

# **INFORMATION COLLECTION BUDGET**

**OF THE  
UNITED STATES  
GOVERNMENT**



**2010**

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

**Table of Contents**

Preface ..... i

Executive Summary.....iv

Chapter 1. Information Collection Burden for FY 2009.....1

Chapter 2. Paperwork Reduction Act Compliance..... 10

Chapter 3. The PRA and Open Government ..... 16

Chapter 4. Reducing Burdens..... 20

    New Burden Reduction Initiatives for FY 2009 ..... 23

    Updates on FY 2007 Burden Reduction Initiatives..... 96

Appendix A. FY 2009 Significant Paperwork Reductions and Increases.....124

Appendix B. Paperwork Reduction Act Compliance ..... 169

Appendix C. 2010 Information Collection Budget Data Call ..... 175

Appendix D. OMB Guidance Memoranda on the Paperwork Reduction Act..... 181

    Information Collection Under the PRA..... 181

    Social Media, Web-based Interactive Technologies, and the PRA ..... 189

    The Paperwork Reduction Act – Generic Clearances..... 196

## Preface

### Reducing Burdens, Increasing Clarity

One of the central goals of the Paperwork Reduction Act (PRA) is to eliminate unjustified paperwork burdens on the American public – on businesses and individuals alike. Unfortunately, paperwork burdens have been growing significantly in recent years. (See Figure 1 on page 2 of this report.) In fiscal year (FY) 2000, the public spent an estimated 7.36 billion hours responding to Federal information collections; in FY 2009, that number grew to an estimated 9.80 billion, an increase of more than 30 percent (See Figure 1). At the same time, the requirements of the Paperwork Reduction Act (PRA) have not always been well-understood, especially in the context of current technologies, which raise fresh issues and challenges.

The Office of Management and Budget (OMB) recognizes the importance of minimizing the burdens of Federal information collections. OMB also recognizes the importance of clarity, so that both government officials and citizens can understand what the PRA requires. In the last year, OMB has taken large steps toward reducing burdens and increasing clarity. Although far more remains to be done, these steps have produced significant results, including dozens of burden reduction initiatives from agencies and new steps to clarify and promote the goals of the PRA in an era of open government.

On October 27, 2009, OMB published a notice in the *Federal Register* to solicit ideas from the public on how to strengthen and improve implementation of the PRA.<sup>1</sup> Among other things, OMB solicited public comment on (1) how to reduce existing burdens and (2) whether and how to take account of differences in the nature of information collection requests. For example, it is not clear that voluntary customer satisfaction surveys should always be treated in the same way as mandatory requirements to collect information. More specifically, OMB asked for comments on new ways to minimize Federal paperwork burdens, particularly on small entities; on how to enhance the practical utility of information collected; on how to enhance the accuracy of agency burden estimates; and on how to prevent unintended adverse consequences, such as delays in important surveys or research projects.

In response to this notice, OMB received extensive and detailed comments. OMB has used, and continues to use, the resulting ideas and information to inform and improve its processes for evaluating agency information collection requests and for promoting compliance with the PRA in general. In particular, OMB has taken the following concrete steps.

1. In direct response to agency comments, OMB's Office of Information and Regulatory Affairs (OIRA) held multiple training sessions for agency PRA clearance officers this past year. These sessions have been designed to clarify the requirements of the PRA, to exchange

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<sup>1</sup> See 74 Fed. Reg. No. 206 (October 27, 2009), available at:  
[http://www.whitehouse.gov/sites/default/files/omb/assets/fedreg\\_2010/10272009\\_pra.pdf](http://www.whitehouse.gov/sites/default/files/omb/assets/fedreg_2010/10272009_pra.pdf)

ideas and best practices, and to emphasize the importance of minimizing burdens and of ensuring data quality.

2. OMB issued three significant new PRA guidance memoranda, implementing the December 2009 Open Government Directive (and also responding directly to public comments). The Open Government Directive was issued by the OMB Director in response to the President's January 21, 2009 memorandum calling for the establishment of "a system of transparency, public participation, and collaboration."
  - The first of these guidance memoranda ("Information Collection under the Paperwork Reduction Act") offers a clear, simple primer, designed to reduce some of the confusion surrounding the PRA and to provide a brief outline both for agencies and for the public in general.
  - The second guidance document ("Social Media, Web-based Interactive Technologies, and the Paperwork Reduction Act") describes the relationship between the PRA and modern technologies. Intended to promote the goals of open government, this memorandum explains that in many ways, agencies may freely engage with the public, and thus increase transparency and participation, without seeking OMB approval under the PRA.
  - The third guidance document ("Paperwork Reduction Act – Generic Clearances") offers clarification of a valuable tool with which agencies may reduce and simplify their own burdens under the PRA.

Taken as a whole, these memoranda serve to increase clarity, to sort out the requirements of the PRA in the context of new technologies, and to make it easier for agencies to carry out their missions while also promoting the purposes of the PRA (prominently including the reduction of burdens on the American people).

3. Responding to numerous public comments about the importance of reducing burdens, OMB asked agencies to submit new burden reduction initiatives. In particular, OMB asked agencies to submit new initiatives in several domains, to the extent feasible and consistent with law. These initiatives include:

- using electronic communication, specifically "fillable fileable" forms;
- adopting E-signatures where appropriate;
- reducing the frequency of information collections;
- promoting administrative simplification; and
- reducing burdens on small businesses.

In response, agencies submitted 72 new initiatives, many of which are starting to produce concrete results. OMB believes that a great deal more can be done, within the framework of existing law, to ease and simplify current burdens, including through the use of the Internet. For example, redundant or overlapping burdens might be reduced through greater coordination and through "prepopulation" of forms.

Despite these significant efforts, information collection burdens are expected to increase in many

domains, particularly with the requirements of recently enacted legislation. Despite these and other challenges, OMB remains committed to working closely with Federal agencies and the public to minimize the burden imposed on the public while maximizing the public benefit and practical utility of the information that agencies collect. OMB continues to promote these goals through day-to-day engagement with agencies, through consideration of public comments and concerns, and through consideration of more systemic efforts (such as guidance documents and data calls) to improve the PRA process.

## Executive Summary

The Office of Management and Budget (OMB) is required under the Paperwork Reduction Act of 1995 (PRA)<sup>2</sup> to report to Congress on the paperwork burden imposed on the public by the Federal Government and on efforts to reduce this burden. For over 25 years, OMB has complied with this requirement by issuing an Information Collection Budget (ICB). The 2010 ICB reports on the paperwork burden imposed on the public during fiscal year (FY) 2009 and explores other issues with respect to implementation of the PRA.

For the third consecutive year, OMB is issuing an Electronic-ICB, instead of the traditional hard copy. The 2010 ICB is available on OMB's website at: <http://www.whitehouse.gov/omb/infocoll/>

In FY 2009, the public spent an estimated 9.80 billion hours responding to Federal information collections. This figure represents a net increase of 85 million burden hours, or 1 percent, over the estimated 9.71 billion hours that the public spent responding to Federal information collections in FY 2008. The net change in estimated paperwork burden during FY 2009 is composed of the following elements:<sup>3</sup>

- New statutory requirements (estimated increase of 55 million hours)
- Adjustments to agency burden estimates (estimated increase of 55 million hours)
- Discretionary agency actions (estimated increase of 31 million hours)

Paperwork burdens vary greatly across agencies, and to obtain a full picture, it is important to identify those variations. For example, the Department of the Treasury by itself accounted for 7.64 billion hours of burden in FY 2009 – no less than 78 percent of the total. The Department of Health and Human Services accounted for approximately 495 million hours, while the Department of Transportation accounted for 302 million hours, the Department of Labor for 183 million hours, the Securities and Exchange Commission for 168 million hours, the Department of Homeland Security for 155 million hours, and the Environmental Protection Agency for 152 million hours.

Some agencies saw significant increases between FY 2008 and FY 2009. The Department of Agriculture's estimated burden increased by over 45 million hours or 55 percent (owing largely to 42 million hours of new statutory requirements), the Department of Commerce increased paperwork burdens by over 45 percent, and the Department of Housing and Urban Development increased estimated paperwork burden by over 23 million hours. By contrast, other agencies saw significant decreases, such as an estimated 63 million hour (27 percent) decrease in burden from the Securities and Exchange Commission, a 13 percent decrease in estimated burden hours from the Social Security Administration, and a nine percent decrease from the Department of Energy.

<sup>2</sup> 44 U.S.C. chapter 35; see 5 CFR Part 1320.

<sup>3</sup> The estimated total net increase in burden also includes an estimated reduction of 56 million hours due to lapse in OMB approval. However, it is not always the case that agencies stop using collections in expiration status, so there may not have been an actual decrease in burden hours.

In addition to accounting for the aggregate Federal paperwork burden imposed on the public during FY 2009, this report highlights four issues or developments:

**1. Sources of paperwork burden changes (Chapter 1).** Changes in paperwork burden are caused by many factors; some of these are within agencies' control but others are not. The central finding here is that the principal drivers of new paperwork burden in FY 2009 were recently enacted statutes. Chapter 1 discusses these and other sources of burden changes in detail.

**2. Agency Compliance with the PRA (Chapter 2).** OMB and the agencies have made significant efforts to reduce and ultimately to eliminate PRA violations. These efforts continued in FY 2009. In this year's ICB, OMB is reporting 36 violations, all involving lapses of OMB approval for ongoing collections. Despite an increase from the 18 violations reported in last year's ICB for FY 2008, this figure reflects the substantial success of OMB's adoption in November 2001 of the "zero tolerance" approach to PRA violations. The 36 violations during FY 2009 represent a 63 percent reduction from the 97 violations that were reported for FY 2005, and a 95 percent reduction from the 795 violations that were reported in the ICB for FY 1998. OMB and agencies continue to work toward the goal of zero PRA violations.

**3. The PRA and Open Government (Chapter 3).** This chapter describes recent steps that OMB has taken to improve the administration of the PRA, especially in an era of increased transparency and open government. After issuing its *Federal Register* notice seeking public comments, OMB provided several training sessions to agency PRA officials. OMB also published three new guidance memoranda, responding to those comments and implementing the OMB's Open Government Directive. The first provides a primer to agencies and the public on the PRA process as whole; the second offers agencies guidance on their use of social media and web-based interactive technologies; and the third provides guidance with respect to the use of "generic" clearances. Taken as a whole, these memoranda significantly clarify the PRA process and also show how agencies can engage with the public, and thus promote open government, while also respecting the essential requirements of the PRA.

**4. Reducing burdens (Chapter 4).** Also in response to public comments, OMB has directed agencies to produce new burden reduction initiatives. This chapter outlines OMB's request and agencies' responses, in the form of 72 new initiatives. This chapter also provides updates on specific burden reduction initiatives reported in previous years, which are aimed at reducing the overall paperwork burden that agencies impose on the public. OMB has encouraged agencies to develop and follow through on practical initiatives aimed at improving efficiency and reducing the public burden.

## Chapter 1. Information Collection Burden for FY 2009

Under the Paperwork Reduction Act (PRA),<sup>4</sup> the Office of Management and Budget (OMB) oversees agency information collection activities and reports to Congress annually on the effectiveness of the PRA's implementation. The Information Collection Budget (ICB) is OMB's annual report to Congress, providing a detailed accounting of the information collection activities of the Federal Government in a given fiscal year. This report presents the overall paperwork burden that the Federal Government imposed on the American public in FY 2009, and identifies efforts that the Federal agencies are making to reduce burden and collect information more efficiently and effectively.<sup>5</sup>

Information collections are broadly defined by the PRA as “the obtaining, causing to be obtained, soliciting, or requiring the disclosure to third parties or the public, of facts or opinions by or for an agency, regardless of form or format, calling for either answers to identical questions posed to, or identical reporting or recordkeeping requirements imposed on, ten or more persons, other than agencies, instrumentalities, or employees of the United States; or answers to questions posed to agencies, instrumentalities, or employees of the United States which are to be used for general statistical purposes.” The terms “paperwork” and “information collection(s)” have the same meaning for the purposes of this report.

Burden is the time, represented as hours spent by the public responding to Federal information collections. When an agency estimates, and seeks to reduce, the paperwork burden it imposes on the public, the agency must consider the time that an individual or entity spends reading and understanding a request for information, as well as the time spent developing, compiling, recording, reviewing, and providing the information. Moreover, paperwork burden includes more than just the time necessary to file a tax form or fill out a benefits application; it also includes, for example, the time that a business spends keeping records required by Federal regulation or disclosing required information to third parties (such as consumers or employees).

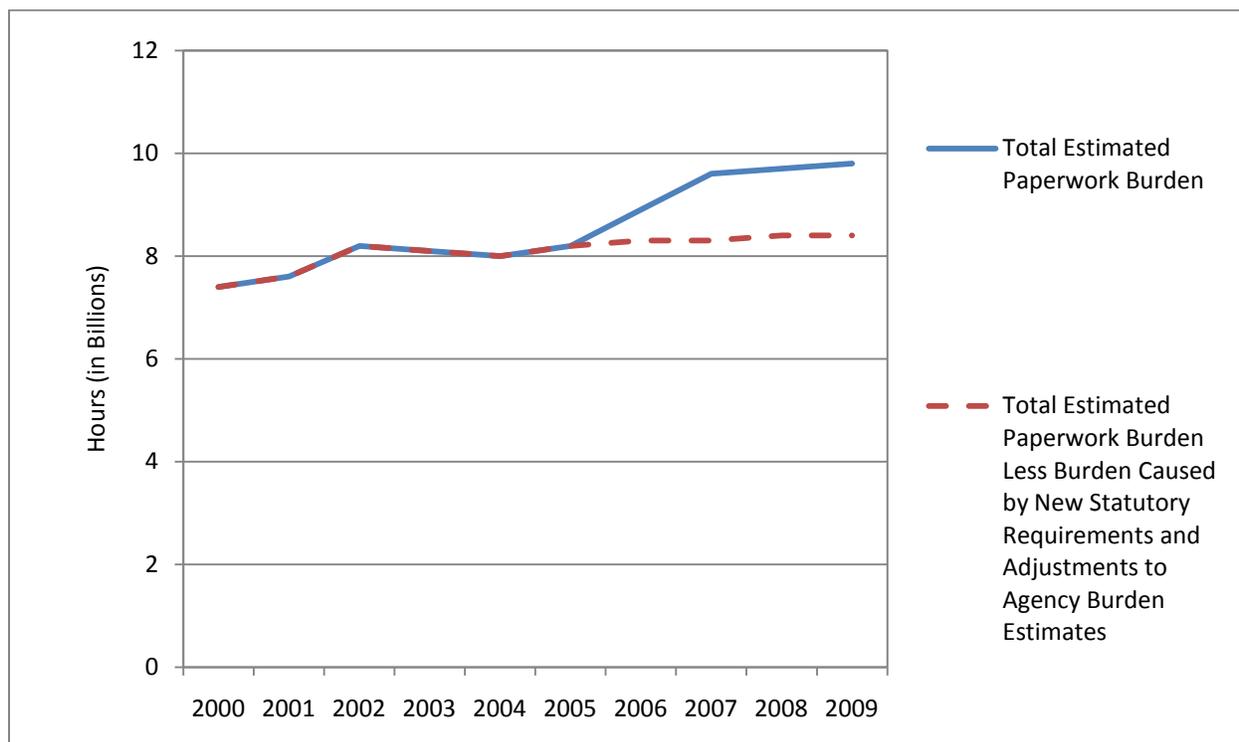
According to agency estimates of PRA burden in FY 2009, the public spent 9.80 billion hours responding to or complying with Federal information collections. (We have not attempted to monetize this number of hours, but it is clear that the monetary equivalent would be very high. If each hour is valued at \$20, for example, the monetary equivalent would be \$196 billion.) This total represents an increase of approximately one percent from the estimated 9.71 billion hours reported in FY 2008.

Figure 1 shows the trend in total estimated Federal paperwork burden between FY 2000 and FY 2009. As the solid blue line in the figure shows, paperwork burden grew over this period (though it declined in fiscal years 2003 and 2004). The increase in burden between FY 2000 and FY 2009 amounts to an estimated 2.43 billion additional burden hours, or an increase of about 33 percent. To understand the nature of the paperwork burden trend illustrated in Figure 1, it is important to recognize that burden is affected by a number of factors; some of these are within agencies' direct control but others are not.

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<sup>4</sup>44 U.S.C. Chapter 35, subchapter I.

<sup>5</sup> The Federal Government's information collection activities are also addressed in OMB's annual report on *Statistical Programs of the United States Government*. In addition, OMB issues a separate annual report on the information security provisions in subchapter III of Chapter 35, which were enacted in the Federal Information Security Management Act of 2002.

**Figure 1. Total Estimated Paperwork Burden Hours (FY 2000 - FY 2009)<sup>6</sup>**

### Causes of Paperwork Burden Change

There are four major causes of paperwork burden change: (1) adjustments to agency burden estimates; (2) new statutory requirements; (3) discretionary agency actions; and (4) lapses in OMB approval. Burden changes from adjustments to agency burden estimates and new statutory requirements are to a significant degree outside of agencies' direct control, while burden changes resulting from discretionary agency actions and lapses in OMB approval are considered within agencies' direct control. OMB considers these last two categories — discretionary agency actions and lapses in OMB approval — to be the best measure of agencies' effectiveness in managing their paperwork burden because agencies can directly control them. Significant burden reductions might occur with improved management of discretionary agency action.

In addition to showing the recent historical trend in *overall* paperwork burden, Figure 1 shows the recent trend—represented by the dashed red line—in the growth in burden caused by *discretionary* agency actions (which is total burden less additional burden caused by new statutory requirements

<sup>6</sup>As discussed in Chapter 3 of the 2007 ICB, IRS changed the methodology it uses to estimate individual taxpayer burden, resulting in a very large "adjustment" increase in the estimated burden. As we explain in Chapter 1, this type of re-estimate of a collection's burden does not involve any real change in the burden that a collection imposes on a particular respondent. As a result, the total estimated burden for FY 2006 and FY 2007 has different underlying assumptions than the estimates for previous years. Since IRS has not yet re-estimated prior years' burden under the new model, the higher line for FY 2006 and FY 2007 overstates the overall increase in burden.

and adjustments to agency burden estimates). The slope of this line is much flatter than the slope of the solid blue line, *meaning that the additional burden associated with discretionary agency actions has increased at a lesser rate than burden associated with the other causes of burden change*. The gap between the solid blue line and the dashed red line represents additional burden caused by factors that are largely not within agencies' direct control. The point of distinguishing between these two lines is to demonstrate an important point, which is that much of the additional paperwork burden in recent years has been the result of factors that are largely not within agencies' direct control, such as statutory requirements.

Figure 2 shows burden changes resulting from the sources of such changes as tracked by OMB over the last 10 years.

The largest share of the increase in paperwork burden over this period is caused by "adjustments" to agency burden estimates, which account for an estimated 47 percent of the overall increase. An "adjustment" to a burden estimate is made in one of two situations: (1) when more (or fewer) individuals or entities respond to an information collection as a result of factors outside an agency's control (e.g., the number of respondents to a collection can increase or decrease due to changes in demographics or in the level of economic activity) and (2) when an agency re-estimates the amount of burden that a collection imposes (e.g., the agency develops an improved methodology for estimating the burden that a collection imposes, as the IRS did a few years ago, *see supra* note 6). In either situation, the agency has not made any change to the collection itself, and thus there has been no real change in the burden that the collection itself imposes on any particular respondent.

The second largest share of the increase in paperwork burden over this period is caused by new statutory requirements. New statutes account for an estimated 42 percent of the overall increase. These changes in burden occur when new laws are enacted that require agencies to collect new information. We anticipate that paperwork burden due to statutory requirements will increase, possibly significantly, in the near future as a result of the recent enactment of major legislation, including the Dodd-Frank Wall Street Reform and Consumer Protection Act and the Affordable Care Act of 2010.

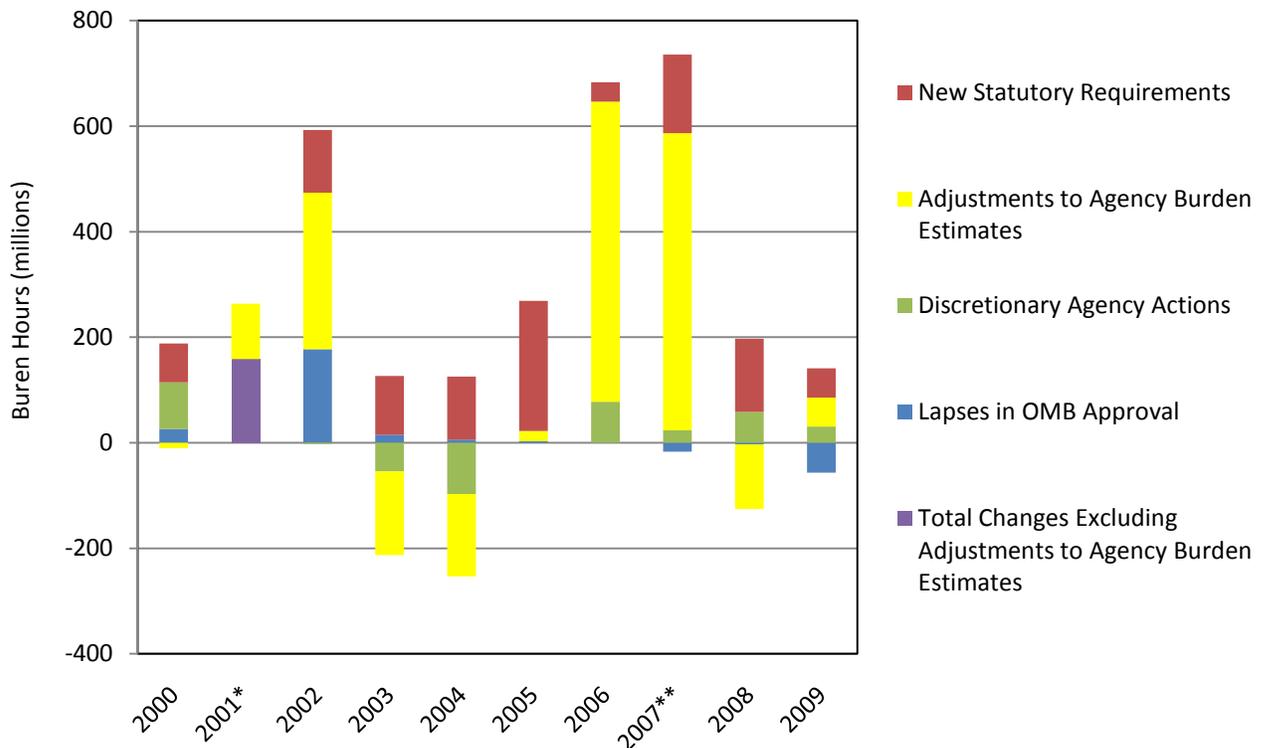
The third largest share of the increase in paperwork burden over this period is caused by lapses in OMB approval; this cause of burden change accounted for an estimated 6 percent of the overall increase.<sup>7</sup> These changes in burden occur when OMB's approval of a collection expires without an agency discontinuing or renewing them (which results in a burden decrease), or when an expired collection is reinstated (which results in a burden increase). If, for example, a collection goes into expiration in one given year, overall burden during that year decreases by the burden total associated with the collection. If the collection is reinstated in the subsequent year, overall burden during that year increases by the collection's total. However, when a collection enters expiration status, it is not always the case that the agency actually ceases using the collection, meaning that, even though the burden associated with the collection is removed from OMB's burden accounting system (ROCIS<sup>8</sup>), the burden might still be imposed on the public.

<sup>7</sup> Burden due to lapses in OMB approval increased over this period mostly because of OMB and agency efforts to bring a large number of collections that expired prior to 2000 into compliance, which means that they were reinstated.

<sup>8</sup> Regulatory Information Service Center and QIRA Consolidated Information System.

The smallest share of the increase in paperwork burden over this period is caused by discretionary agency actions; discretionary changes account for an estimated 5 percent of the increase. These occur when agencies make a decision to increase (or decrease) the burden that a collection imposes on the public (e.g., by reducing the number of questions on a survey), or when establishing a new collection, even though they are not required to by law.

**Figure 2. Causes of Paperwork Burden Change (FY 2000 – FY 2009)**



\*In FY 2001, OIRA did not disaggregate Changes Due to Agency Action and Changes Due to New Statutes, and Changes Due to Lapse in OMB Approval.

\*\*Almost one half of the change indicated for FY 2007 as due to "New Statutory Requirements" resulted from new IRS Form 8913 (Credit for Federal Telephone Excise Tax Paid), which allows taxpayers to receive telephone excise tax refunds. IRS was required to refund this tax because of court decisions that interpreted tax legislation. Accordingly, OMB classified the program change as due to statute, since the burden is legislatively driven.

### Discussion of FY 2009 Paperwork Burden Changes

OMB is reporting that the public spent an estimated 9.80 billion hours responding to Federal information collections in FY 2009. This represents a net increase of 85 million burden hours, or approximately 1 percent, from the estimated 9.71 billion hours that the public spent responding to

Federal information collections in FY 2008. OMB identifies the following causes for changes in paperwork burden during FY 2009:<sup>9</sup>

- New statutory requirements (estimated increase of 55 million hours)
- Adjustments to agency burden estimates (estimated increase of 55 million hours)
- Discretionary agency actions (estimated increase of 31 million hours)

Each of these causes of estimated paperwork burden change is discussed in the pages that follow. They are also summarized in Table 2.

**1) New Statutory Requirements (estimated burden increase of 55 million hours in FY 2009).**

Each year, laws are enacted that create new programs for Federal agencies to implement. Quite frequently, these new programs require collection, use, and dissemination of information. Typically, new legislative initiatives and amendments require more, not less, data collection. In FY 2009, an estimated 55 million hours of additional paperwork burden resulted from the implementation of recent statutes. Among other things, these statutory changes were designed to stabilize the financial system, promote job growth and spur economic activity, improve public health, improve early education services, increase retirement savings, stabilize the mortgage and housing markets, protect the environment, raise revenue, and enhance homeland security. Examples of statutory changes that produced some of the largest burden increases are provided in Table 1.

**Table 1. Statutes Resulting in Significant Burden Increases in FY 2009**

Statutes	Agency	Burden Hour Increase
Food, Conservation and Energy Act of 2008 (Pub.L. 110-246)	Agriculture	36,812,674
Tax Extenders and Alternative Minimum Tax Relief Act of 2008(Pub.L. 110-343); Small Business and Work Opportunity Tax Act of 2007 (Pub.L. 110-28)	Treasury	10,629,320
National Defense Authorization Act for Fiscal Year 2008(Pub.L. 101-181)	Labor	3,482,473
Medicare Improvements for Providers and Patients Act (MIPPA) (Pub. L. 110-275); Hospice Program (42 USC 1395x)	Health & Human Services	1,339,383
Security and Accountability For Every Port Act of 2006 (SAFE Port Act, Pub.L. 109-347)	Homeland Security	1,125,400

<sup>9</sup> The estimated total net increase in burden also includes an estimated reduction of 56 million hours due to lapse in OMB approval. However, it is not always the case that agencies stop using collections in expiration status, so there may not have been an actual decrease in burden hours.

American Recovery and Reinvestment Act of 2009 (Pub.L. 111-5)	Education	1,032,480
	Environmental Protection Agency	757,504
Children's Health Insurance Program Reauthorization Act of 2009 (Pub.L. 111-3)	Treasury	960,000
Emergency Economic Stabilization Act of 2008 (Pub.L. 110-343)	Treasury	198,880

In FY 2009, one of the most significant statutory burden increases resulted from the USDA's implementation of the Food, Conservation and Energy Act of 2008, also referred to as the 2008 Farm Bill. The statute requires mandatory country-of-origin labeling by retailers of muscle cuts and ground beef, lamb, pork, chicken and goat; wild and farm-raised fish and shellfish; perishable agricultural commodities; peanuts; macadamia nuts; pecans and ginseng. USDA estimates that about 1,255,591 entities, including agricultural producers, processors, wholesalers, importers and retailers, will be subject to consumer notification, product marking and/or recordkeeping requirements.

- 2) Adjustments to Agency Burden Estimates (estimated burden increase of 55 million hours in FY 2009).** Burden changes associated with adjustments to agency burden estimates accounted for much of the overall increase in Federal paperwork burden in FY 2009. "Adjustments" differ from other causes discussed in this section in the sense that the burden imposed on actual respondents for individual information collections does not change. Instead, as explained above, an "adjustment" is made to the estimated burden (1) when an agency prepares a re-estimate of the amount of time necessary for a person to respond to an information collection or (2) when a change in outside factors (e.g., changes in demographics) causes an increase or decrease in the number of individuals and entities who respond to the collection. Changes in the population that must respond to the information collection often result from demographic trends, economic growth, or natural disasters. For example, even if the program eligibility and information collection requirements for a Social Security benefit program targeted at elderly populations do not change, the burden for the collection may increase as greater numbers of Baby Boomers reach the target age for program eligibility and apply for benefits.

There are two types of adjustments in burden:

- a) **Agency Re-estimation of Burden.** The first type of burden adjustment is when an agency has re-estimated the burden that is imposed by a collection, but has not changed the requirements of the collection, or added to or subtracted from the category of people are required to respond to the collection. Rather, in this situation, an agency has re-evaluated its prior burden estimate for the collection and has concluded that its prior estimate was inaccurate and thus revised the estimate accordingly. The agency then includes this revised burden estimate in the agency's ICB submission, as well as in the agency's next request to OMB for approval of the collection (unless the agency has in the meantime further revised the burden estimate).

For example, the Federal Motor Carrier Safety Administration (FMCSA) collects Hours of Service (HOS) of Drivers information to ensure compliance with safety regulations, which establish the maximum hours commercial drivers can drive or be on duty each day or week before they must cease operating a Commercial Motor Vehicle. This collection provides the documents needed by commercial carriers and enforcement officials to ensure that CMV drivers are less likely to be driving unsafely due to fatigue. In FY 2009, the FMCSA revised the estimated burden associated with the HOS forms in response comments from the public. This resulted in an increase of nearly 25 hours per year for individual drivers, and a total increase of 12 million hours of estimated burden.

- b) **Burden Changes from Demographic, Economic, and Other External Factors.** The second kind of a burden “adjustment” occurs when (1) there has been no change in the requirements of the collection as well as no change in the category of people required to respond to the collection, but (2) there has been a change in the number of individuals or entities that the agency estimates will respond to the collection – and this change is due to factors outside an agency’s control.

A typical example of such an adjustment is when demographic changes result in more (or fewer) people applying for a Federal benefit, and thus in more (or fewer) applications being filled-out and submitted (e.g., the retirement of the Baby Boom generation will result in more individuals applying to participate in Medicare). Another example of such an adjustment is when economic changes result in more (or fewer) people being unemployed (and thus applying for unemployment benefits) or in more (or fewer) businesses being created (and thus filing the related tax forms). In both of these types of situations, the agency has not changed the requirements of the collection, and the agency has not redefined who has to respond to the collection. Instead, the changes in these outside factors either increase or decrease the number of individuals or entities that will respond to the collection.

For example, the Department of Homeland Security collects elevation and flood-proofing information on buildings constructed after publication of the Flood Insurance Rate Map (FIRM), which gives officials and inspectors standardized documents needed to record elevation information under OMB Control Number 1660-0008. Applicants or policyholders then provide the certificate to private insurance agents. In FY 2009, however, there was a significant decrease in the number of property owners choosing to purchase flood insurance from private insurers instead of the National Flood Insurance Program, resulting in a decrease in the number of certificates issued and over 170,000 burden hours.

**3) Discretionary Agency Actions (estimated burden increase of 31 million hours in FY 2009).**

In some areas, agencies have considerable discretion in managing their information collection activities and the burden associated with those activities. For example, in administering a grant program where performance reporting is statutorily required, an agency may have discretion in deciding the frequency or depth of grantee reporting. For burden tracking purposes, OMB classifies these types of changes as “Due to Agency Action.” OMB considers actions within this category of burden change to be the most appropriate measure of agency performance with respect to information collection. The burden

increase resulting from these kinds of actions was lower in FY 2009 (31 million hours) than it was in FY 2008 (59 million hours).

Although paperwork burden changes due to agency discretionary actions grew in FY 2009, a number of agencies took discretionary actions to significantly decrease the burden imposed by their collections. For example, the Department of Health and Human Services (HHS) National Institute of Health (NIH) receives over 160,000 research grant and award applications and nominations each year. In the several forms included under OMB Control Number 0925-0001, NIH collects information about the applicants, and their proposals, qualifications and previous work. In FY 2009, NIH undertook an initiative to shorten and simplify the application and research plan of the PHS 398 grant application, making the process more efficient while still providing NIH with the information they need to review applications. Due to this action, NIH and HHS reduced the burden associated with this collection by an estimated 2.6 million hours for applications submitted in January 2010 and beyond.

- 4) **Lapse in OMB approval (estimated reduction of 56 million hours).** In FY 2009, there was a reduction in paperwork burden of approximately 56 million hours because collections went into expiration status as a result of a lapse in OMB approval. Almost all of this burden reduction is attributed to HHS. Burden changes of this nature fall into the category of “discretionary agency actions,” and occur when an agency neither renews nor discontinues a collection before its OMB approval period has expired. When this happens, the burden associated with these collections is removed from OMB’s accounting system until the collection is renewed or discontinued, though it is not always the case that agencies cease using these collections. For a list of these during FY 2009, see Appendix B of this report.

**Table 2. FY 2009 Burden Changes by Agency (in millions)<sup>10</sup>**

	FY 2008 Paperwork Burden	FY 2009 Total Program Changes		FY 2009 Due to Discretion		FY 2009 Changes Due to New Statutes		FY 2009 Changes Due to Lapses in OMB Approval		FY 2009 Adjustments		FY 2009 Paperwork Burden
			% change from '08		% change from '08		% change from '08		% change from '08		% change from '08	
<b>Government Total</b>	9,711.01	29.57	0.30%	30.64	0.30%	55.31	0.60%	-56.39	-0.60%	55.25	0.60%	9795.94
USDA	82.98	40.01	48.20%	-2.07	-2.50%	42.09	50.70%	-0.01	0.00%	5.76	6.90%	128.75
DOC	54.89	26.21	47.70%	25.81	47.00%	0.32	0.60%	0.07	0.10%	-1.26	-2.30%	79.97
DOD	44.92	-0.75	-1.70%	0.10	0.20%	0.47	1.00%	-1.32	-2.90%	-0.07	-0.10%	44.11
ED	58.52	3.98	6.80%	2.79	4.80%	1.18	2.00%	0.00	0.00%	0.84	1.40%	63.34
DOE	2.52	-0.29	-11.60%	-0.25	-10.00%	0.00	0.00%	-0.04	-1.60%	0.06	2.50%	2.29
HHS	412.86	-67.85	-16.40%	-4.45	-1.10%	3.08	0.70%	-66.48	-16.10%	149.61	36.20%	494.61
DHS	116.36	30.98	26.60%	5.78	5.00%	25.20	21.70%	0.00	0.00%	7.74	6.70%	155.08
HUD	27.41	16.47	60.10%	16.47	60.10%	0.00	0.00%	0.00	0.00%	7.15	26.10%	51.03
DOI	11.62	0.45	3.90%	-0.72	-6.20%	1.09	9.40%	0.09	0.70%	-0.55	-4.70%	11.52
DOJ	10.44	0.54	5.10%	0.17	1.60%	0.27	2.60%	0.10	0.90%	0.04	0.40%	11.02
DOL	157.47	12.94	8.20%	9.20	5.80%	3.74	2.40%	0.00	0.00%	12.56	8.00%	182.96
STATE	65.45	1.56	2.40%	1.58	2.40%	0.00	0.00%	-0.02	0.00%	-2.99	-4.60%	64.03
DOT	268.14	20.43	7.60%	18.60	6.90%	0.07	0.00%	1.76	0.70%	13.64	5.10%	302.24
TREAS	7782.14	-32.74	-0.40%	-9.68	-0.10%	-23.06	-0.30%	0.00	0.00%	-105.88	-1.40%	7,643.49
VA	5.81	0.14	2.50%	0.14	2.40%	0.00	0.00%	0.00	0.00%	-0.09	-1.50%	5.87
EPA	148.05	2.30	1.60%	1.81	1.20%	0.90	0.60%	-0.40	-0.30%	1.89	1.30%	152.25
FAR	18.13	9.92	54.70%	-0.27	-1.50%	0.00	0.00%	10.19	56.20%	0.00	0.00%	28.05
FCC	56.39	0.78	1.40%	0.78	1.40%	0.00	0.00%	0.00	0.00%	-0.11	-0.20%	57.07
FDIC	7.22	2.39	33.10%	2.38	33.00%	0.01	0.10%	0.00	0.00%	-1.88	-26.10%	7.72
FERC	8.04	0.28	3.50%	0.21	2.60%	0.08	1.00%	0.00	0.00%	1.09	13.60%	9.42
FTC	74.63	0.28	0.40%	0.24	0.30%	0.04	0.00%	0.00	0.00%	-6.36	-8.50%	68.55
EGOV	8.83	2.10	23.80%	2.10	23.80%	0.00	0.00%	0.00	0.00%	0.00	0.00%	10.93
NASA	3.05	0.00	0.10%	0.00	0.10%	0.00	0.00%	0.00	0.00%	0.00	0.00%	3.06
NSF	6.45	0.07	1.10%	0.07	1.10%	0.00	0.00%	0.00	0.00%	0.00	0.00%	6.52
NRC	10.39	0.72	6.90%	0.76	7.30%	-0.04	-0.40%	0.00	0.00%	0.45	4.40%	11.57
SEC	230.94	-37.24	-16.10%	-37.23	-16.10%	0.00	0.00%	-0.01	0.00%	-25.37	-11.00%	168.33
SBA	1.30	-0.34	-26.10%	-0.03	-2.50%	0.00	0.00%	-0.31	-23.50%	-0.01	-0.50%	0.96
SSA	36.05	-3.79	-10.50%	-3.66	-10.20%	-0.13	-0.30%	0.00	0.00%	-1.02	-2.80%	31.24

<sup>10</sup>Owing to system anomalies, columns for certain agencies do not sum to FY 2009 burden hour totals.

## Chapter 2. Paperwork Reduction Act Compliance

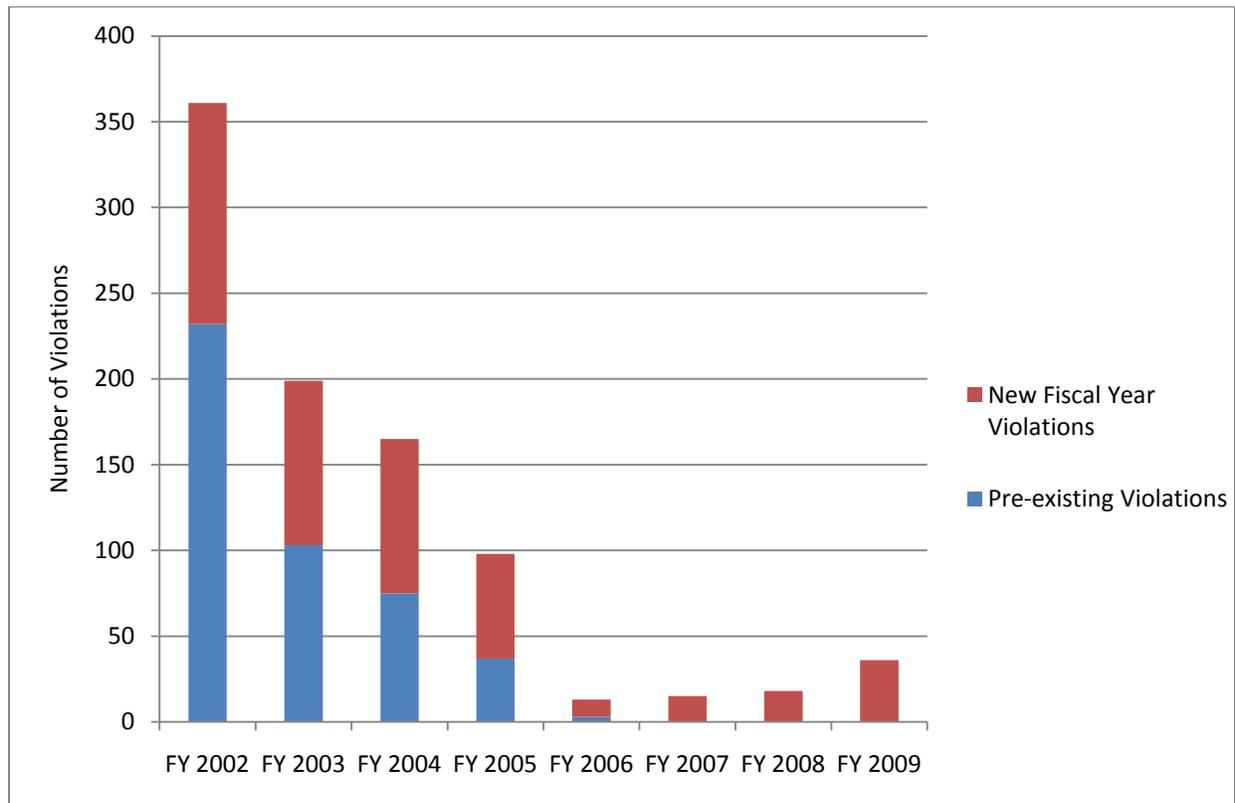
The PRA assigns each agency's Chief Information Officer the responsibility for ensuring that his or her agency complies with the PRA. OMB's Office of Information and Regulatory Affairs (OIRA) is responsible for approving information collection requests under the PRA. To help the public and the agencies monitor compliance with the information collection provisions of the PRA, OMB publishes a list of violations in the ICB (see Appendix B).

The PRA requires Federal agencies to request OMB approval before collecting information from the public. OMB may approve an information collection for no more than three years, at which point the agency must request an extension of OMB's approval. In the past, agencies have sometimes failed to submit a request for re-approval before its existing approval expires. This is a violation of the PRA. Sometimes agencies have collected information without OMB approval or significantly modified existing collections without receiving OMB approval. These steps are also violations of the PRA. Sometimes agencies have collected information from all or a substantial majority of an industry or sector without OMB approval (which is required even when there are nine or fewer respondents). This step also violates the PRA.

OMB tracks the number of information collections that expire each month and determines whether the collections are violations. Figure 3 shows the total number of agency violations that occurred during recent fiscal years, and the total number of pre-existing violations carried over from the previous fiscal year, due to lapses in OMB approval.

This year, there were no pre-existing violations that carried over from the previous fiscal year. OMB is reporting 36 violations during FY 2009 resulting from a lapse of OMB's approval for an ongoing collection. To put this number into perspective, is it useful to consider that, as of August 2010, there were nearly 8,900 active OMB Control Numbers in the inventory of approved information collections. Moreover, OIRA desk officers review and approve approximately 3,800 information collection requests each year.

OMB has continued to see dramatic reductions in the number of violations since implementing a "zero tolerance" approach to violations of the PRA. Figure 3 illustrates this improvement.

**Figure 3. Total Number of Agency New and Pre-existing Violations (FY 2002 – 2009)**

### Achieving Zero Violations

As Figure 3 shows, agencies have made great progress in reducing the number of violations that occur and in resolving them more promptly. However, it remains the case that a number of collections become violations each year because agencies do not submit to OMB, on a timely basis, requests for renewal of OMB approval under the PRA. Even if these violations are resolved quickly, agencies are nevertheless out of compliance with the law for relatively brief periods of time.

Table 3 rates each of the 28 agencies for their compliance. While Department of Transportation (DOT) was the only agency to report five or more violations for FY 2008, in FY 2009 the Department of Defense (DoD), Health and Human Services (HHS), Small Business Administration (SBA), along with the DOT, receive an OMB rating of “poor,” meaning that they report five or more violations. While DoD and SBA both report five violations each, HHS surpasses DOT this year with nine violations. DOT had seven violations in FY 2009, an increase from six violations reported in FY 2008.

The number of agencies having between one and four violations (indicating that they “need improvement”) decreased from nine in FY 2008 to seven in FY 2009. However as a result of the increase in agencies rated as “poor,” the number of agencies rated as “good” (zero violations) decreased from 19 to 17 (FY 2008 compared with FY 2009). The number of violations for FY 2009

(36) is a two-fold increase from the number of violations reported in last year's ICB for FY 2008 (18).

OMB is committed to working with agencies to reduce violations and has taken many steps to improve agency PRA compliance in the last few years. (These steps are discussed in more detail below.) Most recently, OMB held multiple sessions with agency PRA clearance officers to provide a detailed discussion of the PRA review process and to offer training on the purpose and scope of the PRA. OMB continues to work with agencies to submit re-approvals for collections on a timely basis and to seek OMB approval when agencies collect information from ten or more persons or from all or a substantial majority of an industry or sector.

**Table 3. Total Number of Expirations Reported as Violations, FY 2009**

<b>Good</b>	<b>Need Improvement</b>	<b>Poor</b>
<b>0 Violations</b>	<b>1 to 4 Violations</b>	<b>5 or More Violations</b>
DHS	DOC	DoD
Education	DOE	DOT
E-Gov	DOI	HHS
EPA	DOJ	SBA
FAR	OPM	
FCC	Treasury	
FDIC	USDA	
FERC		
FTC		
HUD		
NASA		
NRC		
NSF		
SEC		
SSA		
State		
VA		

## Steps to Improve Agency Compliance

In addition to routine efforts to inform agency staff of the steps they can take to avoid incurring PRA violations, OMB has taken action in recent years to reduce violations, including:

- **January 2007:** OMB enhanced the electronic database of information collections to enable agencies to prepare a watchlist of all the information collections that will expire in the next 150 days. This watchlist provides the agency with ample time to prepare a 60-day *Federal Register* notice, incorporate any public comments from the Notice into the collection, submit the collection to OMB for a 30-day review period, and receive clearance for the collection. Moreover, this watchlist specifically flags those information collections which the agency has not yet submitted to OMB for renewal so that agencies can focus on those information collections which most urgently require their attention.
- **April 2007:** OMB provided instructions to the agencies on how to use the watchlist and encouraged agencies to use this feature as a management tool to prevent future violations.
- **February 2008:** In the memorandum that OIRA sent to agencies that described their requirements for submission of ICB documents, OMB asked agencies to identify all violations that occurred in the past fiscal year.
- **November 2009:** OIRA held a meeting with agency Chief Information Officers (CIOs) and PRA clearance officers to discuss OMB's October 27, 2009 *Federal Register* notice, "Improving Implementation of the Paperwork Reduction Act." The meeting focused on ways in which to improve implementation of the PRA. Follow-up meetings regarding this initiative are expected in the coming months.
- **May-June 2010:** OIRA held three PRA training sessions for agency PRA clearance officers, with over 430 attendees from nearly all ICB agencies. The sessions provided training on the purpose and scope of the PRA, and a detailed discussion of the PRA review process, with opportunities for questions and answers. OIRA staff highlighted the importance of minimizing and reducing burden, through use of technology, minimizing duplication, simplification, and focusing on the practical utility of information collected. Sessions also focused on the approval process for collections using surveys and statistical methodologies, and protecting privacy. While the sessions provided training on the existing PRA process and on the importance of reducing burdens, they also introduced recently published OIRA guidance implementing the December 2009 Open Government Directive – "Social Media, Web-based Interactive Technologies, and the Paperwork Reduction Act", a PRA primer guidance – "Information Collection under the Paperwork Reduction Act", and "Paperwork Reduction Act – Generic Clearances." The guidance documents addressed many of the comments received from the public on OMB's October 27, 2009 *Federal Register* notice, "Improving Implementation of the Paperwork Reduction Act."

- **Annually:** An agency-by-agency compilation of expirations reported as violations is displayed in the Information Collection Budget.

## Chapter 3. The PRA and Open Government

Recognizing the importance of minimizing the burden of Federal information collections on the American people, of increasing participation and collaboration, of promoting transparency, and of improving administration of the PRA, OMB published a notice in the *Federal Register* on October 27, 2009 (“Improving Implementation of the Paperwork Reduction Act”) to solicit ideas from the public.<sup>11</sup> With this notice, OMB sought to use open government itself to strengthen the administration of the PRA. Among other things, OMB solicited comment on

- OMB’s PRA review process;
- whether and how to take account of differences in the nature of information collections requests (mandatory, voluntary, and mandatory to receive a benefit);
- practices OMB could implement under the PRA to facilitate the use of new technologies, including social media;
- steps to eliminate any redundant or excessive information collections;
- “one-stop” information collection techniques;
- new and improved methods for burden estimation;
- examples of *best paperwork burden* reduction practices implemented by agencies.

OMB received numerous comments on the notice, including comments from 22 Federal agencies.<sup>12</sup> Public comments came from a diverse group of respondents, ranging from individuals, academics, public interest groups, State and local governments, and trade associations. A number of public interest groups submitted comments, including the Center for Regulatory Effectiveness, the Sunlight Foundation and OMB Watch. Trade associations submitting comments include the National Association of Manufacturers, the National Homebuilders Association, and the Chemical Producers and Distributors Association.

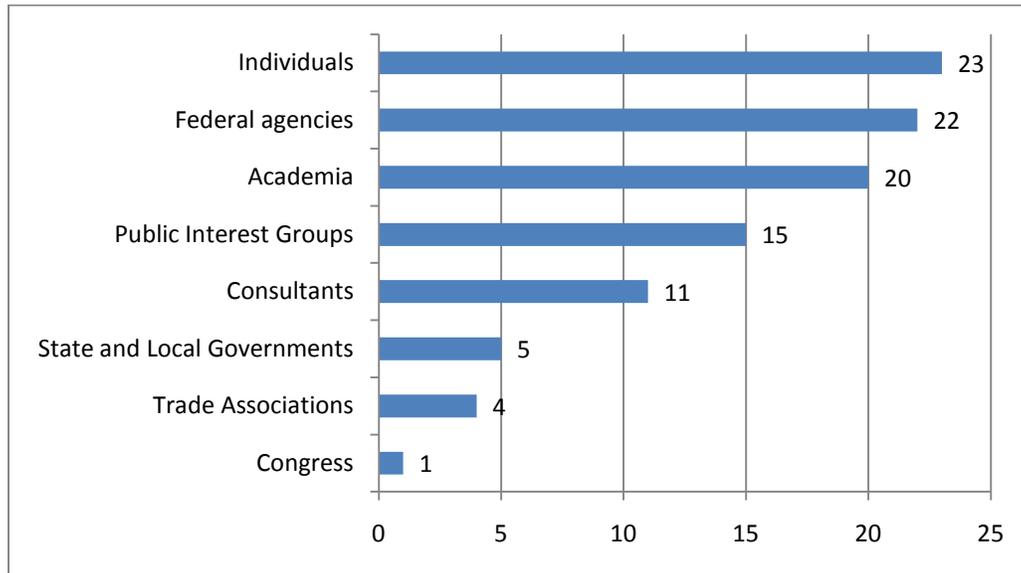
OMB found these comments extremely valuable. It has carefully considered them in various actions over the past year, including the issuance of guidance documents, a data call for burden reduction initiatives, and day-to-day practices under the PRA.

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<sup>11</sup> See 74 Fed. Reg. No. 206 (October 27, 2009), available at:

[http://www.whitehouse.gov/sites/default/files/omb/assets/fedreg\\_2010/10272009\\_pra.pdf](http://www.whitehouse.gov/sites/default/files/omb/assets/fedreg_2010/10272009_pra.pdf)

<sup>12</sup> For public comments see: <http://www.regulations.gov/search/Regs/home.html#docketDetail?R=OMB-2009-0020>

**Figure 4. Commenters on OMB Notice – “Improving on Implementation of the PRA”**

Most of the 176 public comments received focused on reducing burden and maximizing information utility. More specific comments focused on improvements to the PRA review process; some of these encouraged a faster and more limited review process. Over 50 commenters discussed the difference between voluntary collections and mandatory collections, with some arguing for a different review process and others pointing out that the PRA does not distinguish between voluntary and mandatory information collections.

Many public comments focused on promoting the greater use of technology, the Internet, and social media applications to promote transparency and potentially provide instant public participation in the PRA process. While more than 20 comments discussed improving paperwork burden estimates, including separate estimates for small entities and respondents and using the technology to improve burden estimates, few commenters offered any specific burden estimation methods. Ten public comments discussed the importance of eliminating redundant or excessive information collections.

Over 40 comments from 22 federal agencies discussed many of the same issues, with the largest number of comments discussing new or improved practices for estimating burden. As with the public comments, few agency comments provided any concrete burden estimation methods. Most of these comments discussed burden estimation more generally. Some of the comments focused on using pilot tests or technology, or improving the online burden estimation tool used in the PRA review process. Agencies were split on the idea of using a separate burden estimate for small entities, and also on whether burden hour estimates should be monetized.

Around the same time that we received comments on the implementation of the PRA, OMB issued the Open Government Directive in December 2009, implementing the President’s call for executive departments to establish “a system of transparency, public participation, and collaboration.” OMB’s

Open Government Directive specifically instructed the Administrator of the Office of the Information and Regulatory Affairs (OIRA) to identify impediments to open government and to the use of new technologies.<sup>13</sup> The Directive also instructed OIRA to review existing PRA guidance and to issue clarifying guidance to promote greater openness in government.

Using the public and agency comments to identify possible improvements, OMB issued three new PRA guidance documents. The first provides a primer to agencies and the public on the PRA process as a whole. The second offers agencies guidance on their use of social media and web-based interactive technologies when they collect information. The third provides guidance to agencies with respect to the use of “generic” clearances. (The three memoranda are included in the Appendices.)

### **General Guidance on Information Collections: A PRA “Primer”**

Both public officials and private citizens have sometimes expressed uncertainty about the essential requirements of the PRA and about what might be done to ensure compliance. To respond to these concerns and to promote transparency, OMB published a memorandum (“Information Collection under the Paperwork Reduction Act,” serving as a PRA “primer” that offers a clear, simple, transparent understanding of the law’s central requirements.<sup>14</sup> Alert to the uses of modern technologies, and the importance of facilitating interactions between the public and the government, the primer is directly responsive to comments that OMB received from the public and agencies on OMB’s *Federal Register* notice.

Among other things, the primer explains when the PRA is triggered and when it is not and what agencies might do to comply with its requirements. For those who are encountering the PRA for the first time, or who seek a simple reference tool, the primer is a good place to start.

### **Guidance on the Use of Social Media and the PRA**

Federal agencies are increasingly using social media and web-based interactive technologies to engage with the public. Agencies use web-based technologies, such as blogs, wikis, and social networks, as a means of “publishing” solicitations for public comment and to conduct virtual public meetings. The goals of open government – including participation and collaboration – cannot be fulfilled without a clear understanding of the requirements of the PRA, and of what interactions are permissible without undergoing PRA review.

To clarify when and how the PRA applies to Federal agency use of social media and web-based interactive technologies, OMB published a memorandum (“Social Media, Web-Based Interactive Technologies, and the Paperwork Reduction Act”) on April 7, 2010.<sup>15</sup> The memorandum explains that under established principles, the PRA does not apply to many uses of social media and technologies. Many such uses are properly treated as equivalent to activities that are currently

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<sup>13</sup> [http://www.whitehouse.gov/sites/default/files/omb/assets/memoranda\\_2010/m10-06.pdf](http://www.whitehouse.gov/sites/default/files/omb/assets/memoranda_2010/m10-06.pdf)

<sup>14</sup> [http://www.whitehouse.gov/sites/default/files/omb/assets/inforeg/PRAPrimer\\_04072010.pdf](http://www.whitehouse.gov/sites/default/files/omb/assets/inforeg/PRAPrimer_04072010.pdf)

<sup>15</sup> [http://www.whitehouse.gov/sites/default/files/omb/assets/inforeg/SocialMediaGuidance\\_04072010.pdf](http://www.whitehouse.gov/sites/default/files/omb/assets/inforeg/SocialMediaGuidance_04072010.pdf)

excluded from the PRA, such as general solicitations of comments from the public and facts or opinions obtained or solicited at public hearings or meetings.<sup>16</sup>

Among other things, the memorandum explains that wikis, ratings, rankings, and online requests for general feedback are not subject to the PRA. Certain types of contests and prizes are likewise not subject to the statute. The memorandum should be seen as an effort to establish the basic rules for compliance with the PRA in an era that prizes open government, and in which new technologies offer unprecedented and growing opportunities for agencies to interact with the public.

### **Guidance on Generic Clearances**

On May 28, 2010, OMB published “Paperwork Reduction Act – Generic Clearances,” a memorandum that provides guidance to agencies with respect to the use of “generic” clearances. Such clearances provide a useful and streamlined process by which agencies may obtain OMB’s approval for particular information collections—usually voluntary, low-burden, and uncontroversial ones.<sup>17</sup> As a way to avoid redundant and lengthy approvals, generic ICRs are a valuable way to meet the obligations of the PRA while eliminating unnecessary burdens and delays. The guidance document informs agencies of how they might take advantage of this important tool.

These three guidance documents, all designed to increase clarity and to promote open government, respond to many of the central comments from both agencies and the public. OMB is aware, however, that a great deal more can be done to improve the implementation of the PRA, not least by taking further steps to promote transparency and to reduce burdens. OMB is committed to considering comments received in response to its *Federal Register* notice and continuing suggestions, from agencies and the public, about how to improve the PRA process.

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<sup>16</sup> See 5 C.F.R. 1320.3(h)(4) and 5 C.F.R.1320(h)(8)

<sup>17</sup> [http://www.whitehouse.gov/sites/default/files/omb/assets/inforeg/PRA\\_Gen\\_ICRs\\_5-28-2010.pdf](http://www.whitehouse.gov/sites/default/files/omb/assets/inforeg/PRA_Gen_ICRs_5-28-2010.pdf)

## Chapter 4. Reducing Burdens

As noted, there have been significant recent increases in the number of hours that the public spends responding to information collections. In FY 2000, the public spent an estimated 7.36 billion hours responding to Federal information collections. In FY 2009, that number grew to an estimated 9.80 billion, an increase of more than 30 percent.

OMB regularly works with agencies to minimize the Federal paperwork burden on the public. Many of those efforts take the form of day-to-day efforts to ensure that burdens are justified and to identify ways for agencies to promote their statutory missions and goals while significantly reducing burdens. Some of those efforts have been more formal and systemic. In prior calls for burden reduction initiatives, including those reported in the 2007 ICB, agencies (with total burden equal to or in excess of 10 million hours) have been asked to develop initiatives that result in cumulative burden reduction level of nearly one percent of total agency burden.<sup>18</sup>

This year, OMB adopted a novel approach. Instead of asking agencies to meet burden reduction level targets, *OMB directed agencies to identify new initiatives that focus on five key burden reduction areas.* (See Appendix for relevant text.) While not limited to these areas, agencies were asked to submit, and did submit, one or more initiatives from the following areas:

- **Electronic communication: “fillable fileable” forms (or data systems):** Electronic communication can substantially reduce burdens on respondents and simultaneously increase efficiency in data collection. Electronic communication efforts include “fillable fileable” approaches and the pre-population of particularly high-burden forms. Reducing or even eliminating the use of paper, such initiatives allow electronic communications between agencies and the private sector.

Several agencies responded directly to this idea. For example, the Department of Energy’s Nuclear Materials Management and Safeguards System will be making five reporting forms electronic and fillable, reducing estimated burden by over 7,200 hours. The Department of the Treasury’s Technology Solutions and Services Division, Financial Crimes Enforcement Network (FinCEN) is modernizing its e-filing system for Bank Secrecy Act data with the goal of producing an entirely paperless system, reducing estimated burden by 501,500 hours.

- **E-Signature:** In line with the principles of the Government Paperwork Elimination Act, E-signatures can reduce burden and costs for respondents (and have been successfully implemented by Treasury as a part of its larger E-Filing initiative for tax forms by 2010). Electronic signatures, however, should be adopted only where appropriate after an assessment of risks, costs, and benefits.<sup>19</sup> In many contexts, that assessment will show that electronic signatures should be permitted.

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<sup>18</sup>Agencies with total burden hours less than 10 million hours provided initiatives, but they were not subject to the 1 percent target.

<sup>19</sup> For more information see: [Memorandum M-00-10, “OMB Procedures and Guidance on Implementing the Government Paperwork Elimination Act.”](#)

For example, the Federal Acquisition Regulation's Office of Chemical Safety and Pollution Prevention is making all 38 of their forms e-signature capable, so that they can be submitted electronically.

- **Frequency of information collection:** In some instances, monthly or daily information collections can be far more burdensome to the public than collections on a quarterly, bi-annual, or annual basis. A reexamination of the frequency of routine reporting requirements may well demonstrate that less frequent reporting would meet an agency's program needs.

For example, the Department of Commerce's Minority Business Development Agency (MBDA) is reducing the frequency of performance reporting in its online database from three to two reports each year.

- **Administrative simplification:** Agencies are strongly encouraged to improve administrative efficiency for their stakeholders, e.g., health care or financial service providers. Examples of administrative simplification efforts include initiatives that (a) standardize inconsistent processes and requirements, (b) eliminate duplicative reporting requirements, (c) eliminate unnecessary complexity, and (d) improve coordination among multiple offices that gather information from a common group of stakeholders.

For example, the Department of Energy established a working group to review policy on unclassified foreign visits and assignments. Through this process, DOE significantly revised the Foreign Access Central Tracking System (FACTS), reducing duplication and the amount of information required for visit or assignment requests. The estimated burden will be reduced by two-thirds, a reduction of 122,000 hours.

- **Small business burden:** Information collections may impose significant burdens on small businesses. Because of economies of scale, a collection may be more burdensome for a small entity than for a large one. To identify ways to achieve significant reductions in burden upon small entities, OMB encouraged agencies to work with their Small Business Paperwork Relief liaison.<sup>20</sup>

As an example, the Federal Energy Regulatory Commission is planning to simplify and streamline its small hydropower licensing program, making it more user-friendly and reducing burden specifically for small firms.

OMB asked agencies to submit burden reduction initiatives that they plan to implement. Each initiative includes a description of the initiative; a total estimate burden reduction; a date of completion; a list of information collections affected; and potential hurdles to accomplishing the initiative, including statutory or policy barriers. The nature of the new burden reduction initiatives varies greatly across government agencies. However, all such initiatives are designed to achieve one or more concrete goals, including (1) improving program performance by reducing the cost or enhancing the efficiency of agency information collections, (2) reducing the burden overall or per response on the public, or (3) leading to a comprehensive review of an entire program, including regulations and procedures.

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<sup>20</sup> For a list of agency contacts, see: <http://www.business.gov/business-law/contacts/federal/>

The Department of Education's (ED) Federal Student Aid Process Simplification initiative is a flagship example. The 2011-2012 Federal Student Aid application package combines two forms, the Free Application for Federal Student Aid (FAFSA) and the Student Activity Report (SAR). While the same information will be collected, the questions will be re-organized and streamlined to reduce the time it takes students and families to input the same amount of information.

The Department's enhancements for 2011-2012 focus on further simplifying FAFSA on the Web (FOTW), the application site used by more than 90 percent of all applicants. The upgraded application will include significant new features, including a redesigned homepage and more dynamic and personalized navigation. In addition, there will be improved and simplified functionality for users who need to correct or update their FAFSA data using FAFSA Corrections.

FOTW will also expand the offering of the IRS Data Retrieval tool to more users in 2011-2012. Beginning in January 2010, ED offered FOTW applicants the IRS Data Retrieval Tool, an optional service that provides applicants and their parents the ability to see and securely transfer IRS tax information into FAFSA, thus saving time and increasing application accuracy. These changes will result in an estimated burden decrease of no less than 1.6 million hours. In the future, the Department plans to continue focus groups and usability studies to improve the federal aid application process and reduce burdens on the public.

Another example is the Department of the Treasury's Bank Secrecy Act (BSA) Information Technology Modernization initiative. The Technology Solutions and Services Division, Financial Crimes Enforcement Network (FinCEN), is modernizing its capability to collect and store BSA data for use by law enforcement and analysts. Through an e-filing system, more transparent and inclusive forms, standardization of financial data with existing financial and law enforcement standards, and more timely and useful feedback on BSA filings, FinCEN intends to extract the greatest value for all BSA data collected, while minimizing the compliance and reporting obligations to industry. By enriching the data through derivation, linkages and data dissemination and sharing, and other reforms, the modernization project will result in an estimated burden decrease of 501,500 hours, along with an estimated annual cost savings to industry of \$6 to \$10 million.

This chapter contains a summary of the initiatives that were submitted, as well as an update on past burden reduction initiatives (from FY 2007 and 2008) that were not reported as completed in the 2009 ICB.

## New Burden Reduction Initiatives for FY 2009

In total, we received 72 burden reduction initiatives from 26 agencies. Of the 27 agencies that were requested to submit burden reduction initiatives, only one agency, the Federal Trade Commission (FTC), declined to submit an initiative, contending that it has limited discretion over the rules for which its paperwork burden is attributed. The FTC also declined to submit an initiative for the FY 2007 ICB.

### Department of Agriculture

**Office:** National Agricultural Statistics Service (NASS)

**Initiative Title:** Technology Enhancements

**Description:** During this initiative NASS will be implementing changes that should help reduce respondent burden and improve the quality and accuracy of data being collected, summarized, and published. For many of the smaller, specialty surveys that NASS conducts, Field Offices have been maintaining their own customized questionnaires. With this initiative, NASS will be standardizing all questionnaire content across States, eliminating redundancy and resulting in one master paper and web questionnaire for each survey.

NASS has also begun investigating ways to improve sampling and weighting of data to account for non-responses for our specialty surveys. This will eliminate the need to conduct a complete census on some specialty surveys and allow exclusion of or at least greatly reduce the number of small operators who will be contacted with each survey.

Finally, NASS is continually looking for ways to improve the flow or logic used in survey instruments to allow respondents or enumerators to minimize the number of questions being asked. In both our Electronic Data Reporting (EDR) and Computer Assisted Telephone Interview (CATI) instruments we are researching better ways of utilizing screening questions, and previously reported data. As we continue incorporating more standardized, specialty surveys into existing computer systems, respondent burden should be further decreased.

**Estimated Burden Reduction:** We are still in the early stages of the Technology Enhancements initiative. We hope to have the majority of the initiative that will impact respondent burden completed and changes implemented by the fall of 2011. It is still too early to accurately estimate the amount of burden reduction we will be able to achieve.

**Collection(s) Affected:** This initiative could potentially impact all of the data collections conducted by NASS. For the larger more standardized surveys, the impact could be minimal. However, for the smaller specialty surveys

we are expecting the largest impact. NASS currently has 29 data collection dockets that are active. These dockets represent well over 500 different surveys conducted by NASS that utilize several thousand different versions of the questionnaires. (Questionnaires vary from State to State to account for the different commodities produced in each State as well as the variety within each commodity, especially with the fruit, nut, vegetable, and specialty surveys. There is also tremendous variation in the questions asked with each season: planting intentions, actual plantings, harvestings, marketing prices, amounts in storage, conditions of the crops, fresh versus processing, etc.)

NASS has completed the first phase of the review process - identifying non-standard surveys. We have begun to prioritize the order in which these surveys will be completed.

**Expected Date of Completion:**

NASS expects to have the majority of the work involving electronic data collection completed by fall 2011.

**Hurdles to Completion:**

The biggest obstacle is limited resources. NASS will be using existing staff to research, develop, test, and implement changes while maintaining current programs. We will also be somewhat dependent on other initiatives related to efficiency gains.

**Department of Agriculture**

**Office:**

Grain Inspection, Packers and Stockyards Administration (GIPSA)

**Initiative Title:**

Packers and Stockyards Program Reporting and Recordkeeping Requirements

**Description:**

In an effort to reduce the burden hours on the public, The Packers and Stockyards Program (P&SP) is going from a paper-based collection to a web-based collection on forms in the 3000 and 7000 series. This package contains the forms that P&SP uses to regulate the industry. These forms are used by the public annually with a tight turn-around time to fill out the forms. The other forms in this package will be converted once these have been completed.

P&SP of the Grain Inspection, Packers and Stockyards Administration enforces the P&S Act, which requires regulated entities in the livestock, meat packing, and poultry industries to maintain certain records, submit certain information to P&SP, and provide certain information to third parties. The information collected is used by GIPSA to administer the fair trade provisions under the P&S Act. The regulated entities are packers, live poultry dealers, stockyard owners, market agencies, and dealers. In general, the information required includes ownership, business descriptive, procurement, and financial information and

certifications.

Regulations (9CFR, part 201) and Statement of General Policy (9 CFR, part 203) Issued under the Packers and Stockyards (P&S) Act (7 U.S.C. 181-229, 229c) and Related Reporting and Recordkeeping Requirements.

**Estimated Burden Reduction:**

63,726 hours

**Collection(s) Affected:**

Regulations and Related Reporting and Recording Requirements - Packers and Stockyards Programs, OMB Control Number 0580-0015

**Expected Date of Completion:**

January 31, 2011

**Hurdles to Completion:**

None

**Department of Commerce**

**Office:**

Bureau of Industry and Security (BIS)

**Initiative Title:**

Streamlining Export and Reexport Controls on Commercial Encryption Products

**Description:**

BIS is amending the requirements of License Exception ENC and certain license application requirements to simplify and shorten the export and reexport approval process of certain encryption and related technology items. This rule replaces most encryption product reviews that required a thirty-day pre-export waiting period and semi-annual post-export sales and distribution reporting with immediate authorization to export or reexport upon submission of an encryption registration to BIS of these items and self-classification report. For restricted encryption items, these continue to be authorized for immediate export or reexport to most end-users in favorable License Exception ENC countries upon submission of a classification request to BIS. This rule also eases licensing requirements for many technology items necessary for the development and use of encryption products, except to countries subject to export license requirements for national security reasons or embargo/sanctions reasons. In addition, this rule removes the procedural requirement for separate submissions to both BIS and the ENC Encryption Request Coordinator for all export application to the BIS Web portal, Simplified Network Application Process-Redesign (SNAP-R), submissions to BIS that previously required separate hardcopy delivery to the ENC Encryption Request Coordinator. These submissions will now be submitted via SNAP-R.

These changes are expected to reduce the annual burden by 4,847 hours for the Commercial Encryption Items under Commerce

Jurisdiction. It is anticipated that the number of commodity classifications for encryption products will decrease by 50% to 1,163 classifications annually. This will result in an estimated burden reduction of 107 minutes per classification or 2,074 hours. In addition, this rule will reduce the number of license applications for encryption technology by 60%, about 80 licenses per year for the Simplified Network Application Process and Multipurpose Application Form.

These collections fall under the Export Administration Regulations (EAR) and agreements made by the Wassenaar Arrangement on Export Controls. This initiative will affect businesses and other for-profit institutions.

**Estimated Burden Reduction:**

4,847 hours

**Collection(s) Affected:**

Commercial Encryption Items Under Commerce Jurisdiction, OMB Control Number 0694-0104; and Simplified Network Application Process and Multipurpose Application Form, OMB Control Number 0694-0088

**Date of Completion:**

June 25, 2010

**Hurdles to Completion:**

None

**Department of Commerce**

**Office:**

Bureau of the Census

**Initiative Title:**

Expansion of Direct-Internet Reporting for the Survey of Manufacturers and the 2012 Economic Census

**Description:**

This initiative will expand the implementation of Centurion, a Web-based software application, for the Annual Survey of Manufacturers, the 2012 Economic Census and the Economic Current Surveys. Centurion is used to securely collect and distribute sensitive information over the Internet and replaced the legacy Census Taker Web-based system. Centurion is highly flexible, incorporates newer Web technologies and supports a myriad of collection inquiries across multiple independent surveys. In the 2012 Economic Census, direct-Internet reporting via Centurion will be offered to over 4 million businesses, including over a million businesses that could not report electronically in the 2007 Economic Census. The Census Bureau is migrating the economic surveys that use the legacy Web-based system into Centurion and is expanding the implementation of direct-Internet reporting to nearly all economic surveys.

Although difficult to measure the burden hours saved, implementing direct-Internet reporting will directly impact the public by providing better data and a better experience for online users of the Economic Census and the Economic Current Surveys. Direct-Internet reporting will facilitate respondent reporting and streamline processing, resulting in the production of accurate, timely, and relevant business statistics. Benefits to the respondent include easy-to-use interfaces, customized inquiries, and tools to address the needs of businesses of varying sizes. Real-time data edits incorporated into the electronic reporting software provide feedback to respondents and aid in identifying potential reporting errors. Higher quality data via electronic response reduces the need for follow-up regarding questionable data. Streamlined processing has reduced the time necessary to make data available for analyst review to 24 hours, as compared to weeks for paper submissions.

**Estimated Burden Reduction:**

Unknown

**Collections Affected:**

Annual Survey of Manufacturers, OMB Control Number 0607-0924, and 2012 Economic Census, future OMB submission 0607-XXXX.

**Expected Date of Completion:**

Direct-Internet reporting available for 2010 Annual Survey of Manufactures (ASM) (Pilot for 2012 Economic Census), December 30, 2010; Direct-Internet reporting available for the 2011 Classification Forms and 2011 ASM, October 31, 2011; Direct-Internet reporting available for Single-Unit reporters for 2012 Economic Census, September 30, 2012; Migration of Economic Surveys to Centurion completed, January 30, 2012.

**Hurdles to Completion:**

Changes in IT security requirements; redirection of resources; late changes to user requirements; too large a scope (nearly 600 forms) for the Economic Census; and limited resource availability due to ongoing production work.

**Department of Commerce**

**Office:**

International Trade Administration (ITA)

**Initiative Title:**

Streamlining of Foreign-Trade Zone Operations Annual Report Submission Process

**Description:**

The Foreign-Trade Zones Act (19 U.S.C. 81(a)-81(u), enacted in 1934) established the Foreign-Trade Zones Board (comprised of the Secretaries of Commerce and Treasury) to license and regulate foreign trade zones (FTZs) in the United States. The purposes of the program are to help encourage exports and to assist firms engaged in domestic operations (ranging from warehousing to manufacturing) to compete internationally. State and local officials use FTZs as part of their economic development

efforts to maintain and increase employment by attracting international trade-related activity. There are now 240 U.S. communities with zones, serving over 2,500 firms. The Foreign-Trade Zones Act and the FTZ Regulations (15 C.F.R. Part 400) require that each FTZ grantee submit an annual report on zone operations to the FTZ Board. The FTZ Board, in turn, provides an annual report on zone operations to Congress, interested parties, and the public. The affected parties for this submission are FTZ grantees, as well as private companies that operate within FTZs.

ITA's FTZ Staff is in the process of developing an online system for the submission of the annual report. The online system will simplify the submission process by creating a fillable online form for affected parties. Certain information will be automatically populated for the respondent. The system will allow each FTZ operator to log in and securely transmit their information. That information will then be electronically compiled and presented to the FTZ grantee, greatly reducing the burden on FTZ grantees, especially in larger zones that may have dozens of operators. The grantee will then be able to submit the data through the system to the FTZ Board. Automatic checks and assistance will be built into the system to assist grantees and operators and improve the quality of the submissions.

Currently, the FTZ Board receives paper versions of the report that must be manually entered into a spreadsheet and checked for errors and inconsistencies. The online system will significantly enhance the staff's efficiency and reduce the time needed to prepare the FTZ Board's annual report to Congress.

**Collection Affected:**

Annual Report from Foreign-Trade Zones, 0625-0109

**Estimated Burden Reduction:**

3,302 hours

**Expected Date of Completion:**

The system is now under development. The submission of the annual report currently occurs on a fiscal-year basis. Individual zone submissions for FY 2010 will be due to the FTZ Board on January 31, 2011. Full deployment is anticipated for March 2011.

**Hurdles to Completion:**

The system is being developed and built internally. While this provides for a cost-effective means of developing and deploying the system, it also carries a risk of delay due to limited internal resources. Assuming that resources are able to remain dedicated to the scheduled deployment, there are no statutory or policy barriers to completion and full implementation of the system.

<b>Office:</b>	International Trade Administration (ITA)
<b>Initiative Title:</b>	Procedural and Web Site Upgrades for Safe Harbor Self Certification
<b>Description:</b>	<p>Safe Harbor is a voluntary program and eliminates the need for prior approval to begin data transfers, or makes approval from the appropriate EU member countries automatic. The participating companies self-certify to the Safe Harbor principles and the supporting documents that make up the framework. Companies would typically send renewal letters via regular mail or e-mail to attest their recommitment to Safe Harbor. In calendar year 2009, the database platform on which the program's Web site and supporting databases reside was redesigned. During that process, alterations were made to the method for the annual reaffirmation or renewal to Safe Harbor which is required under the agreement. Now, companies may reaffirm their commitments to Safe Harbor online and update their electronic records at any time.</p> <p>The United States.-European Union (US-EU) Safe Harbor Framework is a bilateral agreement with the European Union which was negotiated with the European Commission between 1998 and 2000. The Framework provides a mechanism for U.S.-based companies to transfer personal data of EU citizens to the United States for commercial purposes.</p>
<b>Estimated Burden Reduction:</b>	720 hours
<b>Collection Affected:</b>	Information for Self-Certification under FAQ 6 of the U.S. – European Union Safe Harbor Privacy Framework, OMB Control Number 0625-0239
<b>Date of Completion:</b>	September 4, 2009
<b>Hurdles to Completion:</b>	Availability of resources to pursue further program oversight and administrative efficiencies.

#### Department of Commerce

<b>Office:</b>	Minority Business Development Agency (MBDA)
<b>Initiative Title:</b>	Implementation of Enhanced Electronic Tools for MBDA Clients
<b>Description:</b>	Under Executive Order 11625, the Minority Business Development Agency's (MBDA) primary mission is to foster the growth and competitiveness of minority-owned firms. To this end, MBDA is developing and implementing new electronic tools, including a Customer Relationship Management (CRM) system and an enhanced Performance Reporting system. These tools are

expected to streamline the client intake process and collection of agency and program performance data. An interface between the CRM system and Performance system will be established to integrate data so that the two systems work seamlessly. This combined repository of information will facilitate data sharing throughout the agency network.

Phase I of this effort will focus on implementation of the CRM system. Client information will be centralized to improve data collection efficiencies. This data centralization will eliminate the need for a separate MBDA “Phoenix” system to collect minority business profiles. The submission of redundant information is expected to decrease, and accessing data will be simplified.

Phase II will develop the enhanced Performance Reporting system. Implementation of this system is anticipated to reduce the burden on grant recipients in complying with performance report submission requirements. The frequency of data collection will decrease from three to two reports a year. In addition, the number of text fields within the reports will be decreased to eliminate duplicative and/or unnecessary reporting requirements. Use of the MBDA “Needs Analyzer” will no longer be mandatory, but will be available as an optional tool for grant recipients. This will further reduce the overall burden.

<b>Collection Affected:</b>	Online Databases: Performance, Phoenix, and Opportunity, OMB Control Number 0640-0002
<b>Estimated Burden Reduction:</b>	2,590 hours
<b>Estimated Date of Completion:</b>	FY 2011
<b>Hurdles to Completion:</b>	None

#### Department of Commerce

<b>Office:</b>	National Oceanic and Atmospheric Administration (NOAA), National Marine Fisheries Service (NMFS)
<b>Initiative Title:</b>	Implementation of a National Permit System (NPS)
<b>Description:</b>	The National Permit System (NPS) is a centralized database with a Web-based permit application feature. The system will have a direct effect on the public burden by harmonizing and linking data currently residing in stovepipe regional permit, dealer, and vessel databases; standardizing permit applications renewals and electronic submission of fees; and by allowing for the use of common components and data throughout the permit process to

reduce the burden of duplicative submission of recurrent data. Approximately two thirds of the affected parties that will benefit from this initiative are small businesses. In addition, the system will generate unique electronic signatures to identify permit holders. The statutory authority is the Magnuson Stevens Fisheries Conservation and Management Act (16 USC 1801).

**Collections Affected:** Various titles involving permit processes for multiple fishery management regions, OMB Control Numbers: 0648-0194, -0202, -0203, -0204, -0205, -0206, -0269, -0272, -0304, -0316, -0327, -0334, -0393, -0398, -0401, -0471, -0490, -0512, -0513, -0514, -0545, -0569, -0584, -0586, 0589, -0587, and -0591.

**Estimated Burden Reduction:** 20,786 hours

**Expected Date of Completion:** September 30, 2011

**Hurdles to Completion:** NOAA's NMFS regional offices have historically maintained local systems to manage their work; efforts to switch to a nationwide system will require outreach efforts.

#### Department of Defense

**Office:** Defense Acquisition Regulation System (DARS)

**Initiative Title:** Eliminate Reporting of Commercially Available Off-the-Shelf Items that Contain Specialty Metals

**Description:** This burden reduction initiative reduces the reporting burden on contractors that provide noncommercial end items that contain specialty metal to DoD. DoD is no longer required to report to Congress on the types of commercially available off-the-shelf items containing specialty metals that are incorporated into noncommercial end items.

Delete DFARS clause 252.225-7029, "Reporting of Commercially Available Off-the-Shelf Items that Contain Specialty Metals and are Incorporated into Noncommercial End Items."

This requirement was incorporated in the DFARS to implement the statutory requirement of 10 U.S.C. 2533b. It calls for the Government to report to Congress for Fiscal Years 2008 and 2009, on the use of the exception to the specialty metals restrictions. These restrictions are for commercially available off-the-shelf items that are incorporated in non-commercial end

items. The affected public consists of contractors that sell noncommercial end items containing specialty metals to the Department of Defense.

**Collections Affected:** Defense Federal Acquisition Regulations Supplement (DFARS) 252.225-7009 and DFARS 252.225-7010, OMB Control Number 0704-0459

**Estimated Burden Reduction:** 306,800 hours

**Expected Date of Completion:** September 31, 2010

**Hurdles to Completion:** None

### Department of Education

**Office:** Federal Student Aid (FSA)

**Initiative Title:** Federal Student Aid Application Process Simplification

**Description:** The Free Application for Federal Student Aid (FAFSA), 1845-0001, collects the data necessary to determine a student's eligibility for participation in the following federal student assistance programs identified in the Higher Education Act (HEA): the Federal Pell Grant Program; the Campus-Based Programs; the William D. Ford Federal Direct Loan Program; the Federal Family Education Loan Program; the Academic Competitiveness Grant; the National Science and Mathematics Access to Retain Talent (SMART) Grant, and the Teacher Education Assistance for College and Higher Education (TEACH) Grant.

During the 2010-2011 Free Application for Federal Student Aid (FAFSA) information clearance process, the Department began to reevaluate the methodology in assessing burden imposed on the public. Several concepts emerged that could be beneficial in improving the clarity of information provided and in reducing the burden placed on the public to provide the information needed to determine a student's eligibility for federal student aid.

1. **Consolidation of the application information collections (FAFSA and Student Aid Report (SAR), 1845-0008)** – Merging the two separate information collections will provide a more accurate representation of the application components, application process and the total burden associated with the entire experience. We anticipate a reduction when the application components are assessed together instead of as standalone functions. Expected Completion – August 15, 2010

2. **Simplified application experience** – Streamlining the application experience has been a continued goal of the Department. We will be further simplifying the application with a redesign of FAFSA on the Web site and with significant improvements to the online process for making updates to a submitted application.  
Expected Completion – January 1, 2011
  
3. **Reevaluation of Burden Estimates** – For 2011-2012, the Department will reevaluate the methodology in assessing burden imposed on the public by utilizing several methods which include:
  - a) Use of more concrete data provided by a web trending tool to accurately capture application completion time;
  - b) Use of survey data designed to collect applicant perceptions of the burden associated with the overall application process;
  - c) Applicant focus group and/or usability study designed to identify areas in the application process that can be further simplified, and
  - d) Focus group with financial aid professionals, designed to collect perceptions on the burden associated with FAFSA data collection and submission on behalf of applicants and their families.
 Expected Completion – September 1, 2010

**Estimated Burden  
Reduction:**

The more accurate representation of the application components should eliminate the inconsistencies and duplication caused by two separate information clearances. This combined with our simplification efforts and reevaluation based on more concrete data should result in a 5 percent or approximately 1.6 million hour reduction in current burden estimates for the FAFSA, 1845-0001, and the SAR, 1845-0008.

**Collections  
Affected:**

Free Application for Federal Student Aid (FAFSA), 1845-0001; Student Aid Report (SAR), 1845-0008

**Expected  
Completion:**

There are different completion dates per action, as specified above. The overall completion date for this initiative is January 2011.

**Hurdles  
to Completion:**

Because the simplified application experience as described above will contribute to much of the indicated reduction in burden, our estimated burden reduction is dependent upon the successful development and implementation of proposed web system requirements for 2011-2012 application period.

**Department of Energy**

**Office:** Health, Safety and Security

**Initiative Title:** Nuclear Materials Management and Safeguards System (NMMSS) Forms Revision

**Description:** Nuclear Materials Management and Safeguards System (NMMSS): Nuclear materials control and accountability for DOE-owned and –leased facilities and DOE-owned nuclear materials at other facilities that are exempt from licensing by the Nuclear Regulatory Commission (NRC). NMMSS is the United States Government’s system of accountancy for nuclear materials which are owned and used by the U.S. Government, leased to or owned by private companies within the U.S., produced and owned in foreign countries under conditions that bring them into U.S. safeguards interest, and produced in the U.S. and leased or sold to foreign governments. The system is owned and sponsored by the U.S. Government [U.S. Department of Energy (DOE) and the Nuclear Regulatory Commission]. DOE implementing policy for reporting to NMMSS is contained in DOE M 470.4-6, Nuclear Material Control and Accountability. The sources of data reported to the NMMSS are many and varied depending upon the legal requirements, safeguards restrictions, and financial interests related to each facet of the nuclear industry. Attributes such as ownership, reporting identification symbol, material type, and foreign obligations are the guidelines and criteria for reporting these activities to the NMMSS. The primary data subsystem is comprised of three elements containing the data reported by and generated for, facilities regarding inventories, transactions and material balances. DOE facilities are required to report to NMMSS by DOE M 470.4-6; NRC licensees are required to report to NMMSS by NRC regulations. The forms used to report this information are currently posted on the DOE/IM Forms Website but are not fillable. The Office of Information Management (HS-1.22) has already begun the process of revising the forms to incorporate updated changes that need to be made to the forms. In doing so, the forms will be made fillable, thereby, reducing the burden of hours on the public.

Most DOE facilities submit data to NMMSS using the electronic equivalents of the NMMSS forms. HSS provides software and support to these facilities to assist them in submitting their data to NMMSS system. By improving the software used to submit this data and improving the interfaces between site system and the NMMSS system, we expect to significantly reduce the reporting burden.

The table below lists each form and how a reduction will occur:

Form And/or System	Current Minutes per Response	As Fillable – Revised Minutes per Response	Minutes for Improved Electronic Submission	Total Burden Hours Reduced per Initiative	Action
DOE/NRC F 740M	30	20	15	3	Make fillable – currently on DOE Forms Website as PDF
DOE/NRC F 741	30	20	15	1208	Make fillable – currently

					on DOE Forms Website as PDF. Improve electronic submission software and interfaces
DOE/NRC F 742	30	20	15	5169	Make fillable – currently on DOE Forms Website as PDF. Improve electronic submission software and interfaces
DOE/NRC F742C	30	20	15	1	Make fillable – currently on DOE Forms Website as PDF
DOE F DP-749	30	20	15	910	Make fillable – currently on DOE Forms Website as PDF. Improve electronic submission software and interfaces

**Collection Affected:** Security, OMB Control Number 1910-1800

**Estimated Burden Reduction:** 7,291 hours

**Expected Date of Completion:** December 2010

**Hurdles to Completion:** None

#### Department of Energy

**Office:** Health, Safety and Security

**Initiative Title:** Publication of Thresholds for Reporting Material and/or Significant Changes

**Description:** The DOE Foreign Ownership, Control or Influence program is mandated by the Federal Acquisition Regulation (48 CFR Parts 904.7003, 952.204-2, 904.404, and 952.204-73) and by Executive Order 12829 “National Industrial Security Program.” This program applies to all contracts at DOE and NNSA facilities involving classified work and sensitive nuclear material and is part of the facility clearance process. DOE and NNSA use a three-part web based information technology system, e-FOCI, to support this program. Contractors complete and submit e-forms and upload required corporate documents via the e-FOCI Submission Site. DOE and NNSA process the submissions and render FOCI determinations via the e-FOCI Processing Site. Contractors are required, by current DOE policy, to report material or significant changes in the degree of foreign ownership or control, but the

terms material or significant are not defined in policy. All completed FOCI packages are stored electronically in the e-FOCI System database and can be searched, retrieved and viewed at any time.

Contractors holding a facility clearance based upon a favorable FOCI determination must submit reports of changed conditions and anticipated changes when these changes affect the information in an applicant's most recent Standard Form 328 (SF-328). Publication of thresholds for reporting material and/or significant changes will provide circumstances that contractors are required to report on the SF-328 to DOE. Establishing thresholds for reporting change eliminates the potential reporting of insignificant changes.

**Collection Affected:** Security, OMB Control Number 1910-1800

**Estimated Burden Reduction:** 7,291 hours

**Expected Date of Completion:** October 2010

**Hurdles to Completion:** This initiative will require a change in DOE/NNSA FOCI policy. The revised DOE policy should be in the DOE Review and Comment (REVCOM) system by October 1, 2010, for Departmental concurrence and approval.

### Department of Energy

**Office:** Health, Safety and Security

**Initiative Title:** Administrative Simplification through the Reduction of Information Collected for FACTS.

**Description:** Foreign Access Central Tracking System (FACTS) is the secure unclassified DOE national electronic tracking system that facilitates appropriate reviews, records approvals of visits and assignments by foreign nationals, and provides a historical database of biographical, visit and assignment, and approval information for the DOE complex. The system was created in response to Presidential Decision Directive 61, which recognized the need, at the executive level, to create a system to track foreign national visits and assignment information at Department of Energy sites. DOE O 142.3, *Unclassified Foreign Visits and Assignments Program*, contains the Departmental policy for this collection.

Through a working group established to review DOE Unclassified Foreign Visits and Assignments policy, a related effort was undertaken to reduce the amount of information required for entry into FACTS to create visit or assignment requests. It is estimated that the approximate time to complete

each response will be reduced from 3 hours to 1 hour when the reduced set of mandatory fields of information is implemented.

**Collection Affected:** Security, OMB Control Number 1910-1800

**Estimated Burden Reduction:** 122,000 hours

**Expected Date of Completion:** October 2010

**Hurdles to Completion:** There are no anticipated difficulties in accomplishing this initiative. This initiative was undertaken in line with a review of current foreign visits policy and development of draft revised policy. Representatives of all major stakeholders within the DOE foreign visits community participated in the review/revision of FACTS information collection requirements.

#### Department of Energy

**Office:** Health, Safety and Security

**Initiative Title:** Administrative Simplification through the Elimination of Reporting.

**Description:** **Safeguards and Security Site Self Assessments:** This information is required by the National Industrial Security Program Operating Manual (NISPOM), which was established by E.O. 12829 "National Industrial Security Program." The NISPOM establishes the baseline requirements for the protection and control of classified information and is administered by the Information Security Oversight Office (ISOO), National Archives and Records Administration (NARA). This requirement is implemented by the Department through DOE O 470.4A, Safeguards and Security Program, DOE M 470.4-1, Safeguards and Security Program Planning and Management, and DOE M 470.4-4, Information Security. This collection is used to provide documentation on the quality of the security programs used by contractors to protect classified information, special nuclear material, and other national security assets. The report is prepared by the program office with oversight responsibilities for that specific site/contract. A similar report is prepared by the contractor. This report is called the safeguards and security site self assessment report.

**Site Safeguards and Security Plans or Site Security Plans (for classified information):** This information is required by the National Industrial Security Program Operating Manual (NISPOM), which was established by E.O. 12829 "National Industrial Security Program." The NISPOM establishes the baseline requirements for the protection and control of classified information and is administered by the Information Security Oversight Office (ISOO), National

Archives and Records Administration (NARA). This requirement is implemented by the Department through DOE O 470.4A, Safeguards and Security Program, DOE M 470.4-1, Safeguards and Security Program Planning and Management, and DOE M 470.4-4, Information Security. This information is used to provide documentation on the implementation measures used by contractors to protect classified information, special nuclear material, and other national security assets. These are prepared by the contractor and approved by the security office. These plans are updated as needed, or depending on the type of classified information / assets on at least an annual basis.

**Site Safeguards and Security Plans or Site Security Plans (for unclassified information):** The Department does not have any collection of information identified as unclassified document security. The Department does have Site Safeguards and Security Plans and Site Security plans that identify the implementation of protection requirements for unclassified documents marked as containing Unclassified Controlled Nuclear Information and Official Use Only. The Departments requirement for these plans are contained in DOE O 470.4A, Safeguards and Security Program, DOE M 470.4-4, Information Security, DOE O 471.1A, Identification and Protection of Unclassified Controlled Nuclear Information, DOE M 471.1-1, Identification and Protection of Unclassified Controlled Nuclear Information, DOE O 471.3, Identifying and Protecting Official Use Only Information, and DOE M 471.3-1, Manual for Identifying and Protecting Official Use Only Information. The information is used to provide documentation on the implementation measures used by contractors to protect unclassified information. These are prepared by the contractor and approved by the security office.

After a function review, it has been determined that these entries in the information collection submission are inappropriate for the type of data being collected. The primary purpose and tracking appears applicable to real-time, or near real-time, operational support functions and systems that see periodic and frequent access and use. These four entries do not appear to fit this criterion.

Rather, these represent planning functions, not operational data-entry systems. Each of the processes/programs listed above are long-term activities requiring many months of effort to produce data and/or documentation for Senior Management consideration. They are not discrete activities or form-based functions that conform to the metrics (e.g., time to fill in a form, time spent accessing a data entry system, etc.) that are the basis for most other categories. As an example, conducting a Vulnerability Assessment varies widely and the level of effort and scope is vastly different for each asset and site. Providing a meaningful estimate without polling the field is difficult if not impossible – the same provisions apply to the development of the security plans as well.

**Collection Affected:** Security, OMB Control Number 1910-1800

<b>Estimated Burden Reduction:</b>	31,305
<b>Expected Date of Completion:</b>	December 2010
<b>Hurdles to Completion:</b>	Obtain OCIO/PRA and the Office of Management and Budget (OMB) approval to remove the functions from the current information collection package.

### Environmental Protection Agency

<b>Office:</b>	Office of Chemical Safety and Pollution Prevention
<b>Initiative Title:</b>	Premanufacture and Significant New Use Notification Electronic Reporting
<b>Description:</b>	EPA amended the Toxic Substances Control Act (TSCA) section 5 Notification regulations and related provisions to phase-out paper-based submissions and facilitates the introduction and use of a new electronic reporting mechanism. These amendments enable, and will eventually require, that manufacturers, importers, and processors of TSCA chemical substances use the Internet, through EPA's Central Data Exchange, to submit TSCA section 5 notices to the Agency, including the following: Premanufacture Notices, Significant New Use Notices, Test Market Exemption Applications, Low Volume Exemption notices, Low Exposure/Low Release Exemption notices, Biotechnology notices for genetically modified microorganisms, and Notices of Commencement of Manufacture or Import.
<b>Estimated Burden Reduction:</b>	16,291 hours
<b>Collection(s) Affected:</b>	Pre-Manufacture Review Reporting and Exemption Requirements for New Chemical Substances and Significant New Use Reporting Requirements for Chemical Substances, OMB Control Number 2070-0012; and TSCA Section 5(a)(2) Significant New Use Rules for Existing Chemicals, OMB Control Number 2070-0038
<b>Expected Date of Completion:</b>	September 2010
<b>Potential Hurdles to Completion:</b>	None

### Federal Acquisition Regulation

<b>Office:</b>	Office of Chemical Safety and Pollution Prevention
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<b>Initiative Title:</b>	Electronic Communication "fillable-fileable" forms and E-Signature
<b>Description:</b>	<p>GSA's PDF and Formnet Libraries of approximately 500 Standard, Optional, and GSA forms located at <a href="http://www.gsa.gov/forms">www.gsa.gov/forms</a> are fillable, saveable, XML-capable, 508-compliant, E-signature capable, and may be submitted electronically.</p> <p>The PDF versions are FDCC-compliant as well; that is, they are useable by any individuals via the free Adobe Reader software, which requires no IT Help Desk intervention.</p> <p>The 38 total forms associated with the FAR information collections are no exception. As the 10 ICRs with associated forms are renewed, the electronic capability can be changed from printable to fillable-fileable. The burden is expected to be reduced by 5 minutes, as individuals will no longer need to either print, scan, and then electronically submit or print and then physically mail forms through the post office.</p>
<b>Estimated Burden Reduction:</b>	<p>Although not a significant decrease in actual burden hours because of the small number of forms, i.e., 38, the ease to internal and external customers clearly meets the intent to significantly reduce the burden per response and overall on the public.</p> <p>If only up to 5 minutes are saved by the 14,967,758 respondents, a total of 1,247,313 hours are saved, almost 4% of the FAR Council's entire active burden inventory.</p>
<b>Collection(s) Affected:</b>	Standard Form 28, Affidavit of Individual Surety, OMB Control Number 9000-0001; Subcontracting Plans/Individual Subcontract Report, OMB Control Number 9000-0006; Summary Subcontract Report, OMB Control Number 9000-0007; Progress Payments, SF 1443, OMB Control Number 9000-0010; Preaward Survey Forms, OMB Control Number 9000-0011; Termination Settlement Proposal Forms, OMB Control Number 9000-0012; Statement and Acknowledgment, OMB Control Number 9000-0014; Bid, Performance, and Payments Bonds, OMB Control Number 9000-0045; Government Property, OMB Control Number 9000-0075; and Architect-Engineer Qualifications, OMB Control Number 9000-0157
<b>Expected Date of Completion:</b>	<p>2010: 9000-0011, 9000-0075</p> <p>2011: 9000-0001, 9000-0012, 9000-0014, 9000-0157</p> <p>2012: 9000-0010, 9000-0045</p> <p>2013: 9000-0006, 9000-0007</p>
<b>Potential Hurdles to Completion:</b>	None

### Federal Communications Commission

<b>Office:</b>	Wireline Competition Bureau (WCB)
<b>Initiative Title:</b>	Administrative Simplification of Competitive Local Exchange Carriers Filing Requirements
<b>Description:</b>	The FCC adopted an integrated interstate access reform and universal service proposal put forth by members of the Coalition for Affordable Local and Long Distance Service (CALLS). The Commission requires the following information to be reported: 1) tariff filings; 2) quarterly and annual data filings; and 3) cost support filings. The Commission and the Universal Service Administrative Company use the information to ensure compliance with the interstate access reforms of the CALLS proposal, or uses the line count and other information filed by price cap and competitive LECs to determine, on a per-line basis, the amount that the carrier receives from the interstate access universal service support mechanism; and to implement the requirements of section 201(b) of the Communications Act. Going forward, the Commission decided to consolidate the quarterly competitive LEC reporting requirement that was previously approved under OMB Control Number 3060-0942. This will reduce duplicative reporting requirements and burden; and improve administrative efficiency because all the necessary requirements are now under one comprehensive information collection; OMB Control Number 3060-0986, Competitive Carrier Line Count Report and Self-Certification as a Rural Carrier.
<b>Collections Affected:</b>	Access Charge Reform, Price Cap Performance Review for Local Exchange Carriers, Low-Volume Long Distance Users, Federal-State Joint Board On Universal Service, OMB Control Number 3060-0942
<b>Estimated Burden Reduction:</b>	11,480 hours
<b>Date of Completion:</b>	June 2010
<b>Hurdles to Completion:</b>	None

### Federal Communications Commission

<b>Office:</b>	Media Bureau (MB)
<b>Initiative Title:</b>	Streamlined Cable Price Survey
<b>Description:</b>	The Cable Television Consumer Protection and Competition Act of 1992 requires the Commission to publish annually a report on average rates for

basic cable service, cable programming service, and equipment. The report must compare the prices charged by cable operators subject to effective competition and those that are not subject to effective competition. The Annual Cable Industry Price Survey is intended to collect the data needed to prepare that report. The FCC plans to substantially shorten the questionnaire in order to reflect changes in industry conditions, technology, and Commission needs. The survey will be further simplified because it requests two years of data for a number of questions, whereas the previous questionnaire requested three years of data for many of those questions.

**Collections Affected:** Annual Cable Price Survey and Supplemental Questions, FCC Form 333, OMB Control Number 3060-0647

**Estimated Burden Reduction:** 3,188 hours

**Expected Date of Completion:** September 2010

**Hurdles to Completion:** None

#### Federal Deposit Insurance Corporation

**Office:** Division of Finance (DOF), Division of Insurance and Research (DIR)

**Initiative Title:** Temporary Liquidity Guarantee Program (TLGP) – Comprehensive Review

**Description:** The TLGP was announced by the FDIC on October 14, 2008, as an initiative to counter the system-wide crisis in the nation's financial sector. It provided two limited guarantee programs: One that guaranteed newly-issued senior unsecured debt of insured depository institutions and most U.S. holding companies (the Debt Guarantee Program), and another that guaranteed certain noninterest-bearing transaction accounts at insured depository institutions (the Transaction Account Guarantee Program). Each of these programs has been subsequently modified. For most insured depository institutions and other entities participating in the Debt Guarantee Program, the program concluded on October 31, 2009, with the FDIC's guarantee expiring no later than December 31, 2012. The FDIC recently issued a Final Rule extending the Transaction Account Guarantee (TAG) component of the Temporary Liquidity Guarantee Program (TLGP) through December 31, 2010, for insured depository institutions currently participating in the TAG program, with the possibility of an additional extension of up to 12 months without additional

rulemaking, upon a determination by the FDIC's Board of Directors (Board) that continuing economic difficulties warrant further extension. As a result of these program changes, the FDIC will perform a comprehensive review of the data collection forms and reporting requirements for TLGP.

**Estimated Burden**

**Reduction:** 50,000 burden hours

**Collection(s) Affected:** Temporary Liquidity Guarantee Program, OMB Control Number 3064-0166

**Sections 370.5(c) and (g)** - Opt-out of Debt Guarantee Program, Transaction Account Guarantee Program, or Both; **Section 370.5(h)(2)** - Written Disclosure As to Guarantee Status of Newly Issued Debt; **Section 370.6(b)** - Notice of Debt Under Debt Guarantee Program; **Section 370.12(b)(2)(A)** - Unsecured Senior Debtholders POC; **Section 370.3(h)(1)(i)** - Request to establish or increase debt guarantee limit; **Section 370.3(h)(1)(ii)** - Request for increase in presumptive debt guarantee limit of zero; **Section 370.3(h)(1)(iv)** - Request by affiliate to participate in debt guarantee or transaction account guarantee program; **Section 370.3(h)(1)(v)** - Application to issue FDIC-guaranteed mandatory convertible debt; **Section 370.3(h)(1)(vi)** - Application by certain participating entities to issue FDIC-guaranteed after June 30, 2009; **Section 370.3(h)(1)(vii)** - Application by participating entity to issue senior unsecured non-guaranteed debt after June 30, 2009

**Expected Date of Completion:** December 2010

**Potential Hurdles to Completion:** None

### Federal Energy Regulatory Commission

**Office:** Federal Energy Regulatory Commission (FERC)

**Initiative Title:** Electronic Filing of Rate and Tariff Documents (eTariffs) (addressing Burden Reduction Initiatives for "Electronic Communication," "E-Signature," and "Administrative Simplification")

**Description:** In a Final Rule issued September 19, 2008 (Order No. 714), FERC revised its regulations to require that all tariffs, tariff revisions and rate change applications for electric utilities, natural gas pipelines, and oil pipelines be filed according to a set of standards developed in

conjunction with the North American Energy Standards Board. After numerous technical conferences, meetings with stakeholders, and implementation guides, the eTariff system and filings are being implemented.

The Commission provided that the conversion to electronic tariff filings would begin April 1, 2010, with pipelines and utilities filing baseline tariffs according to a six-month staggered filing schedule worked out between staff and industry. Once the baseline filings have been made, all subsequent tariff and tariff-related filings must be made electronically using the eTariff formatted filings.

Between April and September 30, 2010, approximately 2,000 compliance filings are anticipated to be filed, and corresponding FERC orders issued, to establish each company's new "baseline" electronic tariff. (A baseline tariff will consist of refileing the regulated entity's complete open access tariff in the new electronic tariff format.)

**Estimated Burden Reduction:**

Changes to burden were submitted to OMB with the corresponding FERC proposed and final rules.

**Collection(s) Affected:**

FERC-516, Electric Rates Schedules and Tariff Filings, OMB Control Number 1902-0096; FERC-545, Gas Pipeline Rates: Rate Change, OMB Control Number 1902-0154; FERC-549, NGPA Title III Transactions and NGA Blanket Certificate Transactions, OMB Control Number 1902-0086; and FERC 550, Oil Pipeline Rates: Tariff Filings, OMB Control Number 1902-0089

**Date of Completion:**

September 2010

**Potential Hurdles to Completion:**

FERC phased in the implementation of the electronic filing requirements from April -September 2010, to provide sufficient time for filers to incorporate changes.

### Federal Energy Regulatory Commission

**Office:**

Federal Energy Regulatory Commission (FERC)

**Initiative Title:**

Small Hydropower Initiative (addressing Burden Reduction Initiatives for "Small Business Burden," "Administrative Simplification," and "Electronic Communication")

**Description:**

FERC is working to make its small hydropower licensing program more user-friendly and to simplify the filing requirements for applicants for small hydropower licenses and exemptions. Based on outreach with stakeholders, FERC announced, on April 15, 2010, a series of Web-

based resources that will help small hydropower developers better understand the FERC licensing process, help improve coordination with other agencies, and help license applicants complete the process more quickly and efficiently.

The resources will provide a roadmap that walks applicants through the process of selecting a project site, determining if a project is jurisdictional, selecting a FERC licensing process, consulting with stakeholders and preparing a license or exemption application. This Small Hydropower Initiative balances the need to reduce the burden on developers of small hydropower projects with the need to protect the environment.

**Estimated Burden Reduction:**

Quantitative burden reductions have not been estimated at this time. However, the material to be posted on the web at <http://www.ferc.gov/industries/hydropower/gen-info/licensing/small-low-impact.asp> will ease the burden and cost for small hydro applicants by more clearly describing the process and defining the issues and reporting requirements for filing applications for licenses and exemptions.

This Initiative should reduce: 1) the number of deficient applications with their corresponding delays, and 2) the industry time required to supplement and re-submit an application. Additionally, FERC should be able to make decisions more quickly because more applications should be complete when submitted initially.

**Collection(s) Affected:**

FERC-505, Application for License/Relicense for Water Projects with 5 MW or Less Capacity, OMB Control Number 1902-0115; Application for Preliminary Permits, OMB Control Number 1902-0073

**Expected Date of Completion:**

September 2010 for Phase 1 (the initial roadmap, checklist, and other aids to be posted on the web); Phase 2 is not yet scheduled.

**Potential Hurdles to Completion:**

Information technology budget constraints for Phase 2.

### Federal Energy Regulatory Commission

**Office:**

Federal Energy Regulatory Commission (FERC)

**Initiative Title:**

FERC Form No. 556, Certification of Qualifying Facility (QF) Status for a Small Power Production or Cogeneration Facility (addressing Burden Reduction Initiatives for "Electronic Communication," "Small Business Burden," "Administrative Simplification," and "E-Signature")

**Description:**

Following the enactment of the Energy Policy Act of 2005 (EP Act

2005), which imposed new requirements for QF status for “new” cogeneration facilities, FERC issued Order No. 671, which implemented those new requirements. As part of that implementation, for the first time, notices of self-certifications for new cogeneration facilities were required to be published in the *Federal Register*; self-certifications, other than for new cogeneration facilities, are not published in the *Federal Register*. In addition, for the first time, the Commission required the filing of a notice of self-certification or an application for Commission certification as a requirement for QF status.

In the Final Rule in Docket No. RM09-23-000, FERC is requiring that the Form No. 556 be submitted electronically. FERC also is revising and reformatting the Form No. 556 to clarify the content of the form and to take advantage of newer technologies to reduce both the filing burden for applicants and the processing burden for the Commission.

Additionally, FERC is revising the procedures, standards and criteria for QF status provided in Part 292 of its regulations to accomplish the following: (1) exemption of generating facilities with net power production capacities of 1 MW or less from the requirement that a generating facility, to be a QF, must file either a notice of self-certification or an application for Commission certification; (2) codification of the FERC’s authority to waive the QF certification requirement for good cause; (3) extension to all applicants for QF certification the requirement (currently applicable only to applicants for self-certification of QF status) to serve a copy of a filed Form No. 556 on the affected utilities and state regulatory authorities; (4) elimination of the requirement for applicants to provide a draft notice suitable for publication in the *Federal Register*; and (5) clarification, simplification and correction of certain sections of the regulations. Finally, FERC is changing the exemption of QFs from the Federal Power Act and the Public Utility Holding Company Act of 2005 (PUHCA) and certain State laws and regulations to make clear that certain small power production facilities that satisfy the criteria of section 3(17)(E) of the Federal Power Act qualify for those exemptions.

The revisions described above will: (1) make the Form No. 556 easier and less time consuming to complete and submit; (2) decrease opportunities for confusion and error in completing the form; (3) improve consistency and quality of the data collected by the form; (4) decrease FERC resources dedicated to managing errors and omissions in submitted forms; and (5) clarify and correct the regulations governing the requirements for obtaining and maintaining QF status.

**Estimated Burden  
Reduction:**

The Final Rule is the last component of a multi-step process that included simplification of the collection, and further simplification through a proposed rule and a final rule. For the package currently pending OMB review, the Program Changes plus the Adjustments result in a net decrease of 384 hours from the current OMB-improved Inventory. (The earlier phase of the project reduced burden by 7,828

hours.) The total effort in this project resulted in a combined burden reduction of 8,212 hours.

**Collection(s) Affected:** FERC-556, Certification of Qualifying Facility (QF) Status for a Small Power Production or Cogeneration Facility, OMB Control Number 1902-0075

**Date of Completion:** May 2010

**Potential Hurdles to Completion:** Information technology budget constraints for Phase 2.

### Department of Health and Human Services

**Office:** Centers Medicare and Medicaid (CMS)

**Initiative Title:** Electronic Health Records Demonstration systems (EHRDS) – practice profile and update system (Electronic Communications)

**Description:** The EHRDS is a major Secretarial initiative conducted under Medicare's waiver authority as provided in section 402 of Public Law 90-248. The goal of the EHRD is to foster the implementation and adoption of EHRs and Health Information Technology (HIT). These effective vehicles improve the quality of care provided and transform the practice and delivery of medicine.

EHRDS will allow medical practices the ability to use an on-line application form, rather than the currently approved paper application form. Data on Phase 1 practices collected through the paper application form will transfer to the new system. Practices participating in Phase 1 of the demonstration will be able to use the new system to provide updated information about their practices as needed during the course of the demonstration.

Currently a PC-based system tracks practice information. Web forms will make it easier for practices to access their practice-specific information, submit and track updates on a timely basis.

**Estimated Burden Reduction:** 468 hours

**Collection(s) Affected:** Electronic Health Record Demonstration, OMB Control Number 0938-0965

**Expected Date of Completion:** 2014

**Hurdles to Completion:** Potential unforeseen technical issues.

## Department of Health and Human Services

<b>Office:</b>	Centers Medicare and Medicaid (CMS)
<b>Initiative Title:</b>	Medicare Parts C and D Universal Audit Guide (Administrative Simplification)
<b>Description:</b>	<p>Under the Medicare Prescription Drug, Improvement, and Modernization Act of 2003 and implementing regulations at 42 C.F.R. Parts 423 and 422, Medicare Part D plan sponsors and Medicare Advantage organizations are required to comply with all Medicare Parts C and D program requirements. The rapid growth of these sponsoring organizations has forced CMS to update its current auditing strategy to ensure CMS continues to obtain meaningful audit results.</p> <p>Our audit approach in 2010 targets sponsoring organizations at the parent organization level. Parent organizations often consist of multiple contracts, performing as a Part C plan, a Part D plan or a plan that provides both benefits. The CMS initiative targets entities at their parent organization level, as opposed to an individual contract level; thereby audits will be more efficient as many of these contracts share the same platforms. Many of the requirements surrounding enrollment/de-enrollment, access to benefits, marketing and appeals and grievances are similar enough that continuing the use of two separate audit guides no longer makes sense from a comprehensive and consolidated compliance perspective. Therefore, CMS has combined all Part C and Part D audit elements into one universal guide. The guide will promote consistency, effectiveness and reduce financial and time burdens for both CMS and Medicare-contracting entities.</p> <p>Based on this change to our auditing strategy, CMS discontinued the separate collection tool, (i.e., Medicare Advantage audit guide). CMS submitted a revised Part D collection tool, renamed to reflect that it is now comprehensive of all audit requirements for Medicare Part C and Part D.</p>
<b>Estimated Burden Reduction:</b>	17,100 hours
<b>Collection(s) Affected:</b>	Medicare Parts C and D Universal Audit Guide, OMB Control Number 0938-1000
<b>Expected Date of Completion:</b>	2013
<b>Hurdles to Completion:</b>	None

## Department of Health and Human Services

<b>Office:</b>	Food and Drug Administration (FDA)
<b>Initiative Title:</b>	Mammography Quality Standards Act; Regulatory Amendments (Electronic Communications and Administrative Simplifications)
<b>Description:</b>	FDA's Center for Device and Radiologic Health proposes amending regulation 21 CFR 900 thereby updating the regulatory requirements issued under the Mammography Quality Standards Act of 1992. The updated requirements address the technological and process advancements in mammography practices that have occurred since the 1997 published regulations. In particular, the current revised rules update several provisions necessary to address the use of digital mammography. The revisions provide significant reductions in health care provider mammography imaging record retention and third-party reporting burden via the use of computer storage, retrieval and transfer of mammography images.
<b>Estimated Burden Reduction:</b>	4,420 hours
<b>Collection(s) Affected:</b>	Mammography Facilities, Standards, and Lay Summaries for Patients, OMB Control Number 0910-0309
<b>Expected Date of Completion:</b>	2011
<b>Hurdles to Completion:</b>	FDA is re-evaluating the PRA estimates for the MQSA program (0910-0309) and reconsidering whether or not parts of the collection is subject to the PRA.

#### Department of Health and Human Services

<b>Office:</b>	Food and Drug Administration (FDA)
<b>Initiative Title:</b>	Medical Device Reporting: Electronic Submission Requirements (Electronic Communications and Administrative Simplifications)
<b>Description:</b>	FDA's Center for Device and Radiologic Health proposes updating regulation 21 CFR 803. This regulation governs post-market medical device reporting. The amendments will codify requirements for manufacturers, importers, and user facilities to submit mandatory reports of individual medical device adverse events electronically, also known as medical device reports. Electronic reporting streamlines respondent reporting and recordkeeping requirements and improves the agency's ability to collect and analyze post-market medical device adverse event information.
<b>Estimated Burden Reduction:</b>	123,047 hours

**Collection(s) Affected:** Medical Devices; Medical Device Reporting; Manufacturer reporting; importer reporting, user facility reporting, distributor reporting, OMB Control Number 0910-0437

**Expected Date of Completion:** 2011

**Hurdles to Completion:** Regulatory process

#### Department of Health and Human Services

**Office:** Food and Drug Administration (FDA)

**Initiative Title:** Device Registration and Listing Requirements Enacted in the Public Health Security and Bioterrorism Preparedness and Response Act of 2002, the Medical Device User Fee and Modernization Act of 2002, and Title II of the Food and Drug Administration Amendments Act of 2007 (Electronic Communications and Administrative Simplifications)

**Description:** FDA's Center for Device and Radiologic Health proposes amendments to regulations governing medical device establishment registration and device listing. The proposed modifications to FDA's current regulation 21 CFR Part 807 reflect recent statutory amendments to the device registration and listing provisions of the Federal Food, Drug, and Cosmetic Act. Revisions require domestic and foreign device establishments to submit their registration and device listing information to FDA electronically, to the FDA's Internet-based Unified Registration and Listing System. Electronic reporting will streamline respondent reporting and recordkeeping requirements and improve the agency's ability to collect and analyze registration and device listing information.

**Estimated Burden Reduction:** 16,250 hours

**Collection(s) Affected:** Medical Devices Registration and Listing, OMB Control Number 0910-0387

**Expected Date of Completion:** December 2010

**Hurdles to Completion:** Regulatory process

#### Department of Health and Human Services

**Office:** The Administration for Children and Families (ACF)

**Initiative Title:** Strengthening Communities Fund (SCF) Performance Progress Reports

**Description:** An ACF initiative to reduce burden in the area of Electronic Communications (fillable fileable/data systems) is to replace current SCF performance progress reports submitted via paper with an electronic automated mechanism. The emergency clearance was

approved by OMB under Control Number 0970-0376, which is set to expire on October 30, 2010, and the clearance stipulates that the electronic communication initiative will be developed and implemented before full clearance is sought for the SCF Performance progress reports.

SCF purpose is to enable nonprofit organizations, through capacity building, to contribute to the economic recovery, and to help state, local and Tribal governments ensure that the information and services described in the Recovery Act effectively reach disadvantaged and hard to serve populations. Authorized under Section 1110 of the Social Security Act, SCF reporting requirements are associated with Administrative Code 2 CFR 215 and the public website Recovery.gov.

The public affected by this data collection is the SCF grantees. The Office of Community Services (OCS) within ACF contracts with Dare Mighty Things, Inc. to execute the evaluation and related data collection efforts.

ACF estimates the automation will consume less time than a paper form to complete. The second quarter data collection by May 15, 2010 will be implemented using paper forms. The electronic mechanism is scheduled for implementation by the third quarter reporting deadline of July 30, 2010. This will allow OCS to compare response times and estimate any reduction in burden.

<b>Estimated Burden Reduction:</b>	56 hours
<b>Collection(s) Affected:</b>	Strengthening Communities Fund Program Evaluation, OMB Control Number 0970-0376
<b>Expected Date of Completion:</b>	Fall 2010
<b>Hurdles to Completion:</b>	Technical difficulties in implementation of electronic mechanism.

#### Department of Health and Human Services

<b>Office:</b>	The Administration for Children and Families (ACF)
<b>Initiative Title:</b>	Revised Participation Selection Procedures (Electronic Communications)
<b>Description:</b>	An ACF initiative in the area of Administrative Simplification is revising participant selection procedures and methods for obtaining consent. ACF proposes streamlining the classroom and child sampling procedures for FACES (Head Start's Family and Child Experiences Survey Cohort 2009) with a Field Enrollment Specialist (FES) visit. To reduce burden, the FES will use a laptop computer application to select children within the classrooms to participate while on location. This approach reduces the burden on Head

Start staff quickly and efficiently by identifying the children chosen to participate in the study. The FES can facilitate the consent process immediately by the earlier identification of participants and removes the need repeatedly engage parents in different ways to secure consent.

The data collection's purpose is to collect program performance data on successive nationally representative samples of children and families served by Head Start. FACES provide the Office of Head Start, the federal government, local programs, and the public with valid and reliable national information about the skills and abilities of Head Start children, how they compare to normative samples of American children, and their readiness for and subsequent performance in school. Two legislative bases: the Government Performance and Results Act of 1993 (P.L. 103-62), requires that the Office of Head Start move expeditiously toward development and testing of Head Start Performance Measures, and the Improving Head Start for School Readiness Act of 2007 (P.L. 110-134), outlining requirements on monitoring, research, and standards for Head Start.

The public affected by this data collection is the children, parents and program staff affiliated with selected Head Start centers. The Office of Head Start (OHS) has contracted with Mathematica Policy Research, Inc. (MPR) and its subcontractors, Juarez and Associates and The Educational Testing Service, to collect information on Head Start Performance Measures.

The revised participant selection procedures and methods for obtaining consent, originally tested under the Cognitive Generic Clearance, 0970-0355, is to inform the execution of the full data collection plan, have not been implemented long enough to generate exact data about the amount of burden reduction associated with the streamlined procedures. The program's best estimate of burden reduction is given.

**Estimated Burden**

**Reduction:** 1,368 hours

**Collection Affected:** Head Start Family and Child Experience Survey (FACES 2009), OMB Control Number 0970-0151

**Expected Date of**

**Completion:** Fall 2010

**Hurdles to**

**Completion:** None

**Department of Homeland Security**

**Office:** Customs and Borders Protection(CBP)

<b>Initiative Title:</b>	Electronic Communication
<b>Description:</b>	<p>CBP is working on a project to replace the paper version of the Form I-94W, Non-immigrant Visa Waiver Arrival/Departure with the automated system, Electronic System for Travel Authorization (ESTA) for air travelers.</p> <p>CBP has been conducting several pilot programs involving admitting air passengers via the Visa Waiver Program without requiring an I-94W. CBP plans to expand these pilot tests to additional locations later in 2010.</p>
<b>Estimated Burden Reduction:</b>	1,695,750 hours
<b>Collection(s) Affected:</b>	Arrival and Departure Record, OMB Control Number 1651-0111
<b>Expected Date of Completion:</b>	2011
<b>Potential Hurdles to Completion:</b>	<p>The automated system, ESTA, is not a substitute for the paper I-94W. ESTA is completed usually several days prior to a traveler departing for the U.S. and often by a travel agent, while the paper I-94W is filled out by the traveler on the plane en route to the U.S. and presented to CBP at the port of entry. The paper I-94W is considered an admissibility document needed to enter the U.S. However, ESTA is not an admissibility document. It is intended to determine that the respondent is eligible to board a plane to come to the U.S. under the Visa Waiver Program.</p> <p>In addition, ESTA is not used to document a traveler's departure from the U.S. as the I-94W is. CBP is working to obtain this departure information from other sources so the I-94W can eventually be eliminated.</p> <p>CBP must continue to use the I-94W at land borders and for sea passengers. However, air passengers account for at least 75% of Visa Waiver Program.</p> <p>In addition, ESTA is not used to document a traveler's departure from the U.S. as the I-94W is. CBP is working to obtain this information this departure information from other sources so the I-94W can eventually be eliminated.</p> <p>CBP can only eliminate the paper I-94W when we are sure that national security issues are resolved.</p>

### Department of Homeland Security

<b>Office:</b>	Transportation Safety Administration (TSA)
<b>Initiative Title:</b>	Administrative Simplification
<b>Description:</b>	TSA's Secure Flight program will take over the watch list matching function from domestic air carriers. Because the carriers will no longer be required to conduct this function, their hour burden, as described in the collection associated with OMB Control Number 1652-0003, (Aircraft Operator Security) will be reduced significantly.
<b>Estimated Burden Reduction:</b>	1,538,400 hours
<b>Collection(s) Affected:</b>	Aircraft Operator Security, OMB Control Number 1652-0003
<b>Expected Date of Completion:</b>	FY 2013
<b>Potential Hurdles to Completion:</b>	Because the program will be implemented in stages, no immediate reduction in burden is expected.

### Department of Homeland Security

<b>Office:</b>	Transportation Safety Administration (TSA)
<b>Initiative Title:</b>	Administrative Simplification
<b>Description:</b>	TSA will reduce the burden of the U.S. and international aircraft operators by assuming responsibility for checking passengers against government watch lists through TSA's Secure Flight program. The mission of the Secure Flight program is to enhance the security of domestic and international commercial air travel through the use of improved watch list matching provided by TSA officials.
<b>Estimated Burden Reduction:</b>	1,500,000 hours
<b>Collection(s) Affected:</b>	Secure Flight, OMB Control Number 1652-0046; Aircraft Operator Security, 49 CFR Part 1544, OMB Control Number 1652-0003
<b>Expected Date of Completion:</b>	December 2010
<b>Potential Hurdles to Completion:</b>	The Secure Flight deployment for U.S. domestic aircraft operators was

completed May 2010; the international aircraft operator deployment is scheduled for December 2010. The phased deployment requires aircraft operators to incorporate changes into their systems as their capability to capture passenger data is integrated into their individual systems.

#### Department of Housing and Urban Development

<b>Office:</b>	Single Family
<b>Initiative Title:</b>	Administrative Simplification
<b>Description:</b>	Regulations 24 CFR 203.670-681 outline circumstances under which HUD will accept conveyance of title to property acquired by mortgagee/loan servicers. HUD will accept conveyance of occupied property if an individual residing in the property suffers from an illness or injury that would be aggravated by moving, if state or local law prohibits eviction, or if it is in the Secretary's best interest to accept the property, the property is habitable, and the occupants meet eligibility criteria. HUD Management and Marketing (M&M) contractors and loan servicers clearly conveyed to mortgagors, the difficulty and extensive financial criteria process used for approval of Request for Occupied Conveyance (HUD Form 9539). This led to a better understanding of the program's application criteria and a significant decrease in burden hours.
<b>Estimated Burden Reduction:</b>	15,525 hours
<b>Collection Affected:</b>	Request for Occupied Conveyance, OMB Control Number 2502-0268
<b>Date of Completion:</b>	March 2010
<b>Hurdles to Completion:</b>	None

#### Department of Housing and Urban Development

<b>Office:</b>	Community Planning and Development
<b>Initiative Title:</b>	Administrative Simplification
<b>Description:</b>	This information collection provides for an application for grants to fund technical assistance for five Community Planning and Development (CPD) program areas: HOME, Community Housing Development Organization (CHDO), McKinney Vento Homeless Assistance, Community Development Block Grant (CDBG), and Housing Opportunities for Persons with AIDS (HOPWA) Program. The information is necessary to determine competition winners and to monitor expenditures of grant funds.

Implementation of the two new forms, Experience Matrix, and Expertise Matrix, has significantly reduced the burden on the applicants by reducing 15 pages of experience and capacity to two or three pages.

**Reduction:** 12,469 hours

**Collection Affected:** Application for Technical Assistance for Community Planning and Development (CPD) Programs, OMB Control Number 2506-0166

**Date of Completion:** August 2010

**Hurdles to Completion:** None

### Department of Housing and Urban Development

**Office:** Office of Native American Programs

**Initiative Title:** Programmatic Changes to Indian Block Grant (IHBG) Program

**Description:** The IHBG Program has been modified significantly as a result of consultation with tribal grantees and statutory changes to the Native American Housing Assistance and Self-Determination Act (NAHASDA). IHPB Program changes include:

- Combining the IHP and APR forms
- Eliminating requirements to submit a 5-year plan
- Planning and reporting will be on a program year basis rather than on a grant-by-grant basis.
- Adding comprehensive listing of eligible activities and proposed outcomes on the new IHP/APR form.
- Program results will be collected in a standardized manner to facilitate reporting of accomplishments under NAHASDA.

**Reduction:** 40,367 hours

**Collection Affected:** Indian Housing Block Grants (IHBG) Program Reporting , OMB Control Number 2577-0218; Request Voucher for Grant Payment and Line of Credit Control System (LOCCS) Voice Response System Access, OMB Control Number 2535-0102

**Expected Date of Completion:** FY-2011: 2535-0102  
FY-2011: 2577-0215

**Hurdles to**

**Completion:** None

### Department of the Interior

**Office:** Bureau of Indian Affairs (BIA)

**Initiative Title:** Providing Online Access to BIA Information Collection Instruments

**Description:** In 2001, all BIA offices were disconnected from the Internet pursuant to court order. In summer 2008, the court allowed BIA to reconnect to the Internet. Since that time, the BIA has been working to bring its web sites up to current business standards. This initiative will ensure that BIA information collection instruments, including but not limited to forms, are easily accessible on the Web, where appropriate. In most cases, posting the forms on the Internet will reduce the time burden associated with travel to and from the local BIA office for copies of the form.

**Reduction:** 57,576 hours

**Collection Affected:** Navajo Partitioned Lands Grazing Permits, OMB Control Number 1076-0162; Loan Guarantee, Insurance, and Interest Subsidy Program, OMB Control Number 1076-0020; Documented Petitions for Federal Acknowledgment as an Indian Tribe, OMB Control Number 1076-0104; Application for Job Placement and Training Services, OMB Control Number 1076-0062; United States Department of the Interior, Bureau of Indian Affairs Housing Improvement Program, OMB Control Number 1076-0084; Verification of Indian Preference for Employment in BIA and HIS, OMB Control Number 1076-0160; Higher Education Grant Application, OMB Control Number 1076-0101; Adult Education, OMB Control Number 1076-0120; Financial Assistance & Social Services Program, OMB Control Number 1076-0017; Tribal Colleges and Universities Annual Report Form, OMB Control Number 1076-0105

**Expected Date of Completion:**

FY2010: 1076-0162,1076-0020

FY2011: 1076-0104, 1076-0062,1076-0084, 1076-0160

FY2012: 1076-0101, 1076-0120, 1076-0017,1076-0105

**Hurdles to Completion:** None

### Department of Justice

**Office:** United States Trustees Program (USTP)

**Initiative Title:** Credit Counseling and Debtor Education Application Process

**Description:** Pursuant to 11 U.S.C. § 111 and 28 C.F.R Part 58, entities that seek to become approved nonprofit budget and credit counseling agencies or

providers of instructional courses on personal financial management must submit an application to the United States trustee annually. Currently, the required application and attachments may only be submitted in paper form. The burden on the approximately 400 entities per year that are affected by the requirement to submit annual paper applications are photocopying and costs from mailing the requested records and employee salaries.

To reduce the burden on the entities that submit these applications, the Executive Office of the United States Trustees is developing an electronic application. The existing paper application form is screen-fillable, but users cannot save the data and edit it later. Applicants must complete the lengthy application in one session, type their responses onto the paper application form, or duplicate the text of the form onto a different application. The new electronic application will allow the applicant to complete the application in stages, save the data, and return to finish it. Further, if the applicant is required to make changes to the application during the approval process, the applicant can make those revisions directly online, and save those changes.

**Estimated Burden**

**Reduction:** New applicants will realize minimal time savings but returning applicants will save between 3-6 hours after the first year, resulting in a reduction of 1,200 – 2,400 hours annually after the first year.

**Collection(s) Affected:** Application for Non-Profit Budget and Credit Counseling Agencies, OMB Control Number 1105-0084; Application for Debt Education Course Provider, OMB Control Number 1105-0085

**Expected Date of**

**Completion:** FY 2012

**Potential Hurdles to**

**Completion:** None

**Department of Justice**

**Office:** Alcohol, Tobacco, Firearms and Explosives (ATF)

**Initiative Title:** ATF e-Form 4473 (Federal Firearms Transaction Record)

**Description:** Per requests from the firearms industry, ATF has developed the “smart” e-Form 4473 to assist in the proper completion of the Federal Firearms Transaction Record (ATF Form 4473). The collection determines whether the respondent is prohibited under law from receiving a firearm.

Electronic filing enables applicants to complete the form more quickly and easily, and reduces errors and improves legibility. The electronic form will also automatically populate certain fields (based on the zip code entered, the

city, the state and country will automatically populate)  
<http://www.atf.gov/application/e4473>.

The affected public for this collection are individuals and households. ATF does not have the capability to provide electronic signature. The respondent completes the form one time.

In order to eliminate unnecessary complexity, a user's manual is available. Also, ATF will post information on its Website notifying respondents to download the newest version of the new smart form.

**Estimated Burden**

**Reduction:** 22,415 hours

**Collection(s) Affected:** Firearms Transaction Record, Part 1, Over-the-Counter, OMB Control Number 1140-0020

**Expected Date of Completion:** July 2012

**Potential Hurdles to Completion:** None

**Department of Justice**

**Office:** Drug Enforcement Administration (DEA)

**Initiative Title:** Request for Importation/Exportation of Listed Chemicals

**Description:** Online DEA Form 486 – (Import/Export Declaration: Precursor & Essential Chemicals), will be used to notify DEA of all chemical imports, exports, and international transactions as required by the Controlled Substances Import and Export Act (21 U.S.C. 971). Detailed requirements are found in Title 21 CFR Parts 1300, 1310 and 1313.

This form is currently a paper-based form that must be completed and mailed to DEA. Once DEA receives the form the data then must be entered into a system for processing in order to produce a declaration before allowing the chemical importers/exporters to conduct their transaction.

Enabling e-filing of DEA Form 486 will improve DEA's ability to monitor and control requests for import and export of listed chemicals, improve the accuracy of the data collected through online validation and reducing duplicate data entry errors, improve service to registrants by shortening turnaround time and increasing customer service quality, and reduce customer wait time by eliminating the need to mail the paper form as well as the time to correct any inaccurate data provided.

<b>Estimated Burden Reduction:</b>	2,650 hours
<b>Collection(s) Affected:</b>	Import/Export Declaration for List I and List II Chemicals, OMB Control Number 1117-0023
<b>Expected Date of Completion:</b>	June 2011
<b>Potential Hurdles to Completion:</b>	None

### Department of Justice

<b>Office:</b>	Drug Enforcement Administration (DEA)
<b>Initiative Title:</b>	Request for Quotas
<b>Description:</b>	<p>Online DEA Form 189 – (Application for Individual Manufacturing Quota), must be completed by a Controlled Substance registrant on or before May 1 of the year preceding the calendar year for which the manufacturing quota is being applied and governing quotas are included in Title 21, Code of Federal Regulations, Part 1300 to end. Online DEA Form 250 - (Application for Procurement Quota for Controlled Substance), must be completed by a registrant on or before April 1 of the year preceding the calendar year for which the procurement quota is being applied. Regulations governing quotas are included in Title 21, Code of Federal Regulations, Part 1300 to end. Form 488 - (Application for Import Quota for Ephedrine, Pseudoephedrine, Phenylpropanolamine), must be completed by a Chemical registrant on or before April 1 of the year preceding the calendar year for which the import quota is being applied. Regulations governing quotas are included in Title 21, Code of Federal Regulations, Part 1315.</p> <p>Currently, all forms are paper-based and must be completed and mailed to DEA. Once DEA receives the form the data then must be validated for completeness and accuracy and then must be researched in order to ensure they are a registrant in “good standings” and have been authorized the drug codes for which they are requesting a quota. Once validated the data is logged and entered into another system before quota is granted.</p> <p>The online form will provide real time data validation, eliminate duplicate data entry/errors and resubmission due to inaccurate information, minimize research and eliminate the time waiting for the data to be received. The online form for data collection will provide real time data validation, eliminate duplicate data entry/errors and resubmission due to inaccurate information, minimize research and eliminate the time waiting for the data to be received.</p>

**Estimated Burden****Reduction:** 1,608 hours**Collection(s) Affected:**

Application for Individual manufacturing Quota for a Basic Class of Controlled Substance and for Ephedrine, Pseudoephedrine, and Phenylpropanolamine, OMB Control Number 1117-0006; Application for Procurement Quota for Controlled Substances and Ephedrine, Pseudoephedrine, and Phenylpropanolamine, OMB Control Number 1117-0008; Form 488 Application for Import Quota for Ephedrine, Pseudoephedrine, and Phenylpropanolamine, OMB Control Number 1117-0047.

**Expected Date of****Completion:** October 2011**Potential Hurdles to****Completion:** None**Department of Justice****Office:** Drug Enforcement Administration (DEA)**Initiative Title:**

Controlled Substances Ordering System (CSOS) Registration Application request for a Digital Certificate Form DEA-251, Form DEA-252., Form DEA 253

**Description:**

Before a participant can begin electronically submitting controlled substance orders (DEA form 222), they must first go through the CSOS enrollment process. Currently, this process is a paper-based form that needs to be completed and mailed to DEA. Once DEA receives the form the data then must be validated for completeness and accuracy and then must be researched in order to ensure they are a registrant in "good standings". Once fully processed the DEA registrant will be permitted to order controlled substances electronically. Regulations governing CSOS are included in Title 21, Code of Federal Regulations, Part 1305 and 1311.

Online enrollment will provide real time data validation, eliminate duplicate data entry/errors and resubmission due to inaccurate information, minimize research and eliminate the time waiting for the data to be received. It will avoid the processing of applications where the registrant is not in good standings. It will also expedite the process of the registrant receiving their final approval which will allow them a secure electronic transmission of Schedule I-V controlled substance orders without the supporting paper Form 222.

**Estimated Burden****Reduction:** 5,568 hours**Collection(s) Affected:**

Reporting and Recordkeeping for Digital Certificates, OMB Control Number 1117-0038

**Expected Date of**

**Completion:** November 2011  
**Potential Hurdles to Completion:** None

### Department of Justice

**Office:** National Security Division / Counterespionage Section / Foreign Agents Registration Act Unit (FARA)

**Initiative Title:** FARA E-Filing per Congress and Public Law 110-81, Section 212 of the Honest Leadership and Open Government Act of 2007

**Description:** The general purposes of FARA's six (6) ICRs are to provide a means for registrants ((law firm, lobbying group, public relations firm, individual, etc.) to submit their public disclosure registration forms as mandated by Congress pursuant to 22 U.S.C. 611, et seq., the Foreign Agents Registration Act (FARA) of 1938, as amended; and CFR [Title 28 C.F.R. Part 5](#). When a registrant decides to represent a foreign agent in a lawful activity not meeting any of our statutory exemptions, the registrant must register and file our forms and any associated fees.

Currently registrants must download the forms on the FARA website, print them when done, and file them via the mail/courier/deliver with a payment by cash, check, money order, etc. to our offices. Then our Unit receives the package, reviews the forms, and if everything is in order, we data enter key fields and scan the documents into our database. Shortly thereafter, these forms get uploaded to our public website for anyone to view. Subsequent forms and fees get filed in the same fashion as needed during the active phase of a registrant's registration. We also assign pertinent information to the registrant such as a registrant number and write to them as needed during their entire registration history so that they are complaint with our law.

Pursuant to Sec. 212 of P.L. 110-81, the Honest Leadership and Open Government Act of 2007 (HLOGA), Congress mandated the Department, as soon as technically feasible, to create an online electronic filing system at no additional cost to the public, that will accommodate registrants in meeting their FARA registration requirements. This will be accomplished by using our future fillable-fileable / e-signature forms and then submitting them online to our Unit via new E-Filing procedure screens and credit card or similar payment instructions.

**Estimated Burden Reduction:** 336 hours

**Collection(s) Affected:** Registration Statement of Individuals (Foreign Agents), OMB Control Number 1124-0001; Supplemental Registration Statement of Individuals (Foreign

Agents), OMB Control Number 1124-0002; Amendment to Registration or Supplemental Registration Reports (Foreign Agents), OMB Control Number 1124-0003; Exhibit B to Registration Statement (Foreign Agents), OMB Control Number 1124-0004; Short-form Registration Statement of Individuals (Foreign Agents), OMB Control Number 1124-0005; Exhibit A to Registration Statement (Foreign Agents), OMB Control Number 1124-0006.

**Expected Date of Completion:** December 2010

**Potential Hurdles to Completion:** None

### Department of Justice

**Office:** Office of Information Policy (OIP)

**Initiative Title:** E-Freedom of Information Act (FOIA)

**Description:** Implementation of e-FOIA system will allow OIP to receive, process, and respond to FOIA requests and appeals electronically. Currently, redactions to documents to protect information are made manually, consultations with other agencies are done via standard mail, and edits during review are tracked manually. The new FOIA system will allow all of these activities to be done electronically and enable OIP to more expediently process FOIA and Privacy Act (PA) requests and adjudicate appeals, resulting in more timely responses to requesters, as well as improving the accuracy of OIP's statistics regarding these activities. The primary information collection affected is Certification of Identity form signatures, which are completed by FOIA and PA requesters when submitting a request. Currently, only original, hard-copy signatures are accepted. If OIP accepts signatures electronically, requesters will no longer have to mail or fax these forms, greatly reducing the burden on the public.

**Estimated Burden Reduction:** 5,800 hours

**Collection(s) Affected:** Certification of Identity, OMB Control Number 1103-0016

**Expected Date of Completion:** December 2010

**Potential Hurdles to Completion:** None

### Department of Labor

<b>Office:</b>	Office of Labor-Management Standards (OLMS)
<b>Initiative Title:</b>	OLMS Electronic Filing System (EFS) – Form LM-2, LM-3, LM-4 (and potentially Form T-1)
<b>Description:</b>	<p>Electronic Forms System (EFS) is the Office of Labor-Management Standards' (OLMS) new web-based reporting system for completing and filing annual labor organization financial reports, Forms LM-2, LM-3 and LM-4 (and potentially T-1). To use EFS, a union will obtain a unique Private Identification Number (PIN) and each user within that union who will need access to prepare, review, or sign the LM Forms will use that PIN along with a unique User ID to safeguard unauthorized access to the union's forms and data.</p> <p>The EFS reduces the burden for unions required to file Forms LM-2, LM-3, and LM-4 (OMB Control Number 1215-0188) by removing the requirement that filers purchase a digital certificate for each officer required to sign their completed reports, which needs to be renewed every two years. The application is also being developed with newer architecture to eliminate difficulties with the current electronic application. Specifically, with the new web-based system, unions no longer need to maintain Adobe Reader on their systems and store the report in the Adobe format. The report can be completed on any web browser that meets the minimum requirements.</p>
<b>Estimated Burden Reduction:</b>	10,232 hours
<b>Collection(s) Affected:</b>	Labor Organization and Auxiliary Reports, OMB Control Number 1215-0188
<b>Expected Date of Completion:</b>	October 2010
<b>Potential Hurdles to Completion:</b>	None

#### Department of Labor

<b>Office:</b>	Occupational Safety and Health Administration (OSHA)
<b>Initiative Title:</b>	Standards Improvement Project (SIPs III)
<b>Description:</b>	<p>The Standards Improvement OSHA's SIPs III would revoke numerous recordkeeping requirements that have been determined to lack utility and/or not justifiable in terms of costs versus benefits.</p> <p>The proposal would remove the requirement for employers to transfer employee exposure monitoring and medical records to National Institute for Occupational Safety and Health (NIOSH) in the Access to employee exposure and medical records (§1910.1020) standard and an additional 20</p>

standards in the general, construction, and shipyard industries. Currently employers are required to transfer records, or request if NIOSH would like the employer to transfer certain employee medical and exposure records to NIOSH, when an employer ceases to do business and there is no successor; when a worker terminates employment (including retirement or death), or when the employer is about to dispose of the records. After receiving comment from NIOSH that the significant cost associated with the records transfer requirement is not justifiable based on the lack of scientific utility of the records, OSHA is proposing to revoke this provision.

The Agency would also propose to remove training certification records which require employers to develop and maintain a written record certifying that they have complied with training requirements in four standards. In addition to the four certification records proposed for revocation, OSHA is also considering revoking training records for 16 standards in the general industry, construction, and shipyard employment industries.

The training provision requires employers to verify that affected employees have been trained as required by the standards through a written certification record that includes, at least, the name(s) of the employer trained, the date(s) of training, and the types of training the worker received. The Agency is proposing to remove the certification record requirement because the record does not provide any particular safety or health benefit sufficient enough to justify the time and costs to employers.

**Estimated Burden Reduction and Collection(s) Affected:**

SIPs III is estimated to achieve a 2.7 million hour burden reduction. Below is a list of OMB Control Numbers and the burden hour decrease associated with each control number.

SIPs III Summary of Burden Hour Decrease

<b>Provision</b>	<b>OMB Control Number</b>	<b>Burden Hour Change</b>
Vinyl Chloride §1910.1017(m)(3)	1218-0010	-1
Cotton Dust §1910.1043(k)(4)(ii) and (iii)	1218-0061	-3
Access to Employee Exposure and Medical Records §1910.1020(h)(3)(i), (ii) and (h)(4)	1218-0065	-2,939

Commercial Diving Operations §1910.440(b)(3)-(b)(5)	1218-0069	-301
Carcinogens §1910.1003(g)(2)(i) and (ii)	1218-0085	-6
Lead §1910.1925(n)(5)(ii) and (iii)	1218-0092	-2
1,2 Dibromo-3-Chloropropane §1910.1044(p)(4)(ii) and (iii)	1218-0101	0
Inorganic Arsenic §1910.1018(q)(4)(ii) and (iii)	1218-0104	-1
Ethylene Oxide §1910.1047(k)(5)(ii)	1218-0108	-3
Acrylonitrile §1910.1045(q)(5)(ii) and (iii)	1218-0126	-3
Coke Ovens Emissions §1910.1029(m)(4)(ii) and (iii)	1218-0128	-3
Benzene §1910.1028(k)(4)(ii)	1218-0129	-1
Occupational Exposure to Hazardous Chemicals §1910.1450(j)(2)	1218-0131	-333
Asbestos §1910.1001(m)(6)(ii)	1218-0133	-1
Asbestos §1926.1101(n)(8)(ii)	1218-0134	-4
Formaldehyde §1910.1048(o)(6)(ii) and (iii)	1218-0145	-2
1,3-Butadiene §1910.1051(m)(6)(i)	1218-0170	-3
Methylene Chloride §1910.1052(m)(5)	1218-0179	-1
Bloodborne Pathogens §1910.1030(h)(4)(ii)	1218-0180	0

4,4' - Methylenedianiline §1926.60(n)(7)(ii)	1218-0183	-1
Methylenedianiline §1910.1050(n)(7)(ii)	1218-0184	-1
Cadmium §1910.1027(d)(5)	1218-0185	0
Cadmium §1926.1127(d)(5)(i)	1218-0186	0
Lead in Construction §1926.62(n)(6)	1218-0189	-1
Asbestos in Shipyards §1915.1001(n)(8)(i)	1218-0195	-1
<b>Subtotal</b>		<b>-3,611</b>
Cadmium §1910.1027(n)(4)	1218-0185	-1,226
Cadmium §1926.1127(n)(4)	1218-0186	-2,100
Personal Protective Equipment (PPE) §1910.132(f)(4)	1218-0205	-1,855,180
Personal Protective Equipment in Shipyards (PPE) §1915.152(e)(4)	1218-0215	-2,776
<b>Subtotal</b>		<b>-1,861,282</b>
Confined Spaces §1915.152(d)(5)(i) and (ii)	1218-0011	-1,601
Powered Platforms §1910.66(i)(1)(v)	1218-0121	-470
Lockout/Tagout §1910.147(c)(7)(iv)	1218-0150	-180,768
Electrical Power Generation, Transmission, and Distribution §1910.269(a)(2)(vii)	1218-0190	-4,554
Fall Protection Training §1926.503(b)	1218-0197	-481,885
Logging Operations §1910.266(i)(10)(i)	1218-0198	-3,270

Process Safety Management §1910.119(g)(3)	1218-0200	-55,250
Hazardous Waste Operations §1910.120(e)(6)	1218-0202	-3,352
Confined Spaces §1910.146(g)(4)	1218-0203	-28,213
Telecommunications §1910.268(c)	1218-0225	-1,087
Powered Industrial Trucks §1915.508(f)	1218-0242	-29,785
Fire Protection §1915.508(f)	1218-0248	-625
<b>Subtotal</b>		<b>-790,860</b>
<b>Total</b>		<b>-2,655,753</b>

**Date of Completion:** July 2010

**Potential Hurdles to Completion:** None

### National Aeronautics and Space Administration (NASA)

**Office:** Office of the Chief Information Officer (OCIO)

**Initiative Title:** Electronic Communications

**Description:** The OCIO is reviewing all current collections in which instruments are classified as fillable/printable and working with collection owners to reengineer their process to capture information electronically.

**Estimated Burden Reduction:** 17,510 hours

**Collection(s) Affected:** Effective Messaging Research, OMB Control Number 2700-0113; Generic Clearance for Studies to Assess Learning and Flow in Video Games -0128; NASA Explorer Schools Project Application, -0130; Space Grant Consortia Faculty Project, -0131; Exploration Systems Mission Directorate Student Internship Program Application, -0132; INSPIRE (Interdisciplinary National Science Program Incorporating Research and Education Experience) Application, -0133; Financial Monitoring and Control - Grants and Cooperative Agreements, -0049; AST - Technology Utilization, -0009; NASA Property in the Custody of Contractors, -0017;

Patents - Grants and Cooperative Agreements, -0048; Kennedy Education Experiences Program (KEEP), -0135; NASA Contractor Financial Management Reports, -0003; NASA Safety Reporting System, -0063; NASA Aeronautics Scholarship Program, -0134

**Expected Date of Completion:** FY2010: 2700-0128, 0130, 0131, 0132, 0133, 0113, 0049, and 0009  
 FY2011: 2700-0017, 0048, and 0135  
 FY2012: 2700-0003, 0063, and 0134

**Potential Hurdles to Completion:** In some cases, transmitting information electronically might not be feasible or appropriate.

### Nuclear Regulatory Commission

**Office:** Office of Nuclear Reactor Regulation (NRR), Division of License Renewal (DLR)

**Initiative Title:** Update of License Renewal Guidance Documents (LRGDs)

**Description:** DLR is currently working on an initiative to update the License Renewal Guidance Documents (LRGDs). The updated documents will be issued for use in FY 2011. The LRGDs will be updated to reflect lessons learned where the staff has accepted aging management approaches proposed by applicants. In these cases, future applicants (FY2011 and beyond) will no longer need to submit plant specific justifications for the approaches that have been integrated into the staff's guidance. In addition, in recognition of implementation lessons learned, the staff is proposing to modify the guidance to reduce the number of situations where site specific further evaluation is necessary. In summary, the staff expects a burden reduction will result as applicants will be able to take advantage of the updated generic aging management guidance and submit less site specific information in their application. NRC staff is currently developing draft changes to the Standard Review Plan for License Renewal and the Generic Aging Lessons Learned Report. The staff is considering industry comments, operating experience, and lessons learned from recent license renewal applications as part of this update initiative. The draft guidance document changes will be issued for formal public comment in May 2010.

**Estimated Burden Reduction:** 250 hours

**Collection(s) Affected:** Requirements for Renewal of Operating Licenses for Nuclear Power Plants, OMB Control Number 3150-0155

**Expected Date of Completion:** December 2010  
**Potential Hurdles to Completion:** None

### Nuclear Regulatory Commission

**Office:** Office of Nuclear Reactor Regulation

**Initiative Title:** Incorporation by Reference of Edition and Addenda to American Society of Mechanical Engineers (ASME) Codes and New and Revised ASME Code Cases into 10 CFR 50.55a

**Description:** The NRC is improving its process (by applying lean six sigma concepts) for issuing recurring rulemakings that incorporate by reference new ASME Code editions and addenda into 10 CFR 50.55a. This will cause 10 CFR 50.55a to be updated more frequently and permit timely use of the latest acceptable ASME Code editions and addenda. The net result is that the information collection burden will be reduced with each rulemaking since allowing the use of more recent ASME Code editions and addenda results in fewer in service inspection and in service testing relief requests being submitted to the NRC for review and approval.

**Estimated Burden Reduction:** 1,040 hours

**Collection(s) Affected:** Domestic Licensing of Production and Utilization Facilities, OMB Control Number 3150-0011

**Expected Date of Completion:** June 2011  
**Potential Hurdles to Completion:** None

### National Science Foundation

**Office:** Office of Polar Programs

**Initiative Title:** Medical Clearance Process for Deployment to the Polar Regions

**Description:** Currently, a limited amount of medical information is captured in an independent database used to track the movements of personnel through the system. The Program now makes the forms available electronically – e.g., they can be downloaded and completed

electronically by participants and sent to NSF by mail. By having the forms available to them electronically, participants in the program who are repeating the process will be able to reduce much of their burden intangibly by already having the information completed; updates by physicians and dentists will still be necessary. A tangible benefit will be better known after a cycle has been completed.

There are two distinct sets of forms for the Arctic and the Antarctic programs. During the planned, upcoming information collection review cycle in FY 2011, consideration will be given to combining these forms to eliminate any duplication of effort of participants who may travel to both areas. While the number of participants traveling to the Arctic is not as high as for those traveling to the Antarctic, this will eliminate the administrative burden of having two sets of similar forms.

**Estimated Burden Reduction:**

750 hours

**Collection(s) Affected:**

Medical Clearance Process for Deployment to the Polar Regions, OMB Control Number 3145-0177

**Expected Date of Completion:**

The timeline for the next step in the Polar Regions medical process (plans for receiving medical information electronically) is being discussed for the next information collection request cycle, set to begin in early FY 2011, with hopes for full electronic access during the cycle to be covered in FY 2014.

**Potential Hurdles to Completion:**

Medical privacy issues; electronic security for large-scale transmission of encrypted information

### Small Business Administration

**Office:**

Office of Business Development

**Initiative Title:**

8(a) Business Development Management Information System (BDMIS)

**Description:**

The SBA 8(a) Development Program (BD) Program is one of the tools through which the agency assists eligible small business obtain the management, technical, procurement and financial assistance necessary to successfully compete in the American economy. In addition, the SBA's Mentor-Protégé Program and the 7(j) Management and Technical Assistance Program provide targeted business development assistance to 8(a) Program participants and other 7(j) eligible small businesses.

The 8(a) BD Program's primary objective is to provide various forms of assistance to foster the business growth and development of 8(a)

participants so that they can successfully compete in the Federal marketplace.

The Section 7(j) Management and Technical Assistance Program enters into grants, cooperative agreements or contracts with public or private organizations that can deliver management or technical assistance to individuals and enterprises eligible for assistance.

The SBA's Mentor-Protégé Program is designed to develop the capabilities of the Protégé (i.e. eligible 8(a) participants) and to improve its ability to successfully compete for Federal contracts through various forms of assistance.

The Business Development Management Information System (BDMIS) reflects an earlier effort to automate the following four manual processes surrounding the 8(a) Business Development program:

- the process used by firms to apply for 8(a) Program admission;
- the process used by SBA's Central Duty Stations (CODS) and Headquarters staff to process 8(a) applications and render approval or decline decisions;
- the process used by existing 8(a) firms to submit the data and materials required for their Annual Review update (this process is used to determine a firm's continuing 8(a) eligibility) and;
- the process used by SBA's District Office staff to process the firm's Annual Review and recommend retention, graduation or termination.

**Estimated Burden  
Reduction:**

8,548 burden hours

Automation of these processes reduces approximately 25% of the burden to the public as a result of the following:

- Data and other information can be input via the on-line forms which are available in BDMIS.
- New electronic interface enables the public to apply for 8(a) certification via the internet.
- The new system is based on the actual OMB approved forms, similar to the process reflected in Turbo-Tax, and is much more user-friendly than the prior system.
- The required supporting documentation is clearly spelled out via an on-line checklist.
- Provides the user with easy-to-use instructions as they are needed.
- Ensures accuracy of the applicant's data in the system, as all data is input by the firm itself, and not transferred from a

- paper application to the system by SBA staff, as in the past.
- Decrease in incomplete applications sent to the processing centers.
- Faster and more accurate tracking of the status of a firm's applications as compared to the manual process used in the past.

<b>Collection(s) Affected:</b>	8(a)/SBD Paper and Electronic Application, OMB Control Number 3245-0331; Personal Financial Statement, OMB Control Number 3245-0188; Statement of Personal History, OMB Control Number 3245-0178 June 2010
<b>Expected Date of Completion:</b>	Phase/Version 1.1 was released in December, 2009 Phase/Version 1.2 was released in February, 2010 Phase/Version 2.0 was released in June, 2010 Phase/Version 2.1 is scheduled to be released September 30, 2010
<b>Potential Hurdles to Completion:</b>	Competing priorities and budgetary constraints resulted in delaying the implementation of some of the BDMIS enhancements.

### Small Business Administration

<b>Office:</b>	Office of Disaster Assistance
<b>Initiative Title:</b>	Disaster Credit Management Modernization (DCMM)
<b>Description:</b>	Section 7(b) of the Small Business Act, 15 U.S.C. 636, as amended, authorizes SBA to make loans to victims of declared disasters. Homeowners, renters, and business owners are eligible to apply for assistance. The Disaster Credit Management Modernization (DCMM) initiative is accomplished through the development and implementation of the Disaster Credit Management System (DCMS). For purposes of this initiative, the affected public is disaster loan applicants. This initiative was implemented throughout FY05 and into the first quarter of FY06. DCMS provides access to data and information technology tools across the Office of Disaster Assistance and to its major stakeholders. The benefits have been significant with the paperless processing of loan applications including the electronic transfer of assignments to field inspectors and loan officers. Processing applications and loans electronically has minimized the need for physical files, which had been physically passed from person to person and department to department within a single geographic area in order to be processed. Dependency on the physical files causes delays in processing and physical files can be misplaced or lost. Electronic files have enabled system users to have access to critical key data allowing various processes to occur simultaneously, without having to wait on physical files. This concept alone enhances our ability to meet our performance goals for processing 85 percent of home loans within 14

days and 85 percent of business and Economic Injury Disaster Loans (EIDL) loans within 18 days. In addition, our customer satisfaction can be improved by eliminating burdensome and duplicative paperwork. The initiative is in on-going with development of additional enhancements to existing capabilities aimed at improving customer service and increased productivity of staff. One such enhancement is the Electronic Loan Application (ELA) which provides on-line loan application capabilities for disaster victims. ELA was released for use by the public in the fourth quarter of FY08. Further improvements have been made to the ELA during FY 2009 and are on-going through 2010. These collections improve the mechanism for the collection of data from the disaster victim through the website and support automated processing of the loan application in the DCMS environment.

**Estimated Burden Reduction:**

11,280 hours

**Collection(s) Affected:**

Disaster Business Loan Application, OMB Control Number 3245-0017; Disaster Home Loan Application, OMB Control Number 3245-0018; Disaster Home/Business Loan Inquiry Record, OMB Control Number 3245-0084; Disaster Survey Worksheet, OMB Control Number 3245-0136

**Date of Completion:**

August 2010

**Potential Hurdles to Completion:**

This initiative may difficult to implement if a catastrophic event occurs in the future.

### Securities and Exchange Commission

**Office:**

Division of Investment Management

**Initiative Title:**

Custody of Funds or Securities of Clients by Investment Advisers

**Description:**

The Commission adopted amendments that require the electronic filing of Form ADV-E and the attached accountant's certificate. The filed information will be accessible from any computer with Internet access.

In December 2009 the Commission adopted amendments that require Form ADV-E under the Investment Advisers Act of 1940 to be filed electronically through the Investment Adviser Registration Depository. Rule 206(4)-2 requires certain SEC-registered investment advisers to have an independent public accountant conduct an annual surprise examination of custodied assets. The independent public accountant is required to certify the examination results to the Commission. Form

ADV-E is required by the rule as a cover sheet for the auditor's examination certificate. Previously, the only way to file the form was through a paper submission. The amendments require Form ADV-E to be filed electronically as soon as the electronic version of the form is available. The electronic version of the form is expected to be available by the end of 2010.

Previously, filers were required to submit 3 paper copies of Form ADV-E and the certificate to the Commission. The average filing was about 10 pages. The staff estimated that 1,859 advisers would be subject to the surprise examination requirements under the adopted custody amendments. We estimate that the amendments result in a reduction of approximately 55,770 pages per year.

**Estimated Burden Reduction:**

300 hours

**Collection(s) Affected:**

Form ADV-E, cover sheet for each certificate of accounting of client securities and funds, OMB Control Number 3235-0361

**Expected Date of Completion:**

December 2010

**Potential Hurdles to Completion:**

None

### Securities and Exchange Commission

**Office:**

Division of Corporate Finance

**Initiative Title:**

Proxy Disclosure Enhancements

**Description:**

The rule amendments enhance information provided in connection with proxy solicitations and in other reports filed by registrants. The amendments require registrants to make new or revised disclosures about compensation policies and practices for all employees that create risks that are reasonably likely to have a material adverse effect on the company; stock and option awards of executives and directors; director and nominee qualifications and legal proceedings; board leadership structure; the board's role in risk oversight; and potential conflicts of interest of compensation consultants that advise companies and their boards of directors.

Under the rules before the amendment, registrants were required to disclose shareholder vote results on Form 10-Q during the fiscal year covered by the Form 10-Q. The Commission amended Form 10-Q to delete this disclosure requirement. The information is now required to be disclosed on an expedited basis on Form 8-K.

<b>Estimated Burden Reduction:</b>	5,475 hours
<b>Collection(s) Affected:</b>	Exchange Act Form 10-Q, OMB Control Number 3235-0070
<b>Date of Completion:</b>	February 2010
<b>Potential Hurdles to Completion:</b>	None

### Social Security Administration

**Office:** Office of Retirement and Disability Policy

**Initiative Title:** Simplified Adult Disability Report, SSA-3368

**Description:** Sections 223(d)(5)(1) and 1631e)(1) of the Social Security Act and 20 CFR 404.1512 and 416.912 of the Code of Federal Regulations require Title II and Title XVI applicants for disability benefits to provide information about their mental and physical conditions, treatment for these conditions, and work history. SSA collects the information on paper, by SSA employees in an interview with the applicant, or from the applicant through the Internet.

Prior to January 2010, we asked individuals completing the SSA-3368 to provide: 1) a complete job history for the 15 years prior to becoming unable to work; 2) detailed information about job duties for the longest job held (Internet users provided detailed information about all jobs.); and 3) the side effects of medicines and a description of how the condition limited ability to work.

Beginning in January 2010, individuals provide information about only the last five jobs, and job details only if they had a single job in the 15 years prior to becoming unable to work. The side effects, limitations questions, and more specific job history questions appear on other forms, and claimants provide this information only under specific circumstances when SSA requires additional information to adjudicate a claim. We simplified the disability application process by collecting less information or asking for the information in specific circumstances later in the process.

For the Internet collection (i3368), we eliminated the requirement for disability applicants to list detailed information about all jobs held in the prior 15 years. Also, we merged the best features of the i3368-PRO into the i3368, such as better navigation, print function, and the ability to jump to different sections of the application. Since these changes require less time for applicants to provide the information through our Internet application, we reduced the burden from 2 ½ hours to 1 ½ hours.

<b>Estimated Burden Reduction:</b>	319,994 hours
<b>Collection(s) Affected:</b>	Disability Report - Adult, OMB Control Number 0960-0579
<b>Date of Completion:</b>	January 2010
<b>Potential Hurdles to Completion:</b>	None

### Social Security Administration

<b>Office:</b>	Office of Retirement and Disability Policy
<b>Initiative Title:</b>	Authorization to Disclose Information to the Social Security Administration SSA-827
<b>Description:</b>	<p>When a claimant files for Social Security Title II or Title XVI disability benefits, he or she must sign the SSA-827, which serves as the claimant's written request to a medical provider or other source to release information to SSA. SSA required the claimant to sign four SSA-827s, because the average claimant had at least that many sources of medical evidence.</p> <p>Public Law 104-191, the Health Insurance Portability and Accountability Act of 1996 (HIPAA), provides standards covering consent for release of medical information. Prior to HIPAA, no generally accepted set of security standards or general requirements for protecting health information existed in the health care industry. Under HIPAA, a photocopy, fax, electronic data interchange, or scanned image of a wet signature on an SSA-827 is a valid authorization.</p> <p>As new technology evolves, the health care industry is moving away from paper processes and relying more heavily on the use of electronic information systems in its business practices. Today, the majority of the medical/professional community involved in Social Security disability claims accept scanned, faxed, or imaged, signed and dated SSA-827s. To facilitate this change, we implemented a new procedure to scan and fax images of the SSA-827 into our electronic folder. This significantly reduced the burden on the disability claimant by eliminating the requirement for three of the four signed SSA-827s. SSA implemented this change in December 2009.</p>
<b>Estimated Burden Reduction:</b>	192,696 hours
<b>Collection(s) Affected:</b>	Authorization to Disclose Information to the Social Security Administration, OMB Control Number 0960-0623

**Date of Completion:** January 2010

**Potential Hurdles to Completion:** None

### Social Security Administration

**Office:** Office of Retirement and Disability Policy

**Initiative Title:** Enumeration at Entry (EAE) - Expansion to Under Age 18 Immigrants

**Description:** EAE is our cooperative initiative with the Department of State (DoS) and the Department of Homeland Security (DHS). EAE allows an immigrant to apply for both an immigrant visa and an original or replacement SSN card using the DoS immigrant visa application. If the immigrant visa is granted, DoS transmits the data collected on the form to DHS. Once DHS admits the immigrant to the United States, DHS electronically transmits data to us for Social Security number assignment. This process, which was first implemented for adults in 2002, eliminates the need for the immigrant to complete an SS-5, Application for Social Security Card, in a field office. Beginning August 31, 2009 we expanded the process to the population of immigrants under age 18.

Normally, an applicant for a Social Security card would have to complete a Form SS-5 to be issued an original or replacement Social Security card. The burden estimated for completing this form is 9 minutes. Under EAE, most of the burden associated with completion of Form SS-5 is fulfilled when an applicant completes the DoS immigrant visa application (Form DS-230). We estimate the time required to read and answer the questions for Social Security on the DS-230 form at 30 seconds. Since the respondent is not completing the SS-5 application, this is a time savings of 9 minutes.

**Estimated Burden Reduction:** 5,459 hours

**Collection(s) Affected:** Application for a Social Security Card, OMB Control Number 0960-0066

**Date of Completion:** October 2009

**Potential Hurdles to Completion:** None

### Department of State

**Office:** Diplomatic Security, Office of Foreign Missions (DS/OFM)

<b>Initiative Title:</b>	Foreign Diplomatic Services Applications (FDSA)
<b>Description:</b>	<p>The FDSA is a collection of applications used by Diplomatic Security, Office of Foreign Missions to acquire the necessary information needed to provide and administer an effective, efficient, and uniform benefits, privileges, and immunities program for foreign missions, its members, and their dependents located in the United States, as well as escort screening courtesies at U.S. airports for foreign VIPs.</p> <p>Automating the FDSA information collection of applications is a priority. Our objective is that additional paper-based and partially paper-based applications will be automated within the next 12 months. Of the 19 information collection instruments, seven have been completely automated. Five are partially automated, and seven are currently paper-based.</p> <p>Burden reduction for the Department of State is improved in the applications process through the elimination of the need to re-enter (by typing) information into the computer database system before providing benefits, privileges and immunities to foreign missions, its members and their dependents. Improvements have been made in the application turnaround time, fewer errors are created, and there is quicker communication between the mission and the Department.</p> <p>Burden reduction has improved slightly for the foreign mission community in applications with drop down buttons from which choices can be made, therefore eliminating the need to write or type the requested information. A burden reduction also occurs when fields automatically populate, i.e., name and address populate when an ID number is entered.</p>
<b>Collection Affected:</b>	Foreign Diplomatic Services Applications (FDSA), OMB Control Number 1405-0105
<b>Estimated Burden Reduction:</b>	3,255 hours
<b>Expected Date of Completion:</b>	May 2011
<b>Hurdles to Completion:</b>	Application development.

#### Department of Transportation

<b>Office:</b>	Pipeline Hazardous Materials Administration (PHMSA), Office of Hazardous Materials Safety (OHMS)
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<b>Initiative Title:</b>	Incorporation of Special Permits into the Hazardous Materials Regulations (HMR)
<b>Description:</b>	A “special permit” is a document issued by the Associate Administrator of PHMSA permitting a person to perform a function that is not otherwise permitted under the Hazardous Materials Regulations (HMR; 49 CFR Parts 171-180). Effective May 1, 2010, PHMSA implemented an online special permit and approval application process to provide faster processing and turnaround time, 24/7 access, immediate confirmation and tracking number ability to attach supporting documentation, and ease of submitting multiple applications.
<b>Collection Affected:</b>	Rulemaking, Special Permits, and Preemption Requirements, OMB Control Number 2137-0051
<b>Estimated Burden Reduction:</b>	422 hours
<b>Date of Completion:</b>	May 2010
<b>Hurdles to Completion:</b>	None

#### Department of Transportation

<b>Office:</b>	Federal Motor Carrier Safety Administration (FMCSA), IT Operations Division (MC-RIO)
<b>Initiative Title:</b>	Electronic On-Board Recorders (EOBRs) for Broader Hours of Service Compliance Usage
<b>Description:</b>	This rulemaking would amend the Federal Motor Carrier Safety Regulations (FMCSRs) to incorporate new performance standards for electronic on-board recorders (EOBRs) installed in commercial motor vehicles (CMVs) manufactured 2 years after the effective date of a final rule. On-board hours-of-service recording devices meeting FMCSA’s current requirements and voluntarily installed in CMVs manufactured before that date could continue to be used for the remainder of the service life of those CMVs. Motor carriers that have demonstrated a history of serious noncompliance with the hours-of-service (HOS) rules would be subject to mandatory installation of EOBRs meeting the new performance standards (a remedial directive). The motor carrier would then be required to install EOBRs in all of its CMVs regardless of their date of manufacture and to use the devices for HOS recordkeeping for a period of 2 years, unless the carrier already had equipped its vehicles with automatic on-board recording devices (AOBRDs) meeting the Agency’s current requirements under 49 CFR 395.15 and could demonstrate to FMCSA

that its drivers understand how to use the devices. FMCSA would encourage industry-wide use of EOBRs by providing the following incentives for motor carriers to voluntarily use EOBRs in their CMVs: Revising the Agency's compliance review procedures to permit examination of a random sample of drivers' records of duty status; and providing partial relief from HOS supporting documents requirements, if certain conditions are satisfied.

<b>Collection Affected:</b>	Hours of Service (HOS) of Drivers Regulations, OMB Control Number 2126-0001
<b>Estimated Burden Reduction:</b>	Preliminary estimate of 70,000,000 burden reduction hours possible.
<b>Estimated Date of Completion:</b>	NPRM in FY 2011, and Final Rule in FY 2012
<b>Hurdles to Completion:</b>	Unknown

#### Department of Transportation

<b>Office:</b>	Federal Motor Carrier Safety Administration (FMCSA), Physical Qualifications Division (MC-PSP)
<b>Initiative Title:</b>	National Registry of Certified Medical Examiners
<b>Description:</b>	This rulemaking would establish training, testing and certification standards for medical examiners responsible for certifying that interstate commercial motor vehicle drivers meet established physical qualifications standards; provide a database (or National Registry) of medical examiners that meet the prescribed standards for use by motor carriers, drivers, and Federal and State enforcement personnel in determining whether a medical examiner is qualified to conduct examinations of interstate truck and bus drivers; and require medical examiners to transmit electronically to FMCSA the name of the driver and a numerical identifier for each driver that is examined. The rulemaking would also establish the process by which medical examiners that fail to meet or maintain the minimum standards would be removed from the National Registry. This action is in response to section 4116 of Safe, Accountable, Flexible, Efficient, Transportation Equity Act: A Legacy for Users. Once every calendar month, each medical examiner listed on the NRCME will be required to complete and transmit electronically to FMCSA Form MCSA-5850, "CMV Driver Examination Results," for each driver examined via a secure Web site. The medical examiners will also be required to provide copies of Medical Examination Reports and medical examiner's certificates to authorized representatives or special agents of the FMCSA or authorized State or local enforcement agency representatives upon request. With the rulemaking, current paper-based processes will now be electronic, reducing burden on medical examiners.

**Collection Affected:** Medical Qualification Requirements, OMB Control Number 2126-0006

**Estimated Burden Reduction:** 16,000 hours

**Estimated Date of Completion:** FY 2011

**Hurdles to Completion:** Unknown

### Department of Transportation

**Office:** Maritime Administration

**Initiative Title:** National Registry of Certified Medical Examiners

**Description:** The Maritime Administration currently has 19 active information collections, which require respondents to submit in the aggregate, 36 individual forms and applications. The current working environment requires the potential respondents to either obtain a hard copy of forms and/or applications from the Agency or download copies from the MARAD Internet Web site. In most cases, the forms and applications are not fillable or fileable online. The proposal is to notify the public through a *Federal Register* notice that all forms and applications associated with a particular information collection are on the MARAD Internet Web site and can be assessed under the forms tab. Each information collection would be listed by title and when opened the associated forms and/or applications would be available in PDF fillable format. The option to file applications online with electronic signature would be present. A link would be provided to apply for and retrieve an electronic signature pin. Consolidation of the forms and applications in one location and the capability of electronic signature would greatly enhance accessibility for the potential respondents and ease of use.

**Collection(s) Affected:** Uniform Financial Reporting Requirements, OMB Control Number 2133-0005; Request for Transfer of Ownership, Registry, and Flag, or Charter, Lease, or Mortgage, OMB Control Number 2133-0006; U.S. Merchant Marine Academy Candidate Application for Admission, OMB Control Number 2133-0010; War Risk Insurance, Applications and Related Information, OMB Control Number 2133-0011; Monthly Report of Ocean Shipments Moving Under Export-Import Bank Financing, OMB Control Number 2133-0013; Title XI Obligation Guarantees, OMB Control Number 2133-0018; Shipbuilding Orderbook and Shipyard Employment, OMB Control Number 2133-0029; Supplementary Training Course Application, OMB Control Number 2133-0030; Voluntary Tanker Agreement, OMB

Control Number 2133-0505; Service Obligation Compliance Report and Merchant Marine Reserve U.S. Naval Reserve (USNR) Annual Report, OMB Control Number 2133-0509; Request for Waiver or Deferment of Service Obligation, Application for Review, OMB Control Number 2133-0510; Determination of Fair and Reasonable Rates for the Carriage of Agricultural Cargoes, OMB Control Number 2133-0514; Application for Conveyance of Port Facility Property, OMB Control Number 2133-0524; Application for Waiver of the Coastwise Trade Laws for Small Passenger Vessels, OMB Control Number 2133-0529; Voluntary Intermodal Sealift Agreement (VISA), OMB Control Number 2133-0532; MARAD Maritime Operator Survey Concerning Mariner Availability, OMB Control Number 2133-0537; MARAD's Marine Transportation Economic Impact Model Data Needs, OMB Control Number 2133-0538; U.S. Port and Terminal Inventory Survey, OMB Control Number 2133-0539; and USMMA Alumni Survey, 2133-new

<b>Estimated Burden Reduction:</b>	230 hours
<b>Estimated Date of Completion:</b>	December 2010
<b>Hurdles to Completion:</b>	This action is contingent upon IT reconfiguration on the website or establishment of a module within the portal, IT security issues and the availability of funding.

#### Department of Transportation

<b>Office:</b>	Federal Transit Administration, Office of Budget and Policy
<b>Initiative Title:</b>	Sampling of Passenger Miles for National Transit Database Reporters
<b>Description:</b>	The Federal Transit Administration (FTA) provides \$10 billion per year in funding assistance to public transit systems across the nation. It is primarily targeted at capital infrastructure of transit, including buses, bus garages, railcars, track, stations and systems. A large portion of this funding is allocated to urbanized areas by statutory formula, as set forth by Congress. Transit systems that benefit from FTA's formula grant programs are required by statute to report annually to the National Transit Database (NTD) on passenger miles traveled. A handful of systems, such as commuter rail, demand response and inclined plane systems are able to report a 100 percent count of passenger miles to the NTD. All of the remaining systems, however, must rely on statistical sampling to report passenger miles traveled to the NTD. All systems that use sampling to report passenger miles traveled are required to conduct a refresh of their sample in FY 2011 as part of a regular cycle of refreshing the sampling data in the NTD. For many grantees, FY 2011 begins on July

1, 2010.

FTA recently issued new guidance covering the sampling of passenger miles. The new guidance instructs agencies on how to use modern statistical techniques to conduct a more efficient sample than they might have otherwise. A more efficient sample means that the same results can be obtained with a smaller sample size, which reduces the overall burden of sampling on the reporters. The exact amount of the burden reduction will vary by report and will be based on the number of reporters that ultimately decide to make use of the new guidance. There are currently 1,200 modes reporting to the NTD. If the new guidance is adopted by 20% of these modes, that would involve approximately 250 reports. If each of these reports reduces the sample size by 200 sampled trips (as some early adopters of the guidance have already indicated to us) and if it takes 4 hours to conduct a sample, the estimated burden reduction would be approximately 200,000 hours.

<b>Collection(s) Affected: Estimated Burden Reduction:</b>	National Transit Database, OMB Control Number 2132-0008  200,000 hours
<b>Estimated Date of Completion:</b>	July 2013
<b>Hurdles to Completion:</b>	Unknown

#### Department of Transportation

<b>Office:</b>	Pipeline and Hazardous Materials Safety Administration (PHMSA), Office of Pipeline Safety (OPS)
<b>Initiative Title:</b>	Mandatory Electronic Filing of Reports Description
<b>Description:</b>	PHMSA, Office of Pipeline Safety is taking action to require electronic filing of all reports required from both gas and hazardous liquid pipeline operators. The targeted areas of the Pipeline Safety Regulations (49 CFR Parts 190-199) to place the requirement are Part 191 and part 195. Part 191 applies to operators of gas pipeline facilities located in the United States or Puerto Rico, including pipelines within the limits of the Outer Continental Shelf (OCS). Part 195 applies to pipeline facilities affecting interstate or foreign commerce, including pipeline facilities on the OCS. The filing of reports to OPS is primarily handled under the OPS Office of Information and Analysis (PHP-10). PHP-10 is looking to handle all electronic filing under the following URL: <a href="http://opsweb.phmsa.dot.gov">http://opsweb.phmsa.dot.gov</a> . OPS is moving to modify 191.7 and 195.58 to require electronic reporting and

updating of operator data in OPS database. Electronic data submissions will enhance efficiency while reducing paperwork burdens. Currently, 66-80 percent of operators submit reporting data electronically. The remaining operators submit large volumes of reporting data to OPS in paper format. Once implemented, the percentage of operators reporting electronically should be higher than 80 percent. OPS developed an online fillable fileable system that allows the user the opportunity to submit their information directly and with less opportunity for errors than when the information is sent in other forms, such as by mail or facsimile. The online system is user-friendly and guides the user through the appropriate and applicable parts of the various forms. This will result in the receipt of more accurate information provided in a much more efficient manner with less burden on the users who file reports. Burden hours relative to filing reports should decrease by about 12 percent. A rulemaking, Pipeline Safety: Updates to Pipeline and Liquefied Natural Gas Reporting Requirements (docket number PHMSA-2008-0291), was developed to enact this objective, and it is in the final rule stage of development.

<b>Collection(s) Affected:</b>	Transportation of Hazardous Liquids by Pipeline: Recordkeeping and Accident Reporting, OMB Control Number 2137-0047; Incident and Annual Reports for Gas Pipeline Operators, OMB Control Number 2137-0522; Reporting Safety-Related Conditions on Gas, Hazardous Liquid, and Carbon Dioxide Pipelines and Liquefied Natural Gas Facilities, OMB Control Number 2137-0578; Pipeline Integrity Management in High Consequence Areas Gas Transmission Pipeline Operators, OMB Control Number 2137-0610; and Reporting Requirements for Hazardous Liquid Pipeline Operators: Hazardous Liquid Annual Report, OMB Control Number 2137-0614
<b>Estimated Burden Reduction:</b>	1,153 hours
<b>Date of Completion:</b>	September 2010
<b>Hurdles to Completion:</b>	To develop a contingency plan for companies (primarily small businesses) without access to computers. To address this situation, the Office of Pipeline Safety will allow affected parties the opportunity to file a written request for alternative reporting methodologies.

#### Department of Transportation

<b>Office:</b>	Office of the Secretary
<b>Initiative Title:</b>	Public Charters
<b>Description:</b>	Air carriers and charter companies are required to file public charter information under Title CFR Part 380, which is consolidated into a charter prospectus using OST Forms 4532, 4533, 4534, and 4545. The

collection is necessary in order to protect the participants and their funds. Some of the information collected is filed electronically. Capabilities are being sought to install e-signature mechanisms needed to approve the prospectuses, thus eliminating the need to file paper. Permitting the Department to accept and authenticate electronically filed signatures would eliminate the respondents' need to mail in hard copy original signatures, and thus duplicative applications.

**Collection(s) Affected:** Contractor's Request for Progress Payment, OMB Control Number 2106-0005

**Estimated Burden Reduction:** 866 hours

**Estimated Date of Completion:** September 2012

**Hurdles to Completion:** The Department needs to arrange for the installation of a software or web-based system that includes a mechanism for authenticating e-signatures.

#### Department of Transportation

**Office:** Office of the Secretary

**Initiative Title:** Air Carrier's Claims for Subsidy Payments

**Description:** In accordance with 14 CFR 271, the Department provides subsidy to air carriers providing Essential Air Service (EAS) in small rural communities. Funding is paid to the air carriers monthly according to the actual amount of service performed during a given month. The air carriers report this data on OST Form 398 "Air Carrier's Claim for Subsidy." The collection of information presently permits subsidized air carriers to submit their monthly claims on an easy-to process form without having to devise their own means of submitting support for these claims. OST Form 398 will be automated so that vendors can submit their data via website instead of paper.

**Collection(s) Affected:** Supporting Statement, Air Carrier's Claims for Subsidy Payments, Airline Deregulation Act of 1978, OMB Control Number 2106-0044

**Estimated Burden Reduction:** 5,388 hours

**Estimated Date of Completion:** September 2011

**Hurdles to Completion:** Network security and compatibility with current/future DOT financial systems.

### Department of the Treasury

**Office:** Office of the Chief Information Officer (OCIO), Departmental Offices

**Initiative Title:** Collaboration Tool (Wiki) Pilot for the PRA Information Collection

**Description:**

The Department of the Treasury (Department) accounts for 77% of the paperwork burden placed on the public. The majority of this burden is attributed to the tax information collections. The Department uses the *Federal Register* Notice (FRN) process to obtain public comments on more than 1,200 information collections (ICs). The Department publishes a 60-day FRN and 30-day FRN announcing these opportunities for public comments. Through the FRN process, Treasury asks the public, specifically for small business entities, to provide feedback on how to reduce the burden to complete ICs, e.g., simplification, leveraging information technologies, less frequent reporting, etc.

In 2009, the Office of the Chief Information Officer (OCIO) staff, after consulting with the Internal Revenue Service (IRS) PRA clearance staff on public comments for their collections, acknowledged that the public rarely provided comments on the 60-day FRNs. The IRS staff reported that the public was generally unaware of information collection FRN schedules. The OCIO staff had several meetings with the IRS Office of Taxpayer Burden Reduction and Tax Exempt and Government Entities (TEGE) Division staff and received endorsement of the pilot and on the information collection. The OCIO staff communicated the initiative with the Office of General Counsel (OGC), PRA and regulations advisor.

The OCIO will pilot social media technology to establish a framework of collaboration and public participation as well as to achieve the goals of the Administration for a more openness. The OCIO selected IRS Form 1023 as the first collection for the pilot. The collection affects 33,379 applicants annually. The collection (form) is 28 pages and the associated instructions are 38 pages. The information collection takes an estimated 96 hours to complete. It is filed by applicants seeking Federal income tax exemption as an organization defined in section 501(c)(3). The TEGE uses the information to determine if the applicant is exempt and whether the applicant is a private foundation.

The OCIO anticipates that this tool will engage the public participation in the Department's information collection activities. Increased participation will lead to reduced paperwork burden placed on the public as well as reduced costs to the public and the Department. After lessons-learned, the OCIO will use the tool to request public comments on additional collections before the end of the fiscal year.

<b>Estimated Burden Reduction:</b>	1,000 hours
<b>Collection(s) Affected:</b>	Form 1023, Application for Recognition of Exemption Under Section 501(c)(3), OMB Control Number 1545-0056
<b>Expected Date of Completion:</b>	January 2011
<b>Potential Hurdles to Completion:</b>	No critical difficulties perceived to-date. Moving the tool from the development environment to the domain may cause a minor impediment in a few activities; however, the OCIO staff will obtain required resources to meet the launch date.

### Department of the Treasury

<b>Office:</b>	Office of Foreign Asset Control (OFAC), Departmental Offices
<b>Initiative Title:</b>	OFAC Electronic Processing for TSRA AgMed <sup>21</sup> License Applications
<b>Description:</b>	<p>As economic sanctions are increasingly deployed as a tool of foreign policy, and as a correspondingly greater demand is placed upon OFAC's services and expertise, OFAC's Licensing Division is hampered by largely paper-based processes that limit the speed, efficacy, reliability and security of its licensing, enforcement and compliance activities. The business functions of the Trade Sanctions Reform and Export Enhancement Act of 2000 (the "TSRA AgMed") Program include the extensive review of all applications submitted to OFAC pursuant to the TSRA AgMed Program and their eligibility for licensing.</p> <p>This project will benefit federal law enforcement in several ways. By building in the necessary technical enhancements into the TSRA AgMed platform and by providing a public-facing component designed for on-line application submission, OFAC will be able to capture and process information more accurately. The export of U.S. origin goods to Iran and Sudan continues to grow and each TSRA AgMed application can contain anywhere from one to 1500 products and one to 950 end-users. In November 2008, OFAC took some regulatory initiatives to restrict the number of products and end-users to 50, which did not reduce the workload of the TSRA AgMed Program, instead resulted in an increase in the number of applications received annually. Accurate processing of this information is a crucial component in the implementation and enforcement of the TSRA AgMed Program, the Iranian Transaction Regulations and the Sudanese Sanctions Regulations. Currently, application-related data capturing is done manually by the licensing officers.</p>

<sup>21</sup> The term "AgMed" stands for Agricultural Commodities and Medical Devices (including medicine).

The enhancements to the TSRA AgMed platform would also allow OFAC to share information more easily internally, including with its Enforcement, Compliance and Civil Penalties divisions, and also externally (as needed) with other government agencies such as the Department of Commerce and the Department of State.

The application will facilitate OFAC's sharing of TSRA AgMed-related information with other law enforcement agencies and provide a public-facing component designed for online application submission thereby significantly reducing manual data entry. It will also facilitate OFAC's submission of required quarterly and biennial reports to Congress on all of OFAC's TSRA AgMed-related activities. In addition to Congressional reporting and exchanges of information with the Department of Commerce, OFAC has a mandate under the Safe Ports Act of 2006 to participate in the Automated Commercial Environment/ International Trade Data System (ACE/ITS) initiative, and the application will facilitate OFAC's participation in this important initiative.

**Estimated Burden Reduction:**

350 hours

**Collection(s) Affected:**

Reporting and Procedures Regulations 31 CFR Part 501, OMB Control Number 1505-0164

**Date of Completion:**

September 2010

**Hurdles to Completion:**

Since its implementation in 2001, the workload of the TSRA AgMed program has grown significantly. The number of applications processed by OFAC has increased as has the number of entities involved in applications. Meeting the requirements of TSRA AgMed Program has become increasingly difficult, leading to delays in the issuance of licensing determinations and reports to Congress and to several legal actions taken by U.S. companies against OFAC. Further, this is in light of differing policy boundaries with Department of State that comprise several inherent obstacles for OFAC TSRA AgMed use.

### Department of the Treasury

**Office:**

Technology Solutions and Services Division, Financial Crimes Enforcement Network (FinCEN)

**Initiative Title:**

Bank Secrecy Act (BSA) Information Technology (IT) Modernization

**Description:**

The BSA, Titles I and II of Public Law 91-508, as amended, codified at 12

U.S.C. 1829b, 12 U.S.C. 1951-1959, and 31 U.S.C. 5311-5314 and 5316-5332, authorizes the Secretary of the Treasury (Secretary), among other things, to issue regulations requiring persons to keep records and file reports that are determined to have a high degree of usefulness in criminal, tax, regulatory, and counter-terrorism matters. The regulations implementing the BSA appear at 31 CFR Part 103. The Secretary's authority to administer the BSA has been delegated to the Director of FinCEN.

This project involves the modernization of FinCEN's capability to collect and store BSA data for use by law enforcement and appropriate analyst. The BSA Information Technology (IT) Modernization investment is critical in supporting Treasury's mission to collect, analyze, enhance data value, and disseminate information on financial transactions, persons of interest, and suspicious activities. Given the importance of deterring criminal activity, detecting terrorism and other national security threatening activities, and minimizing negative BSA related economic impacts, FinCEN places a strong emphasis on supporting their mission by extracting the greatest value for all BSA data collected, while minimizing the compliance obligation to industry. It is FinCEN's aim to ensure that data collected under the Bank Secrecy Act and related authorities are of high quality and are made available in IT systems and formats appropriate for law enforcement, regulators, and financial industry as accurately and quickly as possible.

FinCEN, as the administrator of the BSA, is facing the performance challenge of how to enable easier compliance and streamline BSA information capture for FinCEN's financial community stakeholders, while maximizing the value and impact of BSA information for its regulator, law enforcement and intelligence community stakeholders. The BSA IT Modernization investment is targeted to address this performance challenge.

This investment will enable easier compliance and streamline BSA information capture for FinCEN's financial community through the enhancement of Electronic filing (E-filing) systems for filers, standardization of financial data with existing financial community and law enforcement standards, and more timely and useful feedback on BSA information filings and the use of BSA information. This investment will enable FinCEN's regulator, law enforcement and intelligence community stakeholders to maximize the value and impact of BSA information by enriching the data through derivation, linkages and third party sources, modernizing BSA data dissemination and sharing, and improving and expanding access to both basic and advanced data analysis capabilities. This investment will also benefit all of the FinCEN stakeholders through the implementation of a more inclusive and transparent forms and filing design process that considers the impact on data collection and data usage, improved data quality management, and

improved customer relationship and feedback management.

FinCEN plans to increase the percent of BSA documents for which data is captured electronically from a baseline of 75% in FY2010 to 88% in FY2014 – moving towards a “paperless environment.”

Another benefit is the expected annual savings of \$6-\$10M to industry by increasing the use of Electronic Filing, along with streamlining the collection of BSA data to ease the compliance burden.

**Estimated Burden**

**Reduction:** 501,500 hours

**Collection(s) Affected:** Currency Transaction Reports, OMB Control Number 1506-0004; Designation of Exempt Person, OMB Control Number 1506-0012; Suspicious Activity Report by Depository Institutions, OMB Control Number 1506-0001; Suspicious Activity Report by Securities and Futures Industries, OMB Control Number 1506-0019; Suspicious Activity Report by Money Services Business, OMB Control Number 1506-0015; Suspicious Activity Report by Casinos and Card Clubs, OMB Control Number 1506-0006; Currency Transaction Report by Casinos, OMB Control Number 1506-0005

**Expected Date of Completion:**

The BSA IT Modernization is a four-year effort that will be completed in mid-FY2014.

**Hurdles to Completion:** A perceived difficulty is getting the small filing institutions to move away from paper to electronic filing.

**Department of the Treasury**

**Office:** Internal Revenue Service (IRS), Wage & Investment (W&I) Tax Forms & Publications

**Initiative Title:** Form 1099B/Schedule D/Form 1040 Revisions

**Description:** Currently, taxpayers must report each sale of capital assets on a separate line on Schedule D, and receive only gross proceeds amounts from brokers. Under new law, beginning in 2011, the broker will be required to report the basis on any asset acquired after 2010 that is sold during the year. Brokers may also choose to report basis for assets acquired before 2011 if the broker has the correct basis information. The revised Form 1099B includes a field for the taxpayer’s basis. The IRS is also having the broker report the net gain or loss, so taxpayers don’t have to make that computation. Further, IRS is working on being able to allow filers whose only capital gain transactions are transactions with

correct basis reported to forego Schedule D altogether and instead report their net short- and long-term gains or allowable losses directly on Form 1040. The IRS made a very similar change several years ago to allow taxpayers whose only capital gains were from capital gain distributions from a mutual fund to report them directly on Form 1040 and not have to file Schedule D.

**Estimated Burden Reduction:**

55 million hours

**Collection(s) Affected:**

U.S. Individual Income Tax Return, OMB Control Number 1545-0074

**Expected Date of Completion:**

2011

**Potential Hurdles to Completion:**

None

### Department of Veterans Affairs

**Office:**

Veterans Health Administration, Health Eligibility Center (HEC)

**Initiative Title:**

Veterans Health Benefits and Electronic Submissions

**Description:**

VA Forms 10-10EZ, Application for Health Benefits and VA Form 10-10EZR, Health Benefits Renewal Form

VA Forms 10-10EZ and 10-10EZR collect financial information relative to a veteran's household income, assets and net worth. This information is necessary to make a determination of the individual's ability to defray the cost of needed health care related benefits. VA Form 10-10EZR is used only to collect updated information. Failure to use this form would result in an increased burden on the public as all items on the VA Form 10-10EZ would need to be completed every time there was a change in the veteran's personal data.

Description of the Structure that Implements the Program: Electronic submission of VA Form 10-10EZ and the recent implementation of 10-10EZR currently allows VA health care facilities to directly load veteran application data into its computer system (VistA). This reduces VA personnel workload while expediting the veteran's application for benefits. In addition, once the veteran's information is in VistA, any VA facility the veteran visits has the ability to retrieve the veteran's information electronically, thereby eliminating the need for the veteran to provide the information multiple times.

Measurable Objective and Burden Reduction: As a new initiative, 10-10EZR meets the basic provisions and intent of the Government

Paperwork Elimination Act (GPEA). The application can now be completed online. Whether the data is collected electronically or by paper, it allows VA health care facilities to load veteran application data directly into its computer system (Vista).

VHA is exploring the feasibility of dropping signature requirement for online submission. Efforts are currently under way to completely automate forms 10-10EZ and 10-10EZR to incorporate electronic signature features. Once the inherent issues in electronic signature are resolved, VA Forms 10-10EZ and 10-10EZR will be fully GPEA compliant.

With the implementation of electronic signatures plus the elimination of printing and mailing efforts on behalf of the veteran, the burden hour for 10-10EZ completion is an expected decrease from 45 minutes 15 minutes. The reduction in burden will be 351,720 hours.

With the implementation of electronic signatures plus the elimination of printing and mailing efforts on behalf of the veteran, the burden hour for 10-10EZR completion is an expected decrease from 24 minutes 12 minutes.

**Estimated Burden Reduction:**

240,300 hours

**Collection(s) Affected:**

Application and Renewal for Health Benefits, OMB Control Number 2900-0091

**Expected Date of Completion:**

December 2010

**Potential Hurdles to Completion:**

None

**Department of Veterans Affairs**

**Office:**

Office of Resolution Management (ORM)

**Initiative Title:**

Complaint of Employment Discrimination, VA Form 4939

**Description:**

The Office of Resolution Management (ORM) provides Equal Employment Opportunity (EEO) discrimination complaint processing services to VA employees, applicants for employment and former employees. Complaint processing services include counseling, investigation, and procedural final agency decisions.

Pursuant to the Equal Employment Opportunity Commission (EEOC) Title 29 Code of Federal Regulations (CFR) §1614, VA Form 4939, can be used by VA employees, former employees and applicants for

employment who file a formal Equal Employment Opportunity (EEO) complaint of discrimination.

The complaint resolution process is administered through the Veterans Affairs Central Office (VACO) Deputy Assistant Secretary for Resolution Management (DAS/RM) Office and field offices geographically situated throughout the country. Each office is comprised of the following positions: Regional EEO Officer/Field Manager, Administrative Officer, Intake Specialists, EEO Investigators, EEO Counselors, Investigator/Intake (C2) Counselor/Investigator (C1), and Program Assistants. This group of subject-matter-experts provides comprehensive EEO complaint processing services.

In 2008 the Office of Management and Budget approved the use of VA Form 4939, which is a Complaint of Employment Discrimination form that an individual complaints if they wish to file a formal complaint. The tracking number is OMB No. 2900-0716. A blank copy of the form is issued to the aggrieved individual when informal counseling is completed. VA is piloting a new initiative which is an auto-populated VA Form 4939. The auto populated form reduces the respondent's burden from 30 minutes to 20 minutes. The essential data gathered during counseling (to include the claims and basis) is entered into the agency's Complaints Automated Tracking System. The data automatically auto populates to the formal discrimination complaint VA Form 4939. The claim(s) and basis(s) raised with the EEO counselor are listed on the form. The auto populated form will be sent to the aggrieved individual with the notice of right to file a formal discrimination complaint once counseling has concluded. The aggrieved individual will have the option to check the box next to the claim(s) and basis(s) they wish to file formal.

<b>Estimated Burden Reduction:</b>	54 hours
<b>Collection(s) Affected:</b>	Complaint of Employment Discrimination, OMB Control Number 2900-0716
<b>Expected Date of Completion:</b>	December 2010
<b>Potential Hurdles to Completion:</b>	There may be objections from the aggrieved individual or their representative to receiving an auto-populated form

#### Department of Veterans Affairs

<b>Office:</b>	Veterans Benefits Administration, Insurance Service
<b>Initiative Title:</b>	VA Form 29-8636, Veterans Mortgage Life Insurance Statement

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<b>Description:</b>	This form is used by Veterans who have received Specially Adapted Housing Grants to decline Veterans Mortgage Life Insurance (VMLI) or to provide information upon which the insurance premium can be based.
	Previously, the insured could only submit this information by completing the paper version of this information collection. Insurance Service will offer the Veteran the option of completing VA Form 29-8636 electronically.
<b>Estimated Burden Reduction:</b>	37 hours
<b>Collection(s) Affected:</b>	Veterans Mortgage Life Insurance Statement, OMB Control Number 2900-0212
<b>Expected Date of Completion:</b>	May 2011
<b>Potential Hurdles to Completion:</b>	None

## Update on FY 2007 Burden Reduction Initiatives

### Department of Agriculture

Status: IN PROGRESS

<b>Office:</b>	Animal and Plant Health Inspection Service (APHIS)
<b>Initiative Title:</b>	Providing Online Access to Permit Applications (ePermits)
<b>Description:</b>	The ePermits system is a large initiative that has been in development for several years and is being implemented in multiple phases. The ePermits system is an ongoing effort to improve citizens' knowledge of and access to USDA by enhancing service delivery and improving internal efficiency by promoting technology-based solutions. The next phase will bring even more services to accommodate our customers and will enable Federal regulatory officials to issue, track, and rapidly verify the validity of import permits, thus reducing data-entry, processing, and delivery time and expense.
<b>Estimated Burden Reduction:</b>	9,073 hours
<b>Collection(s) Affected:</b>	OMB Control Number 0579-0054 Federal Plant Pest and Noxious Weeds Regulations; OMB Control Number 0579-0245 Highly Pathogenic Avian Influenza
<b>Expected Date of Completion:</b>	FY 2010 - in progress
<b>Hurdles to Completion:</b>	None
<b>Status:</b>	In Progress. 0579-0015, 0049, 0076, 0094, 0129, 0145, 0183, 0261, 0285, and 0293 have been completed with a reduction of 4,160 hours.

### Department of Agriculture

Status: IN PROGRESS

<b>Office:</b>	Food and Nutrition Service (FNS)
<b>Initiative Title:</b>	FNS Burden Reduction Initiative
<b>Description:</b>	This initiative targets FNS information collections that are used to assure program eligibility, monitor income security, and comply with legislation and agency regulations. FNS will systematically review ICRs as they come up for review to attempt to improve program performance. Specifically, this initiative aims to cut redundancy, promote automation efforts, and partner with other agencies where feasible. FNS plans to accomplish the reduction within four years.
<b>Estimated Burden Reduction:</b>	820,000 hours
<b>Collection(s) Affected:</b>	OMB Control Number 0584-0006 National School Lunch Program; OMB

	Control Number 0584-0012 School Breakfast Program; OMB Control Number 0584-0026 Determining Eligibility for Free & Reduced Price Meals; OMB Control Number 0584-0043 WIC Program; OMB Control Number 0584-0064 Food Stamp Forms; OMB Control Number 0584-0293 Food Distribution Forms; and OMB Control Number 0584-0535 MyPyramid Tracker Information Collection
<b>Expected Date of Completion:</b>	FY 2011
<b>Potential Hurdles to Completion:</b>	While FNS continues to seek opportunity to reduce burden in the renewal process, increasing program caseload results in higher burden-hour totals for many collections.
<b>Status:</b>	Three of the targeted collections were renewed in FY 2009; all renewals resulted in an increase in burden hours due to an increase in the use of nutrition assistance programs and/or increased program requirements.

<b>Department of Agriculture</b>		<b>Status: ON HOLD</b>
<b>Office:</b>	Rural Development	
<b>Initiative Title:</b>	Rural Development Guaranteed Loans	
<b>Description:</b>	The initiative will create a common platform for Rural Development guaranteed loan programs, including a common set of forms. The use of common forms across four loan programs will create efficiencies in reporting and reduce burden to lenders and borrowers.	
<b>Estimated Burden Reduction:</b>	29,716 hours	
<b>Collection(s) Affected:</b>	OMB Control Number 0570-0016 Servicing Business and Industry Guaranteed Loans, OMB Control Number 0570-0017 Guaranteed Loanmaking - Business and Industry Loans, OMB Control Number 0570-0018 Guaranteed Loanmaking - General, OMB Control Number 0570-0050 Renewable Energy Systems and Energy Efficiency Improvements Program, OMB Control Number 0572-0122 Water and Waste Disposal Programs Guaranteed Loans, OMB Control Number 0575-0137 Community Programs Guaranteed Loans	
<b>Expected Date of Completion:</b>	The Agency has decided to not proceed with the regulation.	
<b>Potential Hurdles to Completion:</b>	Completion of rulemaking.	
<b>Status:</b>	The proposed rule was published on September 14, 2007. The commenting period ended on November 13, 2007. Rural Development received approximately 60 comments and is in the process of addressing the comments and making adjustments to the rule as necessary.	

Based on its review of the interim rule and its consideration of the comments received, Rural Development has determined that a better alternative exists to the implementation of its guaranteed loan programs than would be achieved under the interim rule. While Rural Development supports a "common regulatory platform" as a desirable structure, it now believes the platform found in 7 CFR part 5001 is not the best approach.

Rural Development takes the position that, with some refinement and enhancement, a common regulatory structure for guaranteed loans utilizing the current Business Program regulations will result in a better and more efficient regulatory structure than would be achieved through the implementation of 7 CFR part 5001.

The interim final rule published on December 17, 2008 (73 FR 76698), delayed until February 17, 2009, (74 FR 2823), further delayed until March 9, 2009 (74 FR 7179), further delayed until June 1, 2009 (74 FR 9759), and further delayed until October 1, 2009 (74 FR 25617) was withdrawn as of September 21, 2009, (74 FR 48005).\

Based on Rural Development's review and re-examination of 7 CFR Part 5001, at the request of the Office of the Under Secretary, and the comments received, Rural Development has taken the position that, with some refinement and enhancement, a common regulatory structure for guaranteed loans utilizing the current Business Program regulations will result in a better and more efficient regulatory structure than would be achieved through the implementation of 7 CFR Part 5001.

**Department of Agriculture**
**Status: IN PROGRESS**

<b>Office:</b>	Rural Development Utilities Programs
<b>Initiative Title:</b>	Streamline Telecommunications Program Contracts
<b>Description:</b>	This is an ongoing effort to collapse twelve current contracts into four master contracts: equipment, construction, services, and software, will be implemented in phases over the next several years. This will then allow for the borrower to have a greater flexibility to adapt project information in completing a contract which in turn may reduce their overall burden.
<b>Estimated Burden Reduction:</b>	TBD
<b>Collection(s) Affected:</b>	OMB Control Number 0572-0059 Telecommunications System Construction Policies and Procedures, OMB Control Number 0572-0107 Electric System Construction Policies and Procedures, OMB Control Number 0572-0118 Electric Engineering, Architectural Services and Design Policies and Procedures, OMB Control Number 0572-0023

Advance and Disbursement of Funds, OMB Control Number 0572-0074  
Certification of Authority

**Expected Date of Completion:**

December 2011

**Potential Hurdles to Completion:**

Working with multiple industry groups to obtain their views and to incorporate their input will take a considerable amount of time.

**Status:**

In progress. In 2009, the Agency continues to revise the RUS Standards Contract Forms. RUS met with the Association of Communication Engineers (ACE) on the revision of the new proposed draft of RUS Form 395. These new forms will be replacing RUS Forms 397, 398, 525, and 545 with their associated close-out documents. ACE has requested more time to offer additional input. More input is needed from manufacturers, borrowers, and other interested parties before finalizing a final draft for publication in the *Federal Register*. With regard to the RUS 515 form revision, the Association of Communication Engineers' and Power and Communications Contractors Association's 515 Contract Task Force has prepared a list of proposed changes to be considered by RUS. The Agency will review these proposed changes and draft a document to circulate for comments among borrowers, consulting engineers, and other interested parties before submitting a proposed rule to the *Federal Register*. At this time, due to the Agency's priority on processing American Recovery and Reinvest Act (ARRA) applications and requests for RUS product listing, work on revising the contracts has been temporarily suspended. The RUS Technical Standards Branch has also experienced a deficit of four staff positions. Once ARRA applications have been satisfactorily addressed, priority focus will resume on revising the contracts. The Agency now estimates that revision of the contract forms will be completed by the end of 2011.

**Department of Commerce**

**Status: IN PROGRESS**

**Office:**

NOAA National Marine Fisheries Service

**Initiative Title:**

National Permit System (NPS)

**Description:**

The NPS will be a centralized database with Web-based permit application capability. Features directly affecting public burden are:

- 1) Harmonization and linkage of appropriate data residing in stovepipe regional permit, dealer, and vessel databases.
- 2) Standardization of permit applications renewals, and electronic submission of fees.
- 3) Use of common components and data throughout the permit process that reduces the burden of duplicative submission of recurrent data. Unique electronic signatures will be employed to unequivocally identify permit holders.

<b>Estimated Burden Reduction:</b>	20,786 hours annually: an average of 10 minutes' savings on vessel, operator and dealer permit applications, of which there were 124,718 in 2006.
<b>Collection(s) Affected:</b>	OMB Control Number 0648-0194 Antarctic Marine Living Resources Conservation and Management Measures, OMB Control Number 0648-0202 Northeast Region Permit Forms, OMB Control Number 0648-0203 Northwest Region Federal Fisheries Permits, OMB Control Number 0648-0204 Southwest Region Permit Forms, OMB Control Number 0648-0205 Southeast Region Permit Forms, OMB Control Number 0648-0206 Alaska Region Permit Forms, OMB Control Number 0648-0269 Western Alaska Community Development Quota Program, OMB Control Number 0648-0272 Individual Fishing Quotas for Pacific Halibut and Sablefish in the Alaska Fisheries, OMB Control Number 0648-0304 High Seas Fishing Permit Application, OMB Control Number 0648-0316 Prohibited Species Donation Program, OMB Control Number 0648-0327 Atlantic Highly Migratory Species Permit Forms, OMB Control Number 0648-0334 Alaska License Limitation Program for Groundfish, Crab, and Scallops, OMB Control Number 0648-0393 American Fisheries Act: Vessel and Processor Permit Applications, OMB Control Number 0648-0398 Alaska Individual Fishing Quota Cost Recovery, OMB Control Number 0648-0401 American Fisheries Act Reports in the Bering Sea and Aleutian Islands, OMB Control Number 0648-0471 Highly Migratory Species Scientific Research Permits, and Exempted Fishing Permits, OMB Control Number 0648-0490 Pacific Islands Region Permit Forms, OMB Control Number 0648-0512 Special Subsistence Permits and Harvest Logs for Pacific Halibut, OMB Control Number 0648-0513 Aleutian Islands Pollock Fishery Requirements, OMB Control Number 0648-0514 Alaska Region BSAI Crab Permits, OMB Control Number 0648-0545 Alaska Rockfish Pilot Program, OMB Control Number 0648-0569 Alaska Individual Fishing Quota Temporary Transfers, OMB Control Number 0648-0586 Permitting, Vessel Identification, and Reporting Requirements for Deepwater Shrimp Fisheries in the Western Pacific Region, OMB Control Number 0648-0589 Permitting, Vessel Identification, and Reporting Requirements for the Pelagic Squid Jig Fishery in the Western Pacific Region, OMB Control Number 0648-0587 Southeast Regional Office Gulf of Mexico Grouper and Tilefish IFQ Program, OMB Control Number 0648-0591 Annual Economic Survey of Federal Gulf and South Atlantic Shrimp Permit Holders.
<b>Expected Date of Completion:</b>	Before end of FY11
<b>Potential Hurdles to Completion:</b>	The two major issues have been – 1) delays in the process of setting up the Unified Data Center at the Office of Chief Information Officer (OCIO), which took longer than expected, and staff availability in the regions to provide data and test the implementation. No major

obstacles are expected.

**Status:** In progress.

**Department of Education**

**Status: IN PROGRESS**

**Office:** Office of Planning, Evaluation, and Policy Development

**Initiative Title:** *EDFacts*

**Description:** The Department continues to develop the Education Data Exchange Network (EDEN) and provide State Education Agencies with the capacity to transfer and the Federal government to analyze information about elementary and secondary education programs. When fully implemented, EDEN will not only provide timely performance data to education decision makers and grant managers, but also streamline the data collection process and reduce the burden of grant reporting. *EDFacts* is fundamentally transforming the way that the Department accesses information and meets the federal education program information requirements, while concurrently reducing respondent burden.

**Estimated Burden Reduction:** 29,076 burden hour reduction in FY 2009.

**Collection(s) Affected:** OMB Control Numbers: 1810-0519, 1810-0614, 1810-0618, 1810-0650, 1820-0043, 1820-0517, 1820-0518, 1820-0521, 1820-0621, 1820-0644, 1820-0659, 1830-0503, 1850-0067, 1855-0016, 1865-0002, 1875-0203, 1885-0553.

**Expected Date of Completion:** Ongoing. Although *EDFacts* and EDEN are a permanent data collection process for the Department, opportunities for further consolidation remain.

**Potential Hurdles to Completion:** Changes at the state level can impact the potential success of this initiative.

**Status:** The pre-release School Year 08-09 file for the Common Core of Data (CCD), a collection included within *EDFacts*, was placed on the Department's website in October 2009. That is the first time the Department has published an early release file or any CCD file out that quickly.

**Department of Education**

**Status: COMPLETED**

**Office:** Office of Management

**Initiative Title:** Information Collection Transformation Process (ICTP)

**Description:** The FY 2007 ICTP initiative established the expectation that RIMS and ED Principal Offices (POs) would review all submitted information collection (IC) revisions to "reduce duplication, consolidate collections, and collect information more efficiently." Additionally, it was

anticipated that a burden reduction of 433,700 hours – or approximately one percent of ED burden at the time -- would be realized by FY2009. It is not possible, of course, to ensure that each and every information collection renewal will result in a burden reduction due to actions outside the Department's control (e.g., new legislation regarding additional data collection for instance).

**Estimated Burden Reduction:** 433,700 hours  
**Collection(s) Affected:** Various  
**Date of Completion:** September 2008  
**Potential Hurdles to Completion:** Complete  
**Status:** Complete

#### Environmental Protection Agency

**Status: IN PROGRESS**

**Office:** Office of Policy, Economics, and Innovation

**Initiative Title:** State Reporting Burden Initiative

**Description:** In 2009, a workgroup comprised of the states and EPA focused on closing out the states' recommendations from 2006 and developing new priorities for 2009 – 2010. These new priorities, agreed to by both EPA and the states, include continuing to identify and reduce low-value, high burden state reporting requirements; increase understanding of state costs resulting from proposed federal rules; and improve participation and communication between EPA and the states over regulatory processes.

**Estimated Burden Reduction:** A preliminary assessment by EPA estimates potential burden reduction for states of 1%.

**Collection(s) Affected:** Potential key collections include OMB Control Numbers:  
 2030-0020: Grants Reporting  
 2040-0004: Discharge Monitoring Reports  
 2040-0071: National Water Quality Inventory Reports  
 2060-0088: Air Emissions Reporting

**Expected Date of Completion:** 2010 - 2012

**Potential Hurdles:** Reporting reduction estimates are completely contingent on a wide range of variables, including state agreement, available resources, public acceptance, and state ability to calculate accurately the reduced reporting. Reductions are also contingent upon state adoption of the

Exchange Network for virtually all data exchanges with EPA. Implementation of some state recommendations is contingent on regulatory or statutory changes, and EPA's ability to obtain the needed program management information from other sources.

**Status:** In Progress

**Federal Deposit Insurance Corporation** **Status: COMPLETED**

**Office:** Federal Deposit Insurance Corporation (FDIC)

**Initiative Title:** Call Report Revision

**Description:** Pursuant to Section 604 of the Financial Services Regulatory Relief Act of 2006, the FDIC, in conjunction with the other federal banking agencies, surveyed agency Call Report user groups in order to identify the purposes for which each group uses each reported data item, the extent of usage for each item, and the frequency with which each item is needed. Based on the survey results, an interagency working group compiled a list of lesser-used data items for review for possible elimination or reduced reporting. The agencies were unable to agree on any data items that could be eliminated, but determined that banks with less than \$1 billion in total assets should be exempt from reporting the following data items effective March 31, 2009:

- Schedule RI, Memorandum item 2, "Income from the sale and servicing of mutual funds and annuities (in domestic offices)";
- Schedule RC-B, Memorandum items 5.a through 5.f, "Asset-backed securities," for banks with foreign offices (because the \$1 billion reporting threshold already applied to banks without foreign offices);
- Schedule RC-L, item 2.a, "Amount of financial standby letters of credit conveyed to others"; and
- Schedule RC-L, item 3.a, "Amount of performance standby letters of credit conveyed to others."

**Estimated Burden Reduction:** While the establishment of this threshold covered 94 percent of FDIC-supervised banks, only a relatively small percentage of such banks had been reporting amounts (other than zero) in these data items. As a result, the burden reduction from establishing this threshold for the items enumerated above was less than one tenth of one percent of the overall Call Report burden. This burden reduction was much less than the FDIC's five percent goal. This miniscule burden reduction was included in the overall change in burden (i.e., a net increase) for Call Report revisions taking effect in 2009 that OMB approved in late March 2009.

**Collection(s) Affected:** Consolidated Reports of Condition and Income (Call Report; OMB No. 3064-0052).

**Date of Completion:** March 2009

**Potential Hurdles:** None

**Status:** Completed

**Federal Energy Regulatory Commission** **Status: COMPLETED**

**Office:** Federal Energy Regulatory Commission (FERC)

**Initiative Title:** FERC Information Assessment Team (FIAT)

**Description:** The Federal Energy Regulatory Commission established in January 2004 the FERC Information Assessment Team (FIAT). The FIAT evaluates information collections and filing requirements, assesses the practical utility of each information collection, and proposes ways to reduce the reporting burden on industry through the elimination, reduction, streamlining and/or reformatting of collections. In addition, the FIAT examines how FERC currently assesses the burden of its information collections and propose a plan to integrate a continuous Commission-wide review of current and new information needs. Of the Commission's 61 information collections, the Team will choose 20 information collections to study and develop recommendations for fifteen collections.

**Estimated Burden** 11,182 hours

**Reduction:**

**Collection(s) Affected:** OMB Control Numbers: 1902-0024, 1902-0096, 1902-0043, 1902-0099, 1902-0114, 1902-0137, 1902-0138, 1902-0140, 1902-0168, 1902-0171, 1902-0086, 1902-0004, 1902-0144, 1902-0019, 1902-0073.

**Date of Completion:** December 2009

**Potential Hurdles to Completion:** Several information collections identified are required by statute and therefore cannot be eliminated unless legislation is introduced to change the statute.

**Status:** Completed

**Federal Energy Regulatory Commission** **Status: COMPLETED**

**Office:** Federal Energy Regulatory Commission (FERC)

**Initiative Title:** Electronic Filing of Rate and Tariff Documents (eTariffs) (addressing Burden Reduction Initiatives for "Electronic Communication," "E-Signature," and "Administrative Simplification")

**Description:** In a Final Rule issued September 19, 2008 (Order No. 714), FERC revised its regulations to require that all tariffs, tariff revisions and rate change applications for electric utilities, natural gas pipelines, and oil pipelines be filed according to a set of standards developed in conjunction with the North American Energy Standards Board. After numerous technical conferences, meetings with stakeholders, and implementation guides, the eTariff system and filings are being implemented.

The Commission provided that the conversion to electronic tariff filings would begin April 1, 2010, with pipelines and utilities filing baseline tariffs according to a six-month staggered filing schedule worked out between staff and industry. Once the baseline filings have been made, all subsequent tariff and tariff-related filings must be made electronically using the eTariff formatted filings.

Between April and September 30, 2010, approximately 2,000 compliance filings are anticipated to be filed, and corresponding FERC orders issued, to establish each company's new "baseline" electronic tariff. (A baseline tariff will consist of refiling the regulated entity's complete open access tariff in the new electronic tariff format.)

**Estimated Burden Reduction:** Changes to burden were submitted to OMB with the corresponding FERC proposed and final rules.

**Collection(s) Affected:** OMB Control Numbers: 1902-0096 (FERC-516), 1902-0154 (FERC-545), 1902-0086 (FERC-549), and 1902-0089 (FERC-550)

**Date of Completion:** September 2010

**Potential Hurdles to Completion:** There will be a Transition Period from April-October 2010 while baseline filings are submitted in phases.

**Status:** In progress.

**Federal Energy Regulatory Commission**

**Status: IN PROGRESS**

**Office:** Office of the Executive Director

**Initiative Title:** e-Filings

**Description:** In Order No. 619 (issued 9/14/2000), FERC established an Electronic Filing Initiative to meet the goals of the Government Paperwork Elimination Act, which directed agencies to provide for optimal use and acceptance of electronic documents and signatures and electronic

recordkeeping, where practical, by October 2003. This initiative was also part of the Commission's effort to reduce the cost and burden of filings and to provide the material to the public and staff in a faster and more efficient manner.

Since the inception of its program related to eFiling, eForms, and eTariffs, FERC has:

- phased in additional types of filings, applications, and forms
- provided an eComment Option (an easy way for individuals and other interested persons to submit short text comments in selected types of proceedings, at <http://www.ferc.gov/docs-filing/ecomment.asp>)
- implemented an option to file Document-less Intervention
- enabled the filing of material that is non-public (privileged, and Critical Energy Infrastructure Information (CEII) materials)
- expanded the acceptable file types and maximum file sizes (<http://www.ferc.gov/help/submission-guide/user-guide.pdf>).

With a few exceptions (such as documents that are subject to, or requesting, a protective order); virtually all filings submitted to FERC are now eligible to be filed electronically. In FY 2010, we project more than 60% of the filings submitted to FERC will be made electronically. This percentage will increase significantly when all regulated entities are using eTariff at the end of the six month implementation period ending on September 30, 2010.

FERC's electronic filing program continues to provide many benefits to the filer, public users, and FERC. Our eFiling system adds to internal efficiencies by automatically updating service lists for application, intervention, and rulemaking filings, and eliminating manual updates for about 15,000 - 20,000 filings.

The eForms system allows users to download and distribute form-fillable software to multiple staff for certain annual and quarterly forms. After the form passes all of the edit checks and the company compiles the schedules and submits it, the data elements are automatically added to the database for analysis and processing, and the information is available online.

FERC does not employ digital signatures for incoming filings. We have an audit trail for each submission which is backed up by an eRegistration system with user accounts. Because of the audit trail, we

can define “electronic signature” as the characters keyed in the signature block, as evidence that the “signer” signed the document.

FERC serves Commission Issuances on parties primarily via email where the email contains a link to the Issuance in the eLibrary system, instead of attaching the document itself (avoiding e-mailbox overload). We also allow parties to serve their submittals via email.

FERC offers an eSubscription service where people who are not parties to a proceeding can track it by eSubscribing to the Docket. An eSubscriber receives an email with a link to the appropriate document in eLibrary as soon as that document is added to the system.

**Estimated Burden Reduction:** To be determined

**Collection(s) Affected:** All of FERC’s information collections.

**Expected Date of Completion:** Ongoing

**Potential Hurdles to Completion:** To address issues (such as the continuing need to refresh software and hardware; and the expanding file sizes, additional media, and types and versions of file formats that stakeholders would like to submit), potential hurdles include budget, infrastructure (for public filers, public end users, and staff end users), and cybersecurity.

**Status:** Ongoing

#### Department of Homeland Security

**Status: IN PROGRESS**

**Office:** Federal Emergency Management Agency (FEMA)

**Initiative Title:** Web-Based (e-Grants) Application and Reporting

**Description:** FEMA is working to integrate an agency-wide eGrants on-line application that will be available to the public via the Internet. The consolidation will carry a universal OMB control number thus eliminating the need for various information collection requests. FEMA will standardize the application and reporting requirements across grant programs.

**Estimated Burden Reduction:** 300,458 hours

**Collection(s) Affected:** OMB Control Numbers: 1660-0025, 1660-0018, 1660-0058, 1660-0061, 1660-0071, 1660-0072, 1660-0073, 1660-0076, 1660-0017, 1660-0085, 1660-0075

**Expected Date of Completion:** December 2010

**Potential Hurdles to Completion:** FEMA's ability to effectively coordinate with the various programs on the need to develop fewer eGrants applications and reporting mechanisms, aimed at having one web-based application able to accommodate an efficient move toward the implementation of a DHS-wide electronic grant system and adequate funding. FEMA currently is moving forward with this process and will publish a 60-day FRN for part of the e-grant initiative by middle November 2009. This 60-day FRN is to allow non-disaster grants to be electronically applied for.

**Status:** In Progress

**Department of Homeland Security**

**Status: IN PROGRESS**

**Office:** U.S. Citizenship and Immigration Services (USCIS)

**Initiative Title:** Business Transformation – Account Based Processing

**Description:** U.S. Citizenship and Immigration Services (USCIS) is beginning a phased multi-year business initiative to restructure its business processes and related information technology systems. The program is referred to within USCIS as simply "Transformation." Transformation will enable USCIS to migrate from a paper file-based, non-integrated systems environment to an electronic customer-focused, centralized case management environment for benefit processing. Transformation will allow USCIS to streamline benefit processing, eliminate the capture and processing of redundant data and automate and reduce the number of its forms.

**Estimated Burden Reduction:** 2,814,042 hours

**Collection(s) Affected:** OMB Control Numbers: 1615-0001, 1615-0003, 1615-0005, 1615-0007, 1615-0008, 1615-0009, 1615-0010, 1615-0012, 1615-0013, 1615-0014, 1615-0015, 1615-0016, 1615-0017, 1615-0018, 1615-0019, 1615-0020, 1615-0021, 1615-0022, 1615-0023, 1615-0025, 1615-0026, 1615-0027, 1615-0028, 1615-0029, 1615-0030, 1615-0032, 1615-0033, 1615-0034, 1615-0035, 1615-0037, 1615-0038, 1615-0040, 1615-0042, 1615-0043, 1615-0044, 1615-0045, 1615-0046, 1615-0048, 1615-0050, 1615-0052, 1615-0053, 1615-0056, 1615-0057, 1615-0059, 1615-0060, 1615-0067, 1615-0068, 1615-0069, 1615-0070, 1615-0072, 1615-0075, 1615-0076, 1615-0078, 1615-0079, 1615-0082, 1615-0086, 1615-0087, 1615-0091, 1615-0095, 1615-0096, 1615-0099, 1615-0100, 1615-0101, 1615-0102, 1615-0105, 1615-0106

**Expected Date of Completion:** FY 2015

**Potential Hurdles to Completion:** Redesign of all forms currently used and concurrent redesign, development, and implementation of supporting IT systems. Funding limitations and deployment risks require incremental implementation.

**Status:** In progress.

**Department of Justice**

**Status: IN PROGRESS**

**Office:** Federal Bureau of Investigation

**Initiative Title:** Uniform Crime Reporting Program

**Description:** The Attorney General designated the FBI to acquire, collect, classify, and preserve national data on criminal offenses as part of the Uniform Crime Reports, under Title 28, Section 534, U.S. Code. Acquisition, Preservation, and Exchange of Identification Records; Appointment of Officials. The reduction in hours has been gradually decreasing since 2004 due to the implementation of the National Incident Based Reporting System (NIBRS), which allows entities to track and report crime data electronically as opposed to manually using paper forms. In 2004 the burden was 142,556; in 2007 the burden decreased to 44,629; and in 2010 the burden decreased to 40,114. We anticipate the burden to continually decrease as state participation in NIBRS increases. Uniform Crime Reporting is in the process of developing a new database. It is anticipated that all processes will be electronic.

**Estimated Burden Reduction:** 35,000 hours

**Collection(s) Affected:** OMB Control Number 1110-0001

**Expected Date of Completion:** FY 2012

**Potential Hurdles to Completion:** None

**Status:** In Progress.

**Department of Labor**

**Status: IN PROGRESS**

**Office:** Office of the Chief Information Officer

**Initiative Title:** Internal E-Government Evaluation (formerly called Internal E-Government Scorecard)

**Description:** As part of an agency-wide program for managing its E-government program, the Department of Labor's (DOL) Office of the Chief Information Officer included Paperwork Reduction Act (PRA)-related rating elements in its semiannual internal E-Government program evaluations. As part of this review, DOL sub-agencies could not receive

a satisfactory rating unless, among other things, they are effectively implementing the PRA. In order to ensure each sub-agency explored opportunities for practical burden reduction, one rating element in the evaluation requires a plan to reduce burden by at least 1% of the sub-agency's over all burden hours. From this effort, the Department identified four activities to reduce overall burden: 1) revise the Annual Information Return/Report (Form 5500 series) and add a short form which could be filed by many small employee benefit plans; 2) discontinue the Equal Opportunity Survey since it lacked utility; 3) Phase III of the Occupational Safety and Health Administration's (OSHA) Standards Improvement Project which seeks to reduce burden by examining the potential for streamlining training requirements and eliminating various other outdated requirements; and 4) streamline reporting and recordkeeping requirements for seven Workforce Investment Act programs currently approved under three OMB control numbers into one collection of information.

<b>Total Burden Reduction to Date:</b>	248,000 hours (increase from 233,000 hours)
<b>Total Estimated Burden Reduction:</b>	1.1 million hours (decrease from 1.7 million hours)
<b>Collection(s) Affected:</b>	OMB Control Numbers: 1210-0110, 1215-0196, 1218-0205, 1205-ONEW (1205-0420, 1205-0240, 1205-0392), 1218-0061, 1218-0085, 1218-0092, 1218-0108, 1218-0126, 1218-0133, 1218-0170, and 1218-0185.
<b>Expected Date of Completion:</b>	Ongoing (see Status below).
<b>Potential Hurdles to Completion:</b>	Rulemaking process, new developments, and stakeholder acceptance.
<b>Status:</b>	<p>Two initiative milestones have been completed:</p> <p>1) 1210-0110: In November 2007, DOL revised its Form 5500 series and introduced a shortened form (5500-SF) reducing burden by 23,000 hours. A further burden reduction of 15,000 hours was achieved in FY 2008 due to the broader use of the Short Form 5500 annual report (Form 5500-SF).</p> <p>2) 1215-0196: On September 30, 2006, DOL discontinued the Equal Opportunity Survey (See OMB Notice of Action dated 09/08/2006) reducing public paperwork burdens by 210,000 hours.</p> <p>One initiative milestone is delayed but in progress:</p> <p>3) The Standard Improvement Project – Phase III (1218-0205, 1218-0061, 1218-0085, 1218-0092, 1218-0108, 1218-0126, 1218-0133, 1218-0170, and 1218-0185): The Advance Notice of Proposed Rulemaking for 29 C.F.R. § 1910.132 was published on December 21,</p>

2006 (71 FR 76623). The Standard Improvement Project – Phase III is currently on OSHA’s regulatory agenda; the Agency anticipates publishing a Notice of Proposed Rulemaking (NPRM) during the second quarter of FY 2010. Some of the aforementioned OMB control numbers will not have a significant reduction. However, at this time the NPRM projects over a one million hour reduction as a result of removing a training certification from 1218-0205 (Personal Protective Equipment (PPE) for General Industry (29 C.F.R. subpart I).

One initiative milestone is delayed:

4) 1205-ONEW (1205-0420, 1205-0240, 1205-0392): DOL planned to implement a collection titled, “Workforce Investment Streamlined Performance Reporting System (WISPR),” in Program Year 2009.

Status Update: Implementation of WISPR was deferred in Program Year 2009 because of priorities associated with the implementation of the American Recovery and Reinvestment Act of 2009, and the need to brief the new policy leadership of the agency on the program and budget implications of implementing WISPR.

ETA is currently assessing the best approach to performance reporting in light of the amendments to the Trade Act of 1974 enacted by the Trade and Globalization Adjustment Assistance Act of 2009 and the prospect of near-term reauthorization of Workforce Investment Act. The new schedule for WISPR implementation will be reviewed in the context of these developments in collaboration with states and other key stakeholders.

**Department of Labor**

**Status: ON HOLD**

**Office:**

Occupational Safety and Health Administration

**Initiative Title:**

Standard on Mechanical Power Presses

**Description:**

The Occupational Safety and Health Administration (OSHA) is updating the Mechanical Power Press Standard (29 C.F.R. § 1910.217) to address industry concerns that it is out-of-date and could be less burdensome. One provision in this standard requires employers to conduct inspections and prepare certification records of mechanical power presses. Any modification to the frequency of inspection or removal of the certification records will significantly reduce the burden hours. OSHA published the Advance Notice of Proposed Rulemaking on June 4, 2007 (72 FR 30729); has completed analyzing public comments and expects to publish the Notice of Proposed Rule Making in 2009.

**Total Burden Reduction to Date:**

None.

<b>Total Estimated Burden Reduction:</b>	1,373,054 hours
<b>Collection(s) Affected:</b>	OMB Control Number 1218-0229
<b>Expected Date of Completion:</b>	Undetermined.
<b>Potential Hurdles to Completion:</b>	Regulatory delays and resource constraints.
<b>Status:</b>	The proposed rule was removed from DOL's spring 2010 regulatory agenda due to resource constraints and other priorities.

<b>National Aeronautics and Space Administration</b>	<b>Status: IN PROGRESS</b>
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<b>Office</b>	Office of Procurement
<b>Initiative Title:</b>	Analysis of Forms used in NASA Acquisition Process, Leading to Consolidation of Information Collections
<b>Description</b>	<p>NASA uses many information collection instruments to support the Agency's acquisition process. For example, forms to collect information on bids and proposals, purchase orders and bank card orders, and reports for contracts, while similar, vary depending on their overall value. For this initiative, NASA is working with the President's Business Gateway E-Government Initiative to identify and assess these related collection activities and how they can be discontinued or consolidated. The initiative also includes other information collections indirectly supporting the acquisition process, including information collections used to establish cooperative agreements, grants, Space Act Agreements, and other acquisition arrangements.</p> <p>This initiative continues to make excellent progress. To date, analysis of the affected collections has resulted in the information collection 2700-0088 being discontinued. A burden decrease of 803,040 hours was affected. NASA continues to work through the recommendations of the President's Business Gateway E-Government Initiative in order to address burden reductions with a focus on consolidating 2700-0092 and 2700-0093.</p>
<b>Estimated Burden Reduction:</b>	Up to 1,000,000 hours
<b>Collection(s) Affected:</b>	OMB Control Numbers: 2700-0009, 2700-0017, 2700-0047, 2700-0048, 2700-0054, 2700-0063, 2700-0073, 2700-0085, 2700-0086, 2700-0087, 2700-0088, 2700-0089, 2700-0092, 2700-0095, 2700-0101, and 2700-0124.
<b>Expected Date of Completion:</b>	Initial burdens identified were reduced by September 30, 2009. We are continuing to address additional burden reductions identified in the President's Business Gateway E-Government Initiative and intend to have a new milestone for the upcoming ICB data calls.

**Potential Hurdles to completion** Review and consolidation of legacy acquisition systems.

**Status:** In Progress.

### Nuclear Regulatory Commission

**Status: IN PROGRESS**

**Office** Office of Federal and State Materials and Environmental Management Programs (FSME) (Formerly Office of Nuclear Material Safety and Safeguards and State and Tribal Programs)

**Initiative Title:** Web-Based Licensing (previously Project Safesource Phase I) (Revised May 28, 2010)

**Description:** The NRC is developing an initiative to provide materials licensees with the option of using an electronic system to apply for licenses, amend licenses, and conduct other license-related transactions. The on-line system will validate the input to ensure quality and avoid delays due to application deficiencies. Routine administrative data updates may be accomplished on-line, eliminating the need for some types of correspondence and consequent delays.

In response to a 2007 Government Accountability Office investigation concerning potential vulnerabilities in the byproduct material security program, the scope of the Web-Based Licensing (WBL) project was expanded to: 1) provide a nationwide license repository for NRC and Agreement State license information; 2) provide a nationwide licensees verification capability; and 3) provide secure access to the nationwide license information to other agencies and licensees who need to verify the information. A separate development effort was initiated to establish the nationwide license verification capability, and is called the license verification system (LVS).

**Estimated Burden Reduction:** 7,032 hours

**Collection(s) Affected:** OMB Control Numbers: 3150-0120, 3150-0017, 3150-0016, 3150-0001, 3150-0007, 3150-0010, 3150-0158, and 3150-0130

**Expected Date of Completion:** Winter 2011

**Potential Hurdles to completion:** N/A

**Status:** Project Safesource (Web-Based Licensing Safesource Phase I) was expected to be online by October 2007. The contract for this project expired before rollout occurred and NRC competed for a new acquisition to complete system development. Approval for the acquisition to complete system development was received from Chairman Jaczko in September 2009. The contract was awarded on

May 11, 2010.

**Small Business Administration**

**Status: IN PROGRESS**

**Office**

Office of Disaster Assistance (ODA)

**Initiative Title:**

Disaster Credit Management Modernization (DCMM)

**Description:**

Section 7(b) of the Small Business Act, 15 U.S.C. 636, as amended, authorizes SBA to make loans to victims of declared disasters. Homeowners, renters, and business owners are eligible to apply for assistance. The Disaster Credit Management Modernization (DCMM) initiative is accomplished through the development and implementation of the Disaster Credit Management System (DCMS). For purposes of this initiative, the affected public is disaster loan applicants. This initiative was implemented throughout FY05 and into the first quarter of FY06. DCMS provides access to data and information technology tools across the Office of Disaster Assistance and to its major stakeholders. The benefits have been significant with the paperless processing of loan applications including the electronic transfer of assignments to field inspectors and loan officers. Processing applications and loans electronically has minimized the need for physical files, which had been physically passed from person to person and department to department within a single geographic area in order to be processed. Dependency on the physical files causes delays in processing and physical files can be misplaced or lost. Electronic files have enabled system users to have access to critical key data allowing various processes to occur simultaneously, without having to wait on physical files. This concept alone enhances our ability to meet our performance goals for processing 85 percent of home loans within 14 days and 85 percent of business and Economic Injury Disaster Loans (EIDL) loans within 18 days. In addition, our customer satisfaction can be improved by eliminating burdensome and duplicative paperwork. The initiative is in on-going with development of additional enhancements to existing capabilities aimed at improving customer service and increased productivity of staff. One such enhancement is the Electronic Loan Application (ELA) which provides on-line loan application capabilities for disaster victims. ELA was released for use by the public in the fourth quarter of FY08. Further improvements have been made to the ELA during FY 2009 and are on-going through 2010. These collections improve the mechanism for the collection of data from the disaster victim through the website and support automated processing of the loan application in the DCMS environment.

<b>Estimated Burden Reduction:</b>	The actual burden hour information is still being accessed following the additional enhancements; however, the most recent formal analysis demonstrates some burden reduction of 11,280 hours.
<b>Collection(s) Affected:</b>	OMB Control Number: 3245-0017, "Disaster Business Loan Application" OMB Control Number: 3245-0018, "Disaster Home Loan Application" OMB Control Number: 3245-0084, "Disaster Home/Business Loan Inquiry Record" OMB Control Number: 3245-0136, "Disaster Survey Worksheet"
<b>Expected Date of Completion:</b>	Additional enhancements are scheduled throughout FY 2010
<b>Potential Hurdles to completion:</b>	This initiative could be challenged should there be any future catastrophic disaster events.
<b>Status:</b>	In Progress.

**Social Security Administration**Status: **COMPLETED****Office**

Social Security Administration

**Initiative Title:**

Social Security Number Verification Service (SSNVS)

**Description:**

Employers verify employee names and Social Security numbers (SSN) to ensure accurate wage reporting and tax data. Accurate wage and tax data achieve several goals: 1) They guarantee correct Internal Revenue Service (IRS) W-2 forms; 2) they enable corrections of previously inaccurate W-2 forms; 3) they allow employers to file tax returns electronically; and 4) they assist the IRS in processing employee tax information. SSNVS (a secure, rapid, Internet-based system) is an alternative option to verifying data via phone, mail, or by sending in diskettes for verification. With SSNVS, employers can receive immediate verification of up to ten name/SSN requests or can upload a file containing more names for overnight processing.

**Estimated Burden Reduction:**

Besides offering an immediate and efficient verification process, SSNVS has the added benefit of reducing the public reporting burden. SSNVS achieves this burden reduction in two areas:

- 1) Decreased use of other methods of verification; and
- 2) Decreased use of the information correction/verification request forms.

For FY 2009, SSNVS achieved a total burden savings of 71,916 hours. SSNVS resulted in a total combined burden savings of 217,261 hours for FYs 2006 through 2009.

<b>Collection(s) Affected:</b>	OMB Control Number 0960-0660 (SSNVS); OMB Control Number 0960-0508 (Forms SSA-L2765, SSA-L3365, and SSA-L4002)
<b>Date of Completion:</b>	September 2009
<b>Potential Hurdles to completion:</b>	None
<b>Status:</b>	Complete

**Social Security Administration****Status IN PROGRESS**

<b>Office</b>	Social Security Administration
<b>Initiative Title:</b>	Electronic Death Registration (EDR)
<b>Description:</b>	<p>The Social Security Act mandates that when a beneficiary dies, entitlement to benefits terminates. To ensure its beneficiary payment files are accurate, SSA contracts with the states to obtain death certificate information. This information helps the agency detect unreported or inaccurate beneficiary death data. In FY 2005, SSA implemented a streamlined process, the EDR system, to update death report data records. Using EDR, states can verify the Social Security numbers (SSN) of deceased individuals via an online interchange of data with SSA before submitting actual death reports. Because states verify SSNs before submitting actual death reports, the agency's Death Alert, Control and Update System (DACUS) can process these reports as first-party reports of death, and the system terminates benefits without the need for SSA field office input.</p>
<b>Estimated Burden Reduction:</b>	<p>EDR enables states to provide death information to SSA within 5 days of an individual's death and within 24 hours of receipt in the states' Vital Records Offices. This prompt receipt of death data allows SSA to stop benefit payments immediately. Because SSA considers EDR reports with a verified SSN as proof of death for claims purposes, EDR also eliminates the need for funeral directors to complete and submit Form SSA-721 (0960-0142).</p> <p>At the close of FY 2009, 24 states were using EDR to report death data to SSA. EDR effected a burden reduction of 16,939 additional hours in FY 2009. Over the life cycle of this burden reduction initiative, FY 2005 through FY 2009, EDR achieved a total burden reduction of 74,949 hours.</p>
<b>Collection(s) Affected:</b>	SSA-721, Statement of Death by a Funeral Director (OMB No. 0960-0142)

<b>Expected Date of Completion:</b>	We anticipate that all 50 States and three U.S. territories will use EDR by 2011, at which time this initiative will be complete.
<b>Potential Hurdles to completion:</b>	<p>When SSA first reported this initiative, we anticipated the following possible hurdles to completion:</p> <ul style="list-style-type: none"> <li>• Ability of the states to enter into agreements with Health and Human Services (HHS) (per the Intelligence Reform and Terrorist Prevention Act, HHS must give states the authority to enter into EDR agreements);</li> <li>• States' ability to absorb initial start-up and maintenance costs;</li> <li>• Security and privacy concerns;</li> <li>• Variation in individual state readiness for automation;</li> <li>• Variation in state and Federal agency data needs; and</li> <li>• Executive buy-in and commitment.</li> </ul> <p>Although these are legitimate concerns, they have not prevented many states from enrolling in EDR, and we do not anticipate they will deter the remaining states from participating.</p>
<b>Status:</b>	In progress

**Social Security Administration**Status: **IN PROGRESS****Office**

Social Security Administration

**Initiative Title:**

Electronic Records Express (ERE)

**Description:**

ERE is an SSA initiative designed to streamline the paper-based disability claims evidence submission process. ERE provides users with convenient, secure, and fast electronic records submission options for submitting disability claims-related evidence to SSA (including health, school, and other records).

ERE benefits professionals, such as medical providers (including hospitals, clinics, doctors, and health information managers), school professionals, and third parties (including attorneys and claimant representatives), all of whom may submit evidence to SSA or the State Disability Determination Services (DDS) on behalf of an SSA disability applicant. Participants can send records via the Internet, fax, or scanner/Internet for multiple patient document batches. By enabling the rapid electronic transmission of information, ERE: 1) Expedites the disability decision process time for patients; 2) decreases the amount of time it takes to reimburse service providers; and 3) saves resources for service providers.

**Total Burden Reduction:**

Currently, each paper consultative examination (CE) response takes an average of 30 minutes and each medical evidence of record (MER)

response takes an average of 15 minutes to complete. In contrast, ERE responses take only 15 minutes and 7 minutes, respectively, effectively halving the burden. With the current trends in electronic records maintenance and storage, SSA projects even more users will enroll in ERE in the coming years.

In FY 2009, ERE achieved a burden savings of 227,852 hours (105,695 hours for CEs; 122,157 hours for MER). ERE resulted in a total combined burden savings of 501,599 hours for FYs 2007 through 2009.

**Collection(s) Affected:** OMB Control Number 0960-0555, Clearance of Information Collections Conducted by State DDS on Behalf of SSA

**Expected Date of Completion:** 2011

**Potential Hurdles to completion:** Depending on the transmission method, it may take time for sources to transition from a paper-based environment to an electronic medium.

**Status:** In progress.

**Department of State****Status: IN PROGRESS**

**Office:** Bureau of Educational and Cultural Affairs (ECA/EC/PS)

**Initiative Title:** Annual Report by Sponsors of J-1 Exchange Visitor Program

**Description:** The Exchange Visitor Program Annual Report form provides a means for sponsoring organizations to report a summary of exchange visitor activity and an accounting of the number of Forms DS-2019 used. It also provides a means for the Department to maintain appropriate oversight of the Exchange Visitor Program. This report will be integrated into the electronic SEVIS system (Student and Exchange Visitor Information System). The ability to provide information electronically will reduce the administrative and financial burdens on the sponsors when submitting their annual report.

**Estimated Burden Reduction:** 500 hours

**Collection(s) Affected:** OMB Control Number 1405-0151

**Expected Date of Completion:** April 2011

**Potential Hurdles:** Revision of Form DS-3097 to meet electronic requirements and Implementation by DHS in the Student and Exchange Visitor Information System (SEVIS) II.

**Status:** In Progress

**Department of Transportation****Status: IN PROGRESS**

<b>Office:</b>	Federal Motor Carriers Safety Administration (FMCSA)
<b>Initiative Title:</b>	Electronic On-Board Recorders (EOBRs) for Hours-of-Service Compliance
<b>Description:</b>	FMCSA proposed to amend the Federal Motor Carrier Safety Regulations (FMCSRs) to incorporate new performance standards for EOBRs installed in commercial motor vehicles (CMVs) in a Notice of proposed rulemaking (NPRM). One provision of the NPRM would require certain motor carriers with severe Hour-of-Service (HOS) noncompliance records (i.e., the most chronic violators who have a demonstrated history of poor HOS compliance) to install and use EOBRs to record and manage their drivers' HOS in accordance with the regulations in the proposed Appendix C of 49 CFR Part 385. Under the proposed rulemaking, FMCSA would also provide partial relief from HOS supporting documents requirements for certain motor carriers that voluntarily use EOBRs and encourage EOBR use by motor carriers of property that have CMVs equipped with sleeper berths. DOT published an NPRM on January 18, 2007; development of the final rule is still in progress.
<b>Estimated Burden Reduction:</b>	665,000 hours
<b>Collection(s) Affected:</b>	OMB Control Number 2126-0001
<b>Expected Date of Completion:</b>	2011
<b>Potential Hurdles:</b>	Finalization of regulation.
<b>Status:</b>	In Progress.

**Department of Transportation****Status: IN PROGRESS**

<b>Office:</b>	Federal Motor Carriers Safety Administration (FMCSA)
<b>Initiative Title:</b>	Unified Registration System
<b>Description:</b>	FMCSA proposes to require motor carriers, brokers and freight forwarders to register under a new Unified Registration System (URS). The Interstate Commerce Commission Termination Act of 1995 (ICCTA) enacted 49 U.S.C. 13908 directing the Secretary of Transportation to create a single, on-line Federal system to replace commercial and financial responsibility system maintained by ICC, the safety registration systems maintained by FMCSA, and the Single State Registration System maintained by partner States. The Safe, Accountable, Flexible and Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU) imposed additional requirements for the replacement system and directed that the Unified Carrier Registration Plan board of directors separately develop the replacement system for the Single State Registration System.

<b>Estimated Burden Reduction:</b>	30,699 hours
<b>Collection(s) Affected:</b>	OMB Control Numbers: 2126-0013, 2126-0015, 2126-0016, 2126-0017, and 2126-0019
<b>Expected Date of Completion:</b>	February 2011
<b>Potential Hurdles:</b>	Unknown.
<b>Status:</b>	A notice of proposed rulemaking was published on May 19, 2005. FMCSA will publish a supplemental rulemaking to provide an opportunity for public notice and comment on the new Safe, Accountable, Flexible, Efficient Transportation Equity Act (SAFETEA-LU) impacts on the URS. Expected date of completion for this rulemaking is February 2011.

**Department of Transportation****Status: IN PROGRESS**

<b>Office:</b>	National Highway Traffic Safety Administration (NHTSA)
<b>Initiative Title:</b>	Consolidated Vehicle Identification Number (VIN) Requirements and Motor Vehicle Theft Prevention Standards
<b>Description:</b>	These standards specify physical requirements for the VIN and its installation format and content to simplify information retrieval and increase the efficiency of defect recall campaigns and identify likely high theft vehicles. In accomplishing these requirements the burden of record keeping hours are being streamlined. The reduction is estimated to be 609,397 hours. Federal Motor Vehicle Theft Prevention Standard (FMVTPS) will be extended from just high-theft vehicles to include all passenger cars and multipurpose passenger vehicles with a gross vehicle weight rating of 6,000 pounds or less, and to light duty trucks with major parts that are interchangeable with a majority of the covered major parts of multipurpose passenger vehicles that will be required to be parts marked. Additionally, the agency proposes amendments to Part 565 to revise certain section in order to extend the existing VIN system for another thirty years, and to ensure a sufficient supply of unique available VINs and manufacturer identifiers for that time period. Part 541 shows a decrease in reporting and recordkeeping hours because current estimates are based on fewer vehicles complying with the FMVTPS. Parts 565 and 567 show a decrease in hour burden from the last reporting period because of a decrease in the number of respondents/manufacturers for Part 567.
<b>Estimated Burden Reduction:</b>	609,397 hours
<b>Collection(s) Affected:</b>	OMB Control Number 2127-0510

**Expected Date of Completion:** December 2010

**Potential Hurdles:** None

**Status:** In Progress.

**Department of Treasury**

**Status: ON HOLD**

**Office:** Department of the Treasury, Internal Revenue Service (IRS), Office of Taxpayer Burden Reduction

**Initiative Title:** Office in the Home (OIH), Form 8829, Business Use of Your Home, Simplification

**Description:** Tax practitioners have identified Form 8829 as one of the most burdensome Federal tax forms or schedules that must be completed by small business taxpayers. They stated that the Form 8829 has three parts to complete and is difficult to explain to clients.

Additionally, the Small Business Administration (SBA) Office of Advocacy included OIH in the 2008 Top 10 Rules for Review and Reform. The Top 10 are drawn from over 80 rules nominated by small business owners and their representatives as part of the Regulatory Review and Reform (r3) initiative. The r3 initiative calls for the IRS to permit a standard deduction for home-based businesses, which constitute 53% of all small businesses.

In the 2008 Advocate's Report to Congress, IRS National Taxpayer Advocate questioned whether most taxpayers who are eligible to take the deduction actually do so. The Advocate urged lawmakers to offer taxpayers a simpler, optional method of calculating the home-office deduction.

To address these concerns, the TBR OIH project team proposed a simplified optional method for use by Schedule C, F, and A filers to calculate the amount of their deduction for business use of their home by using a "dollar rate per square foot," similar to the standard mileage rate for business use of automobiles. This approach would reduce the taxpayer's burden in calculating the allowable deduction.

**Estimated Burden Reduction:** Approximately 2.6 million of the 18.5 million Schedule C filers claimed an OIH deduction in tax year 2003. In 2003, the average recordkeeping, preparation time, etc., was 2.57 hours, and the total burden for Schedule C filers who claimed OIH in Tax Year 2003 equaled 6.84 million hours. The IRS recognizes that many taxpayers who may be eligible for the deduction do not claim it because of the complexity of the computation.

**Collection(s) Affected:** OMB Control Number 1545-0074

**Expected Date of Completion:** Undetermined – Treasury is crafting a legislative proposal and continues to move forward on this initiative. An estimated submission date has not been identified.

**Potential Hurdles:** After further examination of the issue, and the laws surrounding depreciation, it was decided a legislative solution may be more viable. Because the law requires the recapture of depreciation whether it is recognized or not, the exclusion of a depreciation factor in the standard deduction appeared to create a legal hurdle. If a depreciation factor was added to the standard deduction, recapturing that depreciation could only offer pennies on the dollar for those people in high-dollar areas, and it was decided this was not sound policy. These hurdles currently preclude us from pursuing an administrative solution.

**Status:** On hold.

**Department of Treasury**

**Status: IN PROGRESS**

**Office:** Internal Revenue Service (IRS), Office of Taxpayer Burden Reduction

**Initiative Title:** Employers Annual Federal Tax Program (Form 944)

**Description:** Under previous law, most employers who withhold income taxes from wages or who must pay social security or Medicare tax must use Form 941, Employer's Quarterly Federal Tax Return, to quarterly report those taxes.

Starting with Tax Year 2006, certain eligible employers can file and pay these taxes only once a year instead of every quarter using the new annual Form 944. The information reported by taxpayers and the layout of Form 944 is very similar to Form 941, the primary advantage is that it is filed once a year instead of quarterly. Small employers are defined by the law as taxpayers whose total employment tax liability is equal to \$1,000 or less. For Tax Year 2006, only employers that had received written notice from the IRS could file Form 944.

**Estimated Burden Reduction:** The IRS preliminary estimates indicate burden reductions of 700,000 hours to complete and submit the form.

**Collection(s) Affected:** OMB Control Number: 1545-2007, 1545-2010, and 1545-0029

**Expected Date of Completion:** December 2011

**Potential Hurdles:** None

**Status:** In progress.

Temporary and proposed regulations were issued on December 29,

2008, providing updated deposit and filing guidance for Form 944, *Annual Employment Tax Return Filers*, and responding to comments on earlier proposed regulations. The temporary regulations will expire on December 29, 2011, unless the proposed regulations are finalized prior to that date. To allow taxpayers to continue to be able to file annually using Form 944, the proposed regulations need to be finalized on or before December 29, 2011.

**Department of Treasury****Status: COMPLETED**

**Office:** Internal Revenue Service (IRS), Small Business Self-Employed (SB/SE), Specialty Tax, Employment Tax Policy

**Initiative Title:** Amended Form 94X

**Description:** The Office of Employment Tax Policy launched new forms that will be used to correct employment tax reporting errors. Separate forms for adjusting Forms 941, 943, 944, 945 replaced the 941c effective January 2009. This has been requested by Reporting Agents. Previously the Form 941c, *Supporting Statement to Correct Information*, was used to correct employment taxes reported on any Form 941, *Employer's Quarterly Federal Tax Return*, or Form 945, *Annual Return of Withheld Federal Income Tax*, and other similar forms. Because of the complexity of Form 941c, it is often filed incomplete or incorrectly, requiring additional contact with the taxpayer to resolve the issue.

The project team collected anecdotal information during calendar year 2009 and 2010 that indicated favorable taxpayer response. Lessons learned are being discussed and documented. When finalized, appropriate signatures will be secured and the project will be completed.

**Estimated Burden Reduction:** The IRS has not received funding to measure post-filing burden. Filing on Forms 94X is considered post-filing burden because the taxpayer is amending a previously filed return. We can, however, report that this change was requested by the reporting agent community, and has been well-received by reporting agents and employers.

**Collection(s) Affected:** OMB Control Number 1545-0256

**Date of Completion:** June 2010

**Potential Hurdles:** None

**Status:** Completed

## Appendix A. FY 2009 Significant Paperwork Reductions and Increases

The Paperwork Reduction Act of 1995 (PRA) assigns responsibility for the agency's information collection activities to the head of each agency, supported by its Chief Information Officer (CIO). Agencies are expected to develop and coordinate paperwork initiatives that will produce meaningful improvements for the public. This includes reducing the amount of paperwork required of the public.

This appendix highlights the most significant burden changes agencies made in FY 2009. To identify the source of the burden reduction or increase, the appendix is divided into sub-categories. For reductions, these exhibits of burden changes are organized as follows: cutting redundancy, using information technology, changing regulations, changing forms, and miscellaneous actions. For increases in burden, the exhibits are placed into three categories: caused by statute, changing regulations, miscellaneous actions. When legislation results in an increase in burden to achieve the benefits of the law or new program, the appendix includes the statute title and public law number when available.

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### *FY(2009) Burden Reduction from Changing Regulations*

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#### **Department of Labor**

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OMB Control Number:	1215-0149
Title:	Davis-Bacon Certified Payroll
Purpose of the Collection:	<p>The Copeland Act requires contractors and subcontractors performing work on federally financed or assisted construction contracts to furnish weekly a statement with respect to the wages paid each employee during the preceding week. See 40 U.S.C. § 3145; 29 C.F.R. § 3.3(b). U.S. Department of Labor (DOL) Regulations 29 C.F.R. § 5.5 (a)(3)(ii)(A) requires contractors to submit weekly a copy of all payrolls to the federal agency contracting for or financing the construction project, if the agency is a party to the contract, accompanied by a signed "Statement of Compliance" indicating that the payrolls are correct and complete and that each laborer or mechanic has been paid not less than the proper Davis-Bacon prevailing wage rate for the work performed. Id. at § 5.5(a)(3)(ii)(B).</p> <p>The DOL has developed optional use Form WH-347, Payroll Form, to aide contractors and subcontractors performing work on federally financed or assisted construction contracts in meeting weekly payroll reporting requirements. Id. at § 5.5(a)(3)(ii)(A); see also, id. at § 3.3(b). Properly filled out, this form will satisfy the requirements of Regulations, 29 C.F.R. Parts 3 and 5 as to payrolls submitted in connection with contracts subject to the Davis-Bacon and Related Acts.</p>

How Reduction Achieved:	The Department is removing the requirement to report an employee's complete social security number and home address, which the Department estimates will reduce the average reporting time from an average of 56 minutes per response to 55 minutes per response. Adoption of the revised rule will reduce burden by 119,934 hours.
Change in Burden:	-119,934 hours

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### Department of Transportation

OMB Control Number:	2106-0009
Title:	14 CFR Part 221- Exemption from Passenger Tariff-filing Requirements in Certain Instances and Mandatory Electronic Filing of Residual Passenger Tariffs
Purpose of the Collection:	Chapter 415 of Title 49 of the United States Code requires that every air carrier and foreign air carrier file with the Department of Transportation (DOT), publish and keep open (i.e., post) for public inspection tariffs showing all "foreign" or "international" fares, and related charges for air transportation between points served by it, and any other air carrier or foreign air carrier when through services, fares and related charges have been established; and showing, to the extent required by DOT regulations, all classifications, rules, regulations, practices, and services in connection with such air transportation. Once tariffs are filed and approved by DOT, they become a legally binding contract of carriage between carriers and users of foreign air transportation.
How Reduction Achieved:	Due to the continued issuance of exemptions by a final rule in 1999 and notices issued in 2005, 2007, and 2008, which updated the list of countries in the exempted category due to a greater number of open skies agreements, tariff-filing requirements have been substantially reduced. The effects on the burden hours cannot be determined at this time for the newest, updated list of tariff-filing exemptions. When the final rule was issued in July 1999, we estimated a total of 650,000 annual hours of burden. In 2007, the Department received about 46,000 electronic filings, with an estimated annual burden of 230,000 annual hours of burden. This reflected the fact that fewer markets were subject to filing requirements, but the reduction was tempered somewhat by higher frequency of filings in markets still subject to filing. Considering these offsetting factors, we anticipate a modest further reduction of burden in the future.
Change in Burden:	-840,000 hours

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### Department of the Treasury

OMB Control Number:	1506-0012
Title:	Designation of Exempt Person

Purpose of the Collection:	This NPRM modifies the way Banks will use the form to exempt certain customers from the requirement to report to the Treasury a customer's cash transactions exceeding \$10,000
How Reduction Achieved:	This NPRM, reduces the number of information collection items on the form that depository institutions must complete to exempt a eligible customer from CTR filings.
Change in Burden:	-242,501 hours
OMB Control Number:	1545-0099
Title:	U.S. Return of Partnership Income (Form 1065); and related Schedules
Purpose of the Collection:	IRC section 6031 requires partnerships to file returns that show gross income items, allowable deductions, partners' names, addresses, and distribution shares, and other information. This information is used to verify correct reporting of partnership items and for general statistics.
How Reduction Achieved:	Changes were made to Form 1065 and the related schedules to adhere to changes in the law. There were also changes made to the forms to simplify the understanding and/or processing of the data collected.
Change in Burden:	-9,204,178 hours

#### Social Security Administration

OMB Control Number:	0960-0696
Title:	Application for Help with Medicare Prescription Drug Plan Costs
Purpose of the Collection:	The Medicare Modernization Act of 2003 mandated the creation of the Medicare Part D prescription drug coverage program and provided for certain subsidies for eligible Medicare beneficiaries to help pay for the costs of prescription drugs. SSA uses Form SSA-1020 (and the i1020, its electronic counterpart), the Application for Extra Help with Medicare Prescription Drug Plan Costs, to collect information to make Part D subsidy eligibility determinations. In compliance with P.L. 110-275, SSA began using a new version of Form SSA-1020 in January 2010. In this new version, SSA eliminated questions about the value of life insurance policies and in-kind support and maintenance, and began asking applicants about their interest in applying for the Medicare Savings Program. This information collection request (ICR) is for the new version we will use in 2010. The respondents are Medicare beneficiaries who are applying for the Medicare Part D subsidy.
How Reduction Achieved:	Burden reduction due to 1) elimination of questions/reduction of burden due to provisions of P.L. 110-275 and 2) reduction in number of respondents (adjustment). In compliance with P.L. 110-275, SSA began using a new version of Form SSA-1020 in January 2010. In this new version, SSA eliminated questions about the value of life insurance policies and in-kind support and maintenance, and began asking applicants about their interest in applying for the

Change in Burden:	Medicare Savings Program. -938,851 hours
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***FY(2009) Burden Reduction from Cutting Redundancy***

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**Department of Homeland Security**

OMB Control Number:	1651-0001
Title:	Transportation Manifest (Cargo Declaration)
Purpose of the Collection:	Transportation Manifest (Cargo Declarations) is essential to CBP for the control of cargo and for pre-arrival targeting of shipments for enforcement examination purposes. As part of the SAFE Port Act of 2006 and to ensure national security, CBP is proposing some new manifest requirements involving transmission of data elements prior to arrival of the vessel in the U.S.
How Reduction Achieved:	Section 203 of the SAFE Port Act of 2006 requires that DHS must require electronic submission of additional data elements for improved high-risk targeting, including appropriate elements of entry data to be provided as advanced information with respect to cargo destined for importation into the U.S. prior to the loading of such cargo on vessels at foreign ports. Section 2071 of the Trade Act of 2002 requires that CBP pick up Container Status Messages from vessels laden with cargo and destined to arrive in the United States.
Change in Burden:	-2,345,204 hours

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***FY(2009) Burden Reduction from Changing Forms***

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**Department of Health and Human Services**

OMB Control Number:	0925-0001
Title:	Research and Research Training Grant Applications and Related Forms
Purpose of the Collection:	PHS 398 and 2590 are used to apply for research grants, Research Career Awards (RCA), Kirschstein-National Research Service Awards and SBIR/STTR Awards.
How Reduction Achieved:	NIH will shorten and restructure the research plan of the PHS 398 grant application, in time for applications submitted in January 2010 and beyond.
Change in Burden:	-2,769,632 hours
OMB Control Number:	0938-0685
Title:	Medicare Enrollment Application
Purpose of the Collection:	CMS is revising the CMS-855 Medicare Enrollment Applications Package (OMB No. 0938-0685) to remove the CMS-855S

	application from its collection. The ability to revise the CMS 855S separately from the other CMS 855 enrollment applications will lessen the burden on both CMS and OMB as well as the public during the <i>Federal Register</i> notice period, as only one subset of suppliers will be effected by CMS 855S revisions.
How Reduction Achieved:	The burden decreased based on the subtraction of the hours associated with the form CMS-855S.
Change in Burden:	-215,801 hours

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### ***FY(2009) Burden Reduction from Using Information Technology***

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#### **Department of Energy**

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OMB Control Number:	1910-0300
Title:	Environment, Safety and Health
Purpose of the Collection:	This package contains information collections that are used by Departmental management to exercise management oversight and control over Management and Operating (M&O) contractors of DOE's Government-Owned Contractor-Operated (GOCO) facilities, and offsite contractors. The contractor management oversight and control function concerns the ways in which DOE contractors provide goods and services for DOE organizations and activities in accordance with the terms of their contract; the applicable statutory, regulatory and mission support requirements of the Department; and regulations in the functional area covered by this package.
How Reduction Achieved:	The FY 2006 Estimated Annual Burden Hours (195,000) was reported incorrectly through an error in calculation. In addition, with the inclusion of the Lessons Learned System, the FY 2003 and FY 2006 data was generated from historic database records. The correct number that should have been reported should have been 170,370 estimated annual burden hours. Despite the discrepancy in reporting on the FY 2006 estimated annual burden hours, it did not have an impact on the estimated annual burden hours for each Collection reported, thus the package has been reduced by 125,440 burden hours. These changes are a result of the implementation of information technology to electronically collect the information. The Office of Health, Safety and Security in response to one of the President's Management Agenda items, Expanded Electronic Government, improved the design and capabilities of several systems that collect and report information. In addition, web enabling technology was implemented that permitted improved processing, tighter security, and better integration. A major Department Directive was modified that included reporting threshold changes and elimination of unnecessary approval steps. These changes and improvements significantly reduced the number

Change in Burden: of annual burden hours.  
-125,440 hours

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***FY(2009) Burden Reduction from Miscellaneous Actions***

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**Department of Commerce**

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OMB Control Number: 0651-0031  
 Title: Patent Processing (Updating)  
 Purpose of the Collection: This collection of information is required by 35 U.S.C. sec. 101 et.seq. and is administered through 37 CFR Part 1. During the pendency of a patent application or the period of enforceability of a patent, situations arise that require collection of information for the USPTO to further process the patent or application. This information can be used by the USPTO to continue the processing of the patent or application or to ensure that applicants are complying with the patent regulations.  
 How Reduction Achieved: The decrease in burden hours is due to a combination of the revised number of submissions (In total, 7 items are being removed.), a re-estimation of the time it takes to complete some of the responses, and new requirements being added into the collection.  
 Change in Burden: -261,104 hours

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**Department of Education**

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OMB Control Number: 1810-0036  
 Title: Applications for Assistance Section 8002 Impact Aid Program  
 Purpose of the Collection: A local educational agency must submit an application to the Department to receive Impact Aid payments under sections 8002 or 8003 of the Elementary and Secondary Education Act (ESEA), and a State requesting certification under section 8009 of the ESEA must submit data for the Secretary to determine whether the State has a qualified equalization plan.  
 How Reduction Achieved: 1810-0036 previously included Section 8003 Basic Support Payments now covered by a new control number. The original very high burden estimate is traced back to earlier years when over 4,000 school districts applied for both types of Impact Aid using a single form. The Impact Aid Program now uses two applications and has fewer applicants (only around 250 applicants). The burden hours reported in this collection is a realistic estimate.  
 Change in Burden: -529,711 hours

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OMB Control Number: 1845-0001  
 Title: Free Application for Federal Student Aid (FAFSA)  
 Purpose of the Collection: The Free Application for Federal Student Aid (FAFSA) collects the

How Reduction Achieved:	<p>data necessary to determine a student's eligibility for participation in the following federal student assistance programs identified in the Higher Education Act (HEA): the Federal Pell Grant Program; the Campus-Based Programs; the William D. Ford Federal Direct Loan Program; the Federal Family Education Program; the Academic Competitiveness Grant; and the National Science and Mathematics Access to Retain Talent (SMART) Grant.</p> <p>The total net FAFSA burden hours will increase by 286,400 hours. This results from an adjustment of 636,995 hours and program change decrease of 350,595.</p> <p>The adjustment results from a projected 3 percent increase in the total number of FAFSA submissions during the 2009-2010 cycle, due to the weakening national economy and a growth in the college age population in the U.S. from the previous year.</p> <p>The program change reduction results from the removal of the FAFSA4caster tool as an IC from last year's submission.</p>
Change in Burden:	-350,595 hours

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#### **Department of Homeland Security**

OMB Control Number:	1660-0008
Title:	Post Construction Elevation Certificate/Floodproofing Certificate
Purpose of the Collection:	The Elevation Certificate and Floodproofing Certificate are used in conjunction with the application for flood insurance (OMB No. 1660-0006, National Flood Insurance Program Policy Forms). The certificates are required for proper rating of post Flood Insurance Rate Map (FIRM) structures, which are buildings constructed after the publication of the FIRM, for flood insurance in Special Flood Hazard Areas. In addition, the Elevation Certificate is needed for pre-FIRM structures being rated under post-FIRM flood insurance rules. The certificates provide community officials and others standardized documents to readily record needed building elevation information. NFIP policyholders/applicants provide the appropriate certificate to insurance agents. The certificate is then used in conjunction with the insurance application so that the building can be properly rated for flood insurance.
How Reduction Achieved:	The change in burden is due to a decrease in the number of property owners choosing to purchase flood insurance from private insurers and not the National Flood Insurance Program.
Change in Burden:	-173,302 hours

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#### **Department of the Treasury**

OMB Control Number:	1545-0029
Title:	Forms 941, 941-PR, 941-SS and 941-X, Employer's Quarterly Federal Tax Return; American Samoa, Guam, the Commonwealth of the Northern Mariana Islands, and the U.S. Virgin Islands; Schedule B

Purpose of the Collection:	Form 941 is used by employers to report payments made to employees subject to income and social security/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. Schedule B is used by employers to record their employment tax liability.
How Reduction Achieved:	Pursuant to Internal Revenue Code changes (IRC sections 6011, 6205(a) 6413(a), 6302, 6402, and 6414), new Forms 941-X and 941-X(PR) were created so that taxpayers may be able to report adjustments to employment taxes. The addition of these two new forms resulted in an increase of 175,000 responses. Instead of filling out Form 941 when reporting adjustment to taxes as they do currently, taxpayers will now be able to report adjustments more accurately on a separate form dedicated to adjustments. The creation of these two forms will increase burden hours by 2,814,500. To account for forms 941-X and 941-X(PR) and to accommodate new regulations, changes were made to other information collections (ICs) under this control number. This resulted in a burden decrease by 21,668,148 hours. The net result of these changes was an overall burden reduction by 18,853,648 hours.
Change in Burden:	-18,853,648 hours

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**DOD/GSA/NASA (FAR)**

OMB Control Number:	9000-0094
Title:	Debarment and Suspension. FAR Sections Affected: 9.1; 9.4; 52.209-5; 52.212-3(h)
Purpose of the Collection:	The solicitation certification requires offerors for a requirement in excess of \$100,000 to certify whether the firm or its principals were currently suspended, debarred, proposed for debarment, indicted, or within 3 years of the offer had been convicted of any felonies or civil cases in which the United States brought the action arising from any Federal tax labor, and employment environmental, antitrust, or consumer protection laws. In addition, the offeror must advise the contracting officer prior to subcontracting with a contractor debarred, suspended, or proposed for debarment.
How Reduction Achieved:	The revised information collection requests a decrease from the approved level of 596,667 hours to 91,300 hours, based on decreased requirements in the rule under FAR Case 2001-000, Contractor Responsibility, Labor Relations Costs, and Costs Relating to Legal and Other Proceedings.
Change in Burden:	-325,048 hours

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**Federal Communications Commission**

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OMB Control Number:	3060-1115
Title:	DTV Consumer Education Initiative (73.674); FCC Form 388
Purpose of the Collection:	FCC Form 388 is for TV stations to report service losses to the Commission and consumers. Changes to the form will allow stations to report to consumers about Service Loss. The information collection requirements contained in collection 3060-1115 now applies only to stations that have not completed their full, final DTV facility.
How Reduction Achieved:	There are program changes of -239,016 to the annual burden hours which resulted from the completion of nationwide DTV transition.
Change in Burden:	-239,016 hours

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### ***FY(2009) Burden Reduction from Statutory Requirements***

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#### **Department of the Treasury**

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OMB Control Number:	1545-0074
Title:	U.S. Individual Income Tax Return
Purpose of the Collection:	These forms and schedules are used by individuals to report their income tax liability. IRS uses the data collected on these forms and their schedules to compute tax liability and determine that the items claimed are properly allowable. This information is also used for general statistical purposes.
How Reduction Achieved:	<p>Some key changes to the tax code resulted in a reduction in responses and burden. Examples include:</p> <ul style="list-style-type: none"> <li>· Expiration of Individual Tax Rebates Issued under the Economic Stimulus Act of 2008.</li> <li>· Increase in the Alternative Minimum Tax (AMT) 2008 exemption amount.</li> </ul> <p>Some key changes to the tax code also resulted in an increase in responses and burden. Examples include:</p> <ul style="list-style-type: none"> <li>· Rebate Credit Issued under the American Recovery and Reinvestment Act of 2009.</li> <li>· First-time homebuyer credit offered under the Housing and Economic Recovery Act of 2008.</li> <li>· Expansion of IRA deductions.</li> </ul> <p>While some changes to the tax code increased both annual burden and number of responses, overall tax code changes, driven in large part by the expiration of the 2008 Economic Stimulus credit, led to a 12,300,000 decrease in estimated annual responses and 96,700,000 decrease in burden hours.</p> <p>Other changes were made throughout the information collections approved under this approval number to simplify the processing and the accuracy of the data collected. For example:</p>

- Updated standard mileage rates.
- Paid preparers may be required to sign Schedule H (Form 1040).

While these, and other modifications, resulted in a decrease in the estimated number of responses by 43,829, the overall changes increased the total estimated annual burden by 15,807,372 total hours.

Finally, some modifications were made to the methodology to better reflect current taxpayer trends and filing needs. These modifications reflect a more accurate accounting of burden using today's technological advantages. The result of these modifications is a decrease of 176,700 estimated responses and a decrease in burden by 5,900,000 hours.

Change in Burden: -96,700,000 hours

Statute Title and Public Law: American Jobs Creation Act of 2004(Pub.L. 108-357)

OMB Control Number: 1545-0099

Title: U.S. Return of Partnership Income (Form 1065); and related Schedules

Purpose of the Collection: IRC section 6031 requires partnerships to file returns that show gross income items, allowable deductions, partners' names, addresses, and distribution shares, and other information. This information is used to verify correct reporting of partnership items and for general statistics.

How Reduction Achieved: Changes were made to Form 1065 and the related schedules to adhere to changes in the law. There were also changes made to the forms to simplify the understanding and/or processing of the data collected. Finally, changes were made to this ICR submission package to more accurately reflect the appropriate burden with each of the various forms and schedules.

Change in Burden: -34,246,200 hours

Statute Title and Public Law: Exclusion from Income for Payments from the Hokie Spirit Memorial Fund.(Pub.L. 110-141); Employer Wage Credit for Employees Who Are Active Duty Members of the Uniformed Services (26 USC 45P); Heroes Earnings Assistance and Relief Tax Act of 2008(Pub.L. 110-245); Indian employment credit: (f)Termination (26 USC 45A(f))

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### Environmental Protection Agency

OMB Control Number: 2025-0010

Title: Toxic Chemical Release Reporting, Alternate Threshold for Low Annual Reportable Amounts (Form A)

Purpose of the Collection: Respondents submit information concerning toxic chemical releases into the air, land and water as required by the Emergency Planning and Community Right-to-Know Act (EPCAR) section 313 and section 6607 or the Pollution Prevention Act.

How Reduction Achieved: On March 11, 2009, President Obama signed into law H.R. 1105,

the 'Omnibus Appropriations Act, 2009' (Public Law 111-8) which rescinded the December 2006 Toxic Release Inventory Burden Reduction Rule, and puts the reporting requirements with respect to the use of Form R and Form A back to what they were prior to promulgation of this rule. Accordingly, the burden for the Form A was decreased by 318,418 hours to account for the 13,675 reports no longer being filed using the Form R.

Change in Burden: -318,418 hours

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### **Social Security Administration**

OMB Control Number: 0960-0696  
 Title: Application for Help with Medicare Prescription Drug Plan Costs  
 Purpose of the Collection: The Medicare Modernization Act of 2003 mandated the creation of the Medicare Part D prescription drug coverage program and provided for certain subsidies for eligible Medicare beneficiaries to help pay for the costs of prescription drugs. SSA uses Form SSA-1020 (and the i1020, its electronic counterpart), the Application for Extra Help with Medicare Prescription Drug Plan Costs, to collect information to make Part D subsidy eligibility determinations. In compliance with P.L. 110-275, SSA began using a new version of Form SSA-1020 in January 2010. In this new version, SSA eliminated questions about the value of life insurance policies and in-kind support and maintenance, and began asking applicants about their interest in applying for the Medicare Savings Program. This information collection request (ICR) is for the new version we will use in 2010. The respondents are Medicare beneficiaries who are applying for the Medicare Part D subsidy.

How Reduction Achieved: Burden reduction due to 1) elimination of questions/reduction of burden due to provisions of P.L. 110-275 and 2) reduction in number of respondents (adjustment). In compliance with P.L. 110-275, SSA began using a new version of Form SSA-1020 in January 2010. In this new version, SSA eliminated questions about the value of life insurance policies and in-kind support and maintenance, and began asking applicants about their interest in applying for the Medicare Savings Program.

Change in Burden: -126,667 hours  
 Statute Title and Public Law: Medicare Improvements for Patients and Providers Act of 2008(Pub.L. 110-275)

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### ***FY(2009) Burden Increases from Changing Regulations***

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### **Department of Education**

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OMB Control Number: 1810-0581

Title:	State Educational Agency Local Educational Agency, and School Data Collection and Reporting under ESEA, Title I, Part A
Purpose of the Collection:	Part A (Title I) of the Elementary and Secondary Education Act of 1965 (ESEA), as amended by the No Child Left Behind Act of 2001 (NCLB) requires State educational agencies (SEAs), local educational agencies (LEAs), and schools to collect and disseminate information to document progress, inform parents and the public about school, district, and state educational performance, and provide services to students and teachers to help at-risk students meet challenging State achievement standards.
Change in Burden:	1,159,096 hours
OMB Control Number:	1845-0086
Title:	Federal Family Educational Loan Program (FFEL) Regulations Administrative Requirements-Income Based Repayment (JH)
Purpose of the Collection:	The Federal Family Educational Loan Program proposed regulations revise current regulations in areas of program administration. The proposed regulations assure the Secretary that the integrity of the program is protected from fraud and misuse of program funds. This request is for approval of reporting and recordkeeping requirements contained in the attached proposed regulations related to the administrative requirements for participating institutions of higher education when Income-based repayment is provided to a borrower consistent with the proposed changes to 34 CFR 682.215 in the FFEL Program. The information collection requirements in these proposed regulations are necessary to determine eligibility to receive program benefits and to prevent fraud and abuse of program funds.
Why Increase Occurred:	This is a new ICR resulting from new regulation requirements surrounding income-based repayment for the FFELP) program in 34 CFR 682.215.
Change in Burden:	185,777 hours
OMB Control Number:	1875-0246
Title:	Family Educational Rights and Privacy Act (FERPA) Regulatory Requirements
Purpose of the Collection:	The Family Educational Rights and Privacy Act (FERPA) requires that subject educational agencies and institutions notify parents and students of their rights under FERPA and requires that they record disclosures of personally identifiable information from education records, with certain exceptions.
Why Increase Occurred:	The hours include new and modified requirements as part of the FERPA regulations. The burden hours are based on a more accurate number of educational agencies and institutions, as reported by the Department's National Center for Education Statistics. In addition, as explained in the response to question 12, we contacted eight (8) entities subject to the information collection requirements to request informal feedback on how they comply with the recordkeeping requirements of FERPA. The additional burden

hours for that requirement is based on an estimate of the time it takes entities to comply.

Change in Burden: 1,904,665 hours

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### Department of Homeland Security

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OMB Control Number: 1615-0092  
 Title: E-Verify Program  
 Purpose of the Collection: Section 401(b) of the Illegal Immigration Reform and Immigrant Responsibility Act of 1996 (IIRIRA); Public Law. 104-208, dated September 30, 1996, provided for the establishment of a Basic Pilot Program to last 4 years. Subsequently Congress passed Public Laws 107-128, and 108-156 which extended the Basic Pilot Program until November 30, 2008. Also, as a result of Executive Order 13465 issued June 6, 2008, and a directive from the Secretary of Homeland Security, federal contractors will be required to verify their employees' eligibility to work in the United States through the E-Verify system.

The Basic Pilot Program (now called E-Verify) allows employers to electronically verify the employment eligibility status of employees by matching information provided by employees on the Form I-9, Employment Eligibility Verification, against existing information contained in the Verification Information System (VIS), a database that hits against both Social Security Administration (SSA) and the Department of Homeland Security data.

Change in Burden: 3,555,358 hours

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OMB Control Number: 1660-0108  
 Title: National Emergency Family Registry and Locator System (NEFRLS)  
 Purpose of the Collection: NEFRLS is a Web-based database enabling FEMA to provide a nationally available and recognized database allowing adults (including medical patients) that have been displaced by a Presidentially-declared disaster or emergency to voluntarily register via the Internet or a toll-free number. This database will then allow individuals to search for displaced friends and family members.

Change in Burden: 102,171 hours

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### Department of Housing and Urban Development

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OMB Control Number: 2502-0579  
 Title: Application for HUD/FHA Insured Mortgage "Hope for Homeowners"  
 Purpose of the Collection: This information is collected on new mortgages offered by FHA approved mortgagees to mortgagors who are at risk of losing their homes to foreclosure. The new FHA insured mortgages refinance the borrowers existing mortgage at a significant write-down. Under the program the mortgagors share the new equity and

Change in Burden:	future appreciation with FHA. 915,040 hours
OMB Control Number:	2502-0583
Title:	FHA-Insured Mortgage Loan Servicing for Performing Loans; MIP Processing, Escrow Administration, Customer Service, Servicing Fees and 235 Loans
Purpose of the Collection:	This information collection involves mortgage loan servicers, "mortgagees" that service Federal Housing Administration "FHA" insured mortgage loans and the home owners, "mortgagors" who are involved with those activities. The information collection request for OMB review seeks to combine the requirements of an existing OMB collection under this collection.
Change in Burden:	1,500,234 hours

### Department of Labor

OMB Control Number:	1205-0466
Title:	Foreign Labor Certification Instruments
Purpose of the Collection:	The application forms and other information requirements are necessary to the collection of information from U.S. employers wishing to hire foreign workers for temporary and permanent employment under the H-2A, H-2B, H-1b (including H-1B1 and E3), H-1C, and PERM programs. The information collected is used by the Secretary of Labor to make the necessary certification in compliance with the Immigration and Nationality Act as amended. The new collection is needed because two new rules have significantly changed the method of obtaining the certifications from the Secretary and the current collection instruments, some of which are over 30 years old, do not suffice.
Change in Burden:	513,010 hours
OMB Control Number:	1215-0181
Title:	29 C.F.R. Part 825, The Family and Medical Leave Act of 1993
Purpose of the Collection:	The DOL created the subject information collections (i.e., notifications) to implement statutory notice and certification provisions and to assist employees and employers in meeting their FMLA third-party notification obligations as required by The Family and Medical Leave Act of 1993 (FMLA) and by the amendments to FMLA contained in National Defense Authorization Act for FY 2008 (NDAA). The subject recordkeeping requirements are necessary in order for the DOL to carry out its statutory obligation under FMLA section 106 to investigate and ensure employer compliance.
Why Increase Occurred:	Discretionary changes were made to the regulations -- adding and deleting specific notification requirements -- that resulted in an increase of 7,020,126 hours.
Change in Burden:	7,020,126 hours

### Department of Transportation

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OMB Control Number: 2126-0003  
 Title: Inspection, Repair and Maintenance  
 Purpose of the Collection: These information collection requirements are minimal and are used to ensure that motor carriers have adequate documentation of the systematic inspection, repair and maintenance programs required by 49 CFR part 393. This revision is due to a Final Rule entitled, 'Requirements for Intermodal Equipment Providers and Motor Carriers and Drivers Operating Intermodal Equipment.'

Change in Burden: 121,250 hours

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OMB Control Number: 2126-0006  
 Title: Medical Qualification Requirements  
 Purpose of the Collection: Commercial motor vehicle drivers who are subject to the Federal Motor Carrier Safety Regulations must meet certain medical requirements. This revision is due to a Final Rule entitled, 'Medical Certification Requirements as Part of the CDL,' which would require CDL drivers to provide the State with an original copy of any Federal waiver, exemption or certificate granted.

Change in Burden: 141,167 hours

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#### **Environmental Protection Agency**

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OMB Control Number: 2040-0004  
 Title: National Pollutant Discharge Elimination System (NPDES) Program  
 Purpose of the Collection: This collection is for applications, special plans and studies, monitoring, reporting, recordkeeping, compliance and enforcement and program Authorizations for the base NPDES program (including municipal facilities, non-municipal facilities, biosolids facilities, combined sewer systems, stormwater permittees and vessel permittees).

Change in Burden: 17,284,885 hours

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OMB Control Number: 2060-0620  
 Title: NESHAP for Source Categories: Gasoline Distribution Bulk Terminals, Bulk Plants, and Pipeline Facilities; and Gasoline Dispensing Facilities  
 Purpose of the Collection: Provides information and recordkeeping to ensure compliance with National Emission Standards for Hazardous Air Pollutants Regulations for owners or operators of new or existing gasoline distribution facilities under Clean Air Section 112. The information which will be collected for this NESHAP is required to determine whether all sources subject to this NESHAP are achieving the standards.

Change in Burden: 129,723 hours

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OMB Control Number: 2060-0626  
 Title: Revisions to the Emissions Monitoring Rule under the Acid Rain Program, NOx Budget Trading Program, and Clean Air Interstate

Purpose of the Collection:	Programs Title IV of the Clean Air Act Amendments of 1990 (the acid rain title) established goals to reduce annual emissions of sulfur dioxide (SO <sub>2</sub> ) and nitrogen oxides (NO <sub>x</sub> ) and place a national cap on SO <sub>2</sub> emissions beginning in the year 2000. To ensure compliance and to provide the national consistency, Title IV require the designated representative of each affected acid rain source to obtain an operating permit for the affected source and to certify that an approved emissions monitoring system has been installed and is properly operated at each affected unit's source of emissions. In addition, under a Federal NO <sub>x</sub> Budget Trading Program, sources also must meet similar requirements as part of an emissions trading program.
Change in Burden:	124,976 hours
OMB Control Number:	2070-0155
Title:	TSCA Section 402 and Section 404 Training and Certification, Accreditation and Standards for Lead-Based Paint Activities
Purpose of the Collection:	This collection provides information and recordkeeping to ensure compliance with regulations that require that individuals conducting activities that prevent, detect and eliminate hazards associated with lead-based paint in residential and child-occupied facilities are properly trained and certified.
Change in Burden:	1,382,434 hours

#### **Federal Communications Commission**

OMB Control Number:	3060-0816
Title:	Local Telephone Competition and Broadband Reporting
Purpose of the Collection:	FCC Form 477 seeks to gather information on the development of local competition and deployment of broadband service, or advanced telecommunications services. The data are necessary to evaluate the status of developing competition in local exchange telecommunications markets and to evaluate the status of broadband deployment. The information is used by Commission staff to advise the Commission about the efficacy of Commission rules and policies adopted to implement the Telecommunications Act of 1996.
Change in Burden:	956,340 hours

#### **Federal Deposit Insurance Corporation**

OMB Control Number:	3064-0166
Title:	Temporary Liquidity Guarantee Program
Purpose of the Collection:	This interim final rule, a follow-up to the recent systemic risk determination by the Secretary of the Treasury (after consultation with the President), establishes a Temporary Liquidity Guarantee Program pursuant to which the FDIC will guarantee payment of

	certain newly-issued senior unsecured debt (Debt Guarantee Component) and certain non-interest bearing transaction accounts (Deposit Guarantee Component).
Change in Burden:	2,199,100 hours

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### Federal Energy Regulatory Commission

OMB Control Number:	1902-0174
Title:	Standards for Business Practices of Interstate Natural Gas Pipelines
Purpose of the Collection:	In the Federal Energy Regulatory Commission (FERC) amends its regulations governing standards for business practices and electronic communications with interstate natural gas pipelines. The FERC is incorporating by reference certain standards promulgated by the Wholesale Gas Quadrant (WGQ) that would upgrade the Commission's current business practice and communications standards to the latest version 1.8 as approved by the North American Energy Standards Board (NAESB) Wholesale Gas Quadrant (WGQ) group. The implementation of these standards is necessary to increase the efficiency of the natural gas pipeline grid, make pipelines' electronic communications more secure, and is consistent with the mandate agencies have to provide for electronic disclosure of information. Requiring such information ensures both a common means of communication and common business practices in order to provide participants engaged in transactions with interstate pipelines the ability to have timely information and also ensure uniform business procedures across multiple pipelines. The new set of standards are for Internet Electronic Transport as applicable to the retail gas and electric markets as well as the wholesale gas market; changes to the Electronic Delivery Mechanism Related Standards, an additional standard related to reporting on gas quality, and maintenance changes to the Nomination Related Standards and Flowing Gas Related Standards. The standards update and refine the standards adopted by the Commission in its Order No. 587-S. Compliance with these standards will require certain changes in interstate pipeline day-to-day business operations.
Change in Burden:	148,806 hours

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### Nuclear Regulatory Commission

OMB Control Number:	3150-0002
Title:	10 CFR 73, Physical Protection of Plants and Materials
Purpose of the Collection:	10 CFR Parts 50, 52, 72, and 73, Power Reactor Security Requirements, Final Rule The Nuclear Regulatory Commission (NRC) is amending its security regulations and adding new security requirements pertaining to

nuclear power reactors. This rulemaking establishes and updates generically applicable security requirements similar to those previously imposed by Commission orders issued after the terrorist attacks of September 11, 2001. Additionally, this rulemaking adds several new requirements not derived directly from the security order requirements but developed as a result of insights gained from implementation of the security orders, review of site security plans, implementation of the enhanced baseline inspection program, and NRC evaluation of force-on-force exercises. This rulemaking also updates the NRC's security regulatory framework for the licensing of new nuclear power plants. Finally, it resolves three petitions for rulemaking (PRM) that were considered during the development of the final rule.

Change in Burden: 421,709 hours

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### Securities and Exchange Commission

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OMB Control Number: 3235-0063  
 Title: Exchange Act Form 10-K  
 Purpose of the Collection: Form 10-K is filed by issuers of securities to satisfy their annual report obligations pursuant to Sections 13 and 15(d) of the Exchange Act.

Change in Burden: 4,038,517 hours

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OMB Control Number: 3235-0642  
 Title: Mutual Fund Interactive Data  
 Purpose of the Collection: New rules require mutual funds to submit interactive data with any registration statement or post-effective amendment on Form N-1A that includes or amends risk/return summary information submitted under the Securities Act of 1933 (15 U.S.C. 77a et seq.) and the Investment Company Act of 1940 (15 U.S.C. 80a-1 et seq.). Rules also require mutual funds to submit interactive data with form of prospectus filed pursuant to rule 497(c) or (e) under the Securities Act of 1933.

Change in Burden: 120,444 hours

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OMB Control Number: 3235-0645  
 Title: Interactive Data  
 Purpose of the Collection: The adopted amendments will require issuers to submit specified financial information to the Commission and post it on their corporate Web sites, if any, in interactive data format using eXtensible Business Reporting Language (XBRL). The specified financial information already is and will continue to be required to be submitted to the Commission in traditional format under existing requirements. Some of such information is permitted to be submitted to the Commission in interactive data format under the voluntary program but the amendments will eliminate the ability to do so. The purpose of the amendments is to make financial information easier for investors to analyze and assist issuers in

Change in Burden:	automating regulatory filings and business information processing. 930,648 hours
OMB Control Number:	3235-0646
Title:	Form SH
Purpose of the Collection:	Form SH must be filed by any institutional investment managers subject to existing Form 13F on the first business day of each week in which the institutional investment manager has entered into any new short positions or closed part or all of any short positions with respect to any Section 13(f) securities except for options.
Change in Burden:	652,440 hours
OMB Control Number:	3235-0647
Title:	Temporary Rule 204T
Purpose of the Collection:	Temporary Rule 204T is intended to substantially restrict the practice of "naked" short selling in all equity securities by strengthening the delivery requirements for such securities. The information collected will assist the Commission and self-regulatory organizations in monitoring whether or not participants of a registered clearing agency, and the broker-dealers from which they receive trades for clearance and settlement, are complying with the close-out and borrowing requirements of the temporary rule.
Change in Burden:	2,122,280 hours

### ***FY(2009) Burden Increases from Miscellaneous Actions***

#### **Department of Commerce**

OMB Control Number:	0607-0444
Title:	2008 Company Organization Survey
Purpose of the Collection:	The Census Bureau conducts the annual Company Organization Survey (COS) in order to update and maintain a central, multi-purpose Business Register (BR). In particular, the COS supplies critical information on the composition, organizational structure, and operating characteristics of multi-establishment companies. The BR provides sampling populations and enumeration lists for the Census Bureau's economic surveys and censuses as well as providing the basis for the annual County Business Patterns (CBP) statistical series.
Change in Burden:	100,934 hours
OMB Control Number:	0607-0449
Title:	2008 Annual Survey of Manufactures
Purpose of the Collection:	The Census Bureau has conducted the Annual Survey of Manufactures (ASM) since 1949 to provide key measures of manufacturing activity during intercensal periods. The ASM furnishes up-to-date estimates of employment and payrolls, hours and wages of production workers, value added by manufacture, cost of materials, value of shipments by product class, inventories, and

	expenditures for both plant and equipment and structures. The survey also provides valuable information to private companies, research organizations, and trade associations.
Change in Burden:	177,400 hours
OMB Control Number:	0607-0919
Title:	2010 Census
Purpose of the Collection:	The census is an official count on the population of the United States. The United States Constitution (Article I, Section 2) requires that a census be conducted every 10 years to apportion the seats in the U.S. House of Representatives among the states. The Census Bureau is legally required to provide redistricting data to public officials in a non-partisan manner no later than one year from Census Day (2010 Census redistricting data are due by April 2, 2011.) It is crucial that the 2010 Census count people once, only once, in the right place.
Change in Burden:	23,941,225 hours
OMB Control Number:	0607-0946
Title:	2010 Census Coverage Follow-up Telephone Operation
Purpose of the Collection:	In support of the Census Bureau's goals, the 2010 Coverage Follow-up (CFU) Telephone Operation will serve to clarify initial enumeration responses in an effort to improve within household coverage by identifying erroneous enumerations and omissions. The CFU Telephone Operation, which will be conducted April 26, 2010 through August 13, 2010, will be administered through computer assisted telephone interviews (CATI). Approximately 8.01 million households will be included in the 2010 CFU telephone universe. When anyone is identified as potentially counted or omitted in error, we then ask questions to establish the appropriate census residence of that person according to the residence rules in effect for the 2010 Census.
Change in Burden:	1,335,000 hours
OMB Control Number:	0660-0031
Title:	BTOP-Broadband Infrastructure, Public Computer Center, and Sustainable Adoption Applications Requirements
Purpose of the Collection:	In the American Recovery and Reinvestment Act of 2009, Congress appropriates funds for the Broadband Technology Opportunities Program ("BTOP"), which includes competitive grants to (1) expand public computer centers capacity projects to unserved/underserved populations to include the benefits of broadband access; and (2) increase home adoption of broadband service.
Change in Burden:	439,866 hours

### Department of Defense

OMB Control Number:	0710-0003
Title:	Application for a Department of Army Permit

Purpose of the Collection:	Information collection is used to evaluate proposed activities in waters of the U.S. as required by Federal Law to determine if issuance of a permit is in the public interest. Respondents: landowners, businesses, organizations, government agencies
Change in Burden:	122,700 hours

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### Department of Education

OMB Control Number:	1820-0624
Title:	IDEA Part B State Performance Plan (S PP) and Annual Performance Report (APR)
Purpose of the Collection:	In accordance with 20 U.S.C. 1416(b)(1), not later than 1 year after the date of enactment of the Individuals with Disabilities Education Act (IDEA), each State must have in place a performance plan that evaluates the State's efforts to implement the requirements and purposes of Part B and describe how the State will improve such implementation, the Part B State Performance Plan (Part B-SPP). In accordance with 20 U.S.C. 1416(b)(2)(C)(ii) the State shall report annually to the public on the performance of each local educational agency located in the State on the targets in the State's performance plan. The State also shall report annually to the Secretary on the performance of the State under the State's performance plan.
Change in Burden:	322,500 hours

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### Department of Health and Human Services

OMB Control Number:	0910-0393
Title:	Prescription Drug Product Labeling; Medication Guide Requirements
Purpose of the Collection:	FDA regulations require the distribution of patient labeling, called Medication Guides, for certain prescription human drugs and biological products used primarily on an outpatient basis that pose a serious and significant public health concern requiring distribution of FDA-approved patient medication information. These Medication Guides inform patients about the most important information they should know about these products in order to use them safely and effectively.
Change in Burden:	2,148,750 hours
OMB Control Number:	0910-0642
Title:	Labeling of Dietary Supplements as Required by the Dietary Supplement and Nonprescription Drug Consumer Protection Act
Purpose of the Collection:	The Dietary Supplement and Nonprescription Drug Consumer Protection Act (DSNDCPA) (Public Law 109-462, 120 Stat. 3469) amends the Federal Food, Drug, and Cosmetic Act (the Act) with respect to serious adverse event reporting for dietary supplements and nonprescription drugs marketed without an approved application. The law also amended the Act to add section 403(y) (21 U.S.C. 343(y)), which requires the label of a dietary supplement

	marketed in the United States to include a domestic address or domestic telephone number through which the product's manufacturer, packer or distributor may receive a report of a serious adverse event associated with the dietary supplement.
Change in Burden:	222,400 hours
OMB Control Number:	0920-0666
Title:	The National Healthcare Safety Network (NHSN)
Purpose of the Collection:	The NHSN is a knowledge system for accumulating, exchanging and integrating relevant information and resources among private and public stakeholders to support local and national efforts to protect patients and healthcare personnel by promoting healthcare safety. Specifically, the data will be used to determine the magnitude of various healthcare-associated adverse events and trends in the rates of these events among patients and healthcare personnel with similar risks or exposures.
Change in Burden:	3,866,529 hours
OMB Control Number:	0938-0391
Title:	Statement of Deficiencies and Plan of Correction (CMS-2567)
Purpose of the Collection:	This Paperwork package provides information regarding the form used by the Medicare, Medicaid, and the Clinical Laboratory Improvement Amendments (CLIA) programs to document a health care facility's compliance or noncompliance (deficiencies) with regard to the Medicare/Medicaid Conditions of Participation and Coverage, the requirements for participation for Skilled Nursing Facilities and Nursing Facilities, and for certification under CLIA.
Change in Burden:	120,000 hours
OMB Control Number:	0938-0610
Title:	Advanced Directives (Medicare and Medicaid) - BDP-718
Purpose of the Collection:	Certain Medicare and Medicaid organizations are responsible for collecting and documenting in a prominent place in medical records whether an individual has executed an advanced directive. This document indicates the individual's preference if he/she is incapacitated.
Change in Burden:	254,807 hours
OMB Control Number:	0938-0753
Title:	Medicare Advantage Program Requirements Referenced in 42 CFR Part 422
Purpose of the Collection:	This ICR collects information from Medicare Advantage plans and potential MA plans (applicants) to comply with the application requirements and contract provisions set forth in 42 CFR 422.
Change in Burden:	850,616 hours
OMB Control Number:	0938-0977
Title:	Retiree Drug Subsidy Payment Request Instructions
Purpose of the Collection:	Under the Medicare Prescription Drug, Improvement, and Modernization Act of 2003 and implementing regulations, Plan Sponsors (e.g., employers or unions) that offer prescription drug coverage to their qualifying covered retirees are eligible to receive a

	28% tax-free subsidy for allowable drug costs. In order to receive the subsidy, a Plan Sponsor must submit required prescription drug cost data and certain other data to CMS.
Change in Burden:	457,500 hours
OMB Control Number:	0938-1054
Title:	Part C Medicare Advantage Reporting Requirements and Supporting Regulations in 42 CFR 422.516 (a)
Purpose of the Collection:	Medicare Advantage (MA) organizations must have an effective procedure to develop, compile, evaluate, and report to CMS, to its enrollees, and to the general public, at the times and in the manner that CMS requires, and while safeguarding the confidentiality of the doctor-patient relationship, statistics and other information with respect to the following: (1) The cost of its operations. (2) The patterns of utilization of its services. (3) The availability, accessibility, and acceptability of its services. (4) To the extent practical, developments in the health status of its enrollees. (5) Other matters that CMS may require.
Change in Burden:	264,871 hours
OMB Control Number:	0938-1056
Title:	Medicare Enrollment Application (Form 855S)
Purpose of the Collection:	The primary function of the CMS 855S DMEPOS supplier enrollment application is to gather information from a supplier that tells us who it is, whether it meets certain qualifications to be a health care supplier, where it renders its services or supplies, the identity of the owners of the enrolling entity, and information necessary to establish the correct claims payment. The goal of evaluating and revising the CMS 855S DMEPOS supplier enrollment application is to simplify and clarify the information collection without jeopardizing our need to collect specific information.
Change in Burden:	331,620 hours
OMB Control Number:	0938-1066
Title:	CAHPS Home Health Care Survey
Purpose of the Collection:	The Consumer Assessment of Healthcare Providers and Systems (CAHPS) Home Health Care Survey is a standardized survey for home health patients to assess their home health care providers and the quality of the home health care they receive.
Change in Burden:	541,200 hours
OMB Control Number:	0990-0344
Title:	HAvBed Assessment for 2009-H1N1 Influenza Serious Illness
Purpose of the Collection:	As part of the National Framework for 2009-H1N1 Influenza Preparedness and Response, Surveillance pillar, HHS is using this assessment to enhance domestic surveillance and clinical data sharing.
Change in Burden:	652,120 hours

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**Department of Homeland Security**


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OMB Control Number: 1601-0007  
 Title: Quadrennial Homeland Security Report  
 Purpose of the Collection: The Implementing Recommendations of the 9/11 Commission Act of 2007 mandated the QHSR and included the following consultation requirement: "The Secretary shall conduct each quadrennial homeland security review under this subsection in consultation with--(A) the heads of other Federal agencies, including the Attorney General, the Secretary of State, the Secretary of Defense, the Secretary of Health and Human Services, the Secretary of the Treasury, the Secretary of Agriculture, and the Director of National Intelligence; (B) key officials of the Department; and (C) other relevant governmental and nongovernmental entities, including State, local, and tribal government officials, members of Congress, private sector representatives, academics, and other policy experts."The homeland security community is so vast that physically convening representative and inclusive study groups that are also able to work efficiently and effectively is virtually impossible. Therefore, DHS will fulfill QHSR consultation requirements through a number of mechanisms, including collaborative web-based engagement tools. In doing so, DHS intends to create a true national dialogue on homeland security. A national dialogue platform will be created and hosted to engage homeland security stakeholders around the compelling questions, ideas, or concepts that emerge through the QHSR process. The dialogue platform is based on the principle of radical scalability: The more feedback that is received, the more clearly sorted participants' preferences and priorities become. In a national dialogue, users can submit their best ideas, refine them in open discussion, and use simple rating and tagging features to identify the most popular ideas and important overarching themes. The platform can host multiple simultaneous dialogues, and dynamically pose new questions, so that DHS can repeatedly "pulse" participants over a three-month timeframe. Ideas, comments, or position papers will also be solicited at the outset of the review and accepted via electronic means. All submitted position papers will inform the QHSR Study Groups as they initiate their analyses. All homeland security stakeholders are eligible and are invited to provide input. A letter from Secretary Napolitano will be sent to each stakeholder association inviting their input.

Change in Burden: 400,000 hours

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OMB Control Number: 1601-0010  
 Title: Quadrennial Homeland Security Report  
 Purpose of the Collection: The Secretary shall conduct each quadrennial homeland security review under this subsection in consultation with--(A) the heads of other Federal agencies, including the Attorney General, the

	Secretary of State, the Secretary of Defense, the Secretary of Health and Human Services, the Secretary of the Treasury, the Secretary of Agriculture, and the Director of National Intelligence; (B) key officials of the Department; and (C) other relevant governmental and nongovernmental entities, including State, local, and tribal government officials, members of Congress, private sector representatives, academics, and other policy experts.
Change in Burden:	400,000 hours
OMB Control Number:	1615-0105
Title:	Notice of Entry of Appearance as Attorney or Accredited Representative; Notice of Entry of Appearance of Foreign Attorney
Purpose of the Collection:	The data collected on Forms G-28 and G-28I are used by DHS to determine eligibility of the individual to appear as a representative. Form G-28 is used by attorneys admitted to practice in the United States and accredited representatives of charitable organizations recognized by the Board of Immigration Appeals. Form G-28I is used by attorneys admitted to the practice of law in countries other than the United States and only with matters filed in DHS offices outside the geographical confines of the United States.
Change in Burden:	825,507 hours
OMB Control Number:	1652-0003
Title:	Aircraft Operator Security, 49 CFR Part 1544
Purpose of the Collection:	49 CFR part 1544, formerly FAR part 108, requires air carriers to maintain, update, and comply with TSA-approved comprehensive security programs to ensure the safety of persons and property traveling on their flights. These programs are subject to TSA inspection.
Change in Burden:	288,930 hours
OMB Control Number:	1652-0021
Title:	Flight Training for Aliens and Other Designated Individuals; Security Awareness Training for Flight School Employees
Purpose of the Collection:	TSA requires Federal Aviation Administration (FAA)-endorsed flight schools to notify TSA when aliens or other individuals designated by TSA apply for flight training, and to provide certain identifying and training information to TSA when for aliens and other individuals designated by TSA who apply for recurrent training. TSA also has established standards relating to the security threat assessments TSA will conduct to determine whether such individuals are a threat to aviation or national security, and thus prohibited from receiving flight training.
Change in Burden:	165,750 hours
OMB Control Number:	1652-0030
Title:	TSA Customer Comment Card
Purpose of the Collection:	The Transportation Security Administration (TSA) is seeking renewal of the TSA Customer Comment Card information collection. The card is being used at airports for customer complaints, compliments, and suggestions.

Change in Burden:	1,245,420 hours
OMB Control Number:	1652-0046
Title:	Secure Flight
Purpose of the Collection:	The Transportation Security Administration is proposing to collect information from covered U.S. aircraft operators and foreign air carriers in order to begin implementation of the Secure Flight Program. The collection would cover passenger reservation data for covered domestic and international flights. The collection would also cover the collection from covered aircraft operators of certain identifying information for non-traveling individuals that the aircraft operators seek to authorize to enter a sterile area, i.e. to escort a minor or a passenger with disabilities or for another approved purpose.
Change in Burden:	438,889 hours
OMB Control Number:	1652-0051
Title:	Rail Transportation Security
Purpose of the Collection:	TSA will collect rail security coordinator information (RSC) and reports of significant security concerns from freight and passenger railroad carriers, rail transit systems, and rail hazardous materials shipper and receiver facilities, which TSA will use to provide entities with timely notification of vital security information. TSA will require the reporting of significant security concerns, which will increase the agency's domain awareness in the rail mode. TSA will also require that these entities document and maintain records of the secure exchange of custody of rail cars carrying the categories and quantities of hazardous materials outlined in 49 CFR 1580.100(b).
Change in Burden:	288,945 hours
OMB Control Number:	1652-0052
Title:	Certified Cargo Screening Pilot Program
Purpose of the Collection:	This information request (IC) will allow TSA to collect two broad categories of information from entities that wish to become Certified Cargo Screening Facilities (CCSF: (1) Personal information to allow TSA to conduct security threat assessments on key individuals employed by the CCSF's; and (2) data demonstrating air cargo throughput and other information from which TSA can determine the effectiveness of the CCSF's performance. Under this pilot, CCSFs must also maintain screening and other security-related training records.
Change in Burden:	113,103 hours
OMB Control Number:	1652-0053
Title:	Certified Cargo Screening Program
Purpose of the Collection:	This is the information collection request associate with the Interim Final Rule for the TSA Air Cargo Certificate Program that increases security standards for air cargo in the United States. The 911 Commission Act of 2007 is the law requiring 100% of U.S. air cargo to be fully screened by August 2010.
Change in Burden:	718,255 hours

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OMB Control Number:	1660-0061
Title:	Federal Assistance to Individuals and Households Program (IHP)
Purpose of the Collection:	The IHP allows applicants to request approval of late application request continued assistance, and appeal program decisions. It also allows States and FEMA partnerships for disaster assistance delivery via agreements and plans.
Change in Burden:	471,087 hours

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### Department of Housing and Urban Development

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OMB Control Number:	2502-0265
Title:	Real Estate Settlement Procedures Act (RESPA) Disclosures
Purpose of the Collection:	The Real Estate Settlement Procedures Act of 1974, (RESPA), 12 U.S.C. 2601 et.seq., and the implementing Regulation X, codified at 24 CFR 3500, require settlement providers to give homebuyers certain disclosure information at and before settlement, and pursuant to the servicing of the loan and escrow account. This includes a Special Information Booklet, a Good Faith Estimate, an Initial Servicing Disclosure, the Form HUD-1 or Form HUD-1A, and when applicable an Initial Escrow Account Statement, an Annual Escrow Account Statement, an Escrow Account Disbursement Disclosure, or Affiliated documents.
Change in Burden:	5,612,500 hours

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OMB Control Number:	2502-0429
Title:	Single Family Application for Insurance Benefits
Purpose of the Collection:	This information collection is used to provide HUD the information needed to process and pay claims on defaulted FHA-insured home mortgage loans.
Change in Burden:	353,718 hours

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OMB Control Number:	2502-0581
Title:	Supplement to Application for Federally Assisted Housing
Purpose of the Collection:	Section 644 of the Housing and Community Development Act of 1992 (42 U.S.C. 13604) imposed on HUD the obligation to require housing providers participating in HUD's assisted housing programs to provide any individual or family applying for occupancy in HUD-assisted housing with the option to include in the application for occupancy the name, address, telephone number, and other relevant information of a family member, friend, or person associated with a social, health, advocacy, or similar organization. The objective of providing such information, if this information is provided, and if the applicant becomes a tenant, is to facilitate contact by the housing provider with the person or organization identified by the tenant, to assist in providing any the delivery of services or special care to the tenant and assist with resolving any tenancy issues arising during the tenancy of such tenant. This supplemental application information is to be maintained by the housing provider and maintained as confidential information.

Change in Burden:	138,177 hours
OMB Control Number:	2502-0584
Title:	FHA-Insured Mortgage Loan Servicing of Delinquent, Default and Foreclosure with Service Members Act
Purpose of the Collection:	This information collection involves mortgage loan servicers, "mortgagees" that service Federal Housing Administration "FHA" insured mortgage loans and the home owners, "mortgagors" who are involved with those activities. The new information request for OMB review seeks to combine a couple of existing OMB collections under one comprehensive collection for mortgagees that service FHA-insured mortgage loans and the mortgagors who are the home owners.
Change in Burden:	5,456,245 hours
OMB Control Number:	2506-0112
Title:	Continuum of Care Homeless Assistance Grant Application
Purpose of the Collection:	Pre-established communities, called Continuums of Care (CoC), will complete the Exhibit 1 of the Continuum of Care Homeless Assistance application which collects data about the CoC's strategic planning activities, performance, homeless populations, and data collection methods. This information will be scored using the rating factors listed in the NOFA to determine CoC rank and level of new and renewal funding. State and local governments, public housing authorities and nonprofit organizations will concurrently submit project proposals electronically. The information will be used for grantee selection and monitoring the administration of funds. Response to this request for information is required in order to receive the benefits to be derived.
Change in Burden:	184,812 hours
OMB Control Number:	2506-0184
Title:	Community development Block Grant Recovery (CDBG-R) Program
Purpose of the Collection:	In response to Title XII of the "American Recovery and Reinvestment Act of 2009," HUD is collecting information from eligible grantees (States, metropolitan cities, urban counties, non-entitlement counties in Hawaii, and Insular Areas) to ensure that program requirements are satisfied prior to grant agreement and release of funds regarding the distribution and administration of funds and that the reporting requirements mandated by the Recovery Act are met. The information collected will also ensure that grant recipients are following their citizen participation and public comment requirements.
Change in Burden:	225,666 hours
OMB Control Number:	2506-0186
Title:	Homelessness Prevention and Rapid Re-Housing Program (HPRP) Quarterly Performance Report and Supplement to First Report
Purpose of the Collection:	This emergency request addresses the data collection requirements of the Quarterly Performance Reports for the Homelessness Prevention and Rapid Re-Housing Program. It also includes a special

	request for a supplement to the initial Quarterly Report. A separate Request for Data Collection will be submitted at a later date for the HPRP Annual Performance Report.
Change in Burden:	113,652 hours
OMB Control Number:	2577-0169
Title:	Housing Choice Voucher Program
Purpose of the Collection:	Public Housing Authorities' (PHA) application for funding to assist very low-income families to lease or purchase housing. PHAs maintain records on participant eligibility, until acceptability, lease and/or housing assistance payments, and budget and payment documentation.
Change in Burden:	153,145 hours
OMB Control Number:	2577-0258
Title:	Disaster Housing Assistance Program-Ike (DHAP-Ike)
Purpose of the Collection:	In August and September 2008, Hurricanes Ike and Gustav struck the United States causing catastrophic damage. On September 23, 2008, HUD and FEMA executed an Interagency Agreement under which HUD shall act as the servicing agency of DHAP-Ike. The paperwork involved in this action involves all activities related to DHAP-Ike from execution of the grant agreement to case management
Change in Burden:	1,042,800 hours
OMB Control Number:	2577-0261
Title:	American Recovery and Reinvestment Act Capital Fund Recovery Competition Grants
Purpose of the Collection:	This information collection is under the authority of Title XII of the American Recovery and Investment Act of 2009 ("the Recovery Act"). Under the Recovery Act, HUD was allocated \$1 billion of additional Capital Funds to be made available to PHAs by competition for priority investments, including investments that leverage private sector funding or financing for renovations and energy conservation retrofit investments.
Change in Burden:	956,333 hours

### Department of the Interior

OMB Control Number:	1018-0140
Title:	Hunting and Fishing Application Forms and Activity Reports for National Wildlife Refuges, 50 CFR 25.41, 25.43, 25.51, 26.32, 26.33, 27.42, 30.11, 31.15, 32.1 to 32.72
Purpose of the Collection:	We collect information on hunters and anglers and their success in order to administer and evaluate hunting and fishing programs. Because of high demand and limited resources, we often provide hunt opportunities by lottery, based on dates, locations, or type of hunt. We collect information on the prospective hunter (name, address, contact information), on the preferred dates and locations, and on the type of hunt. We also collect information at the end of

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Change in Burden:	hunting and/or fishing experiences to help determine resource impacts and quality of experience. 272,500 hours
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### Department of Labor

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OMB Control Number:	1205-0469
Title:	Workforce Investment Streamlined Performance Reporting (WISPR) System
Purpose of the Collection:	The WISPR System replaces the reporting and recordkeeping requirements of 7 Employment and Training programs: ES, VETS, WIA Title IB Adult, Dislocated Worker, and Youth, and TAA, and NEG's. It replaces the following three OMB-approved information collections: 1205-0240, 1205-0420, and 1205-0392, which will be discontinued when the WISPR system is implemented July 2008. The goal is to ensure that the workforce system is clearly focused on results, which will help ensure that the system's jobseeker and employer customers are effectively served. The Office of Management and Budget (OMB) and other Federal agencies developed a set of common performance measures; these common measures are integral to ETA's performance accountability system and are the key results that ETA programs strive to achieve for their customers and to measure with a uniform information collection system.
Change in Burden:	816,071 hours

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OMB Control Number:	1205-0474
Title:	Collecting Aggregate Participant Counts for Workforce Investment Act (WIA) Title 1B, Wagner-Peyser Act, National Emergency Grants, and Reemployment Services Grants
Purpose of the Collection:	This request for emergency ICR approval both modifies the frequency of reporting and requests the collection of an additional data element contained in the following two performance-related data instruments: (1) OMB Control Number 1205-0420—Workforce Investment Act (WIA), Title I Adult, Dislocated Worker and Youth Activities Programs. This control number includes the following ETA forms: (A) Workforce Investment Act Annual Report—ETA form 9091, (B) Workforce Investment Act Quarterly Report—ETA Form 9090, and (C) Workforce Investment Act Standardized Record Data—WIASRD (2) OMB Control Number 1205-0240—Wagner-Peyser and Veterans' Employment and Training Services (VETS) Programs. This control number includes the following ETA forms: (A) ETA 9002 Report and (B) VETS 200 Report.
Change in Burden:	614,632 hours

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OMB Control Number:	1215-0188
Title:	Labor Organization and Auxiliary Reports

Purpose of the Collection:	The Labor-Management Reporting and Disclosure Act (LMRDA) requires unions to file annual financial reports, and copies of their constitution and bylaws with DOL. Under certain circumstances, reports are required of union officers and employees, employers, labor relations consultants, and surety companies. All reports are available for public disclosure. Filers are required to retain supporting records for five years; unions are required to retain election records for one year.
Change in Burden:	348,590 hours

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### Department of State

OMB Control Number:	1405-0185
Title:	Electronic Application for Immigrant Visa and Alien Registration Form DS-260 will be used to elicit information necessary to determine the eligibility of aliens applying for immigrant visas.
Purpose of the Collection:	
Change in Burden:	1,400,000 hours

OMB Control Number:	1405-0186
Title:	Electronic Choice of Address and Agent
Purpose of the Collection:	The DS-261 allows the beneficiary of an approved and current immigrant visa petition to provide the Department with his or her current address, which will be used for communications with the beneficiary. The DS-261 also allows the beneficiary to appoint an agent to receive mailings from the National Visa Center (NVC) and assist in the filing of various application forms and/or paying the required fees.
Change in Burden:	116,666 hours

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### Department of Transportation

OMB Control Number:	2126-0001
Title:	Hours of Service of Drivers Regulations, Supporting Documents
Purpose of the Collection:	This information collection is necessary to ensure that motor carriers and commercial motor vehicle (CMV) drivers comply with the maximum driving and duty time limitations prescribed in the Federal Motor Carriers Safety Regulations (FMCSR). FMCSA is revising this information collection to adjust its estimates and to correct an oversight whereby it excluded the burden of hour of service (HOS) supporting documents.
Change in Burden:	18,400,000 hours

OMB Control Number:	2127-0660
Title:	Consumer Assistance to Recycle and Save Program - Dealer and Buyer Transaction Information
Purpose of the Collection:	This collection of information ensures dealers and buyers in the CARS Program understand the terms of the transaction and certify that the information provided is true.

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Change in Burden: 371,350 hours

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**Department of the Treasury**

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OMB Control Number: 1545-1150  
 Title: Short Form Return of Organization Exempt From Income Tax  
 Purpose of the Collection: Form 990-EZ is needed to determine that IRS section 501(a) tax-exempt organizations fulfill the operating conditions within the limitations of their tax exemption. IRS uses the information from this form to determine if the filers are operating within the rules of their exemption.

Change in Burden: 21,515,784 hours

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**Environmental Protection Agency**

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OMB Control Number: 2040-0118  
 Title: Clean Water Act State Revolving Fund Program  
 Purpose of the Collection: This collection covers information from States on capitalizing grants and how they administer and operate their Clean Water State Revolving Fund Programs. EPA uses the data to ensure national accountability, adequate public comment and review, fiscal integrity and consistent management to achieve environmental benefits.

Change in Burden: 455,318 hours

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OMB Control Number: 2040-0185  
 Title: Drinking Water State Revolving Fund Program  
 Purpose of the Collection: The Safe Drinking Water Act (SDWA) Amendments of 1996 (Public Law 104-182) authorized the creation of the Drinking Water State Revolving Fund (DWSRF) program in each State and Puerto Rico to assist public water systems to finance the costs of infrastructure needed to achieve or maintain compliance with SDWA requirements and to protect public health. Section 1452 authorizes the Administrator of the U.S. Environmental Protection Agency (EPA) to award capitalization grants to the States and Puerto Rico who, in turn, provide low-cost loans and other types of assistance to eligible drinking water systems. States can also reserve a portion of their grants to conduct various set-aside activities. Information is collected for the (1) Capitalization Grant Application and Agreement/State Intended Use Plan; (2) Biennial Report; (3) Annual Audit; and (4) Assistance Application Review. Information collected is needed for input into the DWSRF National Information Management System.

Change in Burden: 271,520 hours

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OMB Control Number: 2040-0205  
 Title: Microbial Rules  
 Purpose of the Collection: This collection is for information from Public Water Systems (PWS), states with primary enforcement responsibilities for PWS, and EPA on microbial monitoring required to show compliance with the

Surface Water Treatment Rule (except disinfectant residual monitoring), Total Coliform Rule, Interim Enhanced Surface Water Treatment Rule, Filter Backwash Recycle Rule, Long Term 1 Enhanced Surface Water Treatment Rule, Long Term 2 Enhanced Surface Water Treatment Rule, and Ground Water Rule.

Change in Burden: 526,559 hours

OMB Control Number: 2050-0145

Title: Requirements and Exemptions for Specific Resource Conservation and Recovery Act (RCRA) Wastes

Purpose of the Collection: This collection is for reporting and recordkeeping requirements of three programs in RCRA: The Universal Waste requirements, the Mixed Waste Exemptions, and the Used Oil standards.

Change in Burden: 460,587 hours

### Federal Trade Commission

OMB Control Number: 3084-0047

Title: FTC Administrative Activities

Purpose of the Collection: This collection covers (a) application to the FTC under the FTC's Rules of Practice; (b) FTC consumer complaint systems; (c) FTC program evaluations; and (d) Applicant Background Form.

Change in Burden: 159,145 hours

### Grants.gov

OMB Control Number: 4040-0001

Title: SF-424 Research & Related (R&R)

Purpose of the Collection: The SF-424 (R&R) is the government-wide data set for research grant applications. Two components of this collection (Total Fed/Non-Fed Budget and the Subaward Budget (Fed/Non-Fed) Attachments Form are requesting minor changes to the form to allow additional budget period and additional attachments. The data collected will not change for the applicant.

Why Increase Occurred: The increase in burden hours is due to new reporting requirement as a result of the American Recovery and Reinvestment Act of 2009.

Change in Burden: 1,828,725 hours

OMB Control Number: 4040-0004

Title: SF-424 Discretionary

Purpose of the Collection: The SF-424 was established as the government-wide standard core data set and form for grant applications in July 31, 2003 [*Federal Register* Notice 68 FR 44974]. Use of the standard data elements was implemented through the electronic grants application process of Grants.gov, and was deployed in October 2003 as part of the implementation of the Federal Financial Assistance Management Improvement Act of 1999 (P.L. 106-107).

Why Increase Occurred: The increase in burden hours is due to new reporting requirement as a result of the American Recovery and Reinvestment Act of 2009.

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Change in Burden: 160,369 hours

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**Nuclear Regulatory Commission**

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OMB Control Number: 3150-0093  
 Title: 10 CFR Part 100, Reactor Site Criteria  
 Purpose of the Collection: 10 CFR Part 100, A Reactor Site Criteria, establishes approval requirements for proposed sites for the purpose of constructing and operating stationary power and testing reactors pursuant to the provisions of 10 CFR Parts 50 or 52. These reactors are required to be sited, designed, constructed, and maintained to withstand geologic hazards, such as faulting, seismic hazards, and the maximum credible earthquake, to protect the health and safety of the public and the environment. Non-seismic siting criteria must also be evaluated. Non-seismic siting criteria include such factors as population density, the proximity of man-related hazards, and site atmospheric dispersion characteristics. NRC uses the information required by 10 CFR Part 100 to evaluate whether natural phenomena and potential man-made hazards will be appropriately accounted for in the design of nuclear power and test reactors.

Change in Burden: 380,379 hours

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**Social Security Administration**

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OMB Control Number: 0960-0068  
 Title: Representative Payee Report (Adult, Child, and Organizational Representative Payee)  
 Purpose of the Collection: When SSA determines that it is not in a beneficiary's best interests to receive her or his Social Security benefits payments directly, the Agency will designate a family member, unrelated person, or organization to act as the representative payee for the beneficiary. Representative payees must account to SSA about how they use these payments on their beneficiaries' behalf; they use forms SSA-623 (for adult beneficiaries), SSA-6230 (for child beneficiaries), and SSA-6234 (organizational representative payees) to do so. We made three changes to the collection: 1) we created an Internet version of the Representative Payee Report, 2) we combined all three paper forms under one OMB number, 0960-0068, and 3) we made minor formatting changes to the first page of the paper forms' instructions.

Change in Burden: 187,500 hours

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***FY(2009) Burden Increases from Statutory Requirements***

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**Department of Agriculture**

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OMB Control Number: 0572-0142  
 Title: Broadband Initiatives Program  
 Purpose of the Collection: The Broadband Initiatives Program will offer loans, grants and loan/grant combinations to facilitate broadband deployment in rural areas. This collection covers the application requirements as well as other associated reporting requirements.  
 Why Increase Occurred: This is a program resulting in 192,237 burden hours due to new reporting requirement as a result of the American Recovery and Reinvestment Act of 2009.  
 Change in Burden: 192,237 hours  
 Statute Title and Public Law: American Recovery and Reinvestment Act of 2009(Pub.L. 111-5)

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OMB Control Number: 0579-0349  
 Title: Implementation of Revised Lacey Act Provisions  
 Purpose of the Collection: The purpose of this collection is to revise the Lacey Act so importers will have to submit a declaration for all plants containing the scientific name of the plant and plant product, value of the importation, quantity of the plant, and name of country from which the plant was harvested.  
 Why Increase Occurred: This is a new program. Under the amended Lacey Act, importers will have to submit a declaration for all plants containing the scientific name of the plant and plant product, value of the importation, quantity of the plant, and name of country from which the plant was harvested.  
 Change in Burden: 5,029,164 hours  
 Statute Title and Public Law: The Food, Conservation and Energy Act of 2008 (Farm Bill)(Pub.L. 110-246)

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OMB Control Number: 0581-0250  
 Title: Mandatory Country of Origin Labeling of Covered Commodities  
 Purpose of the Collection: This interim final rule requires the Agency to establish a consumer notification, product marking and recordkeeping program that will require retailers to label covered commodities with country of origin information for consumer information.  
 Why Increase Occurred: This is a new collection mandated by the 2008 Farm Bill.  
 Change in Burden: 36,812,674 hours  
 Statute Title and Public Law: Food, Conservation and energy Act of 2008(Pub.L. 110-246)

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### **Department of Commerce**

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OMB Control Number: 0693-0055  
 Title: National Institute of Standards and Technology (NIST) Construction Grant Program Application Requirements  
 Purpose of the Collection: The NIST Construction Grant Program provides funding for research science buildings through the construction of new buildings or expansion of existing buildings.  
 Why Increase Occurred: This is a new information collection for a competitive financial assistance (grant) program for research science buildings through

Change in Burden:	the construction of new buildings or expansion of existing buildings. 250,000 hours
Statute Title and Public Law:	American Recovery and Reinvestment Act of 2009(Pub.L. 111-5)

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### Department of Defense

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OMB Control Number:	0704-0459
Title:	Defense Federal Acquisition Regulations Supplement (DFARS) 252.225-7009 and DFARS 252.225-7010
Purpose of the Collection:	Section 804 of Pub. L. 110-181 added the following information collection requirements: <ul style="list-style-type: none"> <li>•Section 804(i) requires a report on the types of commercially available off-the-shelf (COTS) items containing specialty metals that are incorporated in non commercial end items to be delivered to the Government, if the non-commercial end item is in one of the six product categories specified in the statute (i.e., aircraft, missile and space systems, ships, tank and automotive items, weapon systems, or ammunition); and</li> <li>•10 U.S.C. 2533b(j) (as added by Section 804(d)) requires an offeror to certify that it will take certain actions with regard to specialty metals if the offeror chooses to use the alternative compliance approach when providing commercial derivative military articles to the Government.</li> </ul> This statutory requirement is implemented by DFARS 252.225-7009 and DFARS 252.225-7010.
Why Increase Occurred:	New Collection
Change in Burden:	316,800 hours
Statute Title and Public Law:	(Pub.L. 110-181)

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OMB Control Number:	0704-0460
Title:	Synchronized Predeployment and Operational Tracker (SPOT) System
Purpose of the Collection:	In accordance with DoD Instruction 3020.41, "Contractor Personnel Authorized to Accompany the U.S. Armed Forces" and other appropriate policy and regulations, the DoD Components, shall ensure that contractors supporting contingency operations outside the United States enter data into the Synchronized Predeployment and Operational Tracker (SPOT) System before deployment. Additionally, in accordance with section 861 of Public Law 110-181 and a Memorandum of Understanding, the Department of State (DoS) and the United States Agency for International Development (USAID) shall ensure that contractors performing in Iraq and Afghanistan enter data into SPOT. Data collection on contractors is a condition of their contract when DFARS 252.225-7040 is incorporated and persons who choose not to have data collected will not be entitled to employment opportunities which require this data to be collected. Section 861 of Public Law 110-181 required the identification of

	common databases among the DoD, DoS, and USAID to serve as repositories of information on contracts and contractor personnel in Iraq and Afghanistan. In a signed memorandum of understanding (MOU), the Agencies agreed that SPOT will serve as the interagency database for information on contractor personnel. Each Agency must require its contractors supporting operations in Iraq and Afghanistan to input information into SPOT and ensure data integrity.
Why Increase Occurred:	This data is being collected due to a new statutory requirement. However, it has been collected without an OMB Control Number.
Change in Burden:	150,000 hours
Statute Title and Public Law:	(Pub.L. 110-181)

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**Department of Education**

OMB Control Number:	1820-0689
Title:	Report on IDEA Part B Maintenance of Effort Reduction and Coordinated Early Intervening Services
Purpose of the Collection:	This package provides instructions and forms necessary for States to report the provisions of coordinated early intervening services (CEIS) and maintenance of effort (MOE) reduction in IDEA. The form satisfies reporting requirements and is used by OSEP to monitor SEAs and for Congressional reporting.
Why Increase Occurred:	This is a new data collection.
Change in Burden:	1,032,480 hours
Statute Title and Public Law:	American Recovery and Reinvestment Act of 2009 (Pub.L. 111-5)
OMB Control Number:	1840-0744
Title:	Higher Education Act (HEA) Title II Reporting Forms on Teacher Quality and Preparation
Purpose of the Collection:	The Higher Education Opportunity Act of 2008 calls for annual reports from states and institutions of higher education (IHEs) on the quality of teacher preparation and state teacher certification and licensure (P.L. 110-315, sections 205-208). The purpose of the reports is to provide greater accountability in the preparation of the nation's teaching forces and to provide information and incentives for its improvement. IHEs that have teacher preparation programs must report annually to their states on the performance of their program completers on teacher certification or licensure tests. States, in turn, must report test performance information, institution by institution, to the Secretary of Education. They must also report on their requirements for teacher certification and licensure, state standards, alternative routes to certification, low performing teacher preparation programs and related items.
Why Increase Occurred:	Total annual cost burden to reflect that the new HEOA legislation greatly increased the amount of data required from IHEs and states. Not only are IHEs and states required to collect and report more data annually, states must compile the vast majority of the data

reported by the IHEs and include them in the state report. Previously, under Title II of the Higher Education Act, most of the data reported by IHEs to the states were not included in the state reports.

Change in Burden: 182,273 hours  
 Statute Title and Public Law: Higher Education Opportunity Act(Pub.L. 110-315)

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### Department of Health and Human Services

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OMB Control Number: 0910-0045  
 Title: Registration of Producers of Drugs and Listing of Drugs in Commercial Distribution  
 Purpose of the Collection: 21 CFR part 207 implements section 510 of the Federal Food, Drug, and Cosmetic Act (the act) (21 U.S.C. 360), under which FDA is authorized to establish a system for registration of producers of drugs and for listing of drugs in commercial distribution.  
 Why Increase Occurred: The increase in burden is for the collection of any information not currently submitted using the FDA Forms, to create and upload the SPL file, and to prepare and maintain SOPs for submitting drug establishment registration and drug listing information electronically.

Change in Burden: 216,846 hours  
 Statute Title and Public Law: FDAAA(Pub.L. 110-85)

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OMB Control Number: 0910-0636  
 Title: Guide for Industry on Post-marketing Adverse Event Reporting for Nonprescription Human Drugs Without an Approved Application  
 Purpose of the Collection: This IC provides for the collection of information on nonprescription human drugs in the event of an adverse outcome. When manufacturers become aware of an adverse event, they are required to submit that information to FDA for evaluation.  
 Why Increase Occurred: This is a new collection of information. Public Law 109-462 amends the FFDCa to add safety reporting requirements for nonprescription drug products that are marketed without an approved application.

Change in Burden: 125,000 hours  
 Statute Title and Public Law: FFDCa(21 USC 379)

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OMB Control Number: 0938-0964  
 Title: Medicare Prescription Drug Benefit Program  
 Purpose of the Collection: This ICR collects information CMS needs to approve contract applications, determine compliance with the eligibility and associated Medicare Part D participation requirements, make proper payment to plans, and to ensure that correct information is disclosed to enrollees, both potential enrollees and current enrollees.  
 Why Increase Occurred: This ICR has been revised to include the new requirements in regulation CMS-4138-IFC2 for agents and brokers of Part D plans to submit information to CMS about their commissions and compensation structures over a multi-year period, to ensure that

Change in Burden:	they are not improperly incentivized to 'churn' Medicare beneficiaries from one plan to another without regard for the health impact to the beneficiaries. 181,370 hours
Statute Title and Public Law:	Medicare Improvements for Providers and Patients Act (MIPPA) (Pub. L. 110-275) (18 Stat 1860)
OMB Control Number:	0938-1012
Title:	Payment Error Rate Measurement - State Medicaid and CHIP Eligibility
Purpose of the Collection:	The Improper Payments Information Act (IPIA) of 2002 requires CMS to produce national error rates for Medicaid and SCHIP. To comply with the IPIA, CMS needs the information to be collected in order to provide some Federal overview of state eligibility determinations to ensure correctness and consistency among states and to use the State-specific error rates as the basis for calculating national eligibility error rates for Medicaid and SCHIP.
Why Increase Occurred:	New statutory requirements.
Change in Burden:	407,094 hours
Statute Title and Public Law:	Children's Health Insurance Program Reauthorization Act of 2009 (Pub.L. 111-3)
OMB Control Number:	0938-1067
Title:	Hospice Conditions of Participation and Physician Narrative on the Certification or Recertification of Terminal Illness (42 CFR 418.22(b)(3))
Purpose of the Collection:	The CoPs and accompanying requirements specified in the regulations are used by Federal or State surveyors as a basis for determining whether a hospice qualifies for approval or re-approval under Medicare.
Why Increase Occurred:	This is a new information collection.
Change in Burden:	1,339,383 hours
Statute Title and Public Law:	Medicare Improvements for Providers and Patients Act (MIPPA) (Pub. L. 110-275) (Hospice Care; Hospice Program (42 USC 1395x))
OMB Control Number:	0990-0346
Title:	HITECH Act Breach Notification
Purpose of the Collection:	The purpose of this media notification, which must be provided in addition to individual notification, is not to alert affected individuals of the breach. The purpose of media notification is to alert the public that a covered entity has experienced a breach.
Why Increase Occurred:	This is a new collection.
Change in Burden:	265,733 hours
Statute Title and Public Law:	Health Insurance Portability and Accountability Act of 1996 (Pub.L. 111-5)

### Department of Homeland Security

OMB Control Number:	1651-0001
Title:	Transportation Manifest (Cargo Declaration)

Purpose of the Collection: Transportation Manifest (Cargo Declarations) is essential to CBP for the control of cargo and for pre-arrival targeting of shipments for enforcement examination purposes. As part of the SAFE Port Act of 2006 and to ensure national security, CBP is proposing some new manifest requirements involving transmission of data elements prior to arrival of the vessel in the U.S.

Why Increase Occurred: Section 203 of the SAFE Port Act of 2006 requires that DHS must require electronic submission of additional data elements for improved high-risk targeting, including appropriate elements of entry data to be provided as advanced information with respect to cargo destined for importation into the U.S. prior to the loading of such cargo on vessels at foreign ports. Section 2071 of the Trade Act of 2002 requires that CBP pick up Container Status Messages from vessels laden with cargo and destined to arrive in the United States.

Change in Burden: 24,797,005 hours  
 Statute Title and Public Law: SAFE Port Act(6 USC 943)

OMB Control Number: 1651-0111  
 Title: Arrival and Departure Record  
 Purpose of the Collection: Form I-94 (Arrival/Departure Record) and Form I-94W (Nonimmigrant Visa Waiver Arrival/Departure Record) are used to document a traveler's admission into the United States. These forms include date of arrival, visa classification and the date the authorized stay expires. The forms are also used by business employers and other organizations to confirm legal status in the United States. The Electronic System for Travel Authorization (ESTA) applies to aliens traveling to the United States under the Visa Waiver Program (VWP) and requires that VWP travelers provide information electronically to CBP before embarking on travel to the United States.

Why Increase Occurred: The burden hours increased due to the expansion of the Visa Waiver Program to include 8 new countries under 8 USC 264 Immigration and Nationality Act.

Change in Burden: 383,333 hours  
 Statute Title and Public Law: Immigration and Nationality Act(8 USC 264)

### Department of the Interior

OMB Control Number: 1076-0169  
 Title: Probate of Indian Estates, except for Members of the Osage Nation and the Five Civilized Tribes, 25 CFR 15  
 Purpose of the Collection: This part describes the authorities, policies, and procedures that the BIA, or self-determination contractors, follow to fulfill probate functions used to prepare a probate file for an Indian decedent's trust estate, except for restricted land derived from allotments made to members of the Five Civilized Tribes.

Why Increase Occurred: New statutory requirements.  
 Change in Burden: 1,037,433 hours

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Statute Title and Public Law: American Indian Probate Reform Act of 2004(Pub.L. 108-374)

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**Department of Justice**

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OMB Control Number: 1121-0323  
 Title: Solicitation Template to Announce Grant Programs under the American Recovery and Reinvestment Act of 2009  
 Purpose of the Collection: The solicitation template serves as a generic model for the announcement of grant programs as authorized by the American Recovery and Reinvestment Act of 2009. The template will be used to solicit applications to fund grants to assist state, local, and tribal law enforcement, to combat violence against women, to fight internet crimes against children, to improve the functioning of the criminal justice system, to assist victims of crime, and to support youth mentoring.  
 Why Increase Occurred: New Collection  
 Change in Burden: 138,000 hours  
 Statute Title and Public Law: American Recovery and Reinvestment Act of 2009(Pub.L. 111-5)

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OMB Control Number: 1123-0009  
 Title: Inspection of Records Relating to Depiction of Sexually Explicit Performances  
 Purpose of the Collection: This collection requires producers of sexually explicit depictions to maintain records of the depictions. Due to a regulatory change to address the Adam Walsh Child Safety and Protection Act of 2006, in addition to being required to maintain records concerning depictions of actual sexually explicit conduct, producers will also be required to maintain records of depictions concerning simulated sexually explicit conduct as well.  
 Why Increase Occurred: The burden increased because producers of sexually explicit conduct are required to maintain records concerning depictions of actual and simulated conduct, whereas before producers were required to maintain records of actual conduct only.  
 Change in Burden: 130,000 hours  
 Statute Title and Public Law: Adam Walsh Child Safety and Protection Act(18 USC 2257a)

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**Department of Labor**

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OMB Control Number: 1205-0468  
 Title: Jobs for Veterans Act Priority of Service Provisions  
 Purpose of the Collection: The priority of service provision ensures that veterans/and other covered persons have access to and receive priority in receiving the full array of services available from DOL funded programs/grants operated either independently or through the One-Stop delivery system. There are two contexts in which priority of service applies – individual programs and grants, and the integrated One-Stop delivery system. Once these data requirements for priority of service are in place, they will amend current Employment and

Why Increase Occurred:	Training Administration reporting mechanisms. The increase in burden hours results from new information collection requirements contained in the final rule for 20 CFR Part 1010 which are necessary to support the implementation of the priority of service provisions contained in the Jobs for Veterans Act (JVA). These provisions provide that veterans and certain spouses of veterans (together comprising the category of covered persons) are entitled to priority over non-covered persons for the receipt of employment, training, and placement services.
Change in Burden:	159,429 hours
Statute Title and Public Law:	Jobs for Veterans Act(Pub.L. 107-288)
OMB Control Number:	1215-0181
Title:	29 C.F.R. Part 825, The Family and Medical Leave Act of 1993
Purpose of the Collection:	The DOL created the subject information collections (i.e., notifications) to implement statutory notice and certification provisions and to assist employees and employers in meeting their FMLA third-party notification obligations as required by The Family and Medical Leave Act of 1993 (FMLA) and by the amendments to FMLA contained in National Defense Authorization Act for FY 2008 (NDAA). The subject recordkeeping requirements are necessary in order for the DOL to carry out its statutory obligation under FMLA section 106 to investigate and ensure employer compliance. 29 U.S.C. § 2616.
Why Increase Occurred:	The 3,482,473 burden hour increase occurred as a result of new statutory requirements.
Change in Burden:	3,482,473 hours
Statute Title and Public Law:	National Defense Authorization Act for Fiscal Year 2008(Pub.L. 101-181)

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### Department of the Treasury

OMB Control Number:	1505-0216
Title:	Troubled Asset Relief Program – Making Home Affordable Participants
Purpose of the Collection:	Authorized under the Emergency Economic Stabilization Act (EESA) of 2008 (Public Law 110-343), the Department of the Treasury has implemented several aspects of the Troubled Asset Relief Program. Among these components is a voluntary foreclosure prevention program – Making Home Affordable (MHA) program, under which the Department will use TARP capital to lower the mortgage payments of qualifying borrowers. The Treasury will do this through agreements with mortgage servicers to modify loans on their systems.
Why Increase Occurred:	This is a new collection.
Change in Burden:	198,880 hours
Statute Title and Public Law:	Emergency Economic Stabilization Act of 2008 (Pub.L. 110-343)
OMB Control Number:	1513-0129

Title:	Tobacco Products and Cigarette Papers and Tubes, 2009 Tax Increase and Floor Stocks Tax
Purpose of the Collection:	The Children's Health Insurance Program Reauthorization Act of 2009 (Public Law 111-3), enacted February 4, 2009, imposed a floor stocks tax on tobacco products (except large cigars) and cigarette papers and tubes held for sale on April 1, 2009. Persons holding taxable articles on that date must take an inventory and file a return and pay any tax due.
Why Increase Occurred:	New statutory requirements.
Change in Burden:	960,000 hours
Statute Title and Public Law:	Children's Health Insurance Program Reauthorization Act of 2009 (Pub.L. 111-3)
OMB Control Number:	1545-0099
Title:	U.S. Return of Partnership Income (Form 1065); and related Schedules
Purpose of the Collection:	IRC section 6031 requires partnerships to file returns that show gross income items, allowable deductions, partners' names, addresses, and distribution shares, and other information. This information is used to verify correct reporting of partnership items and for general statistics.
Why Increase Occurred:	Changes were made to Form 1065 and the related schedules to adhere to changes in the law. There were also changes made to the forms to simplify the understanding and/or processing of the data collected. Finally, changes were made to this ICR submission package to more accurately reflect the appropriate burden with each of the various forms and schedules.
Change in Burden:	64,648,109 hours
Statute Title and Public Law:	Indian employment credit: (f)Termination (26 USC 45A(f)); Exclusion from Income for Payments from the Hokie Spirit Memorial Fund.(Pub.L. 110-141); Employer Wage Credit for Employees Who are Active Duty Members of the Uniformed Services (26 USC 45P); Heroes Earnings Assistance and Tax Relief Act of 2008 (Pub.L. 110-245)
OMB Control Number:	1545-0747
Title:	IRA Contribution Information
Purpose of the Collection:	Form 5498 is used by trustees and issuers to report contributions to, and the fair market value of, an individual retirement arrangement.
Why Increase Occurred:	Form 5498 and its instructions have been lengthened to accommodate statute changes to IRA contributions. The form now allows recipients of military death gratuities and Service members' Group Life Insurance (SGLI) payments to make rollover contributions to a Roth IRA (PL 110-245, sec 109), allows recipients of qualified settlement income received in connection with the Exxon Valdez litigation to make a rollover contribution to a traditional or Roth IRA (PL 110-343, Div C, sec 504), and allows certain payments made to qualified airline employees by commercial passenger airlines to be rolled over into a Roth IRA (PL 110-458, sec 125).

Change in Burden:	17,053,709 hours
Statute Title and Public Law:	Pension Protection Act of 2006(Pub.L. 109-280); Heroes Earnings Assistance and Tax Relief Act of 2008(Pub.L. 110-245); Emergency Economic Stabilization Act of 2008(Pub.L. 110-343); Worker, Retiree, and Employer Recovery Act of 2008(Pub.L. 110-458); U.S. Troop Readiness, Veterans' Care, Katrina Recovery, and Iraq (Pub.L. 110-28)
OMB Control Number:	1545-1231
Title:	Final (T.D. 9436) Tax Return Prep/IA-38-90 Final Regulations (T.D. 8382) Penalty on Income Tax Return Preparers Who Understate Taxpayer's Liability on a Federal Income Tax Return or a Claim for Refund
Purpose of the Collection:	This information is necessary to make the record of the name, taxpayer identification number, and principal place of work of each tax return preparer, make each return or claim for refund prepared available for inspection by the Commissioner of Internal Revenue, and to document that the tax return preparer advised the taxpayer of the penalty standards applicable to the taxpayer in order for the tax return preparer to avoid penalties under section 6694. The likely respondents are tax return preparers and their employers.
Why Increase Occurred:	Owing to changes in the Internal Revenue Code due to the Small Business and Work Opportunity Tax Act of 2007 and the Tax Extenders and Alternative Minimum Tax Relief Act of 2008, final regulations were issued that implement amendments to tax return preparer penalties. In line with these new regulations, changes were made to the previous burden estimates to account for a more accurate reflection of the tax population impacted by the changes to the Code.
Change in Burden:	10,629,320 hours
Statute Title and Public Law:	Tax Extenders and Alternative Minimum Tax Relief Act of 2008(Pub.L. 110-343); Small Business and Work Opportunity Tax Act of 2007 (Pub.L. 110-28)
OMB Control Number:	1545-2127
Title:	Disqualified Corporate Interest Expense Disallowed Under Section 163(j) and Related Information
Purpose of the Collection:	Pursuant to Congressional direction to determine whether the earnings stripping limitation rule of Code Section 163(j) was effective in curbing the erosion of the U.S. tax base, Treasury sought to create new Form 8926, Disqualified Corporate Interest Expense Disallowed Under Section 163(j) and Related Information. The new form is based on Code section 163(j) and the related proposed regulations.
Why Increase Occurred:	Treasury created new Form 8926 due to statutory direction.
Change in Burden:	7,560,000 hours
Statute Title and Public Law:	Study of Earnings Stripping Provisions (Pub. L. 108-357, Sec. 424); Limitation on deduction for interest on certain indebtedness(26 USC 163(j))

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**Environmental Protection Agency**


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OMB Control Number:	2025-0009
Title:	Toxic Chemical Release Reporting (Form R)
Purpose of the Collection:	Respondents submit information concerning toxic chemical releases into the air, land and water as required by the Emergency Planning and Community Right-to-Know Act (EPCRA) section 313 and section 6607 or the Pollution Prevention Act (PPA) of 1990.
Why Increase Occurred:	On March 11, 2009, President Obama signed into law H.R. 1105, the 'Omnibus Appropriations Act, 2009' (Public Law 111-8) which rescinded the December 2006 Toxic Release Inventory Burden Reduction Rule, and puts the reporting requirements with respect to the use of Form R and Form A back to what they were prior to promulgation of this rule. Accordingly, the burden for the Form R is being increased by 458,983 hours to account for an estimated 13,675 additional chemical reports being filed using the Form R.
Change in Burden:	458,983 hours
Statute Title and Public Law:	Omnibus Appropriations Act, 2009(Pub.L. 111-8)
OMB Control Number:	2030-0046
Title:	Information Collections under the American Recovery and Reinvestment Act of 2009
Purpose of the Collection:	This collection is for additional applicant information required by the American Recovery and Reinvestment Act (ARRA) of 2009 for the following EPA Grants: Clean Water State Revolving Fund, Drinking Water State Revolving Fund, Brownfields, Diesel Emissions Reduction Act, Superfund Cooperative Agreement, Leaking Underground Storage Tank Enforcement and Cleanup Program.
Why Increase Occurred:	This is a new ICR. The burden to respondents results from the requirements of the Act and Implementing Guidance for EPA to collect specified information from recipients of assistance agreements funded under the Act. Information must be submitted to EPA on a quarterly basis or as needed. EPA has taken steps to minimize burden on recipients, including consultation with potential recipients on their expectations and needs for burden reduction.
Change in Burden:	757,504 hours
Statute Title and Public Law:	American Recovery and Reinvestment Act of 2009(Pub.L. 111-5)

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## Appendix B. Paperwork Reduction Act Compliance

### Violations in FY 2009 Due to Lapse of OMB Approval

OMB #	Title	Expiration Date	Reinstatement Date
<b>Department of Agriculture</b>			
0518-0040	Evaluation of User Satisfaction with NAL Internet Sites	10/31/2008	4/2/2009
<b>Department of Commerce</b>			
0625-0217	User Satisfaction Surveys	7/31/2009	9/21/2009
<b>Department of Defense</b>			
0720-0032	Federal Agency Retail Pharmacy Program	2/28/2009	1/14/2010
0720-0022	Department of Defense Active Duty/Reserve Forces Dental Examination	7/31/2009	1/14/2010
0720-0035	TRICARE Dental Program (TDP) Claim Form	7/31/2009	1/14/2010
0720-0038	Public Perception of the Military Health System (Focus Groups)	7/31/2009	5/1/2009
0720-0006	TRICARE Department of Defense/CHAMPUS Medical Claim Patient's Request for Medical Payment	8/31/2009	1/14/2010
<b>Department of Energy</b>			
1910-1000	Exchange/Sale Report, Excess Personal Property Furnished to Non-Federal Recipients, Agency Report of Motor Vehicle Data, Annual Motor Vehicle Fleet Report	6/30/2009	In progress
1910-5101	U.S. Department of Energy; Annual Alternative Fuel Vehicle Acquisition Report for State Government and Alternative Fuel Provider Fleets	6/30/2009	8/16/2009
<b>Department of Health and Human Services</b>			
0938-0301	Medicare Provider Cost Report Reimbursement Questionnaire and Supporting Regulations in 42 CFR 413.20, 413.24, and 415.60	2/28/2009	8/25/2009
0938-0983	Medicare EDI Enrollment Form and EDI Registration	2/28/2009	8/25/2009
0938-0035	Social Security Office (SSO) Report of State Buy-in Problems	7/31/2009	1/5/2010

0938-0214	Medicare Secondary Payer Information Collection and Supporting Regulations in 42 CFR 489.20, 411.25, 489.2	5/31/2009	11/24/2009
0938-0443	Information Collection Requirements in 42 CFR 473.18, 473.34, 473.36, 473.42, PRA Reconsiderations and Appeals	8/31/2009	1/26/2010
0938-0626	Electronic Funds Transfer Authorization Agreement	8/31/2009	4/20/2010
0938-0761	Medicare and Medicaid Programs; Use and Reporting OASIS Data as Part of the CoPs for HHAs and Supporting Regulations in 42 CFR 484.11 and 484.20	6/30/2009	In progress
0938-0761	Medicare Integrity Program Organizational Conflict of Interest Disclosure Certificate and Supporting Regulations at 42 CFR 421.310 and 421.316	2/28/2009	In progress
0938-0949	Health Insurance Reform Security Standards – Final Rule	6/30/2009	3/10/2009
<b>Department of the Interior</b>			
1024-0018	36 CFR 60 and 63. National Register of Historic Places Registration form; Continuation Sheet; NR Multiple Property Documentation form	1/31/2009	5/6/2009
<b>Department of Justice</b>			
1140-0050	Identification Markings Placed on Firearms	12/31/2008	3/26/2009
<b>Department of Transportation</b>			
2106-0005	Public Charters - 14 CFR PART 380	4/30/2009	9/29/2009
2137-0022	Testing, Inspection and Marking Requirements for Cylinders	11/30/2008	2/11/2009
2138-0004	Submission of Audit Reports, Part 248	12/31/2008	5/11/2009
2138-0039	Reporting Required for International Civil Aviation Organization (ICAO)	12/31/2008	5/11/2009
2127-0040	Designation of Agent for Service of Process	7/31/2009	2/9/2010
2127-0629	Vehicle Information for the General Public	7/31/2009	5/14/2010
2133-0027	Capital Construction Fund and Exhibits	1/31/2009	3/22/2010
<b>Department of the Treasury</b>			
1545-2119	NOT-136936-08 (Notice 2008-XX) Tax-exempt Housing Bonds and 2008 Housing Legislation	3/31/2009	8/26/2009
<b>Office of Personnel Management</b>			

3206-0141	Health Benefits Election Form	3/31/2009	6/2/2009
3206-0215	Verification of Full-Time School Attendance	3/31/2009	6/2/2009
3206-0230	Life Insurance Election	3/31/2009	6/2/2009
<b>Small Business Administration</b>			
3245-0118	Disclosure Statement-Leveraged Licensees; Disclosure Statement Non-leveraged Licensees	2/28/2009	5/12/2009
3245-0329	PRIME (Program for Investment in Microentrepreneurs)	10/31/2008	1/15/2009
3245-0351	Entrepreneurial Development Impact Study	3/31/2009	6/30/2009
3245-0356	Small Business Innovation Research (SBIR) and Small Business Technology Transfer (STTR) Tech- Net Database	3/31/2009	6/1/2009
3245-0362	Small Business Administration (SBA) Surety Bond Guarantee Customer Survey	7/31/2009	9/2/2009

### Collections Formerly in Use Without OMB Approval But Have Since Been Approved

OMB #	Title	OMB Approval Date
<b>Department of Agriculture</b>		
0596-0215	Equal Opportunity Program Delivery Compliance Review Tool	11/21/2008
0596-0216	Foreign Travel Proposal (Non-Federal)	11/25/2008
0596-0217	Federal and Non-Federal Financial Assistance Instruments	12/4/2008
0596-0218	Federal Excess Personal Property	12/4/2008
<b>Department of Commerce</b>		
0648-0593	Observer Programs' Information that Can Be Gathered Only Through Questions	9/17/2009
<b>Department of Defense</b>		
0704-0455	Defense Biometric Identification System (DBIDS)	1/15/2009
0704-0458	Industry Cost Collection Report Survey	4/23/2009
0730-0017	Claim Certification and Voucher for Death Gratuity Payment	10/31/2008
0704-0460	Synchronized Predeployment and Operational Tracker (SPOT) System	7/2/2009
0704-0461	Qualification to Possess Firearms or Ammunition	7/2/2009
0704-0463	Homeowners Assistance Program (HAP)	9/23/2009
<b>Department of Education</b>		
1845-0089	Request for Title IV Reimbursement or Heightened Cash Monitoring 2 (HCM2)	2/2/2009
<b>Department of Health and Human Services</b>		
0915-0321	Nurse Faculty Loan Program - Program Specific Data Form	10/27/2008
0915-0327	340B Drug Pricing Program Forms	8/27/2009
0920-0821	Quarantine Station Illness Response Forms: Airline, Maritime, and Land/Border Crossing	9/21/2009
0930-0300	Enhancing Substance Abuse Treatment Services to Address Hepatitis Infection Among Intravenous Drug Users Hepatitis Testing and Vaccine Tracking Form	5/29/2009
0938-1059	Physician Quality Reporting Initiative	4/28/2009
0938-1069	Conditions of Participation: Requirements for Approval and Reapproval of Transplant Centers	9/25/2009

	to Perform Organ Transplants and Supporting Regulations in 42 CFR 482.74, 482.94, 482.100, 482.102, 488.61	
0990-0341	ASPR Assessment of Mechanical Ventilators in US Acute Care Hospitals	8/27/2009
0930-0297	The Safe School/Healthy Student Initiative National Evaluation	1/8/2009
0985-0024	Performance Data Collection for SMP Program Outcome	11/17/2009
<b>Department of Homeland Security</b>		
1652-0052	Certified Cargo Screening Pilot Program	8/28/2009
<b>Department of the Interior</b>		
1028-0087	National Geological and Geophysical Data Preservation Program (NGGDPP)	7/23/2009
1028-0088	National Cooperative Geologic Mapping Program (EDMAP and STATEMAP)	8/2/2009
1028-0089	Mineral Resources External Research Program (MRERP)	8/4/2009
<b>Department of Justice</b>		
1110-0047	Applicant Questionnaire: Race, National Origin, Gender, and Disability Demographics	6/12/2009
<b>Federal Acquisitions Regulation</b>		
9000-0163	Small Business Size Rerepresentation	10/30/2008
<b>Department of the Treasury</b>		
1513-0131	Certificate of Taxpaid Alcohol	9/28/2009
<b>Department of Veterans Affairs</b>		
2900-0716	Complaint of Employment Discrimination	10/24/2008
2900-0717	Child Care Subsidy Application Form, Child Care Provider Information-For the Child Care Subsidy Program	10/24/2008

## Collections Currently in Use Without OMB Approval

Title	OMB Number	Date of Approval	How Discovered	Plan for Bringing into Compliance
<b>Department of Commerce</b>				
Jones and NOAA Award Nominations	None	N/A	Internal Audit	Plans to submit to OMB during FY 2010
<b>Department of Health and Human Services</b>				
The School Dismissal Monitoring System	None	N/A	Internal Audit	Plans to submit to OMB during FY 2010
Investigator Registration and Financial Disclosure for Investigational Trials in Cancer Treatment	None	N/A	Internal Audit	Plans to submit to OMB during FY 2010
Community Service Block Grant Model Plan Application	None	N/A	Internal Audit	Plans to submit to OMB during FY 2010
<b>Department of Labor</b>				
Carrier's Report of Issuance of Policy (Form LS-570)	None	N/A	Internal Audit	Plans to submit to OMB during FY 2010
OSHA Training Institute (OTI) Education Centers Programs and Outreach Training Program	None	N/A	Internal Audit	Plans to submit to OMB during FY 2010
Variance Application	None	N/A	Internal Audit	Plans to submit to OMB during FY 2010
<b>Department of State</b>				
Application for Employment as a Locally Employed Staff or Family Member	None	N/A	Internal Audit	Plans to submit to OMB during FY 2010
<b>Department of Veterans Affairs</b>				
Certificate of Fully Developed Claim	None	N/A	Internal Audit	Plans to submit to OMB during FY 2010

## Appendix C. 2010 Information Collection Budget Data Call

April 20, 2010

### MEMORANDUM FOR CHIEF INFORMATION OFFICERS

FROM:

Cass R. Sunstein   
Administrator

SUBJECT:

Data Call for the 2010 Information Collection Budget

This memorandum provides instructions to the Chief Information Officers (CIOs) on the preparation and submission, to the Office of Information and Regulatory Affairs (OIRA), of information that will be included in the 2010 Information Collection Budget (ICB) of the Office of Management and Budget (OMB).

This annual report describes (1) the information collection burden imposed by the Federal government on the public and (2) the progress of the agencies toward achieving the burden reduction goals set forth in the Paperwork Reduction Act of 1995 (PRA). We ask agencies to develop one or more new initiatives, using modern technologies, to reduce burdens on the American public; details are provided below.

1. **When are responses to this memorandum due?** Submissions are due to OIRA no later than **Friday, May 7, 2010**.
2. **Who must respond to this memorandum?** The Chief Information Officers from the following agencies must comply with the requirements of this memorandum:

Department of Agriculture  
Department of Commerce  
Department of Defense  
Department of Education  
Department of Energy  
Department of Health and Human Services  
Department of Homeland Security  
Department of Housing and Urban Development  
Department of the Interior  
Department of Justice  
Department of Labor  
Department of State

Department of Transportation  
Department of the Treasury  
Department of Veterans Affairs  
Environmental Protection Agency  
Federal Acquisition Regulation (FAR Secretariat)  
Federal Communications Commission  
Federal Deposit Insurance Corporation  
Federal Energy Regulatory Commission  
Federal Trade Commission  
National Aeronautics and Space Administration  
National Science Foundation  
Nuclear Regulatory Commission  
Securities and Exchange Commission  
Small Business Administration  
Social Security Administration

If your agency is not listed here, you do not need to comply with this memorandum. However, agencies that sponsor information collections under the auspices of the E-Gov series (i.e., collections beginning with the OMB prefix “4040”) must also comply with this memorandum.

3. **What changes has OMB made to this data call?** In this year’s data call, we are asking agencies to provide OMB with one or more new initiatives that focus on the burden reduction areas listed in the Appendix.
4. **How does the ICB fit into OMB’s initiatives under the E-Government Act?** The E-Government Act has implications for information collections covered by the PRA. While information is collected on this statute through other reporting mechanisms (i.e., the annual E-Gov Act Report), agencies should be aware of the E-Gov Act when preparing their ICB submission and work to coordinate agency efforts under the PRA and the E-Gov Act.
5. **What must my agency’s submission include?** The CIO’s office is required to submit a detailed description of one or more new agency initiatives to improve information collection, focusing on targeted burden reduction areas, in accordance with the instructions in the Appendix. All submissions should be consistent with OMB fiscal and policy guidance.
6. **In what format should the CIO provide this information to OMB?** The information required under this memorandum should be sent electronically to Shagufta Ahmed (shagufta\_ahmed@omb.eop.gov).
7. **Will OMB conduct hearings on my agency’s submission?** OMB will schedule, as needed, hearings with an agency on its progress toward burden reductions goals and agency compliance with the PRA.

8. **Who should I contact for further information about specific issues relating to my agency?** Questions about specific agency matters should be directed to your agency's desk officer within OMB's Office of Information and Regulatory Affairs.
9. **Who should I contact for further information about this memorandum?** Questions about this memorandum should be directed to Shagufta Ahmed (Phone: 202-395-7873. Email: shagufta\_ahmed@omb.eop.gov).

Attachment

Memorandum to Chief Information Officers  
April 20, 2010  
Appendix

## **BURDEN REDUCTION INITIATIVE**

### **1. What is the purpose of this Appendix?**

Although Federal agencies seek to reduce paperwork burdens, evidence shows significant recent increases in the number of hours that the public spends responding to information collections. In FY 2000, the public spent an estimated 7.36 billion hours responding to Federal information collections; in FY 2008, that number grew to an estimated 9.71 billion, an increase of more than 30 percent.

To address this increase in burden, OMB asks agencies to provide new burden reduction initiatives that focus on one or more of the areas listed below. Of course agencies are not limited to these burden reduction areas, but we ask that they consider these areas in particular. Agencies are encouraged to consult with OIRA desk officers as needed regarding their burden reduction plans.

- **Electronic communication: “fillable fileable” forms (or data systems):** Electronic communication can substantially reduce burden on respondents and simultaneously increase efficiency in data collection. In particular, OMB seeks initiatives that implement “fillable fileable” approaches where feasible, appropriate, and consistent with law. Reducing or even eliminating the use of paper, such initiatives allow entirely electronic communication between agencies and the private sector. They may include the pre-population of particularly high-burden forms. OMB encourages agencies to use “fillable fileable” forms, in place of paper-based forms, and to modify existing electronic forms that are not in “fillable fileable” format.
- **E-Signature:** E-signatures can reduce burden and costs for respondents (and have been successfully implemented by Treasury as a part of its larger E-Filing initiative for tax forms by 2010). In line with the principles of the Government Paperwork Elimination Act, OMB seeks initiatives that adopt electronic signatures where appropriate. For more information please see: Memorandum M-00-10, “OMB Procedures and Guidance on Implementing the Government Paperwork Elimination Act.”
- **Frequency of information collection:** In some instances, monthly or daily information collections can be far more burdensome to the public than collections on a quarterly, bi-annual, or annual basis. OMB seeks initiatives that reexamine the frequency of routine reporting requirements to determine whether less frequent reporting would meet program needs.
- **Administrative simplification:** OMB encourages agencies to improve administrative efficiency for their stakeholders, e.g., health care providers or financial service providers. We recommend consideration of initiatives that standardize inconsistent processes and requirements, eliminate duplicative reporting requirements, eliminate unnecessary

complexity, and improve coordination among multiple offices that gather information from a common group of stakeholders.

- **Small business burden:** OMB is aware that information collections may impose significant burdens on small businesses. Because of economies of scale, a collection may be more burdensome for a small entity than for a large one. We encourage agencies to identify ways to achieve significant reductions in burden upon small entities. (Initiatives of this kind may involve simplification; see above.) To achieve this goal, it may be useful for agencies to work with their Small Business Paperwork Relief liaison. See list of agency contacts at: <http://www.business.gov/business-law/contacts/federal/>

All initiative submissions should include a listing of the overall burden reduction associated with each initiative, the OMB numbers of affected collections, and an estimate of the amount of the total burden reduction associated with each collection. Your submission will not be considered complete without this information.

## 2. **What is an appropriate initiative in response to this bulletin?**

We ask you to identify one or more initiatives, in the areas sketched above, to improve program performance by enhancing the efficiency of information collections and by significantly reducing paperwork burden on the public. We seek initiatives that:

- a. Improve program performance by enhancing the efficiency of agency information collections (both within the agency and, in the case of related information collection activities, among agency components or across agencies);
- b. Significantly reduce the burden per response or overall on the public; or
- c. Lead to a comprehensive review of an entire program (both within the agency and, in the case of related information collection activities, among agency components or across agencies), including regulations and procedures.

**Please note:** Initiatives **MUST NOT** consist of methodological changes in the manner by which agencies estimate burden.

## 3. **What information about these initiatives must we submit?**

We ask that your submission include:

- a. A concise description of the program or programs that are affected, including statutory and regulatory citations, a description of the affected public, and a description of the agency structure that implements the program (both within the agency and, in the case of related information collection activities, among agency components or across agencies).
- b. Measurable objectives you expect to achieve through this initiative, which must include estimates of expected burden reduction linked to specific collections that will

be affected (the total estimated burden reduction for each initiative must be broken out by information collection, with OMB control numbers noted).

- c. Proposed timeline for actions that you will take.
- d. Perceived difficulties in accomplishing this initiative, including statutory or policy barriers.

**Appendix D. OMB PRA Guidance Memoranda**

ADMINISTRATOR  
OFFICE OF  
INFORMATION AND  
REGULATORY  
AFFAIRS

**EXECUTIVE OFFICE OF THE PRESIDENT**

**OFFICE OF MANAGEMENT AND BUDGET**  
WASHINGTON, D.C. 20503

April 7, 2010

**MEMORANDUM FOR THE HEADS OF EXECUTIVE DEPARTMENTS AND AGENCIES,  
AND INDEPENDENT REGULATORY AGENCIES**

**FROM:**

Cass R. Sunstein  
Administrator

Handwritten signature of Cass R. Sunstein in black ink.

**SUBJECT:**

Information Collection under the Paperwork Reduction Act

On January 21, 2009, the President issued a memorandum calling for the establishment of “a system of transparency, public participation, and collaboration.”<sup>1</sup> The memorandum required an Open Government Directive to be issued by the Director of the Office of Management and Budget (OMB), instructing “executive departments and agencies to take specific actions implementing the principles set forth in this memorandum.”

Implementing the President’s memorandum, OMB’s Open Government Directive requires a series of measures to promote the commitments to transparency, participation, and collaboration.<sup>2</sup> Section 4 of the Directive specifically instructs the Administrator of the Office of Information and Regulatory Affairs (OIRA) to “review existing OMB policies, such as Paperwork Reduction Act guidance and privacy guidance, to identify impediments to open government and to the use of new technologies and, where necessary, issue clarifying guidance and/or propose revisions to such policies, to promote greater openness in government.”

This Memorandum responds to that requirement by offering clarifying guidance with respect to the Paperwork Reduction Act of 1995 (PRA)<sup>3</sup> in order to specify its central requirements and to increase transparency and openness.

The PRA was designed, among other things, to “ensure the greatest possible public benefit from and maximize the utility of information created, collected, maintained, used, shared and disseminated by or for the Federal Government” and to “improve the quality and use of Federal information to strengthen decisionmaking, accountability, and openness in Government

<sup>1</sup> Available at <http://www.gpoaccess.gov/presdocs/2009/DCPD200900010.pdf>.

<sup>2</sup> Available at [http://www.whitehouse.gov/omb/assets/memoranda\\_2010/m10-06.pdf](http://www.whitehouse.gov/omb/assets/memoranda_2010/m10-06.pdf).

<sup>3</sup> 44 U.S.C. chapter 35; see 5 CFR Part 1320.

and society.”<sup>4</sup> Federal agencies play a critical role in collecting and managing information in order to promote openness, reduce burdens on the public, increase program efficiency and effectiveness, and improve the integrity, quality, and utility of information to all users within and outside the government.<sup>5</sup>

Before requiring or requesting information from the public, the PRA requires Federal agencies<sup>6</sup> (1) to seek public comment on proposed collections and (2) to submit proposed collections for review and approval by the Office of Management and Budget (OMB). OMB’s Office of Information and Regulatory Affairs (OIRA) reviews agency information collection requests for approval or disapproval. When OMB approves an information collection, it assigns an OMB control number<sup>7</sup> that the agency must display on the information collection.<sup>8</sup> OMB has issued regulations and guidance to promote agency compliance with the PRA.<sup>9</sup>

#### What counts as “information” under the PRA?

OMB regulations define “information” as “any statement or estimate of fact or opinion, regardless of form or format, whether in numerical, graphic, or narrative form, and whether oral or maintained on paper, electronic or other media.”<sup>10</sup> This category includes:

- (1) requests for information to be sent to the government, such as forms (e.g., the IRS 1040), written reports (e.g., grantee performance reports), and surveys (e.g., the Census);
- (2) recordkeeping requirements (e.g., OSHA requirements that employers maintain records of workplace accidents); and
- (3) third-party or public disclosures (e.g., nutrition labeling requirements for food).<sup>11</sup>

The PRA applies to collections of information using identical questions posed to, or reporting or recordkeeping requirements imposed on, “ten or more persons.”<sup>12</sup> For the purpose

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<sup>4</sup> 44 U.S.C. § 3501.

<sup>5</sup> 44 U.S.C. § 3506(b).

<sup>6</sup> With some exceptions, the PRA applies to “any executive department, military department, Government corporation, Government controlled corporation, or other establishment in the executive branch of the Government (including the Executive Office of the President), or any independent regulatory agency.” 44 U.S.C. § 3502(1).

<sup>7</sup> The OMB Control Number is two four-digit codes separated by a hyphen. The first four digits identify the sponsoring agency and bureau, and the second four digits identify the particular collection. The public can find OMB’s inventory of currently approved collections, with OMB control numbers, online at <http://www.reginfo.gov>.

<sup>8</sup> The PRA prohibits agencies from penalizing or denying a benefit to (1) those who fail to respond to Federal collections of information that do not display valid OMB control numbers and (2) those who have not been informed that a response is not required unless the collection of information displays a valid control number. Litigants may raise these public protections at any time during an administrative process or judicial action. See 44 U.S.C. § 3512(b); *Center for Auto Safety v. NHTSA*, 244 F.3d 144 (D.C. Cir. 2001); *Saco River Cellular Inc. v. FCC*, 133 F.3d 25 (D.C. Cir. 1998).

<sup>9</sup> Please see OIRA’s website: [http://www.whitehouse.gov/omb/inforeg\\_default/](http://www.whitehouse.gov/omb/inforeg_default/).

<sup>10</sup> 5 C.F.R. 1320.3(h).

<sup>11</sup> See 5 C.F.R. 1320.3(c).

<sup>12</sup> 44 U.S.C. § 3502(3)(A)(i). Under the PRA, “person” means “an individual, partnership, association, corporation, business trust, or legal representative, an organized group of individuals, a State, territorial, tribal, or local government or branch thereof, or a political subdivision of a State, territory, tribal, or local government or a branch of a political subdivision.” 44 U.S.C. § 3502(10).

of counting the number of respondents, agencies should consider the number of respondents within any 12 month period. If a collection of information is addressed to all or a substantial majority of an industry or sector in a 12 month period, that collection is presumed to be addressed to ten or more persons.<sup>13</sup>

The requirements of the PRA apply to voluntary collections as well as to mandatory collections and collections required to obtain a Federal benefit (e.g., a job, a grant, a contract).<sup>14</sup> In implementing program activities, agencies should be aware of the applicability of the PRA and address PRA compliance in sufficient time to solicit and respond to public comment.<sup>15</sup>

#### What does not count as information under the PRA?

OMB regulations specify a number of items that are generally not “information” under the PRA.<sup>16</sup> Important examples are

- affidavits, receipts, changes of address, or consents;
- tests of the aptitude, abilities, or knowledge of persons; and
- facts or opinions that are (1) submitted in response to general solicitations of public comments,<sup>17</sup> (2) addressed to a single person, (3) obtained or solicited at or in connection with public hearings or meetings, (4) obtained through direct observation by the agency (e.g., through visual inspection to determine how long it takes for people to complete a specific transaction), or (5) obtained from participants in clinical trials (which typically do not involve answers to “identical questions”).

It is worth emphasizing that facts or opinions obtained in connection with public meetings do not count as “information.” This “public meeting” exception allows agencies to engage with the public on the Internet so long as the engagement is the functional equivalent of a public meeting (i.e., not a survey). In addition, it is important to underline that general solicitations, such as *Federal Register* notices, do not trigger the PRA. It follows that agencies may offer the public opportunities to provide general comments on discussion topics through the Internet. More generally, agencies may use social media and web-based technologies in a variety of specific ways without triggering the PRA.<sup>18</sup>

#### What information collections do not require OMB approval?

By statute, the PRA does not apply to some types of information collections. OMB approval is not required for information collections during a Federal criminal investigation or

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<sup>13</sup> 5 C.F.R. 1320.3(c)(4)(ii).

<sup>14</sup> See 44 U.S.C. § 3502(3); 5 C.F.R. 1320.3(c).

<sup>15</sup> Given that the required public comment periods total 90 days, agencies should plan for at least 90 days plus time to respond to comments and questions that arise during OMB review.

<sup>16</sup> 5 C.F.R. 1320.3(h). Please see the Appendix for the regulatory text.

<sup>17</sup> Documents such as Advance Notices of Proposed Rulemaking, Requests for Comments, Requests for Information, and Notices of Proposed Rulemaking are generally not information collections.

<sup>18</sup> For additional information, see OIRA Memorandum on Social Media, Web-Based Interactive Technologies, and the Paperwork Reduction Act, available at [http://www.whitehouse.gov/omb/inforeg\\_default/](http://www.whitehouse.gov/omb/inforeg_default/).

prosecution, during a civil action to which the United States is a party, or during the conduct of intelligence activities.<sup>19</sup> Agency collections from “agencies, instrumentalities, or employees of the United States” in their official capacities are generally not subject to the PRA, unless those collections are for “general statistical purposes.”<sup>20</sup> It is worth emphasizing that agencies may ask for facts and opinions of Federal employees without triggering the PRA.

#### What are the public notice and comment requirements for information collection requests?

To obtain the public’s input on an agency’s proposal to collect information, the PRA generally requires the agency to publish a 60-day notice in the *Federal Register* soliciting public comment on the agency’s proposed collection. The notice must include a specific request that the public evaluate whether the proposed collection of information is necessary; evaluate the accuracy of the agency’s estimate of the burden that the collection would impose on respondents; comment on how to enhance the quality, utility, and clarity of the information to be collected; and comment on how to minimize the burden of the collection of information.<sup>21</sup>

After conclusion of the 60-day comment period and the agency’s internal consideration of the public’s comments, the agency submits the collection to OMB and publishes a second *Federal Register* notice to announce the start of OMB review.<sup>22</sup> This second notice informs the public about how to submit comments to OMB and informs the public that OMB may act on the agency’s request only after the 30-day comment period has closed.



#### When and how may the public notice and comment requirements be reduced?

Under certain circumstances, an agency head or designee may request that it be permitted to seek expedited, or “emergency,” OMB review of an information collection request. When expedited review is granted, the agency must take all practicable steps to consult with members of the public, but OMB may modify or, if necessary, waive the public comment requirements.<sup>23</sup> And when review is expedited, OMB acts promptly through a suitably streamlined process, consistent with the purposes of the PRA.

OMB may grant expedited review if: “(i) Public harm is reasonably likely to result if normal clearance procedures are followed; (ii) An unanticipated event has occurred; or (iii) The use of normal clearance procedures is reasonably likely to prevent or disrupt the collection of

<sup>19</sup> 44 U.S.C. § 3518(c). Please see the Appendix for the statutory exemptions.

<sup>20</sup> 44 U.S.C. § 3502(3)(A).

<sup>21</sup> 44 U.S.C. § 3506(c)(2)(A). If a new information collection is associated with a proposed rule, OMB regulations require that only one notice be published. Agencies include this PRA notice in the preamble to the proposed rule and comments are directed to OMB. See 44 U.S.C. § 3506(c)(2)(B); 5 C.F.R. 1320.11.

<sup>22</sup> 44 U.S.C. § 3507(a)(1)(D).

<sup>23</sup> 5 CFR 1320.13(c) and (d).

information or is reasonably likely to cause a statutory or court ordered deadline to be missed.”<sup>24</sup> As these situations arise, agencies should consult with OIRA to select an approach that permits them to comply with the PRA while meeting their other obligations.<sup>25</sup>

An agency may also request a “generic clearance” in situations in which (a) there is a need for multiple, similar low-burden collections that do not raise substantive or policy issues and (b) the specifics of each collection cannot be determined until shortly before the data are to be collected. Generic clearances have proved useful for customer satisfaction surveys, focus group testing, and website usability surveys. To obtain a generic clearance, agencies provide the public with opportunity for comment as required by the PRA and provide all information that would allow for meaningful comment, including a description of the need for the collection, the general nature of the collection, an estimate of the overall burden, and a description of the methodologies that will be used to collect the data. Once approval is granted for the overall collection, individual collections that fall within the generic clearance are reviewed on an expedited basis and are not generally required to undergo further public comment. Agencies are encouraged to consult with their OMB desk officers before developing a generic clearance to determine if it is appropriate.

#### What does OMB evaluate during its review of proposed collections?

A central goal of OMB review is to help agencies strike a balance between collecting information necessary to fulfill their statutory missions and guarding against unnecessary or duplicative information that imposes unjustified costs on the American public. In this regard, OIRA evaluates whether the collection of information by the agency:

- is necessary for the proper performance of the functions of the agency, including whether the information has practical utility;<sup>26</sup>
- minimizes the Federal information collection burden, with particular emphasis on those individuals and entities most adversely affected; and
- maximizes the practical utility of and public benefit from information collected by or for the Federal Government.<sup>27</sup>

OIRA also reviews the extent to which the information collection is consistent with applicable laws, regulations, and policies related to privacy, confidentiality, security, information quality, and statistical standards. In addition, OMB coordinates efforts across Federal agencies in shared areas of interest and expertise.

Under the PRA, OMB may approve a collection for up to three years at one time.<sup>28</sup> To extend the expiration date of a collection, an agency must provide the public with an opportunity

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<sup>24</sup> 44 U.S.C. § 3507(j); 5 C.F.R. 1320.13(a)(2).

<sup>25</sup> This includes setting a schedule for when the agency will provide the public with opportunities for full notice and comment under the PRA.

<sup>26</sup> 44 U.S.C. § 3508.

<sup>27</sup> 44 U.S.C. § 3504.

to comment on the continuation of the collection, with the two notices described above, and resubmit the information collection request.<sup>29</sup> The public may have access to an inventory of currently approved agency collections at <http://www.reginfo.gov/public/do/PRAMain>.<sup>30</sup>

What resources are available to provide assistance?

OIRA provides guidance on its website<sup>31</sup> and makes its staff available to assist agencies in determining whether their activities are information collections under the PRA. When questions arise about the applicability of the PRA, an agency's internal resources, coordinated by the agency's Chief Information Officer, are the best sources for guidance and assistance. By working together, for example, OMB and the agencies have been able to minimize the number of PRA violations and to bring agencies into compliance when PRA violations occur. Finally, the PRA requires OMB to report to Congress annually on the Federal Government's major activities under the Act. This report, the Information Collection Budget (ICB), is available on OIRA's website.

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<sup>28</sup> 44 U.S.C. § 3507(g). Some approvals are for shorter periods of time. In the case of "emergency" requests, OMB approvals are limited to six months. 44 U.S.C. § 3507(j)(2).

<sup>29</sup> Agencies may also discontinue collections at any time by submitting a short request to OMB.

<sup>30</sup> To ensure that the public record is accurate, agencies must submit, and OMB must review, documentation of all proposed revisions to an active collection before those revisions may be implemented. If the agency is considering significant or substantive revisions to the collection, it must provide the public with an opportunity to comment on the proposed revisions, as it would with a new collection. For insignificant or non-substantive changes, the agency is not required to seek public comment.

<sup>31</sup> [http://www.whitehouse.gov/omb/inforeg\\_default/](http://www.whitehouse.gov/omb/inforeg_default/)

## Appendix

### Statutory Exemptions<sup>32</sup>

(1) Except as provided in paragraph (2), this subchapter shall not apply to the collection of information--

(A) during the conduct of a Federal criminal investigation or prosecution, or during the disposition of a particular criminal matter;

(B) during the conduct of--

(i) a civil action to which the United States or any official or agency thereof is a party; or

(ii) an administrative action or investigation involving an agency against specific individuals or entities;

(C) by compulsory process pursuant to the Antitrust Civil Process Act and section 13 of the Federal Trade Commission Improvements Act of 1980; or

(D) during the conduct of intelligence activities as defined in section 3.4(e) of Executive Order No. 12333, issued December 4, 1981, or successor orders, or during the conduct of cryptologic activities that are communications security activities.

(2) This subchapter applies to the collection of information during the conduct of general investigations (other than information collected in an antitrust investigation to the extent provided in subparagraph (C) of paragraph (1)) undertaken with reference to a category of individuals or entities such as a class of licensees or an entire industry.

### OMB Regulations

OMB regulations specify categories of items that are generally not “information” under the PRA.<sup>33</sup> These categories include:

- (1) Affidavits, oaths, affirmations, certifications, receipts, changes of address, consents, or acknowledgments; provided that they entail no burden other than that necessary to identify the respondent, the date, the respondent's address, and the nature of the instrument (by contrast, a certification would likely involve the collection of “information” if an agency conducted or sponsored it as a substitute for a collection of information to collect evidence of, or to monitor, compliance with regulatory standards, because such a certification would generally entail burden in addition to that necessary to identify the respondent, the date, the respondent’s address, and the nature of the instrument);
- (2) Samples of products or of any other physical objects;
- (3) Facts or opinions obtained through direct observation by an employee or agent of the sponsoring agency or through nonstandardized oral communication in connection with such direct observations;

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<sup>32</sup> 44 U.S.C. § 3518(c).

<sup>33</sup> 5. C.F.R. 1320.3(h).

- (4) Facts or opinions submitted in response to general solicitations of comments from the public, published in the *Federal Register* or other publications, regardless of the form or format thereof, provided that no person is required to supply specific information pertaining to the commenter, other than that necessary for self-identification, as a condition of the agency's full consideration of the comment;
- (5) Facts or opinions obtained initially or in follow-on requests, from individuals (including individuals in control groups) under treatment or clinical examination in connection with research on or prophylaxis to prevent a clinical disorder, direct treatment of that disorder, or the interpretation of biological analyses of body fluids, tissues, or other specimens, or the identification or classification of such specimens;
- (6) A request for facts or opinions addressed to a single person;
- (7) Examinations designed to test the aptitude, abilities, or knowledge of the persons tested and the collection of information for identification or classification in connection with such examinations;
- (8) Facts or opinions obtained or solicited at or in connection with public hearings or meetings;
- (9) Facts or opinions obtained or solicited through nonstandardized follow-up questions designed to clarify responses to approved collections of information; and
- (10) Like items so designated by OMB.



ADMINISTRATOR  
OFFICE OF  
INFORMATION AND  
REGULATORY  
AFFAIRS

EXECUTIVE OFFICE OF THE PRESIDENT

OFFICE OF MANAGEMENT AND BUDGET  
WASHINGTON, D.C. 20503

April 7, 2010

MEMORANDUM FOR THE HEADS OF EXECUTIVE DEPARTMENTS AND AGENCIES,  
AND INDEPENDENT REGULATORY AGENCIES

FROM:

Cass R. Sunstein  
Administrator

SUBJECT:

Social Media, Web-Based Interactive Technologies, and the Paperwork  
Reduction Act

On January 21, 2009, the President issued a memorandum calling for the establishment of “a system of transparency, public participation, and collaboration.” The memorandum required an Open Government Directive to be issued by the Director of the Office of Management and Budget (OMB), instructing “executive departments and agencies to take specific actions implementing the principles set forth in this memorandum.”

Implementing the President’s memorandum, OMB’s Open Government Directive requires a series of measures to promote the commitments to transparency, participation, and collaboration. Section 4 of the Directive specifically instructs the Administrator of the Office of Information and Regulatory Affairs (OIRA) to “review existing OMB policies, such as Paperwork Reduction Act guidance and privacy guidance, to identify impediments to open government and to the use of new technologies and, where necessary, issue clarifying guidance and/or propose revisions to such policies, to promote greater openness in government.”

This Memorandum responds to that requirement. Animated by the goal of promoting flexible and open interactions between Federal agencies and the public, it clarifies when and how the Paperwork Reduction Act of 1995 (the PRA)<sup>1</sup> applies to Federal agency use of social media and web-based interactive technologies. It explains that under established principles, the PRA does not apply to many uses of such media and technologies.

To engage the public, Federal agencies are expanding their use of social media and web-based interactive technologies. For example, agencies are increasingly using web-based technologies, such as blogs, wikis, and social networks, as a means of “publishing” solicitations for public comment and for conducting virtual public meetings. This Memorandum explains that

<sup>1</sup> 44 U.S.C. chapter 35; see 5 CFR Part 1320.

certain uses of social media and web-based interactive technologies will be treated as equivalent to activities that are currently excluded from the PRA.<sup>2</sup>

Notably, OMB's regulations implementing the PRA exclude facts or opinions provided in response to general solicitations published in the *Federal Register* or other publications. As agencies increasingly use web-based technologies as a means of "publishing" such solicitations, OMB believes that it is appropriate to exclude these activities as well. This Memorandum identifies a series of other activities that, consistent with the text and purposes of the PRA, OMB has determined may be excluded from its purview. Such activities include many uses of wikis, the posting of comments, the conduct of certain contests, and the rating and ranking of posts or comments by website users.

This Memorandum applies whether agency interactions are occurring on a .gov website or on a third-party platform. OMB continues to recommend that agency staff members, including web staff, consult with their Chief Information Officer, agency paperwork clearance officer, agency counsel, agency privacy officials, and OIRA to ensure that all relevant laws and policies are followed.

## **Background**

The PRA applies to the collection of information "regardless of form or format."<sup>3</sup> It follows that the PRA applies to the collection of information through the use of social media and web-based interactive technologies. When sponsoring an information collection online, or in any other form or format, agencies must comply with the PRA's requirement to maximize the utility of information collected, maintained, used, shared, and disseminated while minimizing the burden imposed on the public.<sup>4</sup>

The PRA does not expressly define "information." OMB's regulations implementing the PRA define "information" as "any statement or estimate of fact or opinion, regardless of form or format, whether in numerical, graphic, or narrative form, and whether oral or maintained on paper, electronic or other media."<sup>5</sup> In defining "information," OMB regulations specifically exclude several types of activities, three of which are especially relevant to agency uses of social media and web-based interactive technologies to promote the goals of open government:

- **General Solicitations.** 5 C.F.R. 1320.3(h)(4) excludes "facts or opinions submitted in response to general solicitations of comments from the public, published in the Federal

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<sup>2</sup> Nothing in this Memorandum should be read to alter agency obligations under existing law, including the Administrative Procedure Act, the Privacy Act, and the Federal Records Act. Agencies should continue to comply with all applicable OMB memoranda when using web-based technologies, including but not limited to M-05-04, "Policies for Federal Agency Public Websites," Information Quality Act; OMB Circular A-130 - Management of Federal Information Resources; Clinger-Cohen Act of 1996; and the E-Government Act of 2002. OMB also advises agencies to consider resource limitations, per 5 C.F.R. 1320.9(h), in the use of social media and web-based interactive technologies. In these and other areas, agencies shall comply with all applicable laws, regulations, and policies that pertain to privacy.

<sup>3</sup> 44 U.S.C. § 3502(3)(A).

<sup>4</sup> See 44 U.S.C. § 3501.

<sup>5</sup> 5 C.F.R. 1320.3(h).

Register or other publications, regardless of the form or format thereof, provided that no person is required to supply specific information pertaining to the commenter, other than that necessary for self-identification, as a condition of the agency's full consideration of the comment."

- **Public Meetings.** 5 C.F.R. 1320.3(h)(8) excludes certain "facts or opinions obtained or solicited at or in connection with public hearings or meetings."
- **Like Items.** 5 C.F.R. 1320.3(h)(10) reserves general authority for OMB to identify other "like items" that are not "information."

#### Applicability of the PRA to social media and web-based interactive technologies.

Agencies and members of the public have asked whether uses of social media and web-based interactive technologies are information collections subject to the PRA. Although certain uses of such media and technologies unquestionably count as information collections, many do not. This section of this Memorandum discusses several web-based activities and whether they are subject to the information collection provisions of the PRA. (Items collected by third party websites or platforms that are not collecting information on behalf of the Federal Government are not subject to the PRA.)

Regardless of whether a particular activity is a collection of information under the PRA, agencies have an obligation to manage information resources to "improve the integrity, quality and utility of information to all users within and outside the agency."<sup>6</sup> With social media and web-based interactive technologies, agencies should be aware that their activities may create new Federal information that will need to be managed like other agency information resources.<sup>7</sup> For example, some uses of social media may present novel records management issues.<sup>8</sup>

#### **General Solicitations**

Under the general solicitations exclusion, the PRA does not apply to notices published in the *Federal Register* or other publications that request public comments on proposed regulations, or any general requests for comments "regardless of the form or format thereof."<sup>9</sup>

A general solicitation may have a degree of specificity. For example, a general solicitation may pose a series of specific questions designed to elicit relevant public feedback; but the solicitation may not be a survey and the responses should be unstructured. Unstructured solicitations, such as those found in the preambles of proposed rules published in the *Federal Register*, give members of the public the option of replying to some or all of the questions in the manner they prefer (e.g., open-ended questions rather than selections from a list of choices).

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<sup>6</sup> 44 U.S.C. § 3506(b)(1).

<sup>7</sup> See 44 U.S.C. § 3506.

<sup>8</sup> On December 22, 2009, the National Archives and Records Administration (NARA) issued a memorandum to agencies that provided advice on implementing records management requirements of the Open Government Directive: <http://www.archives.gov/records-mgmt/memos/nwm04-2010.html>.

<sup>9</sup> 5 CFR 1320.3(h)(4).

Similarly, agencies may offer the public opportunities to provide general comments on discussion topics through other means, including but not limited to social media websites; blogs; microblogs; audio, photo, or video sharing websites; or online message boards (whether hosted on a .gov domain or by a third-party provider).

If, however, agencies post surveys of any kind, including web polls and satisfaction surveys that pose identical, specific questions (including through pop-up windows),<sup>10</sup> the PRA does apply.<sup>11</sup> These surveys, like in-person, mail, or telephone surveys, are subject to the public notice and comment requirements of the PRA and must have OMB approval before use.

#### Feedback requests.

Under existing OMB policy, agency uses of general or undifferentiated “suggestion boxes” are not covered by the PRA. Similarly, an agency does not trigger the PRA’s requirements when it posts its email address or uses an application for brainstorming or idea-generating on its website to enable the public to submit feedback. However, if an agency requests information from respondents beyond name and email or mailing address (e.g., age, sex, race/ethnicity, employment, or citizenship status), this request is covered by the PRA because it seeks information beyond what is “necessary” for self-identification of the respondent.

If an agency asks the public to respond to a series of specific questions or a series of specific prompts that gather information (e.g., for purposes of aggregation or survey) about whether, for example, a particular program is or is not effective, the collection of information is subject to the PRA. However, the PRA does not apply to posts that allow members of the public to provide general or unstructured feedback about a program (such as a standard *Federal Register* notice, a request for comments on a report or proposed initiative, or a request for ideas, comments, suggestions, or anything else that might improve the program).

#### Electronic subscriptions to agency notifications or publications.

OMB does not consider mailing addresses collected for agency mailing lists to be information subject to the PRA. Similarly, an agency is not collecting information when it collects email addresses for agency updates, alerts, publications, or email subscription services; mobile phone numbers for text notification lists; or addresses for RSS feeds, which allow individuals to customize and subscribe to updates from websites.

If, however, the agency requests a member of the public to provide additional information (e.g., age, sex, race/ethnicity, employment, or citizenship status<sup>12</sup>) beyond what is necessary to ensure proper transmission of responses, the collection of that additional information is covered under the PRA. As with non-electronic mailing lists, the use of email

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<sup>10</sup> Agencies are encouraged to contact the relevant OIRA desk officer to explore whether a generic clearance may be appropriate for some of these activities.

<sup>11</sup> Online trivia contests are not subject to the PRA under 5 C.F.R. 1320.3(h)(7), which excludes “examinations designed to test the aptitude, abilities, or knowledge.”

<sup>12</sup> This list, used here and elsewhere in this guidance, is illustrative but not exhaustive.

lists to survey subscribers (about, for example, satisfaction with government program design) is an information collection under the PRA.

If an agency authorizes website users to share content, such as “send to a friend” using a web form, this authorization is not covered by the PRA unless the agency collects the “friend’s” email address or user name to use it for some purpose other than sharing the content selected by the sender. Agencies should provide notice to users on the web form if they intend to retain email addresses for future use.

### **Public Meetings**

Under current OMB policy, agencies do not trigger the PRA’s requirements by hosting a public meeting. For purposes of the PRA, OMB considers interactive meeting tools—including but not limited to public conference calls, webinars, blogs, discussion boards, forums, message boards, chat sessions, social networks, and online communities—to be equivalent to in-person public meetings.

However, activities that go beyond the scope of in-person public meetings or hearings are subject to the PRA. For example, focus groups, whether conducted in person or done via webinar, are subject to the PRA. Similarly, if an agency takes the opportunity of a public meeting to distribute a survey, or to ask identical questions of 10 or more attendees, the questions count as an information collection.<sup>13</sup>

### **Wikis and collaborative drafting platforms.**

Wikis are an example of a web-based collaboration tool that generally does not trigger the PRA because they merely facilitate interactions between the agencies and the public.<sup>14</sup> However, some uses of wiki technologies are covered by the PRA, such as using a wiki to collect information that an agency would otherwise gather by asking for responses to identical questions (e.g., posting a spreadsheet into which respondents are directed to enter compliance data).

### **Like Items**

Under its authority to identify other “like items” that are not “information,” OMB does not consider responses gathered from the following types of questions or solicitations to be “information” subject to the PRA:

- **Items collected to create user accounts or profiles for agency websites.**

Agencies are free to offer website users the option of creating user accounts or profiles. When doing so, agencies may request an email address, username, password, and geographic location (e.g., State, region, or ZIP code) for account registration. The collection of such self-

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<sup>13</sup> Note, however, that requests for attendee names and geographical location (e.g., state, region, or ZIP code) are not information collections under the PRA.

<sup>14</sup> Wikis and other web-based collaboration tools that are limited to internal agency use are exempt from the PRA. Also exempt is cross-agency use of wikis.

identifying information is not subject to the PRA. However, if the agency permits users to create accounts or profiles and collects additional information to establish the account or profile (e.g., age, sex, race/ethnicity, employment, or citizenship status), the request is subject to the PRA because this additional information is beyond what is necessary for self-identification during account registration. Similarly, when agencies use online accounts to collect information for programmatic purposes—by using, for example, the online Free Application for Federal Student Aid (FAFSA) to determine eligibility for student aid—the PRA applies.

- **Items collected to allow users to customize or influence the appearance of an agency website.**

When agencies permit website users to customize or influence the appearance of an agency website, the items collected to permit this customization are generally not subject to the PRA. This category includes faceted navigation, which permits website users to filter website content. For example, a website might offer a user the option of selecting from a list of topics as a means of customizing the presentation of information; responses to such offers are not “information” under the PRA. Similarly, an agency may link and/or store faceted navigation preferences (e.g., in a user profile) without triggering the PRA. However, information that is collected beyond what is necessary to navigate or customize a website is subject to the PRA.<sup>15</sup> (In these and all other areas, agencies shall comply with all applicable laws, regulations, and policies that pertain to privacy.)

- **Ratings and rankings.**

Ratings and rankings of postings or comments by website users are not considered “information” under the PRA. More broadly, “information” does not include functions common to social media tools that allow the public to rate, rank, vote on, flag, tag, label, or similarly assess the value of ideas, solutions, suggestions, questions, and comments posted by website users. For example, providing users with the ability to rate comments through a thumbs-up/thumbs-down voting feature or through numerical ratings (e.g., scale of one to five) on an agency-sponsored blog is not subject to the PRA. Data gathered to create tag clouds are also not subject to the PRA, including tags created by users or user selections from an agency-provided list of potential tags.

OMB recommends, however, that agencies exercise good judgment and caution when using rankings, ratings, or tagging. Specifically, agency use of the information generated by these tools should be limited to organizing, ranking, and sorting comments. Because, in general, the results of online rankings, ratings, and tagging (e.g., number of votes or top rank) are not statistically generalizable, they should not be used as the basis for policy or planning. Moreover, agency use and dissemination of the information produced by rankings, ratings, and tagging must comply with applicable Information Quality Act guidelines.

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<sup>15</sup>Agencies might also have ongoing programs to test and improve the appearance and functionality of agency websites. One aspect of these programs may involve routinely collecting input from website users. Agencies are encouraged to contact the relevant OIRA desk officer to explore whether a generic clearance may be appropriate for these activities.

- **Items necessary to complete a voluntary commercial transaction.**

If an agency collects information that is necessary for the selection, payment, or delivery of an item, or to identify the person ordering an item, such information is not subject to the PRA if used solely for the purpose of completing a commercial transaction. Similarly, agency use of web-based applications to conduct such transactions is not subject to the PRA.

For example, if the Federal Government sells or gives away maps, information about a person's shipping address and requested format is not "information" within the meaning of the PRA. Similarly, credit card or other payment information necessary to complete a sale is not information for such purposes. However, if information is required or requested about a person's qualifications to participate in the transaction (e.g., a person's employment status as a member of law enforcement) or a person's sex or age, the information is subject to the PRA if it is beyond what is necessary to complete the sale.

- **Contests.**

An agency might ask the general public for ideas for improving current practices under a statute that it administers, for potential solutions to a scientific, technological, social, or other problem, or for innovations (e.g., video and software applications) that might advance an agency's mission. These general requests do not become subject to the PRA merely because they take the form of a contest, or because the agency announces that it will give a prize to the best submissions.<sup>16</sup> It follows that, for example, essay or video contests that permit respondents to create their own submissions are not covered by the PRA if no additional information is collected for the contest beyond what is necessary to contact the entrants. As noted above, rankings, ratings, or votes submitted by website users to determine a winner are not "information" subject to the PRA.

If, however, a contest takes the form of a structured response (i.e., a series of questions that entrants must answer to take part in the contest), or if it collects demographic information about the entrants, the information collected as a part of the contest is covered by the PRA. An agency may consider a generic clearance if it has a plan for regularly using this type of contest to encourage input from the public.<sup>17</sup>

### **What resources are available to provide assistance?**

OIRA provides guidance on its website<sup>18</sup> and makes its staff available to assist agencies in determining whether their activities are information collections under the PRA. When questions arise about the applicability of the PRA, an agency's internal resources, coordinated by the agency's CIO or paperwork clearance officer, are the best sources for guidance and assistance. Agencies are encouraged to consult with OIRA desk officers for additional clarification and guidance about specific questions that arise.

<sup>16</sup> Any contests or prizes must comply with applicable law, regulations, and policies, including OMB guidance.

<sup>17</sup> Agencies are encouraged to contact the relevant OIRA desk officer to explore this option.

<sup>18</sup> [http://www.whitehouse.gov/omb/inforeg\\_default/](http://www.whitehouse.gov/omb/inforeg_default/).



ADMINISTRATOR  
OFFICE OF  
INFORMATION AND  
REGULATORY  
AFFAIRS

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

May 28, 2010

MEMORANDUM FOR THE HEADS OF EXECUTIVE DEPARTMENTS AND AGENCIES,  
AND INDEPENDENT REGULATORY AGENCIES

FROM:

Cass R. Sunstein  
Administrator

SUBJECT:

Paperwork Reduction Act – Generic Clearances

On January 21, 2009, the President issued a memorandum calling for the establishment of “a system of transparency, public participation, and collaboration.” The memorandum required an Open Government Directive to be issued by the Director of the Office of Management and Budget (OMB), instructing “executive departments and agencies to take specific actions implementing the principles set forth in this memorandum.”

Following the President’s memorandum, OMB’s Open Government Directive requires a series of measures to promote the commitments to transparency, participation, and collaboration. Section 4 of the Directive specifically instructs the Administrator of the Office of Information and Regulatory Affairs (OIRA) to “review existing OMB policies, such as Paperwork Reduction Act guidance and privacy guidance, to identify impediments to open government and to the use of new technologies and, where necessary, issue clarifying guidance and/or propose revisions to such policies, to promote greater openness in government.”

In accordance with the Open Government Directive’s call for clarifying guidance, this Memorandum outlines the availability and uses of “generic” Information Collection Requests (ICRs). Clearances of generic ICRs provide a significantly streamlined process by which agencies may obtain OMB’s approval for particular information collections—usually voluntary, low-burden, and uncontroversial collections. Generic ICRs are a useful way for agencies to meet the obligations of the Paperwork Reduction Act of 1995 (PRA)<sup>1</sup> while eliminating unnecessary burdens and delays. They can be used for a number of information collections, including methodological testing, customer satisfaction surveys, focus groups, contests, and website satisfaction surveys.

**What is a generic ICR and when is it appropriate?**

<sup>1</sup> 44 U.S.C. chapter 35; see 5 CFR Part 1320.

Before a Federal agency may collect information or sponsor the collection of information from the public, the PRA requires the agency (1) to seek public comment on proposed collections and (2) to submit proposed collections to OMB for review and approval.<sup>2</sup> A generic ICR is a request for OMB approval of a plan for conducting more than one information collection using very similar methods when (1) the need for and the overall practical utility of the data collection can be evaluated in advance, as part of the review of the proposed plan, but (2) the agency cannot determine the details of the specific individual collections until a later time. Most generic clearances cover collections that are voluntary, low-burden (based on a consideration of total burden, total respondents, or burden per respondent), and uncontroversial. A generic clearance may cover multiple Federal agencies, with one agency as the lead.

An agency might, for example, have a general plan to gather views from the public through a series of customer satisfaction surveys in which the agency asks the public about certain agency activities. As part of this plan, the agency would construct, distribute, and analyze the surveys in a similar manner, and the agency would customize each survey. Because the agency sought public comment on the plan, it would not need to seek public comment on each specific information collection that falls within the plan. Instead, agencies need only obtain OMB approval for the specific information collection after a typically brief period of review, subject to the terms of the generic clearance developed during prior OMB review.

In compliance with the PRA's public notice requirements,<sup>3</sup> this general plan would be subject to the standard 60- and 30-day public comment periods. These comment periods provide the public with the opportunity to engage with Federal agencies while they are developing their information collection plans. Examples of currently approved generic clearances are available in the Appendix.

### **What is the process to request a generic clearance?**

Because a generic ICR does not permit the public to examine the details of each individual collection, the supporting statement should describe these activities as carefully and completely as possible,<sup>4</sup> including a discussion of the following:

- the method of collection and, if statistical methods will be used, a discussion of the statistical methodology;

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<sup>2</sup> Additional background information on the PRA is provided in OMB's memorandum of April 7, 2010, on "Information Collection under the Paperwork Reduction Act;" available at [http://www.whitehouse.gov/omb/assets/inforeg/PRAPrimer\\_04072010.pdf](http://www.whitehouse.gov/omb/assets/inforeg/PRAPrimer_04072010.pdf).

<sup>3</sup> 44 U.S.C. § 3506(c)(2)(A); 44 U.S.C. § 3507(a)(1)(D). As with all information collection requests, the public notice must ask the public to evaluate whether the proposed collection of information is necessary; to assess the accuracy of the agency's burden estimate; to comment on how to enhance the quality, utility, and clarity of the information to be collected; and to comment on how to minimize the burden of the collection of information. 44 U.S.C. § 3506(c)(2)(A).

<sup>4</sup> Both OMB and the agency have a large stake in the adequacy of the plan. Time and attention devoted to development and review of the plan will avoid questions and controversies at other stages of OMB review and allow for meaningful public comment. A generic ICR that proposes generally to "survey" the public or to "interact" with the public via a website is not sufficient, because it does not explain to the public how the agency plans to engage with the public or how the information will be used.

- the category (or categories) of respondents;
- the estimated “burden cap,” i.e., the maximum number of burden hours (per year) for the specific information collections, and against which burden will be charged for each collection actually used;
- the agency’s plans for how it will use the information collected;
- the agency’s plans to obtain public input regarding the specific information collections (i.e., consultation); and
- the agency’s internal procedures to ensure that the specific collections comply with the PRA, applicable regulations, and the terms of the generic clearance.<sup>5</sup>

The agency should include sufficient information in the supporting statement (and any other material presented for public comment and submitted to OMB as part of the request for approval) to allow OMB to determine whether “the collection of information by the agency is necessary for the proper performance of the functions of the agency, including whether the information shall have practical utility,”<sup>6</sup> and thus to approve the generic ICR. Once approved by OMB, a generic ICR becomes a generic clearance that may remain in place for up to the PRA’s maximum approval period of three years.<sup>7</sup>

After an agency’s plan is approved, the agency submits specific information collections (e.g., individual focus group scripts, test questions, surveys) to OMB for review, in accordance with the terms of clearance set upon approval of the plan. These specific information collections are included in the PRA public docket<sup>8</sup> prior to their use. If the specific information collection falls outside the scope of the generic clearance or is otherwise inconsistent with the terms of the generic clearance, OMB will return the proposed information collection to the agency for additional consideration or require that the full PRA process be followed, including public notice and comment, for the review and approval of that information collection.

### **What resources are available to provide assistance?**

An agency’s internal resources, coordinated by the agency’s Chief Information Officer or paperwork clearance officer, are often the best sources for guidance and assistance, and can provide information on an agency’s experience with generic clearances. OIRA provides PRA guidance on its website,<sup>9</sup> and OIRA staff are available to help agencies determine how to prepare and implement generic clearances. To determine whether their plans are appropriate for this type of approval, agencies are encouraged to consult with their OIRA desk officers before submitting a generic clearance.

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<sup>5</sup> For collections involving statistical methods (e.g., if the generic clearance will include quantitative surveys), involvement by a professional statistician within the agency will be appropriate (to the extent feasible).

<sup>6</sup> 44 U.S.C. § 3508.

<sup>7</sup> See 44 U.S.C. § 3507(g).

<sup>8</sup> <http://www.reginfo.gov/public/do/PRAMain>

<sup>9</sup> [http://www.whitehouse.gov/omb/inforeg\\_default/](http://www.whitehouse.gov/omb/inforeg_default/)

## Appendix: Sample Generic Clearances

### Currently Approved Generic Clearances

OMB has approved many generic clearances for agencies, including the following:<sup>10</sup>

#### *Methodological Testing or Other Pretesting*

Agencies that regularly do pretesting and development work for multiple surveys have found it beneficial to obtain a generic clearance for these kinds of studies, including cognitive interviews, focus groups, and respondent debriefings. This type of generic clearance can be useful when an agency knows that methodological research will be needed (e.g., questionnaire development or testing of new survey questions to address emerging policy issues), but cannot fully predict the specific surveys or sections of a survey for which testing will be needed. Agencies may also find a generic clearance useful for preliminary tests designed to sharpen the options for survey planning or feasibility tests to determine if any further data collection might be useful. A generic clearance can also greatly facilitate iterative rounds of testing. For example, the Census Bureau and the Bureau of Labor Statistics have had this kind of generic clearance for many years and have used it to conduct pretesting of new and existing surveys, as well as other basic methodological research to gain insight into aspects of data quality.<sup>11</sup>

#### *Focus Groups*

Agencies occasionally host focus groups to explore program or customer service issues that arise from time to time. The supporting materials for these types of generic ICRs should include an explanation of how an agency generally plans to use such focus groups, with details including the kinds of topics to be covered, the typical duration of focus groups, and any planned incentives that the focus group participants will receive. Each specific information collection should include documentation of the subject and goals of the focus group activity as well as the facilitator's script. As noted, some agencies incorporate focus groups into their pretesting generic clearances.

#### *Message Development and Testing*

When agencies seek to develop messages for media or educational campaigns, they often conduct research to create messages that different target audiences will find clear, attractive, interesting, and useful. These messages are often developed and tested through iterative rounds of focus groups and one-on-one interviews with small samples. As with the generic clearance for methodological pretesting, agencies are often in a position to specify the methodological approach in advance, but may not be able to provide the specific substance or perhaps even subject areas where testing will be needed. For example, the Office of National Drug Control

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<sup>10</sup> OMB Control Numbers for the examples are provided in this Appendix; they may be used to view the supporting statement(s), terms of clearance, and other supporting materials in the public docket available at <http://www.reginfo.gov/public/do/PRAMain>. These references are included to assist agencies seeking examples. This is merely an illustrative list, and agencies are encouraged to consult with OMB on other proposed activities.

<sup>11</sup> The Census Bureau's generic clearance for pretesting is 0607-0725; the Bureau of Labor Statistics' generic clearance for pretesting is 1220-0141.

Policy,<sup>12</sup> and the Census Bureau<sup>13</sup> have used this kind of generic clearance to develop and test media campaign messages, and a generic clearance has been used by the Centers for Disease Control and Prevention<sup>14</sup> to develop and test different kinds of health messages for educational campaigns.

### *Customer Satisfaction Surveys*

Customer satisfaction surveys are a valuable method for learning about agency products and services from a customer's perspective. Such surveys can provide important insights into customer judgments about an agency's performance. In particular, they can help identify agency operations that need improvement and promote early detection of problems.

In response to agencies' need to conduct customer surveys, OMB has developed a generic clearance model for such surveys. This form of generic clearance is available for strictly voluntary collections of information from customers who have experience with the program that is the subject of each collection.<sup>15</sup> Agency proposals for this type of generic clearance should include a description of the kinds of customer surveys the clearance will cover (e.g., phone surveys, in-person interviews, website surveys), as well as the agency program(s) they will address.

Agencies take several approaches to customer satisfaction surveys. Some agencies use a generic clearance to gather strictly qualitative information for internal use by providing an opportunity for all of their customers to provide comments and answer a small number of questions. Other agencies conduct sample surveys of customers and use a more quantitative approach. Agencies may prefer to use a "core" satisfaction survey with many programs, customized for different groups by including specific questions related to a particular service or publication they use.<sup>16</sup>

Two generic clearances that have been operating for several years were developed by the National Park Service (NPS) and the Internal Revenue Service (IRS). The NPS built its own catalog of tested questions covering a broad spectrum of issues involved in operating a national park. The NPS generic clearance<sup>17</sup> also includes several approved methods (i.e., sample designs) for administering the questions to respondents. The components of this plan were developed with considerable effort and extensive consultation with OMB to provide flexibility to the local

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<sup>12</sup> 3201-0006.

<sup>13</sup> 0607-0950.

<sup>14</sup> 0920-0572.

<sup>15</sup> This type of generic clearance is not appropriate (1) for use by regulatory agencies to survey regulated entities in situations in which the respondent may perceive risks to his or her interests, either through potential penalties or loss of benefits or (2) for collecting data from the general public (as opposed to customers).

<sup>16</sup> Some agencies participate in the government-wide American Customer Satisfaction Index (ACSI) survey clearance, which is administered by the Federal Consulting Group (FCG) in the National Business Center (NBC) in the Interior Department (1090-0007). FCG prepares the general plan for public comments and OMB review every three years, works with agencies to customize the surveys, and handles the submission of the specific information collections to OMB. As a shared service provider, FCG undertakes this work on behalf of agencies under a fee-for-service relationship that includes the survey, data collection, modeling, analysis, and reporting of the results.

<sup>17</sup> 1024-0224.

managers of national parks. Using this tool, managers can quickly assemble surveys in “kit” form to address current problems and charge the reporting burden against the burden cap of the generic clearance.

The IRS has a well-established program of customer satisfaction measurement<sup>18</sup> that stipulates specific methods, including professional design, adequate follow-up, and a commitment to high response rates. The model covers opinion questions only and includes steps to ensure that response is perceived as purely voluntary. In this generic clearance, qualitative and quantitative data collections are managed together.

### *Website Satisfaction Surveys*

Many agencies have ongoing programs to improve the appearance and functionality of their websites. One part of these programs can involve the gathering of information from website users. In this context, the agency is sometimes not seeking (and does not need) quantitative, representative, or generalizable results, but instead qualitative, anecdotal information to help target areas for website improvement. For example, an agency might host a survey to gather ideas about how website users react to a redesigned website.<sup>19</sup> Using a generic clearance, an agency could establish a plan for periodic surveys of website users to obtain feedback on different aspects of the website, without having to know in advance which specific aspects of the website will be the subject of the surveys.<sup>20</sup>

### *Prize Competitions and Contests*

Agencies might have a plan to sponsor a series of prize competitions or contests—for example, to collect ideas for improving programs, to promote innovation, or to encourage broad social participation.<sup>21</sup> Some competitions are not subject to the PRA (if no additional information is collected beyond what is necessary to contact the entrant), but a contest in which entrants provide demographic information or responses to a structured set of questions is generally subject to the PRA. An agency might consider a generic clearance if it has a plan to use a series of these kinds of competitions or contests to encourage input from the public. For example, the Department of Education recently sought public comments on its proposal to run up to four outreach contests per year.

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<sup>18</sup> 1545-1432.

<sup>19</sup> Similar to the ACSI survey clearance noted above, FCG administers a generic clearance for website satisfaction surveys (1090-0008). This is also managed by FCG using a fee-for-service model. Service includes survey, modeling, analysis, and reporting.

<sup>20</sup> Please note that (1) general solicitations for feedback (e.g., online “suggestion boxes”) about website functionality and (2) website customization such as faceted navigation are not subject to the PRA. See “Social Media, Web-Based Interactive Technologies, and the Paperwork Reduction Act,” available at [http://www.whitehouse.gov/omb/assets/inforeg/SocialMediaGuidance\\_04072010.pdf](http://www.whitehouse.gov/omb/assets/inforeg/SocialMediaGuidance_04072010.pdf) (pages 4 and 6).

<sup>21</sup> Two recent guidance documents provide additional information on prize competitions and contests. See “Guidance on the Use of Challenges and Prizes to Promote Open Government,” available at [http://www.whitehouse.gov/omb/assets/memoranda\\_2010/m10-11.pdf](http://www.whitehouse.gov/omb/assets/memoranda_2010/m10-11.pdf); “Social Media, Web-Based Interactive Technologies, and the Paperwork Reduction Act,” available at [http://www.whitehouse.gov/omb/assets/inforeg/SocialMediaGuidance\\_04072010.pdf](http://www.whitehouse.gov/omb/assets/inforeg/SocialMediaGuidance_04072010.pdf).

## **About OIRA**

The Paperwork Reduction Act of 1980 (Pub. L. No. 96-511) and its successor, the Paperwork Reduction Act of 1995 (Pub. L. No. 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. OIRA also coordinates Federal statistical policies and resources and is responsible for the review of agency rulemaking activity under Executive Order 12866. The Administrator of OIRA is appointed by the President and confirmed by the Senate.

Principal contributors to this report were Shagufta Ahmed, William Tucker, and Michael Johnson. If you have questions about any of the information collections discussed in this report, please visit our website at [www.RegInfo.gov](http://www.RegInfo.gov). OIRA's Records Management Center is also open to the public by appointment. Call, write, or fax to arrange an appointment:

OIRA Records Management Center  
Office of Management and Budget  
New Executive Office Building, Room 10102  
Washington, DC 20503  
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Please include the OMB numbers of the collections about which you inquire.