—	Petition to Classify Immigrants as Employee of USG	Unapproved Collection	Department review discovered violation and Department is preparing PRA Submissions for OMB approval.
—	Passport and Nationality Card	Unapproved Collection	Department review discovered violation and Department is preparing PRA Submissions for OMB approval.
—	Medical Examination of Applicants	Unapproved Collection	Department review discovered violation and Department is preparing PRA Submissions for OMB approval.
Department of Transportation/U.S. Coast Guard			
2115-0514	Merchant Mariner License, Certificates & Document Application; Criminal Record Review in Issuing Licenses, CORs, MMDs; access to NDR; 5-Year Terms of Validity	Modification of an approved collection without prior OMB approval	A member of the public informed OMB of the violation. OMB approved the use of form 719B on 12/4/1998.
Department of Transportation/National Highway Transportation Safety Administration			
—	Drunk Driving Survey	Unapproved collection	Violation was discovered after an article describing the activity appeared in the Washington Post
—	Automotive Antilock Brake System Survey	Unapproved collection	Information Officer discover the violation on the DOT' s web site.

OMB Control Number	Collection Title	Description of Violation	How Discovered and Remedied
—	Student feedback on Presidential Drug Initiative	Unapproved Collection	A member of the public informed OMB that NHTSA was conducting a survey using a questionnaire form without an OMB number. OMB informed the agency. NHTSA promised to not commit such a violation again.
—	Drivers' Perceptions of Accidents and Aggressive Driving	Unapproved Collection	OMB discovered this violation through published newspaper accounts of the results. NHTSA gathered information using small focus groups. The agency believed that using many small groups would exempt the study from PRA requirements. OMB has informed the agency that identical questions of more than ten people, whatever the forum, are covered.
Department of Transportation/Bureau of Transportation Statistics			
—	Unknown (Internet form)	Unapproved Collection	The agency removed the form from the Internet.
Department of the Treasury/Departmental Offices			
1505-0170	Electronic Form for OFAC License Applications	Unapproved Collection	Discovered by the Agency. Approved by OMB on 9/10/1998.
Department of the Treasury/Office of Thrift Supervision			
1550-0094	Financial Management Policies	Unapproved Collection	The violation was discovered during a revision of the existing derivatives. Approved by OMB on 6/16/1998.
1550-0096	Minority Thrift Certification	Unapproved Collection	New employee to the unit recognized that the document required OMB clearance. Approved by OMB on 9/10/1998.

OMB Control Number	Collection Title	Description of Violation	How Discovered and Remedied
Environmental Protection Agency			
2050-0050	Used Oil Management Standards Recordkeeping & Reporting Requirements	Unapproved collection	The portion of the collection covering recordkeeping and reporting requirements associated with used oil management standards was inadvertently dropped by EPA in the package submitted to and approved by OMB in October 1993. The Agency attributes the removal of this portion of the collection to contractor oversight arising because the relevant rule provisions were moved from 40 CFR part 266 to 40 CFR part 279. EPA discovered the error during an enforcement action and will submit an emergency reinstatement for the collection.
Nuclear Regulatory Commission			
3150-0190	NUREG/BR-0238, Materials Annual Fee Billing Handbook; NUREG/BR-0239, Financial EDI Authorization Form; NUREG/BR-0253, Fact Sheet Electronic Funds Transfer; and NUREG/BR-0254, Payment Methods	Unapproved collection	The Office of the Chief Information Officer discovered the violation through its established procedures for approval. OMB granted an emergency clearance on 7/22/1998.
Securities and Exchange Commission			
3235-0494	Reports to Shareholders of Unit Investment Trusts—Rule 30d-2 under the Investment Company Act of 1940	Unapproved collection	SEC discovered this violation during rulemaking to amend this rule. SEC submitted this collection, and OMB approved it on 2/2/1998.

OMB Control Number	Collection Title	Description of Violation	How Discovered and Remedied
Social Security Administration			
—	Survey of Advocacy Groups on Welfare Reform	Unapproved collection	OMB discovered this violation during its review of a draft 30-day report on the implementation of the 551 childhood regulation. This was a one-time survey that has since terminated.
0960-0555	State Agency (DDS) Report of Function Forms and State Agency (DDS) Pain Forms	State Agency forms in use prior to their inclusion in the DDS collections on behalf of SSA	SSA knew about the violation. The collection received OMB approval on 2/4/1999.

About OIRA

The Paperwork Reduction Act of 1980 (P.L. 96-511) and its successor, the Paperwork Reduction Act of 1995 (P.L. 104-13), established the Office of Information and Regulatory Affairs (OIRA) in the Office of Management and Budget to oversee agency information resources management, information collection, and use of information technology. Under this authority, OIRA develops policies and guidelines to promote the management, dissemination, privacy, and security of government information and coordinates Federal statistical policies and resources. OIRA is also responsible for the review of agency rulemaking activity under Executive Order 12866. The Administrator of OIRA is appointed by the President and Senate-confirmed.

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OIRA Docket Library
Office of Management and Budget
New Executive Office Building, Room 10102
Washington, DC 20503
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