

Managing Information Collection and Dissemination



FISCAL YEAR 2003

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

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Executive Summary

The Paperwork Reduction Act requires OMB to report to Congress on the paperwork burden imposed on the public by the Federal government and efforts to reduce this burden. As in previous years, the overall paperwork burden increased in 2002, from 7.65 billion hours in 2001 to 8.22 billion, an increase of nearly 8 percent. There are many factors contributing to this increase, including changes beyond agency control (such as statutory requirements and demographic trends), corrections of violations, and changes due to actions by the agencies.

In addition to an accounting of burden hours for the 2002 fiscal year, this report highlights the following issues:

- the relationship of paperwork burden to statutory changes and other factors outside agency control;
- increased agency compliance with the Paperwork Reduction Act;
- IRS efforts to reduce the paperwork burden it imposes (which accounts for nearly 80 percent of all burden);
- the impact of the Administration's E-Government initiatives on paperwork burden; and
- the agencies' initiatives to reduce paperwork burden.

Perhaps the most important finding of the report is that Federal agencies reported a *net decrease* in burden hours—approximately 2 million hours—due to activities within their control. OMB considers activities within an agency's discretion to be the most accurate measure of agency information collection activity, rather than changes due to violations or statutes. It appears that the agencies are taking constructive steps toward reducing paperwork burden where such opportunity exists.

Agencies are also taking steps to increase PRA compliance. When OMB approval of an information collection lapses and the agency continues to collect that information, that agency violates the PRA. OMB has adopted a zero-tolerance policy on PRA violations. By making PRA compliance a priority, OMB and the agencies have reduced the number of violations by more than 50 percent. When a violation is corrected, it appears in the Information Collection Budget as an increase in burden. Thus, changes due to a lapse in OMB approval are not a measurement of actual change in burden on the public. Rather, they reflect a change in accounting. What appears to be an increase in paperwork burden is partly increased compliance with the PRA, a more accurate accounting of the burden imposed on the public.

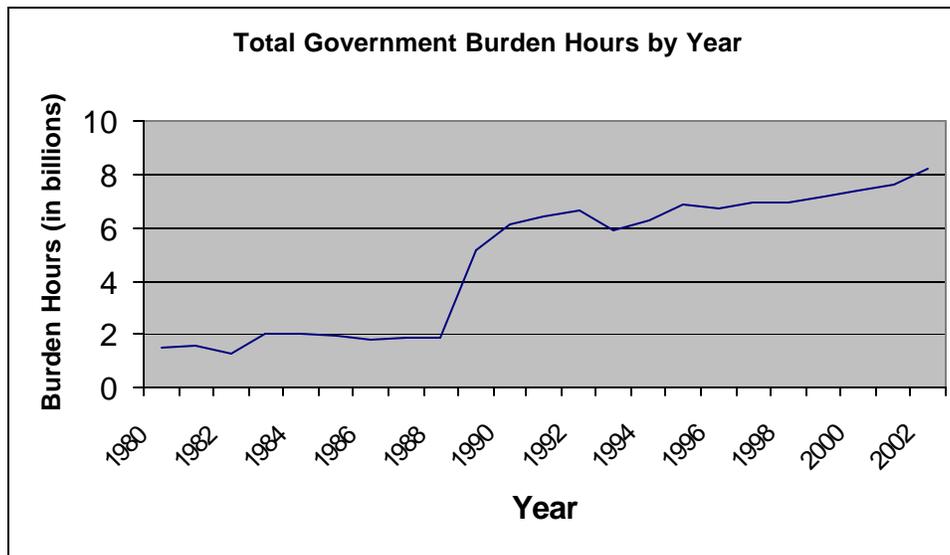
The importance of paperwork reduction needs to be understood in the context of larger efforts to reform the regulatory system and the tax code. Most paperwork burden is rooted in either regulations or the tax code itself, and thus one cannot easily separate the paperwork reduction goal from the important public challenge of improving regulatory and tax policy.

The Administration's E-Government strategy is a key enabler of burden reduction. The principles of e-government embrace collecting data once and reusing it as necessary, buying IT once and taking advantage of economies of scale, and simplifying business processes in line with the ease of using a browser and mouse, reusing technology, interoperability, and easier access. All of these steps reduce the burden on the respondent. Moreover, forward-thinking principles which assist in the transformation and delivery of customer (or citizen) services also embrace cost reduction and operational efficiency.

Chapter 1. THE PAPERWORK BURDEN STORY

The Paperwork Reduction Act (PRA) requires the Director of the Office of Management and Budget (OMB) to report to Congress on Federal activities under the Act, based upon performance results reported by agencies. The Information Collection Budget (ICB) is OMB's annual report in compliance with our responsibilities under the Act. The report covers government progress in making information collection more efficient and effective and reducing the information collection burden on the public. The ICB provides a mechanism for measuring and managing the burdens of the Federal information collections imposed on individuals; businesses; and state, local, and tribal governments.

Based on agency estimates of paperwork burden¹, the public spent about 8.22 billion hours responding to or complying with information requirements (see chart below²). This represents a 7.7 percent increase compared to last year's burden total of 7.65 billion hours. Of this reported increase, however, over half is simply a product of agency re-estimates or factors outside the agency's control (e.g., economic growth). Another twenty-five percent of this increase represents DOT re-securing OMB approval for a particular collection of information. This is not really an increase in real world burden; it's an increase in compliance with the Paperwork Reduction Act. All of the remaining increase, roughly 119 million hours, is due to implementing new statutes passed by Congress. After removing these factors and focusing on deliberate actions within agencies' discretion—the most accurate measure of agency performance—the Federal government actually reduced burden during fiscal year 2002.



¹ Traditionally, paperwork burden is measured as the time spent reading and understanding a request for information as well as the time spent developing, compiling, recording, reviewing, and providing the information.

² In 1989, the Internal Revenue Service changed the way it calculated paperwork burden estimates. That re-estimate increased the agency's paperwork burden estimate by 3.4 billion hours, and nearly tripled the government-wide burden-hour estimate.

As discussed below, a variety of influences affected burden hours during the past fiscal year.

Changes beyond agency control

Among others factors, economic growth, demographic trends, and natural disasters are common influences that tend to increase burden but are outside the control of the agency. In addition, agency re-estimates of the burden imposed by a collection are also considered adjustments since this re-estimate does not reflect any substantive change in the collection of information itself. During FY 2002, Federal agencies reported that these changes beyond agency control or “adjustments” were responsible for an increase of 296 million hours. Consequently, approximately half of the total increase in burden from FY 2001 to FY 2002 resulted from either re-estimates or factors outside the control of the agency.

In addition, many of the increases in burden are due to new statutes passed by Congress. The burden associated with changes due to statute totaled about 119 million hours. For example, HHS established standards for electronic transactions and codes for those transactions to implement the Health Insurance Portability and Accountability Act of 1996. This resulted in a burden increase of 34 million hours. As discussed in greater detail in Chapter 3, a large portion of statutory paperwork burden results from several Treasury activities. By making changes to various 1040 schedules to implement the Economic Growth and Tax Relief Reconciliation Act of 2001, burden hours increased about 47 million hours.

Technical Changes

When an agency allows OMB approval of a collection of information to lapse but continues to collect this information, this is a violation of the Paperwork Reduction Act. When this violation is corrected, it shows up as an increase in burden, even though the actual burden on the public has not changed. OMB has made a considerable effort over the past year to resolve outstanding violations. In fact, Federal agencies resolved 328 outstanding violations during FY 2002 (see Appendix C).

As Federal agencies have been more successful in cleaning up their respective outstanding collections, the burden numbers climb upward. This year’s large spike in burden due to reinstatements of collections in violation of the PRA is largely related to an individual violation by the Department of Transportation. By reinstating the Federal Motor Carrier Safety Administration collection “Driver's Record of Duty Status,” the Department of Transportation’s burden increased by about 161 million hours. The total increase in burden due to reinstatement of OMB approval is 161,364,492 hours.

Changes within Agency Control

Burden changes due to agency action for FY 2002 are negative. Federal agencies reported a net decrease in burden hours of about 2.5 million hours due to activities within their control. This is notable because OMB has always stated that changes due to agency action should be considered the most accurate measure of agency activity with respect to information collection, rather than changes due to violations or statute. Changes due to a lapse in OMB approval are not a measurement of an actual change in burden on the public, but are simply a product of accounting. And, while the actual public burden is affected by changes due to statute, the agency often has little or no discretion over these changes. Therefore, to most accurately assess how agencies have performed, changes due to deliberate action within an agency's discretion should be evaluated. By this measure, agency's performed well during FY 2002. In particular, the Treasury Department, Department of Education, and HHS have each performed extremely well, reducing burden by nine million hours, three million hours, and two million hours respectively.

At first glance, it might appear that the Federal government is not performing well with respect to information collection burden. After all, burden hours increased by almost 600 million hours during FY 2002. However, most of these increases are due to resolving violations or factors outside the agencies' control. For those deliberate actions that affected burden within an agency's discretion, the Federal agencies reduced burden.

Chapter 2. MOVING TOWARD ZERO PRA VIOLATIONS

For many years, Congress and GAO have noted the large number of violations of the PRA. At last year's hearing on the Paperwork Reduction Act, the General Accounting Office noted that the decline in the number of PRA violations during fiscal year 1999 and 2000 appeared to stop in fiscal year 2001. They also noted that while "OIRA had taken several actions to address PRA violations, the OMB and the agencies responsible for the collections could do more to ensure compliance."³ OMB has devoted a great deal of effort toward eliminating violations and the results are outstanding. There are only 62 remaining unresolved violations, a 55% reduction from last year's total. Even more impressive, a 60-day *Federal Register* notice has already been published (the first step in obtaining authority to collect information under the PRA) for each of these outstanding collections.

Unresolved Violations

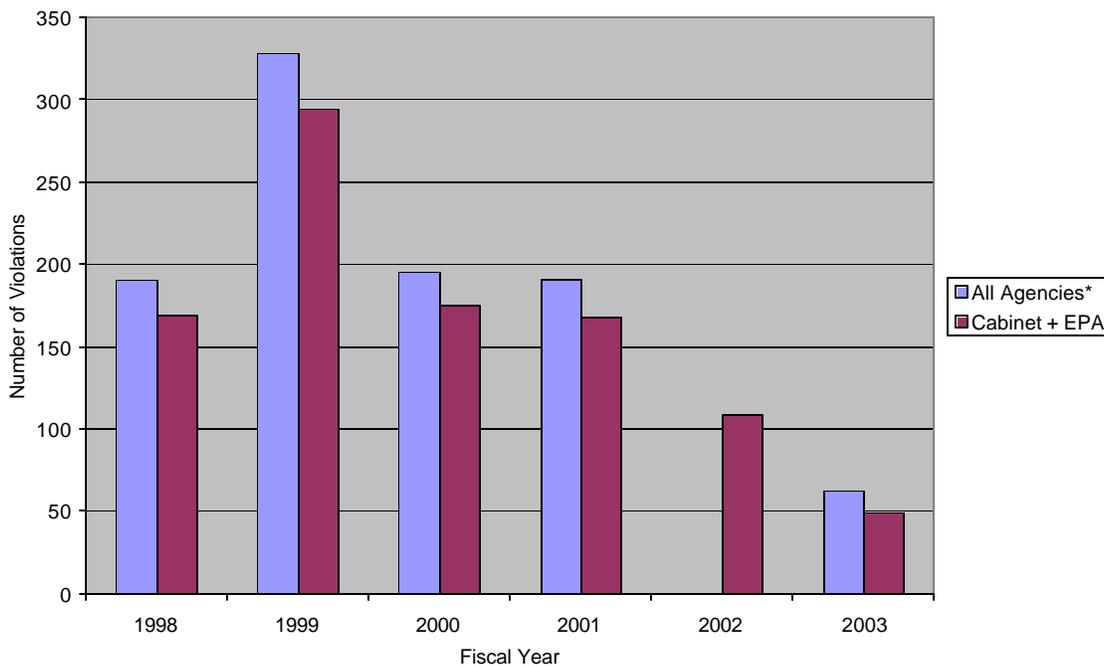
OMB has adopted a zero-tolerance policy on violations of the PRA, and has focused considerable efforts on PRA compliance throughout the last 18 months in order to meet a goal of eliminating all compliance violations. The results of that effort are clear. This year, there are only 62 outstanding violations. While a direct comparison to the number of outstanding violations from the previous year is impossible, since this ICB covers more agencies than were covered in the previous ICB,⁴ a comparison of the agencies covered by both ICB reports reveals that there are 49 unresolved violations from Fiscal Year 2003, as compared to 109 unresolved violations from Fiscal Year 2002—a 55% reduction. All of those violations appearing on the "unresolved" list in Appendix C are in the process of being remedied. All collections have taken at least the first step—publication of a 60-day *Federal Register* notice inviting comment on the collection—in obtaining clearance under the PRA. As of April 1, 19 of these collections were under OMB review.

³ U.S. General Accounting Office, GAO-02-598T.

⁴ For the FY 2002 report, only Cabinet agencies and EPA were covered. This year, as in previous years, additional agencies are covered.

Unresolved Violations-- 1998 to 2003

* Only Cabinet agencies and EPA were addressed in the FY 2002 report



OMB Efforts to Eliminate Violations

We believe that the decrease in unresolved violations stems directly from our heightened efforts throughout the last 18 months. OMB took a number of steps to eliminate violations (see Appendix D), including:

- November 14, 2001 memo to agencies: The General Counsel of OMB and the OIRA Administrator sent a memo to the Chief Information Officers (CIOs) and General Counsels (GCs) of the 18 agencies traditionally covered by the ICB, outlining our zero-tolerance policy for violations and requiring them to submit a detailed description of their agencies' procedures for avoiding future violations and for resolving existing violations.
- June 6, 2002 memo to agencies: The OIRA Administrator sent a follow-up memo to the CIOs and GCs of the agencies, asking them for an update on the violations reported in last year's ICB, as well as the status of any new violations that had occurred since October 1, 2001. The memo also asked them to again provide a detailed description of their procedures for avoiding future violations.
- Meetings with selected agencies: In August 2002, the OIRA Administrator met with the CIOs and GCs of four agencies (USDA, HUD, VA, and HHS) that had the greatest number of violations or the highest burden associated with the collections in violation. In those productive meetings, we discussed the importance of PRA compliance as well as action plans for achieving this compliance.

- ICB Bulletin: In this year's ICB bulletin (describing the agency requirements for submission of ICB documents), OMB asked agencies to provide a list of violations that occurred in the past fiscal year, and to update previously reported violations, as was required in previous ICB bulletins. In addition, OMB required that agencies provide us with a *Federal Register* publication citation and publication date for the initial 60-day *Federal Register* notices requesting public comment in their ICB submission. An agency's ICB submission was not be considered to be complete until all existing violations (including those violations that have occurred during FY 2002) have had a *Federal Register* notice published. All agencies have published a *Federal Register* notice for each outstanding violation.
- Status memo to all agencies: The OIRA Administrator sent a memo to the CIOs of the agencies on November 8, 2002, detailing their progress toward our goal of eliminating PRA violations and establishing a goal of zero violations by April 1, 2003; OMB's General Counsel also shared that memo with the agencies' General Counsels and Solicitors. In addition to this progress report, a list of collections that had expired in the past month and those collections that would be expiring in the upcoming 150 days was attached. This report was identical to the report that agency staff receive monthly to assist them in their PRA review planning. OMB asked the CIOs to examine each of the expired and expiring collections and to determine if there were any systemic problems in the agency's procedures for PRA compliance. OMB required the agency to publish a 60-day *Federal Register* notices within a set timeframe for those collections that were already in violation, and asked agencies to publish a *Federal Register* notice at least four months in advance of the expiration date, and submit the information collection request to OMB no later than one month prior to the expiration date for currently-approved collections. This schedule should ensure that no currently approved information collections are allowed to expire in violation of the PRA.
- Letters to HUD and USDA: OMB also sent letters to the Deputy Secretaries of HUD and USDA that listed the collections that had expired in FY 2002 and asked them to take action on those that were in violation. These agencies, which seemed to have the most difficulty maintaining a process that results in full compliance with the PRA, have now made substantial progress on their violations, as a result of the attention paid to the PRA process by the highest levels of the agencies.

USDA, which had 21 unresolved violations last year, currently has 11 unresolved violations, all of which are currently under review at OMB. USDA resolved 66 collections during Fiscal Year 2002, many of which had been long-standing violations of the PRA. They have instituted procedures that should eliminate the occurrence of any more violations of the PRA.

HUD has undertaken an effort to look back on all of their information collections from the past 20 years to determine continued compliance with the PRA. While this review resulted in the discovery of 14 additional violations that had not been

previously reported, all of these are in the process of being remedied. HUD is confident that no other existing collections are in violation, and has updated their procedures to ensure that violations will not occur in the future.

- Coordination with CIO Council and PMC: OMB has continued to work with the CIO Council and the PMC to ensure that agencies, at the highest levels, are engaged in the process of resolving violations and implementing a system that avoids future violations. The OIRA Administrator spoke to the PMC in December, 2002 about the need to attend to compliance with the PRA.

As noted in Chapter 1, our efforts resulted in a number of violations, many of them long-standing, being resolved during the last 18 months. The increase in burden associated with these collections was almost 60% of the “increase” in burden hours overall. There were a total of 328 collections that were resolved since October 1, 2002.

While we have not yet eliminated all violations of the Paperwork Reduction Act, the actions taken by OMB and the agencies have substantially increased compliance. OMB will continue to focus on eliminating all violations of the PRA, and will work closely with the agencies to make that goal a reality.

Chapter 3. IRS

Internal Revenue Service paperwork is currently estimated to total approximately 6.7 billion hours. Overall, the paperwork burden associated with Internal Revenue Code dwarfs the paperwork burden of every other part of the Federal government, accounting for approximately 80 percent of all the paperwork burden of the Federal government. The IRS burden is highly concentrated; ten out of the approximately 800 IRS forms accounting for approximately 80 percent of all IRS burden. By far, the most burdensome form is the basic tax return – the Form 1040 and its associated schedules. It accounts for 1.6 billion hours, or 25 percent of all IRS burden.

Although we tend to attach a negative connotation to Federal paperwork burdens, we should resist the urge to do so. Much of this burden necessary for agencies to faithfully implement the law, and is essential to the proper functioning of the Federal government. This is particularly true in the context of paperwork burdens associated with our tax system. For these reasons, it is incumbent upon all of us to recognize that all burden is not bad, and to focus on eliminating paperwork burdens that are truly unnecessary.

Since 1993, taxpayer paperwork burden has grown by over 30 percent. This expansion – while appearing large – must be considered in the context of the unprecedented economic expansion that occurred during the same period. By the end of 2002, U.S. gross domestic product was 50 percent larger than in 1993. Much of the growth in IRS paperwork resulted from this dynamic economic expansion – a period during which more individuals entered the tax rolls, more businesses were created, and the volume of activity in financial markets generated unprecedented wealth as well as high levels of taxable transactions. During this period, the total burden represented by IRS Form 1040 increased by about 531 million hours. A third of this increase can be attributed to the increasing number of tax returns filed annually. An additional component of this increase can be traced to the increasing complexity of the Internal Revenue Code.

The IRS devotes considerable resources to development of forms in a manner that minimizes burden. Forms development within IRS is a rigorous procedure that utilizes the policy and graphic layout expertise of numerous individuals as well as, when appropriate, public focus groups. Of the 800 forms, schedules, and instructions, some 450 are reviewed each year. New IRS forms are initiated and existing forms are revised to reflect one or several events that may converge, including tax law changes; input from taxpayers, tax professionals, and IRS employees; recommendations by internal audit staff and GAO; and triennial OMB review under the PRA process.

In recognition of the importance of reducing paperwork, in January 2002, IRS created the Office of Taxpayer Burden Reduction (OTBR). This office seeks to achieve significant burden reduction for taxpayers by developing proposals that foster burden reduction; by coordinating and championing burden reduction efforts throughout the IRS;

and by working with others in IRS, Congress, States, other Federal agencies, and the small business community to develop, coordinate and implement meaningful burden reduction efforts that are consistent with IRS's customer service and compliance goals.

Taxpayer Burden and the Tax Code

While the growth of our population and increased economic activity during the last ten years has contributed to the growth in IRS paperwork, the increasing complexity of our tax system has also been a significant factor in the increased level of IRS paperwork burden. Individual taxpayers purchase tax-help books and computer software to help them navigate the maze. The complexity is such that over half of individual taxpayers use paid tax preparers to complete their tax forms.

In assessing IRS's efforts to reduce the paperwork burden it imposes on taxpayers, it is important to consider the competing need for IRS to ensure taxpayer compliance with the Internal Revenue Code. In many cases, the Code sets out in considerable detail the information that taxpayers must provide to IRS to demonstrate, for example, that they are eligible for and have correctly calculated a particular tax deduction or credit. To illustrate this challenge, consider three new statutory tax provisions that required IRS to modify the Form 1040: the deduction for educator expenses; the expansion of the child tax credit; and the creation of a retirement savings contribution credit.

Educator Expenses

At the bottom of this year's Form 1040, there is a new line labeled "educator expenses." This is a new tax benefit intended to permit teachers to buy classroom supplies and subtract up to \$250 of these expenses from their taxable income. While the implementation of this laudable social goal would seem to be straightforward, the requirements from the statutory language in section 62(a)(2)(D) of the Internal Revenue Code leads to complex instructions for that single line item. In order to report an expense on that line, a teacher must assure that they are an eligible educator – a kindergarten through 12th grade teacher, counselor, principal or aid in a school for at least 900 hours during a school year– and then must determine if the expenses are "qualified expenses" – for books, supplies, equipment and other materials used in the classroom. Expenses for non-athletic supplies for courses in health or physical education, and expenses for home schooling, cannot be included.

Most teachers should be able to readily determine their eligibility. However, it becomes more difficult, complex, and time-consuming for teachers to determine the actual amount that they can deduct from their taxable income. Specifically, teachers must know several other things (as required by the Internal Revenue Code) as indicated in the instructions to this single line. They have to subtract, from their classroom expenses, (1) U.S. Savings Bond interest they received, which taxpayers calculate using another form -- IRS Form 8815; (2) nontaxable "qualified state tuition program earnings;" (3) nontaxable earnings from "Coverdell education savings accounts;" and (4)

reimbursements received for the expenses that were not reported in “box 1 of your Form W-2.” Once an educator wades through this, he or she can deduct no more than \$250.

This real example from this year’s income tax forms illustrates the difficult and complex task faced by the IRS in implementing new statutory provisions in a manner that minimizes burden. Despite the detailed eligibility criteria and limitations of the educator expenses credit--all of which are specified in the Internal Revenue Code--IRS was able to implement this statutory requirement in as minimally burdensome way as possible by adding one line to the Form 1040 and explaining what goes on that line with 37 lines of instructions.

IRS decided to add a new line because there was no existing line on which to claim an adjustment to income for educator expenses, and the number of taxpayers eligible to claim the deduction was estimated to be more than 4 million. IRS could have required these taxpayers to make a “write-in” entry instead of adding the new line, but it rejected this approach because it would cause many educators to overlook the new deduction.

Expansion of the Child Tax Credit

Another recent example of how complex statutory language creates a maze that an individual taxpayer must navigate in preparing an income tax return is a change relating to the child tax credit. Many benefiting from this tax benefit are low- and moderate-income families who do not have access to professional tax advisors.

Prior to tax year 2001, an additional child tax credit was available only to taxpayers having three or more children. Beginning in tax year 2001, eligibility for the additional child tax credit was extended to taxpayers having fewer than three children. This change was enacted as a part of the Economic Growth and Tax Relief Reconciliation Act of 2001.

What sounds like a straightforward change to the law was complicated by the fact that the tax credit computation was changed to limit the amount of this additional credit for those filers with only one or two children -- to ten percent of their taxable earned income in excess of \$10,000. Additionally, the credit computation used by taxpayers with three or more children was changed to allow them to use either the previous or the new method of credit computation.

The expansion of the additional child tax credit was implemented by the IRS through changes to its Form 8812, “Additional Tax Credit.” A taxpayer is directed to Form 8812 from the “child credit worksheet,” which appears in the instructions to the Form 1040. Using that worksheet, the taxpayer determines the basic amount of the tax credit they are eligible for and, if appropriate, are directed to Form 8812 to compute the additional credit.

Form 8812 is a step-by-step route to determine eligibility for the additional child tax credit. The four new lines require taking numbers from Form 1040 or 1040A and computing additions and subtractions, to compute the additional child tax credit. The changed form represents a straightforward implementation of complicated statutory language. A combination of instructions and a step-by-step worksheet and form presents a taxpayer with a manageable – but somewhat complex – route through this area of income tax preparation.

Retirement Savings Contribution Credit

Another recent example of IRS implementation of statutory language is the creation of a “retirement savings contribution credit.” This item appears as a new line on the tax year 2002 Form 1040. It was enacted as part of the Economic Growth and Tax Relief Reconciliation Act of 2001. New section 25B of the Internal Revenue Code describes in great specificity the variable amount of credit allowed, taxpayer eligibility requirements, qualifying types of savings contributions, and reductions to the eligible credit amount resulting from distributions received from certain kinds of retirement accounts. The Code also treats retirement savings distributions to a person’s spouse the same as retirement savings distributions to that individual when a joint tax return is filed. This detailed statutory language led the IRS to develop a new form through the forms creation process. “Retirement savings contributions credit. Attach Form 8880” is the title of a new line on Form 1040, appearing in the section headed “Tax and Credits.” The instructions for this line briefly explain that an individual may be able to take the credit if they have made certain kinds of retirement savings contributions during the year. It briefly lists the kinds of qualifying contributions, including traditional or Roth IRA contributions and 401(k) payments. The instructions also note that an individual cannot take the credit if they have an income over \$50,000 if married and filing jointly; if they are under age 18; or if they were a student during any five months of the year. Finally, the Form 1040 instructions direct individuals to Form 8880 if they believe that they qualify for the tax credit.

The Form 8880, “Credit for Qualified Retirement Savings Contributions” is a step-by step walk through the requirements of the Internal Revenue Code relating to the retirement savings contributions credit. This form, like the Form 1040 instructions, begins by listing the factors that eliminate an individual from claiming this credit – income level, age, dependent status and student status. The form then walks a taxpayer through the numbers. This step-by-step approach involves filling in numbers related to retirement savings contributions and distributions for individuals and their spouse and entering a factor by which their retirement savings contribution is multiplied. The form has 14 lines as well as one page of instructions that further explain general eligibility for the credit and specific concepts relating to the lines. In addition to the top of the form, which describes who cannot claim the credit, there are two places on the form where a filer gets a result of zero and is told “stop; you cannot claim the credit.”

Thus, this is another example of IRS’ implementation of new Code language into one line on the Form 1040 and instructions that refer the taxpayer to another form – the

8880, which has 14 step-by-step lines and one page of instructions. OMB has looked closely at this, and believe that there is no less burdensome or more simplified approach that IRS could have taken given the prescriptive language of the Internal Revenue Code.

Initiatives to Reduce Taxpayer Paperwork Burden

- Redesign Form 941. This project to review and redesign this form will affect 6.6 million employers. Work is being conducted to identify what steps can be taken to simplify this form. IRS's form redesign group has determined that some existing space on the form is used for internal processing and can be made available for improved formatting and readability.
- Change Reporting Threshold for Schedule B. Changing the reporting threshold from \$400 to \$15,000 affected 15 million taxpayers and reduced burden by 20 million hours.
- Redesign Schedule K-1. This project to review and redesign this form will affect the 23 million K-1s filed each year. IRS will be balancing the need to simplify the form and make it less burdensome with the need to insure the integrity of the tax system and the compliance program.
- Reducing Burden on Farmers. IRS has plans to conduct an analysis to develop recommendations to reduce burden imposed on farmers.

Improving the Measurement of Taxpayer Burden

IRS' current model to estimate paperwork burden was created by the Arthur D. Little Company (ADL) in the early 1980's. It is based on survey data collected more than 15 years ago, and it measures only certain types of compliance burdens. It has limited ability to predict changes in compliance burden resulting from changes in tax policy or tax system administration. ADL's survey of taxpayers provided estimates of the time spent by taxpayers on each form, but not estimates of the money spent. To meet OMB requirements, and for simplicity in updating the model annually, the ADL model estimates burden using counts of lines and words in forms and cross-references to worksheets. At times, this has had unintended consequences. For example, if a worksheet was added to clarify or simplify the associated form for the taxpayer, the additional lines or words increased the estimated burden, even when it actually reduced the true burden on the taxpayer. IRS corrected this problem in recent years by subjectively adjusting the model output under certain circumstances.

IRS began an effort to develop a new model in 1998 in response to the Commissioner's interest in a tool for (1) measurement of burden; and for (2) understanding how IRS administrative actions and tax legislation affect compliance burdens imposed on taxpayers. This new model could also satisfy the need for improved information for OMB's use in meeting the requirements of the PRA.

The new model will cover a wide range of dimensions affecting tax compliance. These include: tax system impacts (e.g., laws, regulations, and tax forms); taxpayer behavior (e.g., preparation, filing and submission methods), taxpayer demographics (e.g.,

age, filing status, and income levels); technology (e.g., tax preparation software, e-filing, and internet access to forms and publications); and economic changes (e.g., anticipated economic growth).

The new model will provide IRS with information unique to each taxpayer's burden. Some of the estimates of particular value to IRS are time and money burden by (1) preparation and submission method; by (2) reported income classification; and by (3) taxpayer activity. Because the data can answer many different needs, it has great potential for IRS, and it can be available for those in IRS wishing to evaluate the impact of administrative or policy changes on taxpayer burden. The complexity of the model necessitates establishing a sophisticated, technical staff, and taking a cautious approach when analyzing the data.

The massive scope of the project necessitated doing it in steps. The first piece focused on individuals filing income tax Form 1040 and its many schedules and linked forms. This was broken into two segments: Wage and Investment (W&I) and Self Employed (SE). Pre-filing and filing activities were included. In March 2002, the contractor delivered the first burden simulation model, addressing the Federal income tax compliance burden of W&I taxpayers. A second model, delivered in January 2003, integrates the W&I and SE populations to yield a comprehensive model of individual taxpayer compliance burden. The model is referred to as the Integrated Taxpayer Burden Model (ITBM).

IRS has recently begun work on estimating burden of small business taxpayers, including employment and excise taxes. Potential future projects may address reporting burden incurred by small and mid-size corporations, tax exempt entities, post-filing, and perhaps some other specialty taxes. In addition, the current work will need to be updated every five to seven years, depending on the changes in the law.

Chapter 4. E-GOVERNMENT

The Administration's E-Government Strategy is a two pronged approach to Information Technology (IT) reform: modernizing within agencies around the tenets of e-business, and consolidating and integrating IT investments across agencies around groups of citizens. The Federal government has made significant progress toward becoming a transformed and more productive "E-Enterprise," focusing on how IT is managed at an enterprise level within and across agencies. Since the President proposed 24 E-Government initiatives in the 2003 Budget, 19 have already delivered significant capabilities and are showing results.

The Administration is committed to successfully implementing the Government Paperwork Elimination Act (GPEA) which along with the E-Government Act, is the legislative basis for e-government. By October 21, 2003, agencies are to provide the option for electronic filing and electronic signature capabilities for the full range of government activities and services unless it is not practicable to do so. However, implementing an electronic process does not automatically reduce the burden of the information collection. We have encouraged agencies to implement those projects with a positive return on investment for the agency and the public. Optimal burden reduction occurs when agencies reengineer and streamline the business process using available technology. You do not meet the requirements of GPEA by "slapping up" an e-form that automates an inefficient paper process. Examples of this strategy in action include the following initiatives:

- **BCOS:** The Business Compliance One Stop initiative is focused on making it easier for businesses to find, understand, and comply with governmental regulations. The framework for this has already been put in place with the launch of Businesslaw.gov and a number of expert compliance assistance tools. The next phase of the initiative will place a greater emphasis on reducing the paperwork burden from having to comply with government requests for information. The initiative will use three strategies to accomplish this, including: reducing the information required from businesses through analyzing if information is needed; assessing whether definitions in different forms and forms in different agencies can be harmonized to reduce overlap; and increasing the effectiveness of data collections processes by collecting once and sharing data among programs and agencies. Reducing the work of submitting data by using interactive electronic forms that aid the user
- **EETPB:** The objective of the Expanding Electronic Tax Products for Businesses initiative is to reduce the tax-reporting burden on businesses while improving the efficiency and effectiveness of government operations. The initiative is comprised of seven projects that will deliver benefits by reducing the number of tax-related forms that businesses must file, providing timely and accurate tax information to businesses, increasing the availability of electronic tax filing, and modeling simplified Federal and state tax

employment laws. These projects include Form 94x Series, Form 1120/1120S, Form 8850, Internet Employer Identification Number (EIN), and the Standardized EIN.

The E-Government initiatives consolidate dozens of redundant agency centered efforts. The 24 E-Government initiatives were discussed in Chapter 4 of the OMB *FY 2002 Managing Information Collection and Dissemination* Report to Congress. The projects were selected on the basis of the value they would bring to citizens, while generating cost savings or improving effectiveness of government. The initiatives reflect the Administration's E-Government Strategy, which focuses on four citizen-centered groups.

- *Individuals*: The E-Government initiatives have developed easy to find one-stop-shops for citizens that create single points of easy access to high-quality government services. Citizens should be able to find what they need quickly and easily, accessing information in seconds or minutes, instead of hours or days. For example, the GovBenefits.gov portal is expanding to provide potential beneficiaries with instant access to information for all government benefit programs and services through a single web site. Federal agencies use IT to enhance delivery of government services, and to engage the public in new and constructive ways in the development and implementation of policies and programs.
- *Businesses*: The Federal government must use the Internet to reduce the burden it places on businesses. The Administration cannot continue to make businesses report the same data to multiple agencies because the government fails to minimize redundant data collection and use commercial electronic transaction protocols. A citizen-centered approach will streamline reporting requirements as well as facilitating a more efficient means for businesses to do business with the government. For example, the Business Compliance One-Stop project reduces government's burden on business owners by making it easy to find, understand, and comply with laws and regulations.
- *Intergovernmental*: The Federal government must make it easier for states and localities to meet reporting requirements, while promoting performance, especially for grants. State and local governments will see significant administrative savings and will be able to improve program delivery through collaboration tools for e-government. Enhanced and more visible performance reports will help make government at all levels more accountable for results and wise use of resources. Moreover, improving the way that information is shared among levels of government will improve the nation's ability to provide for homeland security. Many of the intergovernmental initiatives are designed to improve homeland security, as identified in the President's Budget and in the National Strategy for Homeland Security released in July. For example, one initiative is a secure portal that will

improve the disaster management process by simplifying and unifying the interaction between Federal, state, and local public safety personnel.

- *Internal Efficiency and Effectiveness*: The Federal government must modernize internal processes to reduce costs for Federal government agency administration. Industry best practices in supply-chain management, financial management, and knowledge management improve agency efficiency and effectiveness, eliminates delays in processing, and improve employee satisfaction and retention. A clear model is the E-Training initiative which is consolidating numerous online Federal training capabilities into a premier E-training portal (GoLearn.gov), providing enhanced access to high quality training and competency development for Federal employees.

The 24 projects achieve results by simplifying and unifying redundant work processes and IT. Agencies have since identified additional opportunities for using e-government to work across boundaries to improve performance and reduce costs.

Significant progress has been made on the projects in the last year, including the launch of numerous government portals, initiative websites and consolidations. Our recent achievements include:

- **FirstGov.gov**: This website provides American citizens with a gateway to the Federal government. The site was named “One of the Top 50 Most Incredibly Useful Web Sites” by *Yahoo! Internet Life* in July 2002, and was redesigned to provide government services within “three clicks.” The new “three clicks” strategy has increased the number of site visitors by 50 percent. Recently launched within Firstgov is Science.gov, a gateway to science and technology and related R&D information provided by U.S. government agencies.
- **Recreation.gov**: This site provides citizens with one-stop online access to America’s National Parks and public recreation areas. The web site includes links to 1900 Federal parks and receives more than 750,000 site visitors per month.
- **GovBenefits.gov**: This web portal offers citizens one-stop access to information and services of almost 200 government programs representing more than \$1.3 trillion in annual benefits. GovBenefits receives more than 500,000 visitors per month and is listed as one of *USA Today*’s “Hot Sites.”
- **GoLearn.gov**: This on-line training initiative is the number one most visited e-training site in the world, with more than 36 million hits for information on many thousands of e-training courses, e-books, and career development resources. GoLearn.gov has already allowed over 30,000 Federal employees to receive training that would not have been possible prior to the launch of this initiative, at a cost of pennies per course. Traditional training approaches only serve a fraction of this number of people, often at as much as \$2,500-\$5,000 per class.

- Volunteer.gov: This website works in support of the President's USAFreedomCorps initiative by allowing citizens to access information about volunteering for more than 100,000 openings at national parks, veteran hospitals, and other Federal facilities.
- Integrated Acquisition: This initiative helps Federal agencies acquire quality goods and services cost-effectively by providing one-stop access to a catalogue of interagency vendor contacts and a record of vendor past performance.
- E-Payroll: This initiative consolidates government payroll processing from 22 service providers to two service partnerships. \$1.2 billion will be saved over the next 10 years by modernizing these two providers, rather than 22.
- IRS Free Filing: Over 78 million Americans can file their taxes online for free beginning in the 2003 tax filing season. In the first 5 weeks of the 2003 tax season (as of February 21, 2003), 1.3 million Americans have used this service. The number of e-filed returns is up 8.1 percent from the same time last year.
- Regulations.gov: This portal makes it quicker and easier for citizens and small businesses to find and comment on hundreds of proposed rules. Regulations.gov is estimated to save \$94 million by creating a single system that makes the rulemaking process more efficient. Since its launch on January 23rd of this year, the site has had approximately 1.5 million hits.
- E-Clearance: E-Clearance has deployed an integrated database that will enable significant reductions in the security clearance backlog. The database streamlines and improves the quality of the current security process.
- Disability.gov: This website is a one-stop resource for Americans with disabilities, providing them access to disability-related information and programs available across the government. The disability.gov website was launched in October 2002.

We are continuing to focus on improving government responsiveness and reducing the government's burden. Here are some of the initiatives that will have deployments over the next few months:

- Geospatial One Stop: This portal will launch in Spring 2003, pulling together all existing and planned Federal geospatial assets into one-stop shopping for all customers
- Disasterhelp.gov: At the end of April, the initiative will launch a robust set of tools for Federal, State, local, and tribal first responders to work together before, during, and after a disaster.

- Business Compliance One-Stop: This website will provide one-stop Internet access to help small businesses find the laws and regulations they must comply with to start and/or manage a business.
- E-Grants: The E-Grants website deploys in October, 2003. The website will allow for a simple, one-stop, online place for state and local governments, researchers, faith and community based organizations, citizens, and businesses to easily look across 500 grant programs to determine which grants may meet their needs and apply for many of those grants using a standard form.
- Recruitment One-Stop: Will provide one-stop access to government job opportunities and deliver state-of-the-art on-line recruitment services to job seekers, including intuitive job searching, on-line resume submission, applicant data mining, and on-line feedback on status and eligibility

Small Business Burden Reduction Task Force

The Small Business Paperwork Relief Act of 2002 (SBPRA, P.L. 107-198) establishes a multi-agency Task Force on information collection and dissemination chaired by OMB. The group's efforts will support the goal of the Government-to-Business, E-Government Portfolio: reducing the burden on businesses by adopting processes that enable collecting data once for multiple uses. Further, the Task Force seeks to propose recommendations that will reduce the paperwork burden on small businesses and make it easier to find, understand and comply with government collections of information.

SBPRA charges the Task Force with examining five specific ideas. They are:

1. Examine the feasibility and desirability of consolidating information collection requirements within and across Federal agencies and programs, and identify ways of doing so.
2. Examine the feasibility and benefits to small businesses of having OMB publish a list of information collections organized in a manner by which they can more easily identify requirements with which they are expected to comply.
3. Examine the savings and develop recommendations for implementing electronic submissions of information to the Federal government with immediate feedback to the submitter.
4. Make recommendations to improve the electronic dissemination of information collected under Federal Requirements.
5. Recommend a plan to develop an interactive Government-wide Internet program to identify applicable collections and facilitate compliance.

A report of findings and recommendations will be published for the first three ideas by June 2003, and the remaining two ideas by June of 2004. The draft for this year's report is now under development in preparation for a public comment period during May 2003. Addressees for the final reports are the Director of OMB, the Small Business and Agriculture Regulatory Enforcement Ombudsman, and the chairpersons and ranking minority members of (a) the Senate committees on Governmental Affairs and Small Business and Entrepreneurship, and (b) the House committees on Government Reform and Small Business.

Chapter 5. Agency Initiatives

Historically, the ICB has provided agency burden accounting numbers, identified significant paperwork reductions and increases, and described overall compliance with the PRA. The government-wide accounting of the past year's information collection activities had traditionally been the focus of previous ICB reports. Last year's bulletin represented an effort to shift the focus from aggregate accounting numbers to meaningful agency efforts at reducing paperwork burden on the public and improving the efficiency of information collection activities. Like last year's bulletin, the FY2003 ICB draws attention to specific agency initiatives.

The impact of the PRA cannot be captured by looking solely at burden hours. Sometimes, when agencies make significant efforts at improving program efficiency and effectiveness, these improvements increase the amount of time the public as a whole spends on information collections. For example, consider an agency that improves its program performance by making its services accessible over the internet. Obviously, this effort would benefit the public by making the services more convenient and by reducing the effort needed to learn about the services. However, if this enhanced service promotes increased use, the total burden hours might increase. While measurement of burden hours may be useful in tracking the amount of information the government collects, it is an imperfect tool that does not give a full picture of agency efforts at reducing burden and increasing public benefits.

Recognizing this situation, OMB believes a more effective way to oversee agency information collection improvement efforts is to encourage agencies to develop specific initiatives and urge agencies to focus energy on these efforts. Through this type of meaningful effort, the public will benefit from enhanced information quality, program performance, and government efficiency.

As described in its instructions on preparation of the FY 2003 ICB, OMB asked each agency to provide a summary progress report on initiatives identified in last year's ICB. For agencies not included in last year's ICB, OMB asked them to identify at least two initiatives that improve program performance by enhancing the efficiency of information collections; significantly reduce the burden per response on the public; or lead to a comprehensive review of an entire program, including regulations and procedures.

In response to this request, agencies noted dozens of initiatives that have made or have the potential to make meaningful improvements for the public. In general, the identified initiatives can be placed into three categories: reducing burden, hastening electronic reporting, and improving program effectiveness. The remaining three sections of this chapter highlight these initiatives.

Reducing Burden

In keeping with the goal of the PRA, agencies are taking steps to reduce paperwork burden. The following initiatives were each designed to reduce burden:

Environmental Protection Agency:

RCRA Burden Reduction Initiative. The Environmental Protection Agency, through rulemaking, will significantly reduce the paperwork burden imposed by regulations under the Resource Conservation and Recovery Act (RCRA). EPA is undertaking this initiative to ensure that only the information actually needed to run the RCRA program is collected. EPA estimates that the initiative will reduce burden by 929,000 hours and save \$120 million annually. A proposed rule was published in FY02.

Department of Health and Human Services:

MedSun. The Medical Product Surveillance System (MedSuN) initiative is a pilot program designed to enable the Food and Drug Administration (FDA) to obtain higher quality reports for its user facility medical adverse event reporting program. For the reporting facilities, reporting time should be reduced using this web-based tool. Ease in submitting the information will be vastly improved, and the need to mail paper copies will be eliminated. Reporting adverse events about medical devices will become simpler. FDA will formally evaluate the burden reduction once the goal of recruiting 100 more sites in FY 2003 is reached.

Medicare/Medicaid Electronic Collection/Signatures. In 2002, the Centers for Medicare and Medicaid Services (CMS) identified 10 collections, reform of which will significantly reduce burden and improve program performance if electronic collection/signatures could be obtained. Since the FY02 ICB, CMS has identified ways to streamline, eliminate, and/or provide alternative reporting methods for five of the referenced collection activities. As a result of this effort, several regulatory requirements necessitating the submission of multiple hard copy forms will be eliminated, electronic reporting will be achieved, and reporting burden will be reduced for approximately 5,740,000 responses. For the remaining five collection activities, totaling 125,500 annual responses, the measurable objectives and proposed timetable remain the same as last year.

Department of Interior:

Single Source Reporting. Formerly entitled the OSM-1 Initiative, the Department of Interior's single source reporting initiative involves combining selected Federal and State forms related to mining sites into a single mineral industry reporting system. A pilot program was completed in January 2003. The goals of this initiative are to reduce the number of forms to be completed and reduce the reporting burden through the use of electronic submission of information. The ultimate product will be an e-form that will be

available nationally, capture the data required by State and Federal agencies, enable data sharing among member agencies, and reduce burden.

The Department of Defense Acquisition Process

The information collection in support of the DoD acquisition process covers contract solicitations not included by another OMB clearance. This is the Department's second largest information collection, encompassing 24 million hours, or 26%, of the Department's total burden. Almost all of this burden is imposed through applications for benefits/contracts, including the acquisition of goods and services under the Defense Federal Acquisition Regulation Supplement (DFARS), a supplement to the government-wide procurement requirements under the Federal Acquisition Regulation system. Because it pays, either directly or indirectly, for these collections of information through higher costs and unnecessary delays, DoD has a strong incentive to reduce the paperwork burden. This initiative was completed December 2002 and achieved a burden reduction of 14,115,462 hours.

Department of Labor:

Current Employment Statistics Survey. The Current Employment Statistics (CES) Survey is a Federal and State program of the Bureau of Labor Statistics (BLS). It produces monthly estimates of employment, hours, and earnings based on U.S. nonagricultural establishment payrolls. CES is employing a number of collection methods and techniques designed to ease reporting burden and simplify reporting. For example, by the end of FY 2003, BLS will use a probability sample to collect 327,000 reports. The probability sample design will reduce burden by approximately 50,586 hours through reducing the number of reports submitted by respondents.

Workplace Health Standards Improvement. OSHA is undertaking rulemaking to update numerous health standards that are inconsistent, duplicative, and outdated. The proposal affects 18 information collections and would result in a 207,892-burden hour reduction. Time for completion of this project hinges upon the number and complexity of public comments received on the proposed rule.

Review of Certification Records Requirements. Numerous OSHA standards contain certification records. OSHA is reviewing the requirements associated with these records to reassess the information. If some certification records requirements could be revoked without jeopardizing worker safety and health, burden hours could be reduced significantly. OSHA is currently examining possible options regarding certification records and anticipates making a decision on this project during FY 2003.

Department of Transportation:

Railroad Locomotive Safety Standards and Event Recorders. This Federal Railroad Administration (FRA) initiative pertains to requests for waivers by the Burlington Northern Santa Fe Railroad (BNSF) and the Union Pacific Railroad (UP) to keep the daily locomotive inspections records required under 49 CFR 229 (§ 229.21) in an electronic format. A conversion from paper to electronic records has the potential to reduce the overall burden by 96,250 hours and reduce the expense incurred by railroads to create, retrieve, and maintain paper records.

Federal Communications Commission:

Streamlining the Section 214 Application. If implemented, Federal Communication Commission (FCC) streamlining of the 214 application will reduce the time it takes to complete the form. The 214 application is used to determine if applicants are qualified to provide international telecommunications service. FCC is making the application easier to understand by deleting redundant and obsolete information and including helpful instructions to expedite completion of the form. This initiative will also expedite the review and processing of applications by the Commission. Completion of this initiative is scheduled for June 2003.

Hastening Electronic Reporting

Many of the initiatives identified by agencies are designed to provide customers with alternatives to paper submission, the goal of the Government Paper Elimination Act (GPEA). These initiatives usually serve other purposes as well. Data quality improvement is most often cited as a benefit of such initiatives.

Department of Agriculture:

Forest Service Permit Program. The USDA Forest Service is implementing a web-enabled electronic government system to fully process permits for use of U.S. forest system lands and facilities. The agency will be able to readily analyze and measure improved program delivery in an electronic customer-centered environment. Burden is also reduced because the initiative will provide an expected decrease in customer data entry time (25%), internal processing time (33%), and customer search time (50%).

Department of Commerce:

Automated Export System (AES). AES is a part of the government-wide trade streamlining initiative. AES allows for electronic filing of Shipper's Export Declarations (SEDs), resulting in a significant reduction in the number of paper SEDs. Prior to the 1995 establishment of AES, the average number of paper SEDs filed monthly was more than 500,000. That number has been reduced to approximately 170,000 per month. The

Department of Commerce has launched an aggressive marketing and training plan to reduce the number of SEDs to 85,000 by September 2003.

ECASS2000+ and SNAP+. The Bureau of Industry and Security (BIS) uses the Export Control Automated Support System (ECASS) to process export license applications and track and document export enforcement investigations. A complete redesign of the Export Control Automated Support System (ECASS), called the ECASS2000+ project, will provide improved benefits for export control, enforcement, and licensing activities. As the redesign effort evolves, it will address the need to reduce public information collection reporting burden hours, reduce redundant support documentation requirements, and coordinate with various BIS and inter-agency groups that are necessary to support and deliver a successful implementation. A re-designed Simplified Network Application Process, or SNAP+ module, will provide support for the submission of all BIS work items.

Department of Defense:

Information in Support of the Military Health System. The primary information requirements imposed upon the public by the Military Health System (MHS) are contained in three information collection requests, and the forms associated with these ICRs have been targeted by the Department of Defense (DoD) for electronic commerce. Pursuant to the Health Insurance Portability and Accountability Act of 1996 (HIPAA), the Department of Health and Human Services issued final electronic transaction standards to streamline the processing of health care claims; reduce the volume of paperwork; and provide better service for providers, insurers, and patients. The MHS is a covered entity under HIPAA. By promoting the greater use of electronic transactions and the elimination of inefficient paper forms, the electronic formats are expected to provide a significant savings to the health care industry overall.

Department of Energy:

Electronic Reporting Option for Electric Power Companies. This initiative was undertaken by the Energy Information Administration (EIA), Department of Energy, to establish an electronic reporting option for completing electric power forms. The goals were to reduce respondent burden, improve the quality of information reported, reduce follow-up time for both respondents and EIA, and offer an additional reporting option to electric power companies responding to EIA surveys. This initiative was completed in FY 2002. The new option reduces respondent burden and the EIA workload by eliminating the need for EIA/respondent contact due to questionable information. EIA is now working to increase the participation level for this new reporting option.

Environmental Protection Agency:

TRI-ME. The Environmental Protection Agency has developed software to improve the quality of information in the Toxics Release Inventory. The goal of TRI-ME (TRI Made Easy) is to reduce burden on facilities reporting to TRI and improve data quality without

diminishing data collection. EPA is currently working on completing the TRI-ME software for reporting year (RY) 2002. The software is expected to be made available to facilities in March 2003. Major enhancements will allow facilities to prepare their submission with electronic signature, and allow users the ability to load data from prior years and current-year third-party software.

Department of Health and Human Services:

Electronic Research Administration (eRA). This National Institutes of Health (NIH) initiative represents a conversion of the extramural award program (application, initial peer review, secondary council review, award and post-award administrative process) from a paper to an electronic medium. Since the FY02 ICB, NIH successfully launched a pilot program. Full implementation is not expected until later in FY 2003.

Department of Housing and Urban Development:

B2B Specification. Within HUD, Single Family Housing is developing a business-to-business (B2B) specification that will lay the groundwork for a new integrated information system. This system will provide for automated data transmission from lender's and loan origination systems (LOS) providers directly to the FHA. Full implementation of this B2B specification will reduce the FHA loan-processing burden for lenders and facilitate high quality, high performance, and operationally robust data submission. Implementation of the B2B specification is currently in the testing phase.

Public and Indian Housing (PIH) Information Center (PIC). PIC represents a HUD effort to allow public and Indian housing (PIH) business partners to collect and process information in an internet environment. The focus is on automating three paper-based information collections. PIC has been implemented, and is being accepted by the PIH business partners.

GinnieNet. Ginnie Mae is identifying opportunities for electronic transmissions of and/or consolidation of requests for data from its program participants and industry partners. Specifically, Ginnie Mae will determine if issuers can submit their requests for commitment authority and pool numbers electronically using Ginnie Mae's GinnieNet system. Under the initiative, certain forms would be processed electronically.

Department of Interior:

E-Well Permit and Report System Pilot Program. The Department of Interior (DOI) is conducting a pilot program to streamline information collections and operations associated with the conduct of well drilling/completion/workover operations on the Outer Continental Shelf (OCS). This project is designed to streamline processes; reduce data redundancy; and improve the quality, timeliness, completeness, and compliance of the information exchange between OMM and industry. A complete system will be externally accessible by the end of FY03.

Cross-Program Electronic Permit Initiative. The Fish and Wildlife Service (FWS) is reviewing its permit programs for possible electronic conversion to allow the public to submit permits and permit fees electronically using digital signatures. This initiative is expected to streamline the permit issuance process and reduce burden on the public. This initiative should also allow FWS program offices to share information more quickly and effectively.

Department of Labor:

Electronic Reporting Initiative. The Labor-Management Reporting and Disclosure Act (LMRDA) requires the filing of various reports by labor organizations, union officers and employees, employers, labor relations consultants, and surety companies. The Department of Labor (DOL) recently added an electronic reporting option. Since July 2002, labor organization officers required to file certain forms have been able to purchase digital signature certificates and file the reports electronically.

ES-202 Program. The ES-202 program is a Federal/State cooperative effort, which compiles monthly employment and quarterly wage data submitted to state workforce agencies by employers subject to state unemployment insurance (UI) laws. The ES-202 Program provides a virtual census of nonagricultural employees and their wages, and nearly half of agricultural workers are covered as well. The Bureau of Labor Statistics (BLS) is in the process of automating this data collection. The initiative was originally scheduled as an FY02 burden reduction initiative, but was rescheduled for FY03.

Department of Transportation:

OE/AAA Automation. The Federal Aeronautics Administration (FAA) annually conducts more than 50,000 aeronautical studies. Such studies are conducted when FAA is notified of any proposed construction or alteration around public use airports or higher than 200 feet above sea level. Such notification is required by law. The new obstruction evaluation/airport airspace analysis (OE/AAA) automation program is a web-based application that is accessed through the FAA's intranet via the user's workstation browser. With the deployment of the OE/AAA automation system to all nine regions, the reliance on paper transactions has been dramatically reduced.

Integrated Airman Certification and Rating Application (IACRA). The FAA developed a computer-based program that automates the airman certification process. The program, known as IACRA, standardizes and streamlines the airman certification process for all persons responsible for airman certification. In addition, the final program will provide an interface between ACRA and multiple FAA databases for a comprehensive and integrated electronic airman certification process. Beta testing for the web-based submission tool is scheduled to begin in August of 2003; project completion is scheduled for September 2003.

Hours of Service Regulations. This initiative pertains to the conversion of the Hours of Duty records that railroads are required to account for the time covered employees spend

on the job from a paper to an electronic format. To date, both time and cost burdens have been substantially reduced. The conversion from a paper to an electronic format reduced the burden on railroads by 733,333 hours. The Federal Railroad Administration (FRA) estimates that an additional 295,000 records will be generated and kept electronically, instead of on paper, over the next year. This further conversion will reduce the hourly burden for this information collection by an additional 39,333 hours.

Department of Treasury:

Modernized e-File. The purpose of this Internal Revenue Service (IRS) initiative is to significantly increase the number of electronically filed returns by enabling businesses and preparers to file many business forms, schedules and statements electronically. This system is not yet operational. By 2004, the infrastructure will be in place. Benefits of the initiative include reduced duplication, reduced processing times, elimination of transcription errors, and faster identification of emerging issues and trends.

Electronic Information for Retirement Plan Participants. This IRS initiative will facilitate the use of electronic media by sponsors of tax-qualified retirement plans. Specifically, participants of those plans and certain other parties will be able to obtain two types of notices: (1) the notice to interested parties required in connection with an application for a determination letter for a tax-qualified retirement plan and (2) the notice of a reduction in future benefit accruals. IRS issued a final rule on July 19, 2002 regarding the notice to interested parties. IRS proposed a rule on April 23, 2002 regarding the notice of reduction in future benefit accruals. A final rule is expected in April 2003.

Department of Veterans Affairs:

Application for Service Disabled Veterans Insurance. Currently, veterans only have a paper option when applying for service disabled veterans insurance. The VA proposes to offer the veteran the option of submitting the relevant form electronically. The VA anticipates offering this option no later than June 30, 2003.

Application for Designation of Beneficiary. Veterans only have the option of using a paper form to designate a beneficiary and select an optional settlement to be used when the insurance matures because of the veteran's death. The VA proposes to offer the veteran the option of viewing the relevant form electronically. The electronic option should be available by June 30, 2003.

Student Verification of Enrollment. Claimants receiving VA educational assistance must complete a form to certify attendance and verify enrollment before the department provides payment. Claimants had been able to submit this information in by completing the paper version, by calling a national toll-free telephone number, or by using the Internet. The VA eliminated the paper option and now requires electronic submission. This change reduced the average burden to respondents and cut VA burden hours from 146,000 to 73,000. This initiative was completed in August 2002.

Veterans On-line Applications. VA has an Internet site from which applicants can view, print, and submit electronically various VA benefits application forms: Veterans Online Applications (VONAPP). VONAPP allows applicants to begin the claims adjudication process with VBA via the Internet. VBA is planning to migrate selected VONAPP data into VBA's corporate database. Doing so will allow a smooth flow of data into the VA modern awards processing system (MAP-D) which will eliminate the need to re-key data. The Compensation and Pension Service will begin discussions to develop a timeline to migrate this data into MAP-D beginning in January 2003.

Federal Energy Regulatory Commission:

FERC Electronic Filing. On May 26, 1999, FERC revised its rules to permit parties to Commission proceedings to serve documents electronically. On September 14, 2000, the Commission revised its rules to permit Commission proceedings participants to begin, on a voluntary basis, to file submissions via the Internet (e-filing). Increased use of filing will reduce the burden and expenses associated with paper filings and assist the public by making information available in a faster and more efficient manner. As of March 2003, an estimated 60% of the transactions and forms filed with the commission are filed electronically.

Nuclear Regulatory Commission:

Reducing Burden on Power Reactor Licensees. The Nuclear Regulatory Commission (NRC) has developed an initiative to review various reporting requirements for power reactor licensees. This initiative is expected to reduce the burden on licensees associated with periodic reporting requirements by eliminating certain reporting requirements, reducing the frequency of reporting, or making the required report an exception report. The NRC began developing the initiative in FY 2002. In FY 2003, NRC intends to develop a plan to determine which rule changes would reduce the licensee burden without compromising safety. The first rule changes may not occur until FY 2004.

Social Security Administration:

Disability Reporting. The Social Security Administration (SSA) is developing an internet filing alternative for members of the public wishing to provide disability reporting information in connection with pursuing a case for disability benefits. The entire process is scheduled to be completed by January 2004. Developing an internet option enables SSA to capture information electronically at the earliest point in the business process and retain this information in an electronic format for use throughout the life of the case. The internet application also provides features that improve data collection and data entry for the public

Improving Program Effectiveness

Some initiatives are designed to improve performance with statutory tasks. The following examples illustrate this category:

Department of Agriculture:

Child Nutrition. The USDA Food Nutrition Service (FNS) is in the process of reviewing its Special Nutrition Programs (SNP) to maximize the accuracy, efficiency, and usefulness of its child nutrition (CN) information collection. FNS is concentrating on a review of all CN data elements and instructions, focusing on items to add, eliminate or alter. FNS is also examining the process of collecting, validating, and consolidating CN data. This initiative will not necessarily result in a reduction of the quantity or frequency of information collected by FNS, but will improve program performance.

Department of Education:

Common Data Definitions. The objective of this Department of Education initiative is to develop a common language with common data definitions to greatly enhance communication between the department and its partners. The effort started with analysis of approved collections under the Paperwork Reduction Act, and the data elements used in those collections were identified and analyzed to develop consensus definitions and code sets. So far, twenty-seven data elements met the criteria for “consensus”, but the department continues its work to identify and achieve consensus definitions for additional data elements.

Data Quality Certification Initiative. The objective of this Department of Education initiative is to establish data quality standards for information used and disseminated by the department and to certify major department databases for data quality.

Department of Health and Human Services:

Streamlining Health Information Collections. The Centers for Disease Control and the Agency for Toxic Substances Disease Registry (CDC/ATSDR) have initiated a comprehensive initiative to reduce paperwork and increase program effectiveness. Specifically, all centers, institutes, and offices are reviewing information collections to streamline forms and procedures, collaborate within and outside CDC/ATSDR, meet GPEA requirements, and use the latest technology available. Among the notable achievements to date: the *Mortality and Morbidity Weekly Reports* series of publications are now available on the internet in a searchable database; CDC is now consulting with HRSA and NIH on data collections involving HIV/AIDS in order to better evaluate HIV prevention programs; and the two largest information collections for the National Center for Infectious Disease are in the process of being streamlined and converted to electronic reporting under the National Electronic Disease Surveillance System.

Department of Justice:

Arrival/Departure Information System (ADIS). To meet statutory requirements, the Immigration and Naturalization Service (INS) is requiring electronic arrival and departure manifests. Initial indications are that the arrival/departure information system (ADIS) is more reliable, alleviates data-entry errors, and enhances the capability of collecting a complete arrival/departure record every time. Beginning on January 1, 2003, all commercial carriers are required to submit electronic arrival and departure manifests.

Department of Transportation:

Air Carrier Traffic and Capacity Data. As a result of a BTS final rule issued in July 2002, small certificated, commuter, and all-cargo air carriers are required to report their air traffic activity under the T-100 Traffic Reporting System. Prior to the final rule, there was a lack of market and segment data for domestic all-cargo, domestic charter and small aircraft operations. The regulatory changes were designed to fill the data gaps for these rapidly growing segments in the air transportation industry. Moreover, the final rule allows aviation data users to compare operations of commuter and certificated air carriers.

National Bridge Inventory System (NBIS). During FY 2002, the Federal Highway Administration (FHWA) developed a new national bridge inventory system (NBIS). This new system greatly improves FHWA capability for administering the agency's bridge program. The new NBIS system allows states to make submissions directly to FHWA using the internet so that separate data submittals (hard copies, diskettes, etc.) and cover letters are no longer needed.

National Transit Database (NTD). At the direction of Congress, the Federal Transit Administration (FTA) undertook a top-to-bottom evaluation of the National Transit Database (NTD). As a result, the new NTD system was launched in October 2002. One objective of the new system is to ease reporting burden. Another objective is to reduce the validation processing time. FTA hopes to cut validation time in half.

Federal Communications Commission:

Streamlining and Revising Rules on Satellite Network Earth Stations and Space Stations. The International Bureau of the Federal Communications Commission (FCC) is revising requirements governing the licensing of, and spectrum usage by, satellite network earth stations and space stations. This rulemaking initiative, if implemented, will result in a shorter, on-line, user-friendly form that will expedite the review and processing of applications. The rulemaking is expected to be finalized by April 2003.

Revision of the Automated Reporting Management Information Systems (ARMIS). The FCC established ARMIS reporting requirements in 1987 to facilitate the timely and efficient analysis of carrier costs and revenue. As a consequence of an internal review, FCC eliminated unnecessary reporting requirements and revised definitions, descriptions and instructions to provide greater clarity and consistency in reporting by incumbent local exchange carriers (LECs). Performance in the ARMIS related information collections has

improved due to streamlining the reporting and recordkeeping requirements. These revisions also enhanced the quality, utility, and clarity of the collected information.

Federal Trade Commission:

Merger Review Process. The FTC has been working with the Antitrust Division at the Department of Justice to establish procedures to make the Hart-Scott-Rodino Act (HSR) merger review process more efficient and transparent. In general, the FTC has focused on two areas for streamlining: (1) electronic pre-merger filing and (2) burden reduction with respect to certain investigations (i.e., second requests). E-filing will reduce filing burdens for businesses and government and create a valuable database of information on merger transactions. The system is scheduled to become operational in June 2003. The FTC, in conjunction with DOJ, has taken steps to reduce the burden in document productions responsive to requests for additional information under the HSR Act ("second requests").

National Aeronautics and Space Administration:

Improvement of NASA's ICB Process. NASA plans to conduct a complete overhaul of its information collection budget process. The program review and restructuring will take approximately ten months to one year to complete. NASA has instituted an electronic tracking system to monitor the status of current, new, and expiring collections, and plans to improve the system by adding more data to it in FY 2003.

Nuclear Regulatory Commission:

Risk-Informing Regulations. Risk-informed regulation is an approach to regulatory decision-making that uses risk insights as well as traditional considerations to focus regulatory and licensee attention on design and operational issues commensurate with their importance to health and safety. The Nuclear Regulatory Commission (NRC) is identifying regulatory activities that could benefit from risk information. The regulatory changes should (1) help resolve questions with respect to maintaining or improving an activity's safety, (2) improve the efficiency or the effectiveness of the regulatory process, (3) reduce unnecessary regulatory burden on applicants or licensees, and/or (4) help to effectively communicate a regulatory decision. Currently, the NRC is developing risk-informed regulatory changes to many of its requirements and technical specification initiatives.

Consolidated Decommissioning Guidance. NRC is consolidating and updating all existing NMSS decommissioning guidance documents into a three-volume NUREG. The consolidated guidance takes a risk-informed, performance-based approach to the information needed to support an application for decommissioning a materials license. The objective is to increase efficiency and reduce burden for both staff and licensees. The first volume was published in September 2002, the second volume is scheduled completed in June 2003, and the third volume is scheduled for completion in September 2003.

Consolidation of Licensing Process Requirements. The NRC has developed a new materials licensing process that will significantly reduce the regulatory burden on materials licensees. NRC has replaced the current guidance with a series of comprehensive and consolidated electronically searchable guidance documents. NRC issued one revised guidance document in FY 2001 on portable gauge licenses and plans to issue three revised guidance documents in FY 2003.

Conclusion

Agencies have undertaken a variety of initiatives to improve the information collection process. Although burden reduction remains an important goal, the initiatives described in this chapter demonstrate significant efforts in hastening electronic reporting and improving program performance.

Appendix A. Information Collection Budget Table

In FY 2002, citizens spent an estimated 8.22 billion hours providing Federal agencies the information needed to fulfill agency responsibilities. This appendix describes in aggregate terms how that number changed from FY 2001. It also provides further explanation of some of the terms used throughout this report to describe these changes.

Information Collection “Hours”

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

Changes in the Hours Needed

The total hours needed to complete an agency’s information collections can change from year to year for a variety of reasons. OMB, through a computer system that tracks the information collections it reviews and approves, categorizes hour changes as resulting from either “program changes” or “adjustments.” The distinction between these two categories is the presence or absence of agency action. A program change results from an agency action of some type, such as adding or deleting questions from a form or reducing the frequency of reporting. An adjustment results from other factors that are beyond agency control. An example of an adjustment would be the increased number of people applying for Federal benefits because of greater needs. OMB tracks approved information collections over time using this distinction in why hours change. The sum of the changes in these two categories accounts for the change between one fiscal year total and the next. Tables A1 and A2 in this appendix list program changes and adjustments for each agency for FY 2002 and those expected for FY 2003.

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

- **Changes due to New Statutes.** These include the creation of new collections or the material revision or elimination of existing collections that an agency must undertake because a recent statute requires the action.
- **Changes due to Agency Action.** These include the creation of new collections or the material revision or elimination of existing collections that an agency undertakes without a specific and recent statutory mandate. This type of transaction includes changes due to new or revised policies and collections that are authorized but not explicitly required by statute.
- **Changes due to Lapse of OMB Approval.** This kind of transaction occurs when an agency allows OMB approval for a collection to expire even though the agency continues to conduct or sponsor the collection. The figures include the hours for the collection removed from the computer tracking system upon expiration as well as the hours added upon reinstatement. These lapses are reported in Appendix D.

OMB distinguishes among these three kinds of program changes through the preparation of the ICB and with the input of the agencies. Each of these types of program changes are listed in the following table.

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

Explanation of the Table

The table starts with the FY 2001 Totals, as printed in the FY 2001 Information Collection Budget of the United States Government.

The second column is “FY 2002 Program Changes,” as carried in the OMB computer tracking system and determined in consultation with the agencies. This column includes *all* program changes due to agency actions, due to new statutes, and due to lapses of OMB approvals. The third column is FY 2002 Program Changes expressed as a percentage of the FY 2001 Total Hours Needed.

The fourth column, “FY 2002 Changes Due to Agency Action,” represents the program changes associated with new or revised collections not explicitly required by statute. The fifth column is the FY 2002 Program Changes Due to Agency Action expressed as a percentage of the FY 2001 Total Hours Needed. **This calculation is the most accurate measure of agency activity with respect to information collection.**

The sixth column is “FY 2002 Changes Due to New Statute.” This column represents the program changes associated with collections required by statute. The seventh column is the FY

2002 Changes Due to New Statute expressed as a percentage of the FY 2001 Total Hours Needed.

The eighth column, "FY 2002 Changes Due to Lapse in OMB Approval," represents the program change burden associated with collections that an agency allowed to expire even though the agency continues to collect the information. This column includes subtractions (due to expirations) and additions (due to reinstatements). The ninth column is FY 2002 Changes Due to Lapse in OMB Approval as a percentage of the FY 2001 Total Hours Needed.

The tenth column is "Adjustments," as carried in the OMB computer tracking system and determined in consultation with the agencies. The sum of this column and the "FY 2002 Program Changes" is the difference between the FY 2002 Total and the FY 2001 Total. The eleventh column presents FY 2002 Adjustments as a percentage of the FY 2001 Total.

The twelfth column gives the "FY 2002 Total Hours Needed," the sum of the hours needed for all collections approved by OMB on October 4, 2002.

Table A2 is presented in the same format as Table A1.

Please note the following regarding Tables A1 and A2:

1. The Department of Homeland Security (DHS) was created on January 24, 2003. Since the ICB bulletin was sent to agencies months before DHS was created, we are not presenting burden data for DHS. This information will be provided next year. The agencies that will be affected by the transition include USDA, DOJ, DOT, Treasury, and FEMA.
2. For DOT, the program change total for FY 2002 includes an increase of 161,364,492 hours that was due to a reinstatement of an OMB approval to resolve a PRA violation. DOT inadvertently allowed OMB's approval of a Federal Motor Carrier Safety Administration collection, Driver's Record of Duty Status, to expire on September 30, 2001. DOT continued to use this collection in violation of the PRA until it obtained a reinstatement of OMB's approval on March 4, 2002. When DOT reinstated OMB's approval of this collection, it increased its estimate of the burden from 42,464,327 hours to 161,364,492 hours. The increase of 118,900,165 hours was due largely to DOT's re-estimate of the average burden imposed on drivers and motor carriers, which DOT made in response to public comments.
3. A large portion of the Commerce Department's program change increase in FY 2002 and FY 2003 is due to the periodic nature of their information collections. Specifically, the 2002 Economic Census is conducted once every five years. Please see Appendix B for other specific examples.

Table A1. FY 2002 Burden Hours

	FY 2001 Total Hours Needed	FY 2002 Program Changes		FY 2002 Changes Due to Agency Action		FY 2002 Changes Due to New Statutes		FY 2002 Changes Due to Lapses in OMB Approval		FY 2002 Adjustments		FY 2002 Total Hours Needed
Government Total	7631.74	294.06	3.9%	-2.41	0.0%	115.13	1.5%	181.67	2.4%	297.37	3.9%	8223.17
Agency												
Agriculture	86.72	1.84	2.1%	0.97	1.1%	0.22	0.3%	0.66	0.8%	0.03	0.0%	88.59
Commerce	10.29	1.81	17.6%	1.80	17.4%	0.00	0.0%	0.01	0.1%	-0.45	-4.4%	11.65
Defense	92.05	1.01	1.1%	0.56	0.6%	0.00	0.0%	0.45	0.5%	-0.70	-0.8%	92.36
Education	40.49	-2.95	-7.3%	-3.19	-7.9%	0.27	0.7%	-0.03	-0.1%	0.90	2.2%	38.44
Energy	3.85	0.06	1.6%	0.06	1.6%	0.00	0.0%	0.00	0.0%	-0.15	-3.9%	3.76
HHS	186.61	38.52	20.6%	-1.79	-1.0%	35.94	19.3%	4.37	2.3%	-0.30	-0.2%	224.83
HUD	12.05	9.93	82.4%	0.01	0.1%	0.03	0.2%	9.89	82.1%	-0.05	-0.4%	21.93
Interior	7.56	0.43	5.7%	0.28	3.6%	0.05	0.6%	0.28	3.6%	-0.32	-4.3%	7.66
Justice	40.53	5.90	14.5%	0.81	2.0%	1.32	3.3%	3.76	9.3%	0.17	0.4%	46.60
Labor	186.11	2.45	1.3%	2.40	1.3%	0.05	0.0%	0.00	0.0%	0.66	0.4%	189.22
State	16.56	12.52	75.6%	0.02	0.1%	12.10	73.1%	0.40	2.4%	0.15	0.9%	29.23
Transportation	80.34	163.42	203.4%	0.75	0.9%	0.31	0.4%	162.36	202.1%	0.97	1.2%	244.73
Treasury	6,415.85	55.01	0.9%	-9.51	-0.1%	64.73	1.0%	-0.04	0.0%	279.57	4.4%	6750.43
EPA	130.77	0.04	0.0%	-0.03	0.0%	0.07	0.1%	0.00	0.0%	9.66	7.4%	140.47
												0.00
VA	5.31	0.17	3.2%	0.06	1.2%	-0.02	-0.3%	0.12	2.3%	1.83	34.5%	7.31
FAR	23.75	0.73	3.1%	0.73	3.1%	0.00	0.0%	0.00	0.0%	0.01	0.0%	24.49
FCC	40.1	-2.25	-5.6%	-1.71	-4.3%	-0.54	-1.3%	0.00	0.0%	-11.05	-27.6%	26.80
FDIC	10.53	0.01	0.1%	0.01	0.1%	0.00	0.0%	0.00	0.0%	-0.67	-6.4%	9.87
FEMA	5.51	0.31	5.7%	0.30	5.4%	0.04	0.7%	-0.02	-0.4%	1.95	35.3%	7.77
FERC	3.95	0.46	11.6%	0.42	10.7%	0.00	0.0%	0.03	0.9%	-0.03	-0.7%	4.38
FTC	72.58	0.00	0.0%	0.00	0.0%	0.00	0.0%	0.00	0.0%	-2.92	-4.0%	69.66
NASA	6.86	-0.90	-13.1%	0.01	0.1%	0.00	0.0%	-0.90	-13.2%	-0.01	-0.2%	5.95
NSF	4.72	0.01	0.2%	0.01	0.2%	0.00	0.0%	0.00	0.0%	-0.27	-5.7%	4.46
NRC	8.17	0.00	0.1%	0.00	0.1%	0.00	0.0%	0.00	0.0%	0.17	2.0%	8.34
SEC	114.28	4.51	4.0%	4.32	3.8%	0.19	0.2%	0.00	0.0%	17.79	15.6%	136.58
SBA	1.94	0.35	18.2%	0.02	0.8%	0.00	0.0%	0.34	17.4%	0.48	24.6%	2.77
SSA	24.26	0.65	2.7%	0.28	1.2%	0.36	1.5%	0.00	0.0%	-0.02	-0.1%	24.89

Table A2. Expected FY 2003 Burden Hours

	FY 2002 Total Hours Needed	FY 2003 Program Changes		FY 2003 Changes Due to Agency Action		FY 2003 Changes Due to New Statutes		FY 2003 Changes Due to Lapses in OMB Approval		FY 2003 Adjustments		FY 2003 Total Hours Needed
Government Total	8223.17	16.01	0.2%	4.06	0.0%	0.43	0.0%	11.51	0.1%	-117.4	-1.4%	8121.75
Agency												
Agriculture	88.59	12.19	13.8%	1.64	1.9%	1.76	2.0%	8.79	9.9%	-10.89	-12.3%	89.89
Commerce	11.65	6.42	55.1%	6.42	55.1%	0.00	0.0%	0.00	0.0%	1.14	9.8%	19.22
Defense	92.36	-18.04	-19.5%	-18.04	-19.5%	0.00	0.0%	0.00	0.0%	0.00	0.0%	74.32
Education	38.44	2.10	5.5%	0.16	0.4%	1.94	5.0%	0.00	0.0%	2.07	5.4%	42.61
Energy	3.76	-0.83	-22.2%	-0.90	-23.9%	0.06	1.7%	0.00	0.0%	0.00	-0.1%	2.92
HHS	224.83	25.95	11.5%	5.58	2.5%	20.38	9.1%	0.00	0.0%	0.11	0.1%	250.90
HUD	21.93	4.70	21.5%	1.34	6.1%	2.55	11.6%	0.81	3.7%	0.00	0.0%	26.63
Interior	7.66	0.04	0.5%	0.01	0.1%	0.03	0.4%	0.00	0.0%	0.16	2.0%	7.86
Justice	46.60	-1.91	-4.1%	-1.29	-2.8%	-0.62	-1.3%	0.00	0.0%	2.82	6.0%	47.51
Labor	189.22	0.46	0.2%	0.29	0.2%	0.17	0.1%	0.00	0.0%	-29.12	-15.4%	160.56
State	29.23	1.09	3.7%	0.81	2.8%	0.00	0.0%	0.28	0.9%	-6.65	-22.7%	23.67
Transportation	244.73	4.22	1.7%	3.05	1.2%	1.17	0.5%	0.00	0.0%	0.00	0.0%	248.94
Treasury	6750.43	-33.27	-0.5%	-3.27	0.0%	-30.00	-0.4%	0.00	0.0%	-81.06	-1.2%	6636.10
EPA	140.47	5.32	3.8%	5.31	3.8%	0.01	0.0%	0.00	0.0%	-1.56	-1.1%	144.24
VA	7.31	-0.50	-6.9%	-0.61	-8.3%	0.11	1.5%	0.00	0.0%	-1.10	-15.1%	5.71
FAR	24.49	-0.01	0.0%	-0.01	0.0%	0.00	0.0%	0.00	0.0%	6.56	26.8%	31.05
FCC	26.80	0.83	3.1%	1.21	4.5%	0.00	0.0%	-0.39	-1.4%	-0.89	-3.3%	26.73
FDIC	9.87	-0.23	-2.3%	-0.23	-2.3%	0.00	0.0%	0.00	0.0%	0.13	1.3%	9.77
FEMA	7.77	2.14	27.5%	0.16	2.1%	0.08	1.0%	1.90	24.4%	0.25	3.2%	10.16
FERC	4.38	-0.19	-4.3%	-0.24	-5.5%	0.00	0.0%	0.06	1.3%	0.00	0.0%	4.19
FTC	69.66	0.84	1.2%	0.84	1.2%	0.00	0.0%	0.00	0.0%	-2.27	-3.3%	68.24
NASA	5.95	0.00	0.0%	0.00	0.1%	0.00	0.0%	0.00	0.0%	0.00	0.0%	5.95
NSF	4.46	0.16	3.5%	0.16	3.5%	0.00	0.0%	0.00	0.0%	0.00	0.1%	4.62
NRC	8.34	-0.05	-0.5%	-0.05	-0.5%	0.00	0.0%	0.00	0.0%	0.61	7.3%	8.91
SEC	136.58	2.37	1.7%	1.57	1.1%	0.80	0.6%	0.00	0.0%	2.01	1.5%	140.96
SBA	2.77	0.07	2.5%	0.00	0.0%	0.00	0.0%	0.07	2.5%	0.00	0.0%	2.84
SSA	24.89	2.13	8.6%	0.15	0.6%	1.99	8.0%	0.00	0.0%	0.24	1.0%	27.26

Table A3. Information Collection Totals (millions of dollars)

	FY 2002 Estimated Total Cost Burden		FY 2003 Expected Total Cost Burden	
Government Total	\$	59,063.3	\$	56,588.7
Agency				
Agriculture	\$	130.8	\$	209.4
Commerce	\$	1,013.4	\$	889.1
Defense	\$	0.9	\$	0.9
Education	\$	612.7	\$	608.9
Energy	\$	3.9	\$	3.9
HHS	\$	1,013.4	\$	1,058.2
HUD	\$	31.4	\$	31.4
Interior	\$	71.6	\$	34.0
Justice	\$	1,649.5	\$	1,624.1
Labor	\$	1,806.2	\$	1,859.6
State	\$	1,480.5	\$	1,895.8
Transportation	\$	976.5	\$	978.0
Treasury	\$	5,296.6	\$	5,296.6
EPA	\$	1,205.1	\$	1,224.6
VA	\$	0.1	\$	0.1
FAR	\$	25,143.0	\$	25,039.3
FCC	\$	668.0	\$	664.3
FDIC	\$	-	\$	-
FEMA	\$	31.9	\$	30.3
FERC	\$	90.3	\$	90.3
FTC	\$	38.3	\$	40.2
NASA	\$	1.0	\$	1.0
NSF	\$	0.2	\$	0.2
NRC	\$	3.7	\$	0.8
SEC	\$	10,402.8	\$	7,554.7
SBA	\$	3.0	\$	64.4
SSA	\$	7,388.5	\$	7,388.5

Appendix B. Significant Paperwork Reductions and Increases—FY 2002 & 2003

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

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

- **Streamlining Regulations.** Revising existing regulations to eliminate unnecessary requirements.
- **Simplifying Forms.** Editing forms to reduce unnecessary information
- **Eliminating Redundancy.** Raising reporting thresholds to reduce the number of reports that need to be submitted, cutting the frequency of periodic reporting requirements, consolidating information collections, or working across agencies to share information.
- **Using Information Technology.** Using automated systems to speed and simplify the exchange of information between the government and the public and allowing respondents to use their own information technology to ease reporting burdens.
- **Statutory Reductions.** Reducing burden because of recently enacted statutes.
- **Other.** Any other agency efforts to reduce burden.

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

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

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

FY 2002 Reductions

Streamlining Regulations

Agency: **Environmental Protection Agency**
OMB Control No.: 2050-0021
Title: Information Collection Request for the Final Rule to Amend the Oil Pollution Prevention Regulation
Purpose of Collection: The final rule includes reporting and recordkeeping associated with facilities preparing and maintaining an Oil Spill Prevention, Control, and Countermeasure Plan.
How Reduction Achieved: The prevention aspects of 40 CFR 112 are being changed. For example, the rule excluded regulating any container with a storage or use capacity of less than 55 gallons of oil. The threshold for reportable discharges was changed, thereby reducing the amount of information that must be submitted to the Agency in such an event. The plan review period was changed from three to five years.
Change in Burden: -619,449 hours

Agency: **Federal Communications Commission**
OMB Control No.: 3060-0370
Title: Part 32–Uniform System of Accounts for Telecommunications Companies
Purpose of Collection: The Uniform System of Accounts is a historical financial accounting system which reports the results of operational and financial events in a manner which enables both management and regulators to assess these results within a specified accounting period. Subject respondents are telecommunications companies. Entities having annual revenues from regulatory telecommunications operations of less than \$114 million are designated as class B and are subject to less detailed accounting system than those designated as class A companies.
How Reduction Achieved: The Commission made four major accounting and reporting reforms that decreased the reporting requirements for class B companies.
Change in Burden: -816,584 hours

Agency: **Federal Communications Commission**
OMB Control No.: 3060-0739
Title: Amendment of the Commission’s Rules to Establish Competitive Safeguards for Local Exchange Carrier Provision of Commercial Mobile Radio Services.
Purpose of Collection: Incumbent Local Exchange Carriers (LECs) offering in-region broadband Commercial Mobile Radio Services (CMRS) must do so through a separate affiliate. The CMRS affiliate must maintain separate books of accounts and will be subject to the Commission’s joint cost and affiliate transaction rules. The Commission imposed a recordkeeping collection to ensure that incumbent LECs providing in-region broadband CMRS through a separate affiliate are in compliance with the Communications Act of 1934, as amended, and with Commission policies and regulations.
How Reduction Achieved: This collection of information was cancelled due to the Commission abolishing the rules that required this collection.
Change in Burden: -66,944 hours

Agency: **Federal Energy Regulatory Commission**

OMB Control No.: 1902-0187
Title: Reporting of Natural Gas Sales to the California Market
Purpose of Collection: In response to a complaint, the Commission had to determine if the rates for transportation and wholesale sales of natural gas in California were just and reasonable, and if not, what remedies were appropriate. Specifically, the Commission needed information to understand why the disparity in the price of natural gas occurred in California and continued to exist while other markets including those markets that are supplied by the same producing areas have experienced a decline in prices.
How Reduction Achieved: In May 2001 when the Commission first proposed to impose a reporting requirement, the spot price of natural gas in the California market ranged between \$11.79 and \$18.80 MMBtu while the price range in all other markets was between \$4 and \$7. However, natural gas prices dropped significantly from what they were in the Spring of 2001 in California and the rest of the country. The reason for imposing a reporting requirement for sales of natural gas to the California—that the California market was experiencing unique difficulties largely disappeared. The Commission believed that it could not justify continuing to collect the data under these circumstances for California when there was no similar reporting requirement in other parts of the country.
Change in Burden: -19,847 hours

Agency: **Department of Health and Human Services**
OMB Control No.: 0938-0037
Title of Collection: Outpatient Rehabilitation Cost Report and Supporting Regulations in 42 CFR 413.20 and 413.24
Purpose of Collection: This is the form used by Outpatient Rehabilitation Facilities to report their health care costs to determine the amount of reimbursement for services furnished to Medicare beneficiaries.
How Reduction Achieved: Comprehensive Outpatient Rehabilitation Facilities (CORFs) and OPTs have been eliminated from this collection requirement. Effective cost reporting periods ending on or after June 30, 2001, CORFs and OPTs with 100 percent of their services reimbursed on a fee schedule basis are not required to complete and file the Form CMS 2088-92 cost report.
Change in Burden: -358,200 hours

Agency: **Securities and Exchange Commission**
OMB Control No.: 3235-0225
Title of Collection: Rule 17f-4 under the Investment Company Act of 1940, Custody of Investment Company Assets with a Securities Depository
Purpose of Collection: Section 17(f) of the Investment Company Act of 1940 (the “Act”) permits registered management investment companies (“funds”) and their custodians to deposit the securities they own in a system for the central handling of securities, subject to rules adopted by the Securities and Exchange Commission (“Commission”). Rule 17f-4 specifies the conditions for the use of securities depositories by funds and custodians.
How Reduction Achieved: Proposed rule 17f-4 would reflect recent changes in custody practices and commercial law. The proposed amendments would update and simplify the rule and would substantially ease the rule’s reporting, recordkeeping, and other compliance requirements.
Change in Burden: -21,462 hours

Simplifying Forms

Agency: Department of Education
OMB Control No.: 1845-0056
Title: Federal Direct Stafford/Ford Loan and Federal Direct Unsubsidized Stafford/Ford Loan and Master Promissory Note
Purpose of Collection: This promissory note is the means by which a Federal Direct Stafford Program Loan borrower promises to repay his or her loan.
How Reduction Achieved: By consolidating this collection into 1845-0007 the collection eliminated the requirement for a student to sign a promissory note on an annual basis. With 1845-0007, a student is permitted to sign one promissory note and it is good for 10 years.
Change in Burden: -1,325,360 hours

Agency: Federal Communications Commission
OMB Control No.: 3060-0511
Title: ARMIS Access Report, FCC Report 43-04
Purpose of Collection: The ARMIS Access Report is needed to administer the Commission's accounting jurisdictional separations and access charge rule; to analyze revenue requirements and rates of return, and to collect financial data from Tier 1 incumbent local exchange carriers (LEC's).
How Reduction Achieved: The Commission modified the reporting requirements in FCC Report 43-04 in a Report and Order. The Commission clarified that mid-sized carriers are not required to file FCC Report 43-04. The Commission made four major accounting and reporting reforms. These reforms substantially consolidated the classes of carriers (A and B) accounting requirements, relaxed certain transaction rules, reduced the cost of regulatory compliance, and reduced the ARMIS (Automated Reporting and Management Information Systems) reporting requirements. This effectively reduced the number of hours required for carriers to complete the report.
Change in Burden: -74,153 hours

Agency: Department of Health and Human Services
OMB Control No.: 0938-0756
Title of Collection: MS Interactive Survey Tool for www.medicare.gov
Purpose of Collection: To obtain feedback from users of the Web site so that the agency can continually revise the site to respond to the needs of the public.
How Reduction Achieved: The survey tool was revised to collect less information.
Change in Burden: -20,638 hours

Agency: Department of Housing and Urban Development

OMB Control No.: 2502-0261
Title: Housing Counseling Program
Purpose of Collection: Section 106 of the Housing and Community Development Act of 1974 authorizes HUD to contract with organizations to provide counseling to tenants and homeowners to assist them in improving their housing conditions and in meeting the responsibilities of tenancy and homeownership. Counseling agencies are required to submit their qualifications to provide such services. HUD-approved agencies can compete for program funds. Grantees are required to submit performance data to enable HUD to evaluate the effectiveness of the program.
How Reduction Achieved: HUD streamlined its data collection and improved performance indicators and measurements. Three forms were consolidated into one, two forms were deleted, and the form HUD-9902 was improved to reflect a more complete representation of housing counseling outcomes.
Change in Burden: -12,801 hours

Agency: **Securities and Exchange Commission**
OMB Control No.: 3235-0318
Title: Form N-4: Registration Statement of Separate Accounts Organized as Unit Investment Trusts
Purpose of Collection: Form N-4 provides investors with material information concerning securities offered for public sale. The first part includes a simplified prospectus that satisfies the prospectus delivery requirements of the Securities Act of 1933 Act ("Securities Act"). The second part is a Statement of Additional Information available free of charge to prospective investors upon request. A third part of the registration statement includes all of the other mandatory information that is not specifically required to be in the prospectus or the Statement of Additional Information. Form N-4 satisfies the disclosure requirements of the Securities Act and the requirement of the Investment Company Act of 1940 that investment companies file a registration statement with the Commission pursuant to Section 8(b).
How Reduction Achieved: In connection with proposed amendments to rule 482 under the Securities Act, the burden hours associated with rule 482 advertising, including the form N-4 advertising disclosure requirement, were deducted from the burden of Form N-4.
Change in Burden: -36,630 hours

Agency: **Department of Treasury**
OMB Control No.: 1545-0277
Title: Form 6251, Alternative Minimum Tax-Individuals
Purpose of Collection: Form 6251 is used by individuals with adjustments, tax preference items, taxable income above certain exemption amounts, or certain credits. Form 6251 computes the alternative minimum tax which is added to regular tax. The information is needed to ensure the taxpayer is complying with the law.
How Reduction Achieved: **Changing Forms** - Form 6251 was revised as part of the Taxpayer Burden Reduction Initiative. **Part I** Lines 14a through 14o were eliminated by giving some of the items their own entry lines and combining several of the lesser-used lines. **Part II.** Line 31 (old line 24) was separated from the text into two bulleted items to improve clarity. **Part III.** Part III was revised to be consistent with the changes made to the Schedule D Tax Worksheet in the Instructions for Schedule D (Form 1040).
Change in Burden: -5,561,160 hours

Eliminating Redundancy

Agency: Department of Health and Human Services
OMB Control No.: 0915-0126
Title: National Practitioner Data Bank (NPDB) for Adverse Information on Physicians and Other Health Care Practitioners-45 CFR Part 60 Regulations and Form
Purpose of Collection: The purpose of the NPDB is to restrict the ability of physicians, dentists, and other licensed health care practitioners with a history of substandard practice to move from State to State without disclosure or discovery of their previous damaging or incompetent performance or conduct.
How Reduction Achieved: This decrease is due primarily to the fact that there was an overlap in burden for certain NPDB and HIPDB reporting and self-querying activities in the HIPDB regulation. Reductions in the burden also result from enhancements made to the reporting and querying system itself, input from users, and additional experience gained in operating the Data Bank.
Change in Burden: -32,358 hours

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

Using Information Technology

Agency: Department of Commerce
OMB Control No.: 0607-0152
Title: Shipper's Export Declaration/Automated Export System (AES) Program
Purpose of the Collection: The paper Shipper's Export Declaration (SED) 7525-V and its electronic equivalent, the Automated Export System (AES) provide the vehicles for collecting data on U.S. exports. The official export statistics provide a basic component for the compilation of the U.S. position on merchandise trade. These data are an essential component of the monthly totals on U.S. International Trade in Goods and Services, a principal economic indicator and primary component of the Gross Domestic Product (GDP). This information is used to detect and prevent the export of high technology items or military goods to unauthorized destinations or end users.
How Reduction Achieved: The reduction in burden is attributable to the ever increasing number of exporters and forwarding agents using the electronic AES instead of filing the paper SED.
Change in Burden: -340,761 hours

Agency: Department of Education
OMB Control No.: 1845-0050
Title: Federal Stafford Loan Subsidized/Unsubsidized Master Promissory Note

Purpose of Collection: This promissory note is the means by which a Federal Stafford Program Loan borrower promises to repay his or her loan.

How Reduction Achieved: By consolidating this collection into 1845-0006, the collection was eliminated and 1845-0006 decreased the burden hours through the use of a streamlined document as well as permitting electronic submission via the use of a PIN.

Change in Burden: -634,600 hours

Agency: **Federal Energy Regulatory Commission**
OMB Control No.: 1902-0021
Title: Annual Report of Major Electric Utilities, Licensees and Others, FERC Form 1 (RM02-9-000)

Purpose of Collection: Under the sections 304 and 309 of the Federal Power Act (FPA), (16 U.S.C. 825c and 825h), the Commission is authorized to collect general corporate information including: summary financial information, balance sheet and income statement supporting information, and electric plant, sales, and operating expenses. The information is used in the review of the financial condition of regulated companies, in various rate proceedings and in the Commission's audit program.

How Reduction Achieved: On May 16, 2002 the FERC issued a Final Rule amending its regulations to provide for the electronic filing of the required financial data from major electric utilities. Also, based on the Commission's review on the need for data, given requests for reductions in the collection of data, FERC has eliminated eleven schedules.

Change in Burden: -28,770 hours

Agency: **Department of Transportation**
OMB Control No.: 2132-0502
Title: 49 U.S.C. Section 5309 Capital Program and 5307 Urbanized Area Formula Program

Purpose of Collection: FTA provides financial assistance to State and local governments, and public transportation authorities primarily through these programs (Sections 5307 and 5309). The provisions of Title 49 U.S.C. 5307 and 5309, 49 CFR Part 18, the Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local governments (the Common Grant Rule), and prudent administration of Federal grant funds dictate that grantor agencies review applications for Federal assistance to assure eligibility and other criteria and monitor approved projects to ensure timely expenditure of Federal funds by grant recipients. The information submitted ensures FTA's compliance with applicable Federal laws and the Common Grant Rule. Without these reports, significant resources and manpower would be necessary to conduct on-site inspections.

How Reduction Achieved: Increase in the number of grantees who submit grant requirements electronically.

Change in Hours: -319,134 hours

Statutory Reductions

Agency: **Department of Agriculture**
OMB Control No.: 0584-0052
Title: Affidavit of return/exchange of food coupons

Purpose of Collection: The report documents the return or exchange of coupons for a complete audit trail of destroyed coupons.
How Reduction Achieved: Expansion of EBT eliminates coupons and the burden associated with this form.
Change in Burden: -10,359 hours
Statute Title and P.L.#: Food Stamp Act of 1977, as amended.

Agency: **Department of Agriculture**
OMB Control No.: 0584-0085
Title: FS Redemption Certificate
Purpose of Collection: Used by retailers to accompany deposits of food stamp coupons.
How Reduction Achieved: Expansion of EBT eliminates coupons and the burden associated with this form.
Change in Burden: -189,536 hours
Statute Title and P.L.#: Food Stamp Act of 1977, as amended.

Agency **Department of Education**
OMB Control No.: 1810-0036
Title: Applications for Assistance (Sections 8002 and 8003) Impact Aid Program
Purpose of the Collection: To apply for Impact Aid payments.
How Reduction Achieved: The decrease in hours reflects a decrease in the number of section 8003 applications filed annually, the removal of statutory authority for payment for children with severe disabilities, and a decrease in applicants under State equalization, school construction, and with military installation housing undergoing renovation or rebuilding. The statutory reduction of (100,623) is due to the enactment of P.L.# 106-398.
Change in Burden: -100,623 hours
Statute Title and P.L.#: Floyd D. Spence National Defense Authorization Act, P.L.# 106-398

Agency **Department of Education**
OMB Control No.: 1885-0535
Title: Application for Grants under Bilingual Education: Comprehensive School Grants Program
Purpose of Collection: The Department needs and uses this information from local educational agencies to make grant awards.
How Reduction Achieved: The reduction was achieved as a result of reauthorization of the Elementary and Secondary Education Act, which eliminated this program.
Change in Burden: -48,000 hours
Statute Title and P.L.#: No Child Left Behind Act of 2001, P.L.107-110

Agency **Department of Education**
OMB Control No.: 1885-0536
Title: Application for Grants under Bilingual Education: Teachers and Personnel Grants Program
Purpose of Collection: The Department needs and uses this information to make grants. The respondents are local educational agencies, and institutions of higher education.
How Reduction Achieved: The reduction was achieved as a result of reauthorization of the Elementary and Secondary Education Act, which eliminated this program.
Change in burden: -24,000 hours
Statute Title and P.L. #: No Child Left Behind Act of 2001, P.L. 107-110

Agency **Department of Education**
OMB Control No.: 1885-0537

Title: Application for Grants under Bilingual Education: System-wide Improvement Grants Program
Purpose of Collection: The Department needs and uses this information from local educational agencies to make grants.
How Reduction Achieved: The reduction was achieved as a result of reauthorization of the Elementary and Secondary Education Act, which eliminated this program.
Change in Burden: -24,000 hours
Statute Title and P.L.#: No Child Left Behind Act of 2001, P.L. 107-110

Agency **Department of Education**
OMB Control No.: 1885-0538
Title: Application for Grants under Bilingual Education: Program Development and Implementation Grants Program
Purpose of Collection: The Department needs and uses this information to make grants. The respondents are local educational agencies, institutions of higher education, community-based organizations, and State educational agencies.
How Reduction Achieved: The reduction was achieved as a result of reauthorization of the Elementary and Secondary Education Act, which eliminated this program.
Change in Burden: -24,000 hours
Statute Title and P.L. #: No Child Left Behind Act of 2001, P.L. 107-110

Agency **Department of Education**
OMB Control No.: 1885-0539
Title: Application for Grants under Bilingual Education: Program Enhancement Grants Program
Purpose of Collection: The Department needs and uses this information to make grants. The respondents are local educational agencies, institutions of higher education, and community-based organizations.
How Reduction Achieved: The reduction was achieved as a result of reauthorization of the Elementary and Secondary Education Act, which eliminated this program.
Change in Burden: -24,000 hours
Statute Title and P.L. #: No Child Left Behind Act of 2001, P.L. 107-110

Agency **Department of Education**
OMB Control No.: 1885-0542
Title: Application for Grants under Bilingual Education: Career Ladder Program
Purpose of the Collection: The Department needs and uses this information to make grants. The respondents are local educational agencies, institutions of higher education, and community-based organizations.
How Reduction Achieved: The reduction was achieved as a result of reauthorization of the Elementary and Secondary Education Act, which eliminated this program.
Change in burden: -24,000 hours
Statute Title and PL#: No Child Left Behind Act of 2001, PL 107-110

Agency **Social Security Administration**
OMB No.: 0960-0565
Title: Employer Report of Special Wage Payments/SSA-131
Purpose of Collection: The purpose of gathering this information is to prevent earnings- related overpayments and to avoid erroneous withholding. The SSA-131 is used by SSA for awards and post-entitlement events that require special wage payment verification from employers. Based on Section 203(f) (5)&(6) of the Social

How Reduction Achieved: Security Act, certain payments that are wages for tax purposes are not counted under the Social Security annual earnings test. The special wage payments may appear on employer wage reports and beneficiary earnings reports to SSA even though they do not count when applying the Annual Earning Test.
As a result of legislation that eliminated the annual earnings test at full retirement age, the number of eligible respondents to this information collection has been reduced.

Change in Burden: -23,357 hours
Statute Title and P.L.#: Senior Citizens' Freedom to Work Act of 2000, Public Law 106-182

Agency **Department of the Treasury**
OMB No.: 1545-0074
Title: 2002 Form 1040 and Schedules, U.S. Individual Income Tax Return
Purpose of the Collection: This form is used by individual taxpayers to report their taxable income and calculate their correct tax liability.
How reduction Achieved: Two worksheets were deleted, Line 40, Tax Computation Worksheet for Certain Dependents, and Line 47, Rate Reduction Credit Worksheet, and Schedule D, deleted 1 statement and 2 Code sections under Election To Recognize Gain on Certain Assets Held on January 1, 2001. Changes of increases and decreases of lines, Code references, words, and size of worksheets were made throughout Form 1040, instructions, and schedules.

Change in Burden: -1,840,157 hours.
Statute Title and P.L.#: Job Creation and Worker Assistance Act of 2002. P.L. 107-47. Economic Growth and Tax Relief Reconciliation Act 2001. P.L. 107-16.

Agency **Department of the Treasury**
OMB No.: 1545-0675
Title: 2002 Form 1040-EZ, Income Tax Return for Single and Joint Filers With No Dependents
Purpose of the Collection: Form 1040EZ is used by individuals who are single or married filing a joint return with no dependents to report income subject to tax and to compute tax liability.
How Reduction Achieved: Two worksheets were deleted, Line 7, Rate Reduction Credit Worksheet, and Line 11, Tax Computation Worksheet for Certain Dependents. Also, eleven lines and 1 Code reference were deleted, and 217 words were added throughout the form and instructions.

Change in Burden: -4,326,193 hours.
Statute Title and P.L.#: Economic Growth and Tax Relief Reconciliation Act of 2001. P.L. 107-16

Other Reductions

Agency: **Department of Education**
OMB Control No.: 1885-0540
Title: Application for Grants under Foreign Language Assistance Program for Local Education Agencies
Purpose of Collection: This application is used by local educational agencies to apply for discretionary grants.
How Reduction Achieved: The reduction was achieved as a result of agency action to not fund the Foreign Language Assistance Program.
Change in burden: -12,000 hours

Agency: Department of Energy
OMB Control No.: 1905-0169
Title: Manufacturing Energy Consumption Survey
Purpose of Collection: The purpose is to provide data to analysts and policy makers for the purpose of longitudinal analysis. Data obtained from the MECS serve as a major input into the National Energy Modeling System industrial models, which, in turn are used to benchmark other government and non-government modeling systems. In addition, it provides a benchmark whereby progress in controlling external peak electricity demand through the use of energy management programs can be identified, as well as the rate of penetration of energy efficient technologies into the U.S. manufacturing capital equipment base. It is also used by retailers to accompany deposits of food stamp coupons.
How Reduction Achieved: Information collection is quadrennial, so the approval was allowed to expire in 2002 while EIA developed the new survey to be conducted in 2003.
Change in Burden: -49,447 hours

Agency: Department of Energy
OMB Control No.: 1905-0197
Title: Steam-Electric Plant Operation and Design Report
Purpose of Collection: In order to develop, revise and enforce the regulations required under the Clean Water Act as Amended in 1977, Pub. L. No. 101-549, the Clean Air Act Amendment of 1990, and "The Resource Conservation and Recovery Act of 1976 as Amended. (Pub. L. No. 94-580), EPA must have available timely data that characterize electric utility plants and operations. The Clean Air Act Amendment of 1990 cited the Form EIA-767 as the source of data for establishing a baseline used to calculate allowances of sulfur dioxide.
How Reduction Achieved: Form EIA-767 approval under 1905-0197 was eliminated and the collection is now approved under 1905-0129 for EIA's Electric Power Program Surveys. The reduction for 1905-0197 was considered a program decrease and the change for 1905-0129 was considered a program increase.
Change in Burden: -20,781 hours

Agency: Department of Energy
OMB Control No.: 1910-0100
Title: Information Management
Purpose of Collection: The collections in this package are required by DOE Management to ensure that information resources and systems are managed efficiently and effectively.
How Reduction Achieved: Fewer respondents and burden hours. This decrease is the result of management decisions to cancel several Automated Data Processing requirements and directives and the elimination of interagency reports by the General Services Administration and the National Institute of Standards.
Change in Burden: -15,376 hours

Agency: Department of Health and Human Services
OMB Control No.: 0980-0271
Title: Computerized Support enforcement systems
Purpose of Collection: To allow State input to Federal Case Registry system in support of title IV-D of the Social Security Act.
How Reduction Achieved: States have gotten past the initial data loading and are now in a maintenance mode.
Change in Burden: -630,210 hours

Agency: Department of Health and Human Services
OMB Control No.: 0970-0143
Title: Early Head Start Evaluation
Purpose of Collection: This national evaluation of the Head Start program analyzed the effectiveness of the program, identified “best practices,” and was intended to inform discussions regarding Head Start funding and expansion.
How Reduction Achieved: The study was completed.
Change in Burden: -12,361 hours

Agency: Department of Health and Human Services
OMB Control No.: 0930-0213
Title: State Prevention Needs Assessment Surveys: Alcohol and Other Drugs: Cohort V
Purpose of Collection: The Center for Substance Abuse Prevention funded a number of States for conduct of student school surveys and surveys of community resource agencies for substance abuse prevention.
How Reduction Achieved: The final sample size for the Tennessee student survey was significantly reduced from that originally planned.
Change in Burden: -13,222 hours

Agency: Department of Health and Human Services
OMB Control No.: 0930-0449
Title: The Evaluation of Customer Satisfaction of the Internet Homepage and Links for CDC and ATSDR
Purpose of Collection: This data collection is designed to evaluate profile users of the CDC Internet home page and links, so that these “pages” and their related information, services, and materials may be made more responsive to customer needs.
How Reduction Achieved: Several questions were deleted and adjustments were made to the expected number of respondents/responses.
Change in Burden: -28,526 hours

Agency: Department of Labor
OMB Control No.: 1220-0011
Title: Report on Employment, Payroll, and Hours
Purpose of Collection: The Current Employment Statistics program provides current monthly statistics on employment, hours, and earnings by industry. The statistics are fundamental inputs in economic processes at all levels of government, private enterprise, and organized labor.
How Reduction Achieved: Burden hours have decreased due to the introduction of a probability based sample. This design reduces the number of reports.
Change in Burden: -88,530 hours

Agency: Securities and Exchange Commission
OMB Control No.: 3235-0307
Title: Form N-1A under the Investment Company Act of 1940 and the Securities Act of 1933, Registration Statement of Open-End Management Investment Companies
Purpose of Collection: Form N-1A provides a means for open-end companies to register offerings of securities under the Securities Act and register as investment companies under

the Investment Company Act on a single form. The purpose of Form N-1A is to provide a means of meeting the filing and disclosure requirements of the Securities Act and the Investment Company Act and to enable open-end companies to provide investors with information necessary to evaluate an investment in the securities they issue.

How Reduction Achieved: Rule 482 under the Securities Act of 1933 (“Securities Act”), under certain circumstances, permits investment companies to advertise investment performance data, as well as other information. Presently, rule 482 advertisements are “prospectuses” under the Securities Act, which means that they are allowed only to contain information the “substance of which” is included in the statutory prospectus for the fund advertised. In the National Securities Markets Improvement Act of 1996, Congress amended the Investment Company Act of 1940 to permit, subject to rules adopted by the Commission, the use of prospectuses under section 10(b) of the Securities Act of 1933 that include information the substance of which is not included in the statutory prospectus. The Commission proposed to amend rule 482 to implement this legislation. The amendment and related rule and form changes will provide funds with greater flexibility and the ability to include more timely information in their advertisements.

Change in Burden: -177,514 hours

Agency: **Department of Transportation**
OMB Control No.: 2115-0514
Title: Submission of Continuous Discharge Book, Revised Merchant Mariner Application, Physical Report, New Sea Service, Chemical Testing and Entry Level Physical Forms.

Purpose of Collection: The information collected will be used solely by the U.S. Coast Guard for the purpose of determining eligibility for issuance of a Coast Guard credential i.e. license, certificate of registry or Merchant mariner document.

How Reduction Achieved: Seven forms were deleted from this information collection, two existing forms were revised and three new forms were added.

Change in Burden: -61,969 hours

Agency: **Department of the Treasury**
OMB No.: 1545-0074
Title: 2001 Form 1040 and Schedules, U.S. Individual Income Tax Return
Purpose of the Collection: This form is used by individual taxpayers to report their taxable income and calculate their correct tax liability.

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

Change in Burden: -2,925,214 hours

Agency: **Department of Treasury**
OMB Control No.: 1545-0710
Title: Annual Return/Report of Employee Benefit Plan, Return/Report of Employee Benefit Plan and Associated Schedules 5500 5500-C/R SCHEDS(1998 VERSION)
Purpose of Collection: Forms 5500 and 5500-C/R are annual information returns filed by Employee Benefit Plans. The IRS uses this information to determine if the plan appears to be operating properly as required under the law or whether the plan should be audited.

How Reduction Occurred: This form was replaced by a new and streamlined version that is generally filed electronically. (The new form was approved during a prior year under a new OMB control number and its burden was computed using a more accurate methodology.) The burden decrease for this form reflects the fact that its use is only required for delinquent filers for those years when it was in general use. Other filers use the new form. The number of delinquent filers is approximately 3% of the number of previous users of this form. Previously, this form was used by over 900,000 filers; now it is used by approximately 25,000.

Change in Burden: -26,928,784 hours

Agency Department of the Treasury
OMB No.: 1545-0143
Title: Heavy Highway Vehicle Use Tax Return
Purpose of the Collection: Form 2290 is used to compute and report the tax imposed by section 4481 on the highway use of certain motor vehicles.
How reduction Achieved: 1545-0143 (Form 2290)A third party designee signature section, and an address change box were added for a program increase 532,400 hours. The name control box on the voucher was eliminated resulting in a program decrease of 2,500 hours. The addition of the preprinted voucher resulted in a program change increase of 7,200 hours. Due to the Form 2290-EZ, there will be a decrease of 138,000 filers for the 2290, resulting in another decrease of 5,115,660 hours in this collection and an increase of 495,000 hours in OMB number 1545-1781, which is the clearance number for the 2290-EZ.

Change in Burden: -4,578,560 hours

Agency: Department of Treasury
OMB Control No.: 1545-0710
Title: Annual Return/Report of Employee Benefit Plan, Return/Report of Employee Benefit Plan and Associated Schedules 5500 5500-C/R SCHEDULES(1998 VERSION)
Purpose of Collection: Forms 5500 and 5500-C/R are annual information returns filed by Employee Benefit Plans. The IRS uses this information to determine if the plan appears to be operating properly as required under the law or whether the plan should be audited.
How Reduction Achieved: The estimated volume of "prior year" returns (1998 and before) that used the previous versions of Form 5500 is 25,000 for the processing year August 1, 2001, through July 31, 2002. The number was much lower than our previous estimates due to the fact that only delinquent filers would have need for the 1998 (or prior) year returns. The estimated volume of 25,000 "prior year" filers represented 2.8% of the previous estimate of 901,400 filers. Therefore, to arrive at the burden estimate for the new processing year, we reduced the number of filers and burden hours to 2.8% of the previous numbers for each form and schedule in the submission.

Change in Burden: -26,928,784 hours

FY 2002 Increases

Statutory Increases

Agency: Department of Agriculture

OMB No.: 0572-0127
Title: Broadband Pilot Grant Program
Purpose of the Collection: This collection is used to deploy the Broadband Pilot Grant Program to provide broadband infrastructure to extremely rural, lower income communities on a “community-oriented connectivity” basis.
Why Increase Occurred: New Program.
Change in Burden: 16,005 hours
Statute Title and P.L. #: Public Law 107-76, “Making appropriations for Agriculture, Rural Development, Food and Drug Administration, and Related Agencies programs for the fiscal year ending September 30, 2002, and for other programs.

Agency: **Department of Education**
OMB Control No.: 1810-0652
Title: Application for Improving Literacy Through School Libraries Grant Program
Purpose of Collection: To apply for funding under the grant program.
Why Increase Occurred: This was a new program due to the No Child Left Behind Act.
Change in Burden: 45,000 hours
Statute Title and P.L.#: No Child Left Behind Act, P.L.# 107-110

Agency: **Department of Education**
OMB Control No.: 1810-0654
Title: Early Reading First Program Federal Register Notice Inviting Applications, and Application Packet
Purpose of Collection: To apply for funding for the grant program.
Why Increase Occurred: This was a new program due to the No Child Left Behind Act.
Change in Burden: 12,000 hours
Statute Title and P.L.#: No Child Left Behind Act, P.L.# 107-110

Agency: **Department of Education**
OMB Control No.: 1810-0655
Title: Local-Flex Application
Purpose of Collection: Local educational agencies apply to enter into Local-Flex agreements with the Department.
Why Increase Occurred: This was a new program due to the No Child Left Behind Act.
Change in Burden: 19,200 hours
Statute Title and P.L.#: No Child Left Behind Act, P.L.# 107-110

Agency: **Department of Education**
OMB Control No.: 1810-0660
Title: State-Flex Application
Purpose of Collection: To assist the State educational agency and local educational agencies enter into local performance agreements, in meeting the State’s definition of adequate yearly progress (AYP) and specific, measurable goals for improving student achievement and narrowing achievement gaps.
Why Increase Occurred: This was a new program due to the No Child Left Behind Act.
Change in Burden: 13,440 hours
Statute Title and P.L.#: No Child Left Behind Act, P.L.# 107-110

Agency: **Department of Education**
OMB Control No.: 1845-0061

Title: Federal Perkins Loan/NDSL Promissory Notes
Purpose of Collection: The collection of information on the promissory note is necessary for eligible institutions of higher education to make Perkins or NDSL loans to students. The specific use of the promissory note is to authorize the loan holder to provide information to schools, lenders, guarantors, subsequent holders, the Department, and their agents about the loan. The promissory note is the means by which the borrower promises to repay the Perkins or NDSL loan under the terms and conditions in the promissory note which is signed and agreed to by the borrower before the institution makes the loan. If the Department does not conduct this collection of information, a student would not have the opportunity to obtain a Perkins or NDSL loan and take advantage of the benefits the Perkins and NDSL programs have to offer.
Why the increase occurred: The increase occurred due to a new statute.
Change in burden: 345,000 hours
Statute Title and PL#: Higher Education Act of 1965, as amended through December 1999 §464(c)

Agency: Department of Education
OMB Control No.: 1885-0550
Title: Application for Grants Under English Language Acquisition: National Professional Development Program
Purpose of Collection: To apply for funding.
Why the increase occurred: The increase occurred as a result of statutory requirement for funding of the new discretionary program.
Change in burden: 30,600 hours
Statute Title and PL#: No Child Left Behind Act of 2001, P.L. 107-110

Agency: Department of Energy
OMB Control No.: 1910-0300
Title: Environment, Safety and Health: Package title, "Nuclear Safety Management Reporting"
Purpose of Collection: The collection is the primary means the Department has to monitor the safety management programs of its nuclear facilities.
Why the increase occurred: In 2001, DOE issued the safety basis requirements in Title 10 of the Code of Federal Regulations, Part 830 (10 CFR Part 830), "Nuclear Safety Management"
Change in burden: 64,425 hours

Agency: Environmental Protection Agency
OMB Control No.: 2040-0244
Title: U.S. EPA BEACH Act Grant Program
Purpose of Collection: The BEACH Act of 2000 established a grant program to assist states in implementing a uniform monitoring and notification program for their coastal recreational waters. As a condition of receipt of a grant, states must show evidence of meeting the nine performance criteria and the conditions under the BEACH Act. The information collection represents documentation of such evidence.
Why Increase Occurred: The BEACH Act Grant Program is a new program established by Congress.
Change in Burden: 69,755 hours
Statute Title and P.L. #: Beaches Environmental Assessment and Coastal Health (BEACH) Act, (Public Law 106-284)

Agency: Environmental Protection Agency

OMB Control No.: 2060-0482
Title: Request for Applications for Critical Use Exemptions from the Phaseout of Methyl Bromide
Purpose of Collection: EPA is preparing to request applications for critical use exemptions from the phaseout of methyl bromide under the Clean Air Act (CAA). Entities applying for these exemptions will be asked to submit to EPA information to evaluate the need for a critical use exemption.
Why Increase Occurred: New regulation.
Change in Burden: 97,605 hours
Statute Title and P.L. #: Section 604(d)(6) of the CAA, added by Section 764 of the 1999 Omnibus Consolidated and Emergency Supplemental Appropriations Act (Public Law No. 105-277; October 21, 1998) and to meet U.S. obligations under Article 2H of the Montreal Protocol on Substances that Deplete the Ozone Layer.

Agency: **Department of Health and Human Services**
OMB Control No.: 0938-0866
Title: Electronic Transactions and Supporting Regulations in 45 CFR Part 162
Purpose of Collection: The purpose of this collection is to establish standards for electronic transactions and for code sets to be used in those transactions.
Why Increase Occurred: The increase occurred due to the enactment of HIPAA.
Change in Burden: 34,000,000 hours.
Statute Title and P.L.#: Health Insurance Portability and Accountability Act of 1996 (HIPAA), Public Law 104-191

Agency: **Department of Health and Human Services**
OMB Control No.: 0938-0874
Title: HIPAA Standard Unique Employer Identifier and Supporting Regulations in 45 CFR Parts 160 & 162
Purpose of Collection: The purpose of this collection is to establish a standard for a unique employer identifier.
Why Increase Occurred: The increase occurred due to the enactment of HIPAA.
Change in Burden: 1,700,000 hours.
Statute Title and P.L.#: HIPAA, Public Law 104-191

Agency: **Department of Health and Human Services**
OMB Control No.: 0920-0561
Title: Notification of Possession of Select Agents
Purpose of Collection: CDC was delegated the responsibility of identifying entities that possess, use, or transfer select agents or toxins. In performance of its responsibility, CDC surveyed entities to discover who and how many entities possessed select agents and toxins.
Why Increase Occurred: New legislation, which requires the collection of new data.
Change in Burden: 205,100 hours
Statute Title and P.L.#: Public Health Security and Bioterrorism Preparedness and Response Act of 2002, P.L. 107-188 (June, 2002).

Agency: **Department of the Interior**
OMB Control No.: 1018-0109
Title: Federal Aid Grant Application Booklet, 50 CFR 80
Purpose of Collection: This information collection includes the burden associated with completing grant application packages.

Why Increase Occurred: In the FY 2002 Department of the Interior and Related Agencies Appropriations Act, the FWS was given the responsibility for many new grant programs, including the Landowner Incentive Program.

Change in Burden: 39,500 hours

Statute Title and P.L. #: FY 2002 Appropriations Act for Interior and Related Agencies, P.L. 107-63, H.R. 2217.

Agency: **Department of Justice**

OMB Control No.: 1105-0073

Title: Registration Eligibility Form and Application for Emergency Benefits from the Victim Compensation Fund

Purpose of Collection: The information collected from the Registration/Eligibility Form and Application for Emergency Benefits from the Victim Compensation Fund will be used to make advanced benefits to those claimants deemed eligible by the Special Master or his designee.

Why Increase Occurred: Implementation of Public Law 107-4.

Change in Burden: 30,000 hours.

Statute Title and P.L.: Title IV of the Air Transportation Safety and System Stabilization Act (P.L. 107-42).

Agency: **Department of Justice**

OMB Control No.: 1105-0078

Title: The Death Compensation form for the September 11 Victim Compensation Fund and The Personal Injury Compensation Form for the September 11 Victim Compensation Fund.

Purpose of Collection: Title IV of the Air Transportation Safety and System Stabilization Act (P.L. 107-42) established the "September 11 Victim Compensation Fund of 2001" to provide compensation to individuals (or the beneficiaries of deceased individuals) who were physically injured or killed as a result of the terrorist-related aircraft crashes of September 11, 2001. In order to fulfill the requirements of the law, the "Death Compensation Form" and the "Injury Compensation Form" are necessary to collect relevant information from claimants.

Why Increase Occurred: Implementation of Public Law 107-42.

Change in Burden: 75,000 hours

Statute Title and P.L.: Title IV of the Air Transportation Safety and System Stabilization Act (P.L. 107-42).

Agency: **Department of Justice**

OMB Control No.: 1110-0036

Title: National Stolen Passenger Motor Vehicle Information System

Purpose of Collection: United States Department of Justice implemented the National Stolen Passenger Motor Vehicle Information System by issuing regulations to establish a national system for verifying the theft status of salvage and junk (non-repairable) motor vehicles and major parts marked with a Vehicle Identification Number (VIN) or a derivative of that number. Under specific conditions detailed in the regulations, an insurance carrier, or a person lawfully selling or distributing vehicle parts in interstate commerce or an individual engaged in the business of repairing passenger motor vehicles must request such verification.

Why Increase Occurred: Implementation of new law.

Change in Burden: 702,000 hours

Statute Title and P.L.: 49 U.S.C. 33109

Agency: Department of Justice
OMB Control No.: 1115-0018
Title: Application for Certificate of Citizenship
Purpose of Collection: This application is used to determine an applicant's eligibility for receipt of a certificate of citizenship.
Why Increase Occurred: The increase is attributed to the revision of the form to consolidate information collected on current Form N-600 with information collected on Form N-643. The increase represents the combined total number of respondents for each form.
Change in Burden: 20,564 hours
Statute Title and P.L.#: Title 1 of the Child Citizenship Act (CCA), P.L. 106-395; amended Section 321 of the Immigration and Nationality Act.

Agency: Department of Justice
OMB Control No.: 1115-0246
Title: Application for T Nonimmigrant Status; Application for Immediate Family Member of T-1 Recipient; and Declaration of Law Enforcement Officer for Victim of Trafficking in Persons
Purpose of Collection: This application permits victims of severe forms of trafficking and their immediate family members to demonstrate that they qualify for temporary nonimmigrant status to receive temporary immigration benefits.
Why Increase Occurred: This is a new information collection established by Public Law to provide temporary immigration benefits to certain victims of crimes while providing a means of assistance for government officials who investigate and prosecute those crimes.
Change in Burden: 41,938 hours
Statute Title and P.L.#: P.L. 106-386, Victims of Trafficking and Violence Protection Act of 2000 and Sections 214 of the Immigration and Nationality Act and 8 CFR 212.

Agency: Department of Justice
OMB Control No.: 1115-0252
Title: The Student and Exchange Visitor Information System (SEVIS)
Purpose of Collection: SEVIS will be used by institutions and sponsors to provide notifications, reports, updates and data required by regulations on the institutions and program, as well as on student and exchange visitors. Additionally, the INS and the Department of State will use SEVIS to adjudicate benefits and services, track student and exchange visitor data, and to monitor institution and program sponsor compliance with current regulations.
Why Increase Occurred: This is a new information collection mandated by provisions of the Illegal Immigration Reform and Immigrant Responsibility Act of 1996 to establish electronic reporting of data from schools and exchange visitor programs.
Change in Burden: 1,040,850 hours
Statute Title and P.L.#: P.L. 104-208, Illegal Immigration Reform and Immigrant Responsibility Act of 1996; P.L. 106-396, Visa Waiver Permanent Program Act; and P.L. 107-56, Uniting and Strengthening America by Providing Appropriate Tools Required to Intercept and Obstruct Terrorism (USA PATRIOT ACT) Act of 2001.

Agency: Department of Justice
OMB Control No.: 1115-0254
Title: National Security Entry-Exit Registration System (NSEERS)

Purpose of Collection: The information gathered from qualified aliens will be entered directly into the INS ENFORCE law enforcement investigative databank and will be used by the agency to investigate compliance with visa and admission conditions, to complete administrative civil and criminal enforcement activities, and to further other national security and law enforcement objectives.

Why Increase Occurred: This is a new information collection required by statute.

Change in Burden: 70,000 hours

Statute Title and P.L.#: P.L. 107-173, Enhanced Border Security and Visa Entry Reform Act of 2002.

Agency: **Department of Labor**

OMB Control No.: 1293-0005

Title: Federal Contractor Veterans' Employment Report VETS-100

Purpose of Collection: Title 38 U.S.C., Section 4212 (d) requires contractors and subcontractors holding contracts of \$25,000 or more with Federal Departments or agencies to report annually on (a) the number of current employees in each job category and at each hiring location who are special disabled veterans and the number who are veterans of the Vietnam era, and the number who are other eligible veterans who served on active duty during a war or a campaign or expedition for which a campaign badge has been authorized; (b) the total number of employees hired during the report period and of those, the number of who are classified as special disabled, the number who are veterans of the Vietnam era, and the number who are classified as other veterans; and (3) the maximum and minimum number of employees employed by the contractor at each hiring location during the report period.

Why Increase Occurred: The additional data collection is required by statute.

Change in Burden: 48,645 hours

Statute Title and Public Law#: Veterans Benefits and Health Care Improvement Act of 2000, Public Law 106-419.

Agency: **Securities and Exchange Commission**

OMB Control No.: 3235-0330

Title: Form N-SAR under the Investment Company Act of 1940, Semi-Annual Report for Registered Investment Companies

Purpose of Collection: The information in Form N-SAR is required to keep reasonably current the information in the filer's registration statement and to monitor the operations of registered investment companies so that the Commission can use inspection and document review resources effectively. Filers on the Form submit their responses electronically as data that is incorporated into a database of investment company information maintained by the Commission for automated analysis.

Why Increase Occurred: Section 302 of the Sarbanes-Oxley Act of 2002 requires the Commission to adopt rules under which the principal executive officer or officers and the principal financial officer or officers, or persons performing similar functions, of an issuer each must certify the information contained in the issuer's "quarterly and annual reports" filed or submitted under Section 13(a) or 15(d) of the Securities Exchange Act of 1934 ("Exchange Act"). Form N-SAR is currently the reporting form designated for all registered investment companies to comply with their reporting requirements under the Exchange Act. To implement Section 302 with respect to registered investment companies, the Commission amended Form N-SAR to require the investment companies to file with the Commission the certification specified by Section 302 as an exhibit to Form N-SAR.

Change in Burden: 36,049 hours

Statute Title and Public Law# Sarbanes-Oxley Act of 2002, P.L.107-204

Agency: **Securities and Exchange Commission**
OMB Control No.: 3235-0565
Title: Rule 482 under the Securities Act of 1933, Advertising by an Investment Company
Purpose of Collection: Rule 482 requires certain standardized performance information in fund advertisements in order to permit investors to make meaningful comparisons among fund performance claims.
Why Increase Occurred: Rule 482 under the Securities Act of 1933 (“Securities Act”), under certain circumstances, permits investment companies to advertise investment performance data, as well as other information. Presently, rule 482 advertisements are “prospectuses” under the Securities Act, which means that they are allowed only to contain information the “substance of which” is included in the statutory prospectus for the fund advertised. In the National Securities Markets Improvement Act of 1996, Congress amended the Investment Company Act of 1940 to permit, subject to rules adopted by the Commission, the use of prospectuses under section 10(b) of the Securities Act of 1933 that include information, the substance of which is not included in the statutory prospectus. The Commission proposed to amend rule 482 to implement this legislation. The amendment and related rule and form changes will provide funds with greater flexibility and the ability to include more timely information in their advertisements.
Change in Burden: 218,125 hours
Statute Title and Public Law# National Securities Markets Improvement Act of 1996, P.L. 104-290

Agency: **Securities and Exchange Commission**
OMB Control No.: 3235-0420
Title: Form 10-KSB
Purpose of Collection: Every small business issuer that is subject to Section 13(a) or 15(d) under the Exchange Act must file periodic and current reports with the Commission containing information about its business and financial condition. In Exchange Act Release No. 46079, the Commission proposed to require small business issuers principal executive officer and principal financial officer to certify that the information in its quarterly and annual reports is true in all important respects and that the reports contain all information about the registrant of which they are aware and believe is important to a reasonable investor.
Why Increase Occurred: This certification requirement would increase the number of burden hours associated with the preparation and filing of an annual report on Form 10-KSB. Also, part of the increase is attributable to the fact that the Commission changed the estimated percentage of the reporting burden carried internally to 75%.
Change in Burden: 14,209 hours
Statute Title and Public Law# Sarbanes-Oxley Act of 2002, P.L.107-204

Agency: **Securities and Exchange Commission**
OMB Control No.: 3235-0070
Title: Form 10-Q
Purpose of Collection: Every issuer that is subject to Section 13(a) or 15(d) under the Exchange Act must file periodic and current reports with the Commission containing information about its business and financial condition. In Exchange Act Release No. 46079, the Commission proposed to require a registrant’s principal executive officer and principal financial officer to certify that the information in

Why Increase Occurred:

the registrant's quarterly and annual reports is true in all important respects and that the reports contain all information about the registrant of which they are aware and believe is important to a reasonable investor.

The certification requirement would increase the number of burden hours and costs associated with the preparation and filing of a quarterly report on Form 10-Q. Also, part of the increase is attributable to the fact that the Commission changed the estimated percentage of the reporting burden carried internally to 75% and the percentage of the burden carried externally to 25%.

Change in Burden:

100,298 hours

Statute Title and Public Law#

Sarbanes-Oxley Act of 2002, P.L.107-204

Agency:

Securities and Exchange Commission

OMB Control No.:

3235-0416

Title:

Form 10-QSB

Purpose of Collection:

Every small business issuer that is subject to Section 13(a) or 15(d) under the Exchange Act must file periodic and current reports with the Commission containing information about its business and financial condition. In Exchange Act Release No. 46079, the Commission proposed to require small business issuers principal executive officer and principal financial officer to certify that the information in its quarterly and annual reports is true in all important respects and that the reports contain all information about the registrant of which they are aware and believe is important to a reasonable investor.

Why Increase Occurred:

This certification requirement would increase the number of burden hours associated with the preparation and filing of a quarterly report on Form 10-QSB. Also, part of the increase is attributable to the fact that the Commission changed the estimated percentage of the reporting burden carried internally to 75%.

Change in Burden:

43,530 hours

Statute Title and Public Law#

Sarbanes-Oxley Act of 2002, P.L.107-204

Agency:

Social Security Administration

OMB Control No.:

0960-0145

Title:

Statement for Determining Continuing Eligibility Supplemental Security Income Payment / SSA-8202-F6 & SSA-8202-OCR SM

Purpose of Collection:

The information collected on form SSA-8202 is used in middle-error-probability (MEP) and low-error-probability (LEP) redetermination (RZ) cases to determine whether Supplemental Security Income (SSI) recipients have met and continue to meet all statutory and regulatory requirements for SSI eligibility and whether they have been and are still receiving the correct payment amount. Periodic collection of this information is the only way SSA can make these determinations.

Why Increase Occurred:

SSA revised and added several new questions to the SSA-8202 forms as a result of statutory authority contained in the Personal Responsibility and Work Opportunity Reconciliation Act of 1996 (PRWORA) and the Foster Care Independence Act of 1999.

Change in Burden:

28,666 Hours

Statute Title and P.L. #:

Public Law 104-193, section 202(a), and Public Law 106-169 section 206

Agency:

Social Security Administration

OMB Control No.:

0960-0416

Title:

Statement For Determining Continuing Eligibility For Supplemental Security Income Payments / SSA-8203

Purpose of Collection: The information collected on form SSA-8203 is used in high-error probability (HEP) redetermination cases to determine whether SSI recipients have met and continue to meet all statutory and regulatory requirements for SSI eligibility and whether they have been and are still receiving the correct payment amount. Periodic collection of this information is the only way SSA can make these determinations.

Why Increase Occurred: SSA revised and added several new questions to the SSA-8203 as a result of statutory authority contained in the Personal Responsibility and Work Opportunity Reconciliation Act of 1996 (PRWORA) and the Foster Care Independence Act of 1999.

Change in Burden: 15,333 hours

Statute Title and P.L. #: Public Law 104-193, section 202(a), and Public Law 106-169 section 206

Agency: **Social Security Administration**

OMB Control No.: 0960-0644

Title: The Ticket to Work and Self-Sufficiency Program

Purpose of the Collection: The purpose of this program is to provide expanded opportunities to Social Security disability beneficiaries and SSI recipients in obtaining the services necessary to find, enter and retain employment. Expanded employment opportunities for these individuals also will increase the likelihood that they will reduce their dependency on Social Security and SSI cash benefits.

Why Increase Occurred: This is a new provision in the law established by Section 101 of the Ticket to Work and Work Incentives Improvement Act of 1999.

Change in Burden: 201,680 hours

Statute Title and P.L. #: Ticket to Work and Work Incentives Improvement Act of 1999, Public Law 106-170

Agency: **Department of State**

OMB Control No.: 1405-0134

Title: Supplemental Nonimmigrant Visa Application

Purpose of the Collection: To increase border security.

Why Increase Occurred: The President has directed stricter controls on visas in response to the terrorist attacks of September 11, 2001. P.L. 107-56 has imposed additional requirements for, and this collection is intended to assist the Department in determining the application of those requirements.

Change in Burden: 9,600,000 hours

Statute Title and P.L. #: P.L.107-56; INA Section 212(a) of the INA, 8 U.S.C. 1182(a)

Agency: **Department of State**

OMB Control No.: 1405-0144

Title: Contact Information and Work History for Nonimmigrant Visa Application

Purpose of the Collection: All nonimmigrant visa applicants seeking to study in the United States must submit specific information to consular officers prior to visa issuance. This information was not currently collected and a new form was necessary in order to gather this information in accordance with the provisions of the bill.

Why Increase Occurred: The President has directed stricter controls on visas in response to the terrorist attacks of September 11, 2001.

Change in Burden: 2,500,000 hours

Statute Title and P.L. #: H.R. 3525, the "Enhanced Border Security and Visa Entry Reform Act of 2002

Agency: **Department of Transportation**

OMB Control No.: 2110-0002
Title: Aviation Security Infrastructure Fee
Purpose of Collection: For purposes of collecting information necessary to establish the Aviation Security Infrastructure Fee, which helped pay for the costs of providing civil aviation security services, as described in 49 U.S.C. 44940 that are not otherwise covered by the collection of the September 11th Security Fee. Air carriers and foreign air carriers were required to provide information regarding their costs for screening passengers and property in calendar year 2000 and provide for an independent audit of this information to establish and administer this fee.
Why Increase Occurred: The reduction was achieved through the initiation of the Aviation Security Infrastructure Fee, which is now in place and therefore, this collection is no longer deemed necessary.
Change in Burden: 31,200 hours
Statute Title and P. L. #: Aviation and Transportation Security Act, Public Law 107-71

Agency: **Department of Transportation**
OMB Control No.: 2120-0675
Title: Certification of Airports, 14 CFR Part 139
Purpose of Collection: The final rule revises the current airport certification regulation and establishes certification requirements for airports serving scheduled air carrier operations in aircraft with 10–30 seats.
Why Increase Occurred: The FAA Reauthorization Act of 1996, Section 44706 was amended to allow the FAA to certificate airports, with the exception of those located in the State of Alaska, that serve any scheduled passenger operation of an air carrier operating aircraft designed for more than 9 but less than 31 passenger seats.
Change in Burden: 52,993 hours
Statute Title and P.L.#: Federal Aviation Administration Reauthorization Act of 1996, Public Law 104-264.

Agency: **Department of Transportation**
OMB Control No.: 2127-0616
Title: Reporting of Information and Documents about Potential Defects-Retention of Records 49 CFR part 579
Purpose of Collection: Mandated by the Transportation Recall Enforcement Accountability and Documentation (TREAD ACT), motor vehicle and equipment manufacturers must report information and submit documents that may assist NHTSA to promptly identify defects related to motor vehicle safety.
Why Increase Occurred: New information collection.
Change in Burden: 234,631 hours
Statute Title and P.L.#: TREAD Act, Public Law 106-414

Agency: **Department of Treasury**
OMB Control No.: 1545-0074
Title: 2001 Form 1040 and Schedules, U.S. Individual Income Tax Return
Purpose of Collection: This form is used by individual taxpayers to report their taxable income and calculate their correct tax liability.
Why Increase Occurred: Changes were made throughout Form 1040, schedules and instructions by adding lines, new worksheets, and Code references and deleting lines and Code references due to legislation.
Change in Burden: 18,744,806 hours
Statute Title and P.L.#: Economic Growth and Tax Relief Reconciliation Act of 2001. P.L. 107-16

Agency: Department of Treasury
OMB Control No.: 1506-0013
Title: Registration of Money Services Businesses
Purpose of Collection: 31 USC and implementing regulations under 31 CFR 103.41 (a)(d) require money services businesses (MSBs) to register with the Department of the Treasury and maintain a current list of agents. The registration and agent list requirements will enable the Treasury to locate MSBs, educate them about their reporting and recordkeeping requirements of the Bank Secrecy Act, and ensure that MSBs comply with those requirements.
Why Increase Occurred: New statutory requirement.
Change in Burden: 1,105,374 hours
Statute Title and P.L.#: Bank Secrecy Act, Titles I and II of P.L. 91-508.

Agency: Department of Treasury
OMB Control No.: 1545-0085
Title: 2001 Form 1040A and Schedules, U.S. Individual Income Tax Return
Purpose of Collection: This form is used by individual taxpayers to report their taxable income and calculate their correct tax liability.
Why Increase Occurred: The changes were due to the addition of 2 worksheets, Line 26, Tax Computation Worksheet for Certain Dependents and Line 30, Rate Reduction Credit Worksheet, and lines and Code references were added throughout the form, schedules and instructions.
Change in Burden: 8,689,904 hours
Statute Title and P.L.#: Economic Growth and Tax Relief Reconciliation Act of 2001. P.L. 107-16

Agency: Department of Treasury
OMB Control No.: 1545-1758
Title: Form 8879, IRS e-file Signature Authorization
Purpose of Collection: Form 8879 is used to allow taxpayers to authorize the Electronic Return Originators to enter the taxpayer's PIN on the electronically filed tax returns.
Why Increase Occurred: This is a new form. Section 6011 of the Internal Revenue Code allows taxpayers to file tax returns electronically. Taxpayers are allowed to use a self-selected Personal Identification Number (PIN) as an electronic signature for their tax returns. Some Electronic Return Originators (EROs) are also allowed to use a PIN as an electronic signature.
Change in Burden: 5,440,000 hours
Statute Title and P.L.#: P.L. 105-206

Agency: Department of Treasury
OMB Control No.: 1545-0090
Title: Form 1040-SS, U.S. Self-Employment Tax Return (Including the Additional Child Tax for Bona Fide Residents of Puerto Rico); Form 1040-PR, Planilla para la Declaracion de la Contribucion Federal sobre el Trabajo por Cuenta Propia (Incluyendo el Credito Tributario Adicional por Hijos(as) para Residentes Bonafides de Puerto Rico)
Purpose of Collection: Forms 1040-SS and 1040-PR are used to determine whether the proper amount of self-employment tax is reported.
Why Increase Occurred: Forms 1040-SS and 1040-PR were revised to allow bona fide residents of Puerto Rico to claim the additional child tax credit due to legislation. Also, due to a change in law, the number of filers increased.
Change in Burden: 2,656,120 hours

Statute Title and P.L.#: Economic Growth and Tax Relief Reconciliation of 2001. P.L. 107-16.

Agency: Department of Treasury
OMB Control No.: 1545-0172
Title: Form 4562, Depreciation and Amortization (Including Information on Listed Property)

Purpose of Collection: Form 4562 is used to claim the deduction for depreciation and amortization, make the section 179 election to expense certain tangible property, and to provide information on the business/investment use of automobiles and other listed property.

Why Increase Occurred: Changes were made to Form 4562 by the Job Creation and Worker Assistance Act of 2002. The provisions that affect Form 4562 include an additional 30% depreciation deduction for qualified property placed in service after September 10, 2001, and an increase in the section 179 expense deduction for property placed in service in the New York Liberty Zone. Four lines and 8 Code references were added.

Change in Burden: 16,835,000 hours
Statute Title and P.L.#: Job Creation and Worker Assistance Act of 2002. P.L. 107-147.

Agency: Department of Treasury
OMB Control No.: 1545-0092
Title: Form 1041, Schedules, and Instructions, U.S. Income Tax Return for Estates and Trusts

Purpose of Collection: Form 1041 is used by the IRS to determine that the estates, trusts, and beneficiaries filed the proper returns and paid the correct tax.

Why Increase Occurred: Changes were made due to the Victims of Terrorism Tax Relief Act of 2001. Also, editorial changes were made to the form, schedules, and instructions. A new worksheet was added and 8 Code references.

Change in Burden: 5,595,949 hours
Statute Title and P.L.#: Victims of Terrorism Tax Relief Act of 2001. H.R. 2884.

Agency: Department of Treasury
OMB Control No.: 1545-1769
Title: Revenue Procedure 2002-10, Procedures for IRAs, SEPs, and SIMPLEs IRA Plans

Purpose of Collection: This revenue procedure provides (1) guidance to drafters of IRAs, SEPs and SIMPLE IRA plans; (2) guidance to users of Internal Revenue Service model IRAs and plans; and (3) transitional relief for users of IRAs and plans that have not been approved by the Service.

Why Increase Occurred: This is a new revenue procedure. Taxpayers urgently needed the guidance in this revenue procedure as a result of the changes to IRAs, SEPs and SIMPLE IRA plans made by EGTRRA.

Change in Burden: 7,371,000 hours
Statute Title and P.L.#: Economic Growth and Tax Relief Reconciliation Act of 2001. P.L. 107-16

Agency: Department of Treasury
OMB Control No.: 1545-1574
Title: Tuition Payments Statement (FORM-1098-T)
Purpose of Collection: Section 6050S of the Internal Revenue Code requires eligible education institutions to report certain information regarding tuition payments to the IRS and to students. Form 1098-T has been developed to meet this requirement.

Why Increase Occurred: Four new lines were added to reflect proposed regulations to section 6050S made by the Taxpayer Relief Act of 1997 and the amendments made by the Internal Revenue Service Restructuring and Reform Act of 1998 and Public Law 107-131. Boxes were added for amounts for qualified and related expenses, adjustments made for a prior year, adjustments to scholarships or grants for a prior year and whether payments received or amounts billed relate to the first three months of the calendar year.

Change in Burden: 1,475,505 hours

Statute Title and P.L.#: Economic Growth and Tax Relief Reconciliation Act of 2001. P.L. 107-16

Agency: **Department of Veterans Affairs**

OMB Control No.: 2900-0629

Title: Application for Extended Care Services (VA Form 10-10EC)

Purpose of Collection: To establish eligibility for extended care benefits. Form establishes financial liability of veteran to pay if accepted for placement in Extended Care Services, and shows that veteran has agreed to make any applicable co-payment.

Why Increase Occurred: New data collection.

Change in Burden: 12,900 hours

Statute Title and P.L.#: Public Law 106-117, The Veterans' Millennium Health Care and Benefits Act

Other Increases

Agency: **Department of Agriculture**

OMB Control No.: 0560-0219

Title: USDA Registration Form to Request Electronic Access Code

Purpose of Collection: Voluntary registration process will enable customers as well as County Based Agency (CBA) employees to register as authorized users and provide single sign-on capability for CBA on-line applications.

Why Increase Occurred: USDA has developed a management and technical process that addresses user authentication and authorization prerequisites for providing services electronically. The process is based on a one-time registration for each customer desiring access to any on-line service that requires authentication. The registration form will collect the minimum information necessary to verify and validate the identity of the customer. Time to complete the form will vary from an estimated 10 to 15 minutes depending upon the method option the customer chooses.

Change in Burden: 1,331,000 hours

Agency: **Department of Agriculture**

OMB Control No.: 0560-0223 and 0560-0222

Title: 2002 Livestock Compensation Program and 2002 Cattle Feed Program

Purpose of Collection: Livestock producers and foundation beef cattle owners/lessees who suffered feed and grazing losses as a result of severe 2001 and 2002 drought conditions may apply for assistance. The producers must certify the number of head and type of eligible livestock. The information provided will determine eligibility and payment rates.

Why Increase Occurred: Farm Service Agency received \$752 million for livestock compensation and \$150 million for 2002 cattle feed program appropriated under Section 32 of the Act of August 24, 1935, as amended (Section 32), to provide assistance to certain livestock producers experiencing severe 2001 and 2002 crop year feed and pasture losses because of drought.

Change in Burden: 125,000 and 97,000 hours

Agency: **Department of Agriculture**
OMB Control No.: 0584-0512
Title: Uniform Grant Application for Non-Entitlement Discretionary Grants
Purpose of Collection: Provide a streamlined Office of Management Budget approval process for non-entitlement discretionary grants.
Why Increase Occurred: Provide accountability for the information collection burden for awarding non-entitlement discretionary grants by the Food and Nutrition Service and consolidate all such burden into one information collection.
Change in Burden: 30,000 hours

Agency: **Department of Commerce**
OMB Control No.: 0607-0889
Title: 2002 Economic Census, Commodity Flow Survey
Purpose of Collection: The 2002 Commodity Flow Survey, a component of the Census Bureau's 2002 Economic Census, produces key information about the transportation of freight in the United States. The Commodity Flow Survey is the only source of nationwide data on the movement of goods from origin to destination by all modes of transportation and for intermodal combinations. This survey provides a crucial set of statistics on the value, weight, mode, and distance of commodities shipped by mining, manufacturing, wholesale, and selected retail establishments.
Why Increase Occurred: The collection was submitted as new in FY 2002.
Change in Burden: 400,000 hours

Agency: **Department of Commerce**
OMB Control No.: 0607-0810
Title: American Community Survey
Purpose of Collection: The Census Bureau has been developing a methodology to collect and update every year demographic, social, economic, and housing data that are essentially the same as the "long-form" data that the Census Bureau traditionally has collected once a decade as part of the decennial census. To provide more timely data, the Census Bureau developed an alternative called Continuous Measurement (CM). Federal and State government agencies use such data to evaluate and manage Federal programs and to distribute funding for various programs which include food stamps, transportation dollars, and housing grants. State, county, and community governments, nonprofit organizations, businesses, and the general public use information like housing quality, income distribution, journey-to-work patterns, immigration data, and regional age distributions for decision making and program evaluation.
Why Increase Occurred: The increase in burden is attributable to the full implementation of the ACS in every part of the United States and Puerto Rico.
Change in Burden: 1,319,500 hours

Agency: **Department of Commerce**
OMB Control No.: 0607-0585
Title: Government Finance Forms
Purpose of Collection: This clearance represents a collection of questionnaires needed to conduct the quinquennial Census of Governments, Finance Phase, and the Annual Survey of State and Local Government Finance. The data are released in reports which

contain benchmark statistics on public revenue, expenditure, debt, and assets. They are widely used by Federal, State, and local legislators, policy-makers, administrators, analysts, economists, and researchers to follow the changing characteristics of the government sector of the economy.

Why Increase Occurred:

The increase in burden is attributable to the fact that these forms are used cyclically. Once every five years the forms are used in conducting the finance portion of the Census of Governments. Burden will decrease the following year and will remain so for 4 years.

Change in Burden:

92,278 hours

Agency:

Department of Commerce

OMB Control No.:

0607-0452

Title:

Government Employment Forms

Purpose of Collection:

This clearance represents a collection of questionnaires needed to conduct the quinquennial Census of Governments, Employment Phase, and the Annual Survey of Government Employment. Statistics compiled from data gathered using these forms are used by Federal agencies for activities such as developing the National Income and Product Accounts and the allocation of operating subsidies to local housing authorities. Other users include state and local government executives and legislators, policy makers, economists, researchers, and the general public.

Why Increase Occurred:

The increase in burden is attributable to the fact that these forms are used cyclically. Once every five years the forms are used in conducting the employment phase of the Census of Governments. During that year burden increases because of the larger number of respondents. Accordingly, burden will decrease the following year and will remain so for 4 years.

Change in Burden:

61,083 hours

Agency:

Department of Commerce

OMB Control No.:

0607-0368

Title:

Special Census Program

Purpose of Collection:

Governmental units requiring current population statistics between decennial censuses request that the Census Bureau conduct special censuses. Many states distribute funds based on current population statistics. In addition, special census data are used by the local jurisdictions to plan new schools, transportation systems, housing programs, and water treatment facilities, and apply for and disburse state and Federal funding. The Census Bureau will establish reimbursable agreements with a variety of potential special census customers that are unknown at this time. The Census Bureau also uses special census data as part of its local population estimates calculation and to update the Bureau's Master Address File (MAF) and Topographically Integrated Geographic Encoding and Referencing (TIGER) System.

Why Increase Occurred:

The collection was submitted as a reinstatement in FY 2002.

Change in Burden:

114,421 hours

Agency:

Department of Commerce

OMB Control No.:

0610-0098

Title:

Data Collection for Compliance with Government Performance and Results Act and Results Act of 1993 (GPRA)

Purpose of Collection:

The GPRA requires Federal agencies to develop performance measures and report to Congress and their stakeholders the results of the agency's performance. EDA must collect data and report on the following principal

programs: 1) the Public Works program which promotes long-range economic development in distressed areas by providing investments for vital infrastructure and development facilities; 2) the Economic Adjustment program offers flexible investments for communities facing sudden and severe economic distress including revolving loan funds; 3) the Planning program supports local planning and long-term partnerships with State, regional organizations, Economic Development Districts and Indian Tribes that assist distressed communities with strategic planning and investment activities; 4) the University Center program is a partnership program that draws on the expertise of colleges and universities to strengthen the hand of distressed communities as they strive to become self-sufficient and 5) the Trade Adjustment Assistance program which assists U.S. firms and industries injured as the result of trade agreements by offering low-cost, effective professional assistance to certified firms in developing and implementing recovery strategies.

Why Increase Occurred: Last fiscal year, EDA developed separate forms and distinct measures for each program.
Change in Burden: 21,009 hours

Agency: Department of State
OMB Control No.: 1405-0135
Title: J-1 Waiver Visa Application
Purpose of the Collection: To record the information required by 22 CFR 41.63 for a waiver request filed with the Secretary of State
Why Increase Occurred: The President has directed stricter controls on visas in response to the terrorist attacks of September 11, 2001.
Change in Burden: 20,000 burden hours

Agency: Department of Commerce
OMB Control No.: 0625-0245
Title: Steel Import License
Purpose of Collection: This information is required to implement the safeguard measures announced by the President on March 5, 2002 for certain steel import products pursuant to Section 203 of the Trade Act of 1974. The Steel Import License is used by the Department of Commerce to collect and provide aggregate summaries about imports of certain steel import products. This information is used by the U.S. Trade Representative (USTR) to track increases in imports from excluded countries.
Why Increase Occurred: Statutory increase required by Section 203 of the Trade Act of 1974. This on-line information collection will allow 400 major brokers and importers of steel to file their summary documentation and result in an increase of 1,000,000 responses and 166,667 burdens hours annually.
Change in Burden: 166,667 hours

Agency: Department of Commerce
OMB Control No.: 0648-0371
Title: Highly Migratory Species Vessel Logbooks and Cost-earnings Data Reports.
Purpose of Collection: Fishermen with permits to fish for Highly Migratory Species must submit fishing logbooks and provide cost-earnings information. The information is necessary to manage the fishery and to analyze possible regulatory measures.
Why Increase Occurred: Submission of previously voluntary cost-earnings data was made mandatory for selected vessels, and additional respondents were selected, both in order to provide better data.

Change in Burden: 14,814 hours.

Agency: **Department of Commerce**
OMB Control No.: 0648-0445
Title: NMFS Alaska Region Vessel Monitoring System (VMS) Program.
Purpose of Collection: Participants in the Bering Sea-Aleutian Islands and Gulf of Alaska pollock, Atka mackerel, and Pacific cod fisheries must install and use vessel monitoring systems. The equipment allows monitoring of fishing activity near critical habitat for endangered Steller sea lions.
Why Increase Occurred: A biological opinion issued under the Endangered Species Act requires NOAA to take reasonable and prudent measures to protect this endangered species.
Change in Burden: 13,044 hours

Agency: **Department of Defense**
OMB Control No.: 0720-0027
Title: Health Evaluation Assessment Review (HEAR 2.X)
Purpose of Collection: The information is for the patient's medical record and will be used to identify patients requiring clinical preventive care, target those who could benefit from counseling services associated with high risk behaviors, and assess the health status of the Military Health System population.
Why Increase Occurred: Program Change due to agency action.
Change in Burden: 703,248 hours

Agency: **Department of Education**
OMB Control No.: 1810-0614
Title: Consolidated State Performance Report and State Self-Review
Purpose of Collection: To collect performance data.
Why Increase Occurred: There was a reinstatement of previous 137,086 hours; in addition there was a reduction of 2,318 hours due to eliminating and modifying portions of the instrument.
Change in Burden: 134,768 hours

Agency: **Department of Education**
OMB Control No.: 1820-0622
Title: Special Education—Personnel Preparation to Improve Services and Results for Children with Disabilities
Purpose of Collection: The purpose of this information collection is to justify the expenditure of public funds under this program. Certain data collections, record keeping, and documentation are necessary to ensure that goals of the program are achieved. Section 673(h) of IDEA requires individuals who receive a scholarship through personnel preparation projects funded under the Act to subsequently provide special education and related services to children with disabilities (or, for leadership personnel to work in areas related to their preparation) for a period of two years for every year for which assistance was received.
Why Increase Occurred: The collection deactivated pending legislation and was re-instated with change to reflect an additional 10,000 burden hours upon scholars (beyond the 142,500 burden hours on grantees) that had not been included before.
Change in Burden: 152,500 hours

Agency: **Department of Education**

OMB Control No.: 1840-0766
Title: Annual Performance Report (APR) for Title III and Title V Grantees
Purpose of Collection: The information gathered by the APR will be used to (1) monitor the yearly progress of Title III and V grantees; (2) to make non-competing continuation awards to grantees for the following year; and (3) collect GPRA data to report to policymakers. The project directors will compile the information for the report and submit it to the Department of Education via a secure web-based report or an optional paper format. Once received, the Title III and V program office and other applicable entities (IG, PMIT, Area Representatives, etc.) will analyze the APR. The results of the report have played and will continue to play a central role in approving continued funding.
Why Increase Occurred: This collection was a new collection.
Change in Burden: 11,358 hours

Agency: **Department of Education**
OMB Control No.: 1890-0009
Title: Generic Application Package for Discretionary Grant Programs
Purpose of Collection: To provide a common and recognizable format of discretionary grant programs to applicants.
Why Increase Occurred: Thirteen of the eighteen grants were existing programs which were transferred to this number; the remaining five grants were new grants in FY2002. All of these grants fall under the generic application guidelines that use EDGAR criteria and the standard forms. It is a streamlined format to allow for a common and easily recognizable format of discretionary grants. The Department anticipates more grant programs to use the generic guidelines for FY2003.
Change in Burden: 181,984 hours

Agency: **Department of Energy**
OMB Control No.: 1905-0129
Title: Electric Power Surveys
Purpose of Collection: The Electric Power Surveys collect information on electric power capacity, generation, fuel consumption, fuel receipts, fuel stocks, prices, electric rates, construction costs, and operating income and revenue. Respondents include electric utilities, combined heat and power producers, electric reliability council members, and independent electric power system operators. Electric power data collected are used by the Department of Energy for analysis and forecasting.
Why Increase Occurred: An increase in the information to be reported and the number of respondents caused an increase in total burden. Also, now includes information previously collected under ICR 1905-0197.
Change in Burden: 92,485 hours

Agency: **Environmental Protection Agency**
OMB Control No.: 2040-0229
Title: Information Collection Request for Long Term 1 Enhanced Surface Water Treatment Rule (Final Rule)
Purpose of Collection: Monitoring, reporting, and recordkeeping are required at both the system and state levels under the National Primary Drinking Water Regulations (NPDWRs).
Why Increase Occurred: New Rule.
Change in Burden: 330,329 hours

Agency: **Environmental Protection Agency**

OMB Control No.: 2040-0235
Title: Pollution Prevention Compliance Alternative; Transportation Equipment Cleaning Point Source Category
Purpose of Collection: This collection covers recordkeeping associated with a pollutant management plan to demonstrate compliance.
Why Increase Occurred: The recordkeeping associated with the pollution prevention alternative, previously unaccounted for and thus represents an increase, also offers facilities an option to decrease their overall burden and compliance costs. Pollution prevention is an appropriate and effective way to reduce pollutant discharges. The compliance option may be less costly than the technology options. Facilities can select the compliance option that best suits their waste streams and cleaning processes.
Change in Burden: 19,144 hours

Agency: **Environmental Protection Agency**
OMB Control No.: 2040-0240
Title: Aquatic Animal Production Industry Survey
Purpose of Collection: Collect industry-specific information for regulatory development. The data are necessary to develop regulatory options and to support analysis to demonstrate technical feasibility and economic achievability.
Why Increase Occurred: This increase reflects a one-time collection of information to support rule development. EPA thoroughly investigated and evaluated alternatives to collecting this data directly from the industry. The collection represents the least burdensome approach in the absence of suitable and reliable alternative data sources.
Change in Burden: 19,840 hours

Agency: **Environmental Protection Agency**
OMB Control No.: 2040-0241
Title: Information Collection Request for Cooling Water Intake Structures for Final Rule Covering New Facilities.
Purpose of Collection: The final rule includes revisions for permit application and compliance. The information will be used to identify applicable requirements and whether the facility is meeting the regulatory goals. The data also include monitoring and reporting to demonstrate compliance.
Why Increase Occurred: The increase reflects new regulatory requirements for new electric generation and manufacturing facilities that select specific compliance tracks.
Change in Burden: 40,376 hours

Agency: **Environmental Protection Agency**
OMB Control No.: 2040-0243
Title: Minimum Monitoring Requirements for the Pulp, Paper, and Paperboard Effluent Limitations Guidelines and Standards
Purpose of Collection: To demonstrate compliance with chloroform effluent discharge standards, dischargers may follow a monitoring schedule or reduce their monitoring burden by choosing this certification option.
Why Increase Occurred: The recordkeeping associated with this compliance option, although not previously accounted for, also offers facilities an option to decrease their monitoring costs and thus, their overall burden. This voluntary certification program significantly reduces the costs associated with meeting and demonstrating compliance with chloroform numeric standards.
Change in Burden: 36,858 hours

Agency: Environmental Protection Agency
OMB Control No.: 2050-0096
Title: National Oil and Hazardous Substances Pollution Contingency Plan
Purpose of Collection: To address the recordkeeping and reporting provisions of the National Contingency Plan affecting states that voluntarily participate in the remedial action phase of the Superfund program. This ICR also addresses recordkeeping and reporting provisions affecting communities that voluntarily provide their concerns about the Superfund process and who voluntarily provide their feedback on community involvement activities.
Why Increase Occurred: The increase is attributable to the number of sites expected to be added to the National Priorities List over the three-year period and revisions to the community involvement estimates based on an update of the activities conducted and the burden imposed by those activities.
Change in Burden: 72,370 hours

Agency: Environmental Protection Agency
OMB Control No.: 2060-0266
Title: Control Technology for Equivalent Emissions Limitations by Permit under Clean Air Act Section 112(j)
Purpose of Collection: Respondents are owners and operators of facilities that come under source categories for which the section 112(j) hammer date has passed. Permitting authorities are state, local, or tribal air quality agencies who will make MACT floor determinations on a case-by-case basis as stated in the section 112(j) amended regulations. Respondents will submit MACT applications to the permitting authority for a MACT floor determination. The permitting authority will then make the MACT floor determination for each individual respondent.
Why Increase Occurred: New regulation.
Change in Burden: 152,457 hours

Agency: Environmental Protection Agency
OMB Control No.: 2060-0489
Title: NESHAP for Source Categories: Generic Maximum Achievable Control Technology Standards (final rule)
Purpose of Collection: Respondents are owners and operators of facilities in the carbon black, cyanide chemicals, ethylene, and spandex production source categories. Respondents would submit notification and information indicating the performance of air pollution controls.
Why Increase Occurred: New regulation.
Change in Burden: 33,926 hours

Agency: Environmental Protection Agency
OMB Control No.: 2070-0033
Title: TSCA Existing Chemical Test Rules, Consent Orders, Test Rule Exemptions, and Voluntary Test Data Submissions
Purpose of Collection: Test rules and consent orders are designed to provide the Agency with chemical information needed to assess risk. Section 4 of the Toxic Substances Control Act (TSCA) provides EPA with the authority to collect this information.
Why Increase Occurred: This ICR includes burden associated with the Chemical Right-to-Know Initiative, which includes the HPV Challenge Program and the Children's Health Challenge Program. The HPV Challenge Program is a voluntary

initiative under which manufacturers of HPV chemicals will voluntarily develop and/or submit certain Organization for Economic Cooperation and Development (OECD) screening level studies for the chemicals they manufacture. Similarly, the Children's Health Challenge Program is a voluntary initiative under which manufacturers of chemicals with identified children's health concerns agree to submit available data or conduct any needed testing for the chemicals they manufacture.

Change in Burden: 1,106,124 hours.

Agency: **Environmental Protection Agency**
OMB Control No.: 2070-0093
Title: (Final Lead Rule) Toxic Chemical Release Reporting, Recordkeeping, Supplier Notification and Petitions under Section 313 of the Emergency Planning and Community Right-to-Know Act (EPCRA)

Purpose of Collection: This collection is an addendum to the existing ICR approval to collect information under section 313 of the Emergency Planning and Community Right-to-Know Act (EPCRA) and section 6607 of the Pollution Prevention Act of 1990. Reporters submit information concerning toxic chemical releases into the air, land, and water. This addendum is related to (1) an adjustment to more accurately reflect actual reporting by TRI expansion (non-manufacturing) industries and (2) the final TRI lead rulemaking, which lowers the reporting threshold for lead and lead compounds.

Why Increase Occurred: New regulation.
Change in Burden: 786,169 hours

Agency: **Federal Energy Regulatory Commission**
OMB Control No.: 1902-0174
Title: Standards for Business Practices of Interstate Natural Gas Pipelines, FERC-549C (RM96-1-020)

Purpose of Collection: The FERC adopted regulations to standardize the business practices and communication methodologies of interstate pipelines in order to create a more integrated and efficient pipeline grid. In those orders, the Commission incorporated by reference consensus standards developed by GISB (now NAESB, North American Energy Standards Board), a private consensus standards developer composed of members from all segments of the natural gas industry.

Why Increase Occurred: The Commission proposed the adoption of Version 1.5 of NAESB's consensus standards. Version 1.5 provides shippers with greater flexibility in structuring transactions, and enhances the liquidity of the natural gas market by providing for an accurate accounting of gas purchase and sale transactions and integrating these transactions into the pipeline scheduling process. The principal changes occur in the areas of title transfer tracking, imbalance netting and trading, and improvement standards for conducting business transactions electronically over the Internet.

Change in Burden: 420,918 hours

Agency: **Federal Energy Regulatory Commission**
OMB Control No.: 1902-0096
Title: Electric Rate Schedule Filings, FERC-516 (RM01-8-000)

Purpose of Collection: Under the authority of Sections 205 and 206 of the Federal Power Act (FPA), the FERC has the authority to ensure that transmission to interstate commerce and rates, contracts, and practices affecting transmission services, do not reflect

an undue preference or advantage (or undue prejudice or disadvantage) and are just, reasonable, and not discriminatory or preferential.

How Increase Occurred: On April 25, 2002, the FERC proposed to replace the current procedure whereby public utilities file short-term and long-term service agreements for market-based sales of electric energy, service agreements for generally applicable services, such as point to point transmission service, and Quarterly Transaction reports summarizing their short-term sales and purchases of power at market-based rates. Instead, public utilities will file electronically Electric Quarterly Reports summarizing the contractual terms and conditions in their agreements for all jurisdictional services (including market-based power sales, cost-based power sales and transmission service) and transmission information for short-term and long-term market-based power sales and cost based power sales during the most recent calendar quarter. Implementation of the reporting requirements will take place in two phases: an interim phase through October 31, 2002 and then a final phase thereafter.

Change in Burden: 40,776 hours

Agency: **Department of Health and Human Services**
OMB Control No.: 0920-0406
Title: State and Local Area Integrated Telephone Survey (SLAITS)
Purpose of Collection: The State and Local Area Integrated Telephone Survey (SLAITS) uses an integrated, coordinated framework to maximize analytic potential, minimize cost, provide data for sub-national and national comparisons, and avoid unnecessary respondent burden. It is one of the few population-based survey mechanism within DHHS designed to produce standardized and comparable data across states over time on general health and health related topics

Why Increase Occurred: NCHS continues to maximize existing Federal sampling frames and survey infrastructures through pilot testing and adding new modules to the National Immunization Survey. These modules address significant issues in pediatric health, special needs, and well being.

Change in the Burden: 60,863 hours

Agency: **Department of Health and Human Services**
OMB Control No.: 0920-0555
Title: National Public Health Performance Standards Program Local Public Health Performance Assessment
Purpose of Collection: PHPPO will collect, analyze, and disseminate data on the public health infrastructure and performance of local health jurisdictions. The data is based on the framework of ten essential services and will be used to monitor progress toward accomplishment of national infrastructure objectives in Healthy People 2010 and by health officials/policy makers for quality improvement and strategic planning.

Why Increase Occurred: New submission.
Change in the Burden: 28,008 hours

Agency: **Department of the Interior**
OMB Control No.: 1010-0151
Title: Proposed Rulemaking—30 CFR 250, Subpart B, Plans and Information (Forms MMS-137, MMS-138, MMS-139, MMS-141, MMS-NEW)
Purpose of Collection: To address a proposed rulemaking that will provide lessees with supplementary guidance and procedures on submitting exploration and development and production plans. Sections 11 and 25 of the OCS Lands Act require holders of

OCS oil and gas or sulfur leases to submit plans for approval before beginning any such offshore activities. The information collected is used to analyze and evaluate planned operations in the OCS to ensure that they are safe and will not adversely affect the environment before being approved.

Why Increase Occurred: Proposed rulemaking incorporates new and expanded requirements, which include new information collection requirements.

Change in Burden: 10,410 hours

Agency: Department of Justice
OMB Control No.: 1115-0249
Title: Contacts Concerning Project Speak Out (INS Practitioner Fraud Pilot Program)
Purpose of Collection: This form is used by the agency to evaluate the INS Practitioner Fraud Pilot Program to ensure that all persons eligible to benefit from this program are being included and receiving the appropriate assistance. This form is completed by community-based organizations assisting the agency as complaint intake organizations.

Why Increase Occurred: This is a new information collection established to standardize the method of recording the number of individuals contacting community-based organizations concerning the INS Practitioner Fraud Pilot Program. INS will use the information collected on the form to determine how many persons are served by the program and if its public outreach efforts are successful.

Change in Burden: 51,960 hours

Agency: Department of Labor
OMB Control No.: 1205-0240
Title: Labor Exchange Reporting System
Purpose of Collection: To collect standardized information pertaining to customers in Wagner-Peyser programs and report for the purposes of general program oversight, evaluation and performance assessment.

Why Increase Occurred: New requirement to access wage record data and report program outcomes based on the new Labor Exchange Performance Measures and the new VETS Performance Measures.

Change in Burden: 18,361 hours

Agency: Department of Labor
OMB Control No.: 1205-0429
Title: Reporting and Performance Standards for Migrant and Seasonal Farmworker: Youth Programs under Title I-D, Section 167 of the Workforce Investment Act (WIA)
Purpose of Collection: The data is used for program management activities, to identify areas in need of technical assistance, and for performance measurement.

Why Increase Occurred: New collection that will help ETA better identify areas in need of technical assistance and performance measurement.

Change in Burden: 15,650 hours

Agency: Department of Labor
OMB Control No.: 1205-0430
Title: Resource Justification Model (RJM)
Purpose of Collection: Replaces the current methodologies for budget formulation and grant allocation to the States for the unemployment insurance program.

Why Increase Occurred: To improve methodology for budget formulations.

Change in Burden: 12,349 hours

Agency: **Department of Labor**
OMB Control No.: 1205-0431
Title: Unemployment Insurance Data Validation Program
Purpose of Collection: Requires States to implement and operate a system for ascertaining the validity (adherence to Federal reporting requirements) of specified unemployment insurance data submitted to the ETA; also used to assess performance or determinate States' grants for UI administration.
Why Increase Occurred: New request that implements a new system to better ascertain validity and adherence to Federal program requirements.
Change in Burden: 30,187 hours

Agency: **Department of Labor**
OMB Control No.: 1220-0032
Title: Annual Refiling Survey (ARS) (formerly called the Standard Industrial Classification (SIC) forms)
Purpose of Collection: Verify the accuracy of industry codes for business establishments covered by State Unemployment Insurance (U.I.) programs.
Why Increase Occurred: The increase in burden hours reflects a return to the normal ARS survey criteria of verifying one-third of approximately 7.8 million establishments.
Change in Burden: 53,852 hours

Agency: **Department of Labor**
OMB Control No.: 1220-0045
Title: Survey of Occupational Injuries and Illnesses
Purpose of Collection: Provides data on nonfatal occupational injuries and illnesses for the Nation and for States.
Why Increase Occurred: A change in recordkeeping requirements resulted in an increase in burden hours.
Change in Burden: 142,875 hours

Agency: **Department of Labor**
OMB Control No.: 1220-0100
Title: Current Population Survey (CPS) Basic Labor Force
Purpose of Collection: Principal source of the official government statistics on employment and unemployment.
Why Increase Occurred: Total respondent burden for the collection of labor force information increased by 12,600 hours due to an increase in the number of households interviewed (from 48,000 to 57,000).
Change in Burden: 12,600 hours

Agency: **Department of Labor**
OMB Control No.: 1220-0164
Title: National Compensation Survey
Purpose of Collection: Survey which collects employee compensation, benefits, and occupation data. (The NCS is the result of the integration of three former separate BLS surveys: the Employment Cost Index (ECI), the Occupational Compensation Survey Program (OCSPP), and the Employee Benefits Survey (EBS)).
Why Increase Occurred: Increase in burden hours due to the addition of sample units to the survey.

Change in Burden: 19,533 hours

Agency: **Department of Labor**
OMB Control No.: 1290-0003
Title: Information Collection Plan for GovBenefits Online
Purpose of Collection: The Department serves as the managing partner of the Administration's GovBenefits (formerly "Eligibility Assistance Online") strategy for assisting citizens in identifying and locating information on benefits sponsored by the Federal government. This service will greatly reduce the burden on citizens attempting to locate benefits available from many different government agencies by providing one-stop access to information on obtaining those benefits.
Why Increase Occurred: Respondents answer a series of questions to the extent necessary for locating relevant information on Federal benefits. Responses are used by the respondent to expedite the identification and retrieval of sought after information and resources pertaining to benefits sponsored by the Federal government.
Change in Burden: 20,000 hours

Agency: **Securities and Exchange Commission**
OMB Control No.: 3235-0033
Title: Records to be Made by Certain Exchange Members, Brokers, and Dealers— Rule 17a-3
Purpose of Collection: Used by examiners and other representatives of the Commission, and the Self-regulatory organizations (SROs) to ensure that the broker or dealer is in compliance with the Commission's financial responsibility program and antifraud and anti-manipulation rules as well as other rules and regulations of the Commission and the SROs.
Why Increase Occurred: Rule amended: Rule 17a-3 was extensively amended to include a number of new recordkeeping requirements. Amendments to Rule 17a-3 require the following of broker-dealers: send account information to customers for verification within 30 days of account opening and at least every 36 months thereafter; obtain certain specified information from their customers; contact customer and make a record of a customer's consent for discretionary accounts; and keep a record relating to written customer complaints. The amendments also added recordkeeping requirements relating to order tickets.
Change in Burden: 1,317,454 hours

Agency: **Securities and Exchange Commission**
OMB Control No.: 3235-0078
Title: Customer Protection—Reserves and Custody of Securities—Rule 15c3-3
Purpose of Collection: Provides for the protection of customer funds and securities in the custody of a broker-dealer. The Rule sets forth standards for (i) a broker dealer's acceptance, custody, and use of customer securities, and (ii) the maintenance of reserves with respect to customer deposits and monies obtained from the use of customer securities.
Why Increase Occurred: The Commission adopted new requirements designed to eliminate conflicting and duplicative customer protection, recordkeeping, and reporting regulations applicable to security futures products.
Change in Burden: 858,913 hours

Agency: **Securities and Exchange Commission**
OMB Control No.: 3235-0279

Title: Records to be Preserved by Certain Exchange Members, Brokers and Dealers—Rule 17a-4

Purpose of Collection: Requires certain records to be maintained by certain exchange members and registered brokers and dealers. The Rule serves to standardize prudent business practices. It also specifies the length of time that certain records relating to transactions in security futures products must be maintained. In addition, it would require broker-dealers, if requested by a Commission representative or self-regulatory organization, to obtain certain documents underlying exchanges of security futures products for physical securities and provide them to the requesting regulator.

Why Increase Occurred: Rule amended to expand the type and number of broker-dealer and exchange member records that must be maintained for specified periods of time.

Change in Burden: 38,868 hours

Agency: **Securities and Exchange Commission**

OMB Control No.: 3235-0444

Title: Confirmation Requirements for Transactions of Security Futures Products Effected in Futures Accounts—Rule 10b-10

Purpose of Collection: Requires broker-dealers to provide confirmations, at or before the completion of each securities transactions effected for a customer's account, to the customer to disclose certain basic terms of the transaction.

Why Increase Occurred: Amended to permit alternative information disclosure requirements in confirmations provided to customers in security futures products in a futures account.

Change in Burden: 2,000,000 hours

Agency: **Securities and Exchange Commission**

OMB Control No.: 3235-0060

Title: Form 8-K

Purpose of Collection: Every issuer that is subject to Section 13(a) or 15(d) under the Exchange Act must file periodic and current reports with the Commission containing information about its business and financial condition. In Securities Act Release No. 8090, the Commission proposed amendments to provide investors with prompt disclosure of information about its director and executive officer transactions in registrant equity securities and certain related activities so that investors will be able to make investment and voting decisions on a better-informed and more timely basis. The proposed amendments would require registrants with a class of equity securities registered under Section 12 of the Exchange Act to promptly disclose certain information about these transactions and activities by filing a current report on Form 8-K.

Why Increase Occurred: The proposed amendments would increase the number of Forms 8-K filed with Commission, thereby increasing the number of burden hours and costs associated with this form. Part of the increase also is attributable to the fact that the Commission changed the estimated percentage of the reporting burden carried internally to 75% and the percentage of the burden carried externally to 25%.

Change in Burden: 484,425 hours

Agency: **Social Security Administration**

OMB Control No.: 0960-0646

Title: National Teacher Questionnaire, SSA-5665-BK Information About the Working Age Child, SSA-5665-SUP

Purpose of Collection: SSA must consider all relevant evidence in the case record in determining whether a child is disabled under title XVI of the Act when making an initial disability determination, a reconsideration of eligibility or a continuing disability determination. This may include medical evidence, school records and employment history—information from people who know the child and can provide evidence about the child’s functioning.

Why Increase Occurred: SSA developed standardized forms to replace State versions of the forms used by the Disability Determination Services (DDS). The State forms varied a great deal in format and content, reliability, and effectiveness in evaluating the functional limitations resulting from a child’s impairment(s). There was an increase in SSA’s information collection budget when the standard forms were approved because SSA did not previously account for the burden imposed by the State forms.

Change in Burden: 277,416 hours

Agency: **Social Security Administration**

OMB Control No.: 0960-0650

Title: Internet Social Security Disability Report (ISSDR)⁵

Purpose of Collection: The information collected on ISSDR will be used by the State Disability Determination Services (DDS) evaluator to develop medical evidence and to assess the alleged disability. The information, together with medical evidence, forms the evidentiary basis upon which the initial disability evaluation is founded.

Why Increase Occurred: The ISSDR is a self-help Internet application that augments the current paper-based collection (SSA-3368-BK, OMB No. 0960-0579). The Internet application takes longer to complete, because the Internet version has onscreen help in the form of explanations and examples to be read while completing the questions. However, this time is offset by added public convenience and SSA processing efficiencies as follows: 1) The ISSDR allows the public flexibility to complete the application at the time and place of their choice, eliminating both travel and scheduling conflicts. 2) The application permits information to be entered over multiple sessions so users can stop and return later if they need to for any reason. 3) Dynamic pathing embedded within the application tailors ISSDR to meet individual claimant needs, so the claimant is directed only to information necessary. These features in conjunction with the agency’s initiative to create a fully electronic process for taking disability claims will further enhance SSA’s ability to deliver fast and accurate claims service. This will further benefit the public by eliminating delays in claim adjudication due to lost documentation or claims folders as well as improving efficiency to SSA’s field offices and the Disability Determination Services.

Change in Burden: 132,000 Hours

Agency: **Department of State**

OMB Control No.: 1405-0135

Title: J-1 Waiver Visa Application

Purpose of Collection: To record the information required by 22 CFR 41.63 for a waiver request filed with the Secretary of State

Why Increase Occurred: The President has directed stricter controls on visas in response to the terrorist attacks of September 11, 2001.

⁵ The ISSDR is a part of the AeDib application that when fully operational will encompass a suite of self-directed disability information collections which will seamlessly collect medical, vocational, and educational information necessary to develop disability claims for adjudication.

Change in Burden: 20,000 hours

Agency: **Department of Transportation**
OMB Control No.: 2105-0548
Title: Procedures for Compensation of Air Carriers
Purpose of Collection: The purpose of this information collection is to collect from U.S. air carriers information for the purposes of determining eligibility for compensation under the Air Transportation Safety and System Act. This information is needed in order to assist the Department in assessing whether carriers are eligible for compensation and, if so, the amount of compensation that should be paid.
Why Increase Occurred: New Information Collection.
Change in Burden: 43,164 hours

Agency: **Department of Transportation**
OMB Control No.: 2120-0679
Title: Reduced Vertical Separation Minimum (RVSM)
Purpose of Collection: Aircraft operators seeking operational approval to conduct Reduced Vertical Separation Minimum (RVSM) operations within the 48 contiguous states of the United States, Alaska and that portion of the Gulf of Mexico where the FAA provides air traffic services must submit their application to the Certificate Holding District Office (CHDO). The CHDO registers RVSM approved airframes in the FAA RVSM Approvals Database. When operators complete airworthiness, continued airworthiness and operations program requirements, the CHDO grants operational approval.
Why Increase Occurred: This is a Notice of Proposed Rulemaking that will require aircraft operators seeking operational approval to conduct RVSM operations within the 48 contiguous States of the United States, Alaska and that portion of the Gulf of Mexico where the FAA provides air traffic services to submit application to their Certificate Holding District Office.
Change in Burden: 68,250 hours

Agency: **Department of Transportation**
OMB Control No.: 2120-0673
Title: Criminal History Records Checks 14 CFR Parts 107 and 108
Purpose of Collection: This was an emergency rule that required airport and aircraft operators to fingerprint those covered individuals at all categories of airports that previous to 11/14/01, were not subject to a criminal history records check.
Why Increase Occurred: The terrorist's attacks of September 11, 2001 caused the FAA to reexamine the provisions for criminal history records checks. The FAA created a rule that would expand the population from which fingerprints are collected.
Change in Burden: 123,471 hours

Agency: **Department of Transportation**
OMB Control No.: 2120-0680
Title: Part 60—Flight Simulation Device Initial and Continuing Qualification and Use (NPRM)
Purpose of Collection: Ensuring complete and adequate training, testing, checking, and experience is obtained and maintained by those who operate under Parts 61, 63, 91, 121, 135, 141, and 142 of the regulation and who use flight simulation in lieu of aircraft for these functions.
Why Increase Occurred: Amendment to an existing regulation (14 CFR part 60).

Change in Burden: 201,653 hours

Agency: **Department of Transportation**
OMB Control No.: 2125-0590
Title: Customer Satisfaction Surveys
Purpose of Collection: FHWA plans to conduct 32 customer satisfaction surveys at various times during the next 2 years. This plan will be used by FHWA management in several ways: 1) to evaluate an overall agency strategy on conducting customer surveys and utilizing the data that is received; 2) to ensure that there is no duplication for surveys that cross program areas within FHWA; 3) to prioritize required surveys; and 4) to use for obtaining OMB's approval.
Why Increase Occurred: New Information Collection.
Change in Burden: 12,433 hours

Agency: **Department of Transportation**
OMB Control No.: 2126-0016
Title: Revision of Licensing Application Forms, Application Procedures, and Corresponding Regulations
Purpose of Collection: This collection allows the Federal Motor Carrier Safety Administration (FMCSA) to evaluate applications filed by Mexican motor carriers for operating authority to transport international cargo in foreign commerce across the U.S.-Mexico border into and out of the commercial zone.
Why Increase Occurred: The increase allows additional effort for the first year after the NAFTA rules are in effect (i.e., re-filings and initial new filings) of the OP-1 (MX) application.
Change in Burden: 18,941 hours

Agency: **Department of Transportation**
OMB Control No.: 2126-0019
Title: Application for Certificate of Registration for Foreign Motor Carriers and Foreign Private Carriers
Purpose of Collection: This collection allows the Federal Motor Carrier Safety Administration (FMCSA) to evaluate applications filed by Mexican motor carriers for operating authority to transport international cargo in foreign commerce across the U.S.-Mexico border within the commercial zone.
Why Increase Occurred: A final rule (RIN 2126-AA33), "Revision of Regulations and Application Form for Mexican-Domiciled Motor Carriers to Operate in U.S. Municipalities and Commercial Zones on the U.S.-Mexico Border" revised regulations and the OP-2 application form. The increase reflected the anticipated increased burden for the first year after the rule is in affect.
Change in Burden: 21,818 hours

Agency: **Department of Transportation**
OMB Control No.: 2127-0579
Title: Generic Clearance for Customer Surveys
Purpose of Collection: The purpose of the surveys are to assist in understanding customer needs, satisfaction with existing products and services, perspectives on highway safety problems, and ideas on how to improve highway safety.
Why Increase Occurred: The increased occurred to meet the agency's increasing demand to have access to detailed information on trends and potential problems in traffic safety that are emerging before manifesting in the nation's crash data records.
Change in Burden: 13,418 hours

Agency: Department of Transportation
OMB Control No.: 2137-0034
Title: Hazardous Materials Shipping Papers & Emergency Response Information
Purpose of Collection: Shipping papers and emergency response information identifies the presence of hazardous materials to assist carrier personnel and emergency responders in the proper safety procedures and incident mitigation.
Why Increase Occurred: Docket HM-232, NPRM, "Security Requirements for Offerors and Transporters of Hazardous Materials" was published on May 2, 2002, proposing to require the name and address of the consignor and consignee and the shippers DOT Hazmat registration number, if applicable, in order to enhance the security of hazardous materials shipments.
Change in Burden: 361,111 hours

Agency: Department of Treasury
OMB Control No.: 1550-0109
Title: Recordkeeping and Confirmation Requirements for Securities Transactions
Purpose of Collection: To govern the recordkeeping and confirmation requirements for savings associations that effect securities transactions.
Why Increase Occurred: New collection.
Change in Burden: 11,077 hours

Agency: Department of Treasury
OMB Control No.: 1545-0074
Title: 2001 Form 1040 and Schedules, U.S. Individual Income Tax Return
Purpose of Collection: This form is used by individual taxpayers to report their taxable income and calculate their correct tax liability.
Why Increase Occurred: Three lines were added for the Third Party Designee. Also, lines and Code references were added throughout the form, schedules, and instructions.
Change in Burden: 3,192,112 hours

Agency: Department of Treasury
OMB Control No.: 1545-0029
Title: Forms 941, 941-PR and 941-SS, Employer's Quarterly Federal Tax Return
Purpose of Collection: Forms 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.
Why Increase Occurred: Four lines were added to Forms 941, 941-PR, and 941-SS for the Third Party Designee, resulting in the addition of 12 lines.
Change in Burden: 22,497,698 hours

Agency: Department of Treasury
OMB Control No.: 1545-0142
Title: Underpayment of Estimated Tax by Corporations
Purpose of Collection: Form 2220 is used by corporations to determine whether they are subject to the penalty for underpayment of estimated tax and, if so, the amount of the penalty. IRS uses the form to determine if the penalty was correctly computed.

How Reduction Achieved: Special consideration to firms affected by September 11, 2001 terrorist attacks and “suspended research” credit.
Change in Burden: -856,440

Agency: **Department of Veteran Affairs**
OMB Control No.: 2900-0570
Title: Generic Veterans Health Administration Satisfaction Surveys
Purpose of Collection: Site specific surveys designed to determine the level of satisfaction among customers with existing VA services. Baseline data obtained through these information collections are used to develop customer service standards.
Why Increase Occurred: Continued emphasis on quality improvement.
Change in Burden: 75,069 hours

FY 2003 Reductions

Streamlining Regulations

Agency: **Department of Agriculture**
OMB Control No.: 0584-0293
Title: Commodity Supplemental Food Program—Plain Language, Program Accountability, and Program Flexibility
Purpose of Collection: (1) Federal/State Agreement
(2) State Plan of Operation
(3) Application/Recertifications
(4) Verification of Certification Form
(5) Management Reviews
(6) Records of Participant Claims
How Reduction Achieved: Revision of currently approved collection by making the Federal/State Agreement permanent rather than an annual submission; making the State Plan of Operation permanent with amendments submitted as needed, rather than an annual submission; allowing State agencies to extend the certification of Elderly participants for 6 months without a formal review of eligibility; removing requirement that local agencies provide a Verification of certification form to participants moving to another location; requiring State and local agencies to establish and pursue claims against participants ; and requiring that State agencies perform management evaluation of local agencies every two years, rather than annually.
Change in Burden: -90,559 hours

Agency: **Environmental Protection Agency**
OMB Control No.: 2060-0258
Title: Acid Rain Program under Title IV of the CAA Amendments of 1990
Purpose of Collection: Under the Clean Air Act, the Agency collects sulfur dioxide and nitrogen oxides emissions data from electric utility power plants. This data is used by the Agency and the public to determine compliance. It’s also used in data modeling to evaluate environmental benefits and estimate health effects of emissions reductions.
How Reduction Achieved: The Agency revised the emissions monitoring and reporting rules under 40 CFR Part 75 of the Acid Rain Program regulations. The rule changes will reduce the

respondent burden by providing streamlined monitoring options for low-emitting facilities and improving automated tools for submitting quarterly emissions reports.

Change in Burden:

-37,000 hours

Agency:

Department of Labor

OMB Control No.:

1218-0010; 1218-0061;1218-0085;1218-0092; 1218-0104; 1218-0126;1218-0128;1218-0134;1218-0185; 1218-0186; 1218-0189;1218-0195

Title:

Standards Improvement Project-Phase II; Proposed Rule

Purpose of Collection:

The Standard Improvement Project—Phase II will remove and revise health provisions contained in its standards for general industry, shipyard employment, and construction, that are out of date, duplicative, unnecessary, or inconsistent.

How Reduction Achieved:

On October 31, 2002, OSHA published the Standards Improvement Project—Phase II proposed rule (67 FR 66494). The Agency made a preliminary finding that the revisions to certain health standards would reduce regulatory burden without reducing the health protection that these standards currently provide to employees. The changes also would simplify and clarify the requirements of these provisions, thereby facilitating employer compliance, improving employee protection and reducing paperwork. Health Standards with collections of information are: (title, followed by OMB number) Vinyl Chloride, 29 CFR 1910.1017(1218-0010); Cotton Dust, 29 CFR 1910.1043 (1218-0061); The 13 Carcinogens Standard, 29 CFR 1910.1003, (1218-0085); Lead in general industry, 29 CFR 1910.1025,(1218-0092); Inorganic Arsenic, 29 CFR 1910.1018 (1218-0104); Acrylonitrile, 29 CFR 1910.1045 (1218-0126); Coke Oven emissions, 29 CFR 1910.1028 (1218-0128); Asbestos in Construction, 29 CFR 1926.1101 (1218-0134); Cadmium in General Industry, 29 CFR 1910.1027 (1218-0185); Cadmium in Construction (1218-0186); Lead in Construction, 29 CFR 1926.62 (1218-0189); Asbestos in Shipyards 29 CFR 1915.1001 (1218-0195).

Change in Burden:

-207,893 hours

Agency:

Securities and Exchange Commission

OMB Control No.:

3235-0202

Title:

Initiation or Resumption of Quotations Without Specified Information—Rule 15c2-11

Purpose of Collection:

This information maintenance requirement is intended to have a broker-dealer give some measure of attention to financial and other information about an issuer before it initiates or resumes quotations for that issuer's securities. To satisfy the Rule's requirement, broker-dealers should obtain and review information about issuers of covered over-the-counter securities and determine that they have a reasonable basis for believing that the information is current, accurate, and from reliable sources.

How Reduction Achieved:

Proposed amendments would exclude those securities satisfying any one of three alternative tests based on: the value of the security's average daily trading volume; the security's bid price; or the issuer's total assets and shareholder equity. The proposed amendments would also exclude debt securities, non-participatory preferred stock, and investment grade asset-backed securities. These measures would reduce the number of respondents as well as the overall burden on respondents.

Change in Burden:

-60,898 hours

Agency:

Department of Treasury

OMB Control No.:

1545-1466

Title: Third Party Disclosure Requirements in IRS Regulations
Purpose of Collection: Covers a large number of different regulatory provisions regarding disclosure to third parties.
How Reduction Achieved: Largest decreases due to elimination of regulatory provisions.
Change in Burden: -1,041,645

Eliminating Redundancies

Agency: **Department of Housing and Urban Development**
OMB Control No.: 2502-0182
Title: Certification & Application for Housing Assistance Payments (HAPs)
Purpose of Collection: These forms are used by owners to request monthly housing assistance payments for eligible households, and for other payments.
How Reduction Achieved: HUD streamlined its data collection and improved performance indicators and measurements. Three forms were consolidated into one, two forms were deleted, and the form HUD-9902 was improved to reflect a more complete representation of housing counseling outcomes.
Change in Burden: -105,525 hours

Agency: **Department of the Interior**
OMB Control No.: 1029-0063
Title: Coal Production and Reclamation Fee Report
Purpose of Collection: The information received from the OSM-1 report is used to maintain a record of coal produced for sale, transfer or use nationwide each calendar quarter, the method of coal removal and the type of coal, and the basis for coal tonnage reported. Individual reclamation fee payment liability is based on this information and is required by SMCRA as amended by P.L. 101-508.
How Reduction Achieved: The OSM is exploring improving efficiency by consolidating the OSM-1 Form with the Mine Safety and Health Administration's (MSHA's) 7000-2 Form and the Internal Revenue Service's Form 720 for coal operators submitting excise tax information. If implemented, this initiative should reduce the burden placed on coal mining operators who submit multiple reports to several agencies, and should reduce conflicting or confusing coal industry-reported figures.
Change in Burden: -10,000 hours

Agency: **Securities and Exchange Commission**
OMB Control No.: 3235-0070
Title: Form 10-Q
Purpose of Collection: Every issuer that is subject to Section 13(a) or 15(d) under the Exchange Act must file periodic and current reports with the Commission containing information about its business and financial condition. In Securities Act Release No. 8160, we proposed to provide investors with more information about important extraordinary corporate events on a more timely basis so that investors will be able to make investment and voting decisions.
How Reduction Achieved: The proposed amendments would decrease the burden associated with Form 10-Q because several of the disclosures currently required to be reported on Form 10-Q would be reported instead on Form 8-K.
Change in Burden: -20,060 hours

Agency: Social Securities Administration
OMB Control No.: 0960-0536
Title: SSA-1587-OCR-SM / Beneficiary Recontact Report
Purpose of Collection: The SSA-1587 is used to detect unreported marriages of minor children. Studies conducted by SSA and a match (made by the Office of the Inspector General) of marriage records to our Master Beneficiary Record disclosed that a number of children who married failed to report the marriage. This form requests marriage status from our child beneficiary population most likely to marry, ages 15-17. Based on the information collected, SSA terminates benefits according to the statute to prevent additional overpayments from accruing.
How Reduction Achieved: Only 17 year old recipients with no second request, suspensions, or terminations will be targeted.
Change in Burden: -31,118 hours

Agency: Department of Veteran Affairs
OMB Control No.: 2900-0609
Title: Survey of Veteran Enrollees' Health and Reliance upon VA (VA Forms 10-21034g and h)
Purpose of Collection: Study of enrollees' health status, income and reliance upon the VA system will provide information for planning & policy development for actuarial projections of enrollment, utilization, expenditures & mandated annual enrollment reforms.
How Reduction Achieved: The lengthy clinical portion of the "Census of the Health of Veterans" is either being eliminated or dramatically shortened and combined with 2900-0227.
Change in Burden: -243,008 hours

Simplifying Forms

Agency: Department of Health and Human Services
OMB Control No.: 0938-0301
Title: Provider Cost Report Reimbursement Questionnaire and Supporting Regulations 42 CFRE 413.20, 413.24 CMS-339
Purpose of Collection: This form and instructions assists the provider in preparing an acceptable cost report and minimize subsequent contact between the provider and intermediary. It provides the basic data elements with related worksheet computations to develop the hospital and physician component cost so that Medicare costs are properly allocated between the Part A and the Part B trust funds.
How Reduction Achieved: The change is a combination of both a program change and an adjustment - mostly program change. The hours per response were reduced by requiring less information: from 40.5 hours per response to 29.5 hours per response. Therefore 335,786 hours is from program change and 106,029 hours is due to adjustment.
Change in Burden: -441,815

Agency: Securities and Exchange Commission
OMB Control No.: 3235-0330
Title: Form N-SAR under the Investment Company Act of 1940, Semi-Annual Report for Registered Investment Companies
Purpose of Collection: The information in Form N-SAR is required to keep reasonably current the information in the filer's registration statement and to monitor the operations of registered investment companies so that the Commission can use inspection and document review resources effectively. Filers on the Form submit their responses electronically as data that is incorporated into a database of

investment company information maintained by the Commission for automated analysis.

How Reduction Achieved: Section 302 of the Sarbanes-Oxley Act of 2002 requires the Commission to adopt rules under which the principal executive officer or officers and the principal financial officer or officers, or persons performing similar functions, of an issuer each must certify the information contained in the issuer's "quarterly and annual reports" filed or submitted under Section 13(a) or 15(d) of the Securities Exchange Act of 1934 ("Exchange Act"). Form N-SAR is currently the reporting form designated for all registered investment companies to comply with their reporting requirements under the Exchange Act. To implement Section 302 with respect to registered investment companies, the Commission amended Form N-SAR to require the investment companies to file with the Commission the certification specified by Section 302 as an exhibit to Form N-SAR. In 2002, the Commission proposed a new form to meet the requirements of the Sarbanes-Oxley Act, Form N-CSR. If the Commission adopts Form N-CSR and decides that registered investment companies no longer need to file the certification as an exhibit to Form N-SAR, the Commission will submit an information correction worksheet requesting a reduction of the burden of Form N-SAR.

Change in Burden: -36,049 hours

Agency: Department of Treasury
OMB Control No.: 1545-1619
Title: Information to Claim Earned Income Credit after Disallowance
Purpose of Collection: When earned income tax credit is improperly claimed, taxpayer is disallowed from using it for a statutory period.
How Reduction Achieved: Reflects legislative changes and redesign of the form.
Change in Burden: -420,000

Agency: Department of Veteran Affairs
OMB Control No.: 2900-0091
Title: Health Benefits Application and Renewal (VA Forms 10-10EZ and 10-10EZR)
Purpose of Collection: Collects information to enroll for health care benefits, establishes basic eligibility, identifies 3rd party health insurance coverage & identifies prescription co-payment and serves as a mechanism for yearly financial updates.
How Reduction Achieved: Program Change results from the development of a new form (10-10EZR) for updated information that eliminates the need for again providing information which does not change.
Change in Burden: -563,750 hours

Using Information Technology

Agency: Department of Defense
OMB Control No.: 0704-0188
Title: Acquisition Management Systems and Data Requirements Control List (AMSDDL)
Purpose of Collection: Information is a list of data requirements used in Department of Defense contracts for supplies, services, hardware, and software, necessary to support

design, testing, manufacture, training, and the operation and maintenance of procured items.

How Reduction Achieved: The Department reevaluated the required formats to accept contractor formats, as well as submission by electronic means.

Change in Burden: -5,262,840 hours

Agency: **Department of Education**
OMB Control No.: 1850-0582
Title: Integrated Postsecondary Education Data System (IPEDS) Web-Based Collection System

Purpose of Collection: To collect student data from postsecondary institutions through a web-based system.

How Reduction Achieved: The reduction is due to several changes in the program including changes to the Classification of Instructional Program (CIP) codes; assumption of the Graduation Rate Study (GRS) recordkeeping burden by the Office of Postsecondary Education (OPE); changes to the Finance for public institutions; and respondent "learning curve" following implementation of new CIP and the new Governmental Accounting Standards Board (GASB) form for public institutions.

Change in Burden: -19,556 hours

Agency: **Department of Energy**
OMB Control No.: 1910-5101
Title: Annual Alternative Fuel Vehicle Acquisition Report for State Government & Alternative Fuel Provider Fleets

Purpose of Collection: To determine whether alternative fuel providers are in compliance with the Alternative Fuel Providers Vehicle Acquisition Mandate; to determine whether States are in compliance with the State Fleet Mandate Program; and to determine whether fleet owner/operators should be awarded credits under the Alternative Fueled Vehicle Credits Program.

How Reduction Achieved: 85% of respondents are now filing reports online.

Change in Burden: -10,450 hours

Agency: **Department of Labor**
OMB Control No.: 1205-0219
Title: Standard Job Corps Request for Proposal and Related Contractor Information Gathering

Purpose of Collection: Forms completed by prospective contractors for competitive procurement and Federal paperwork requirements of contract operators of such centers.

How Reduction Achieved: Development of electronic database.

Change in Burden: -16,422 hours

Agency: **Department of Treasury**
OMB Control No.: 1510-0057
Title: Annual Letters—Certificates of Authority (A) and Admitted Reinsurer (B)

Purpose of Collection: Annual letters are sent to insurance companies providing surety bonds to protect the Federal government or companies providing reinsurance (except on excess risks running to the United States). The information provided in this collection is needed for the renewal of Treasury Certified companies and the determination of their underwriting limitations, and the renewal of companies recognized as Admitted Reinsurers. Summary information of Treasury Certified companies is

published in Treasury Circular 570, while a separate listing of companies recognized as Admitted Reinsurers is generated.

How Reduction Achieved: Reduction in the total number of company respondents and implementation of automation and technology improvements on the part of respondents and by the Treasury which reduced the actual burden hours spent in the extraction and preparation of data in responding to the items enumerated in Annual Letters (A) and (B).

Change in Burden: -12,270 hours

Statutory Reductions

Agency: Department of Agriculture
OMB Control No.: 0584-0339
Title: Employment and Training Program Activity Report
Purpose of Collection: Monitoring State employment and training program performance.
How Reduction Achieved: P.L. 107-171 allows FNS to eliminate the requirement to report numbers of filled and offered education/training slots and workfare slots in geographical areas that are waived because of low employment opportunity versus unwaived geographical areas.
Change in Burden: -58,461 hours
Statute Title and PL#: Title IV, Farm Security and Rural Investment Act of 2002 P.L. 107-171.

Other Reductions

Agency: Department of Agriculture
OMB Control No.: 0560-0006; 0560-0025; 0560-0026; 0560-0040; 0560-0052; 0560-0074; 0560-0082; 0560-0087; 0560-0092; 0560-0096; 0560-0120; 0560-0125; 0560-0129; 0560-0138; 0560-0174; 0560-0177; 0560-0185; 0560-0203; 0560-0204; 0560-0215; 0560-0216; 0560-0219; 0578-0013; 0578-0018; 0578-0027; 0578-0028.
Title: Peanut Poundage Quota, Marketing Regulations, Peanut Warehouse Loan and Handler Operations; Farm Reconstitution; Application for Payment of Amounts Due Persons Who Have Died; Regulations for Cooperative Marketing Associations; Standards for Approval of Warehouses; Regulations Governing Nonrecourse Cotton Loan Programs; Conservation and Environmental Programs; General Regulations Governing Commodity Loans; Forms for Participation in a 7-Year Production Flexibility Contract; Payment Limitation and Determination of Eligibility; Warehouse Regulations Under USWA; Conservation Reserve Program; Loan Deficiency Payments; Sugar Program; Environmental Quality Incentives Program (EQIP); Request for Aerial Photography; Offer Forms; Highly Erodible Land Conservation and Wetland Conservation; Facsimile Signature Authorization and Verification; Farm Storage Facility Loan Program; Representations for CCC and FSA Loans and Authorization to File a Financing Statement; Storage of Honey Forfeited to CCC; USDA Registration Form Form to Request Electronic Access Code; Long Term Contracting; Application for Payment; Request for State Technical Committee Membership Risk Protection Program
Purpose of Collection: These collections support the commodity and conservation programs authorized in Title I and Title II of the Farm Security and Rural Investment Act of 2002 (Farm Bill)
How Reduction Achieved: Title I and II of the Farm Security and Rural Investment Act of 2002 are exempt from the PRA for program implementation and administration.

Change in Burden: -10,407,942 hours

Agency: Department of Agriculture
OMB Control No.: 0535-0226
Title: 2002 Census of Agriculture
Purpose of Collection: The census of agriculture is conducted every 5 years. It collects information on the number and size of farms, land use, production expenses, value of production, and many other agricultural data.
How Reduction Achieved: The census information collection will be retired at the end of FY 2003.
Change in Burden: -1,354,204 hours

Agency: Department of Agriculture
OMB Control No.: 0563-0058
Title: Dairy Options Pilot Program
Purpose of Collection: The Dairy Options Pilot Program (DOPP) is viewed as an opportunity to construct a short-term, educational, "safety-net" beneath an industry which otherwise expects to be without a means of managing price risk.
How Reduction Achieved: Program will no longer be funded after December 2002.
Change in Burden: -33,400 hours

Agency: Department of Commerce
OMB Control No.: 0607-0444
Title: 2002 Company Organization Survey (COS)
Purpose of Collection: The Census Bureau conducts the annual COS in order to update and maintain a central, multipurpose business register (formerly known as the Standard Statistical Establishment List, SSEL). In particular, the COS supplies critical information on the composition, organizational structure, and operating characteristics of multi-establishment enterprises.
How Reduction Achieved: The Census Bureau will conduct the 2002 COS in conjunction with the 2002 Economic Censuses and will coordinate these collections so as to minimize respondent burden. The reduction in burden is attributable to the fact that 2002 establishment data will be collected as part of the 2002 Economic Census, rather than through this collection.
Change in Burden: -48,745 hours

Agency: Department of Commerce
OMB Control No.: 0607-0452
Title: Government Employment Forms
Purpose of Collection: This clearance represents a collection of questionnaires needed to conduct the quinquennial Census of Governments, Employment Phase, and the Annual Survey of Government Employment. Statistics compiled from data gathered using these forms are used in the Federal government for activities such as developing the National Income and Product Accounts and the allocation of operating subsidies to local housing authorities. Other users include state and local government executives and legislators, policy makers, economists, researchers, and the general public.
How Reduction Achieved: The decrease in burden is attributable to the fact that these forms are used cyclically. Once every five years the forms are used in conducting the employment phase of the Census of Governments. During that year burden increases because of the larger number of respondents. Accordingly, burden decreases the following year and remains so for 4 years.

Change in Burden: -67,987 hours

Agency: **Department of Defense**
OMB Control No.: 0704-0187
Title: Information Collection in Support of the Department of Defense Acquisition Process (Solicitation Requirements)
Purpose of Collection: This information collection requirement pertains to information not covered by another OMB control number that an offeror must submit to Department of Defense in response to Department of Defense solicitations.
How Reduction Achieved: The Department reevaluated its information requirements to require the minimum information consistent with best business practices including electronic submission of information.
Change in Burden: -14,115,462 hours

Agency: **Department of Education**
OMB Control No.: 1810-0614
Title: Consolidated State Performance Report
Purpose of Collection: To collect performance data.
How Reduction Achieved: The State self-review was eliminated as well as several programs.
Change in Burden: -677,855 hours

Agency: **Department of Education**
OMB Control No.: 1850-0652
Title: Education Longitudinal Study of 2002, First Follow-up
Purpose of Collection: To collect data from students, dropouts and school administrators regarding school effectiveness, and the impact on postsecondary and labor market outcomes.
How Reduction Achieved: Reduction due to first follow-up field test of ELS: 2002 in 2003.
Change in Burden: -27,765 hours

Agency: **Department of Education**
OMB Control No.: 1850-0769
Title: The Impact of ICT on Learning: Quasi-Experimental Study
Purpose of Collection: This was an international study to examine the impact of information and communication technology (ICT) on student learning Curriculum Survey.
How Reduction Achieved: This was a one-time study.
Change in Burden: -15,721 hours

Agency: **Department of Energy**
OMB Control No.: 1910-0400
Title: Financial Assistance
Purpose of Collection: This collection provides information necessary to manage all phases of the process of seeking, awarding, administering, and closing financial assistance instruments.
How Reduction Achieved: The reduced burden estimate is due to the elimination of 19 collections.
Change in Burden: -249,129 hours

Agency: **Department of Energy**
OMB Control No.: 1910-1000

Title: Personal Property
Purpose of Collection: This collection provides information on the management, control, reutilization and disposal of government personal property.
How Reduction Achieved: Changes to the package were due to comprehensive review that resulted in the elimination of 28 collections and the addition of 2 new collections. It was determined that these collections were no longer needed for management purposes.
Change in Burden: -245,494 hours

Agency: **Department of Energy**
OMB Control No.: 1910-1800
Title: Security
Purpose of Collection: This collection provides information concerning security, classified records, and material accountability and control.
How Reduction Achieved: Changes to the package were due to a comprehensive review that resulted in the elimination of 15 information collections. It was determined that these collections were no longer needed for management purposes and/or required for contract management and administration.
Change in Burden: -433,533 hours

Agency: **Federal Communications Commission**
OMB Control No.: 3060-0362
Title: Inspection of Radio Installation on Ships
Purpose of Collection: The Communications Act requires that the Commission or a Commission-licensed technician to inspect the radio installation of large cargo ships and certain passenger ships at least once a year to ensure that the radio installations are in compliance with the requirements of the Communications Act of 1934, as amended.
How Reduction Achieved: The Commission has consolidated this collection with OMB Control Number 3060-0835, Ship Inspection Certificates, which is projected to increase by 5,082 hours. The net decrease is therefore -15,526 hours. This combination will put the entire ship inspection program under one OMB control number.
Change in Burden: -15,526 hours

Agency: **Federal Energy Regulatory Commission**
OMB Control No.: 1902-0154
Title: Gas Pipeline Rates: Rate Change (Non Formal) FERC-545 RM96-1-000, et. al.) (RM99-5-000)
Purpose of Collection: In RM99-5, Order No. 639, the Commission revised its regulations to require Outer Continental Shelf providers to make information available regarding their affiliations and conditions under which service is rendered. The primary objectives of collecting the information are to further competition, prevent undue discrimination between shippers of natural gas and to improve the efficiency of the gas market.
How Reduction Achieved: On April 10, 2000, the Commission issued Order No. 639 (Docket No. RM99-5), regulations under the Outer Continental Shelf Lands Act (OCSLA) to ensure that natural gas is transported on an open and nondiscriminatory basis through pipeline facilities located on the Outer Continental Shelf (OCS). The regulations require OCS gas transportation service providers to make available information regarding their affiliations and the conditions under which service is rendered. The final rule, by rendering offshore transactions transparent, provide a sound basis for implementing the uniformly applicable open access and

nondiscrimination mandates and creating greater efficiencies in the market place. OCS gas service providers were subject to providing a report if they were not already subject to the Natural Gas Act reporting requirements. These reports have been filed with the Commission, and the information collection is reduced to reflect the fact that the information will not be collected again in the future.

Change in Burden:

-83,055 hours

Agency:

Federal Energy Regulatory Commission

OMB Control No.:

1902-0174

Title:

Standards for Business Practices of Interstate Natural Gas Pipelines, FERC-549C (RM96-1-024)

Purpose of Collection:

In Order Nos. 587, 587-B, 587-C, 587-G, 587-H, and 587-I, 587-K, 587-M, 587-N and 587-O the FERC adopted regulations to standardize the business practices and communication methodologies of interstate pipelines in order to create a more integrated and efficient pipeline grid. In those orders, the Commission incorporated by reference consensus standards developed by GISB (now NAESB, North American Energy Standards Board), a private consensus standards developer composed of members from all segments of the natural gas industry.

How Reduction Achieved:

On October 1, 2002 the Washington Gas Quadrant (WGO), a subunit of NAESB, filed with the Commission a report stating that its Executive Committee had adopted standards governing partial or flowing day recalls, and Version 1.6 of the standards. WGQ's general membership approved the standards on October 31, 2002. Version 1.6 implements operational balance agreements and imbalance netting and trading, standards which in previous versions had conflicted with FERC's regulations. Adoption of the partial day recall standards will provide shippers with enhanced flexibility to recall capacity, while ensuring that replacement shippers receive adequate notice to allow them to reschedule capacity. The primary objectives of the substantive changes imposed by the implementation of these standards are to further update and standardize the natural gas industry's business practices and procedures to improve the efficiency of the gas market and the means by which the gas industry conducts business across the interstate pipeline grid. The proposed filing and data requirements would reflect restructured services and operations and further streamline the way pipelines and their customers/shippers receive and send important information.

The Commission anticipates the issuance of a Final Rule before the end of 2003. The phase in of Version 1.6 is accompanied with the completion of the adoption of Version 1.4 of the standards, which would lead to a net reduction of burden.

Change in Burden:

-403,061 hours

Agency:

Department of Health and Human Services

OMB Control No.:

0930-0213

Title:

State Prevention Needs Assessment Surveys: Alcohol and Other Drugs—Cohort 5

Purpose of Collection:

SAMHSA's Center for Substance Abuse Prevention (CSAP), as part of its State Prevention Needs Assessment Program (STNAP), awarded contracts to States to conduct studies for the purpose of determining the need for and resources to provide for substance abuse prevention within States. States that were funded conducted student school surveys and surveys of community resource agencies for substance abuse prevention.

How Reduction Achieved:

The contracts are ending and data collection will also end.

Change in Burden: -17,959 hours

Agency: **Department of Justice**
OMB Control No.: 1115-0057
Title: Registration for Classification as a Refugee
Purpose of Collection: This collection of information provides a uniform method for applicant to apply for refugee status and contains the information needed in order to adjudicate such applications.
How Reduction Achieved: The information collection is no longer required by the INS and was canceled by the Program Manager.
Change in Burden: -81,620 hours

Agency: **Department of Justice**
OMB Control No.: 1115-0130
Title: Change of Address Card
Purpose of Collection: The INS uses the information to update an applicant's address in the Legalization Automated Database. The information collected is needed to identify specific applicants who have similar names and by applicants who do not provide correct or specific information.
How Reduction Achieved: The Legalization and Special Agricultural Workers program have expired. The information collection is no longer required by the INS and was canceled by the Program Manager.
Change in Burden: -16,600 hours

Agency: **Department of Justice**
OMB Control No.: 1115-0228
Title: Memorandum of Understanding to Participate in Employment Eligibility Confirmation Pilot Program (OMB-18)
Purpose of Collection: Employers who have elected to participate in a pilot execute a Memorandum of Understanding with the INS and the Social Security Administration (if applicable), that provides the specific terms and conditions governing the pilot and company information for each site that will be performing employment verification queries.
How Reduction Achieved: The process has been streamlined by the INS Program Manager.
Change in Burden: -14,246 hours

Agency: **Department of Labor**
OMB Control No.: 1220-0011
Title: Report on Employment, Wages, and Hours
Purpose of Collection: The Current Employment Statistics program provides current monthly statistics on employment, hours, and earnings by industry. The statistics are fundamental inputs in economic processes at all levels of government, private enterprise, and organized labor.
How Reduction Achieved: Phase-in of probability sample design will be completed, which reduces the number of reports.
Change in Burden: -50,586 hours

Agency: **Department of Labor**
OMB Control No.: 1220-0090
Title: Mass Layoff Statistics Program

Purpose of Collection: The Mass Layoff Statistics program is a Federal-State cooperative statistical effort which uses a standardized, automated approach to identify, describe, and track the effects of major job cutbacks, using data from each State's unemployment insurance database.

How Reduction Achieved: Termination of program.

Change in Burden: -73,320 hours

Agency: **Department of Labor**

OMB Control No.: 1220-0109

Title: National Longitudinal Survey of Youth 1979

Purpose of Collection: Used by the Department of Labor, other agencies, academic researchers, the news media, and the general public to understand the employment experiences and life-cycle transitions of men and women born in the years 1957 to 1964 and living in the United States when the survey began in 1979.

How Reduction Achieved: This is a biennial survey that will be allowed to expire.

Change in Burden: -13,297 hours

Agency: **Social Security Administration**

OMB Control No.: 0960-0442

Title: SSA-833 U3/C3, State Disability Determination Services' (DDS) Decision

Purpose of Collection: SSA uses the form to make determinations as to whether Title II disability recipients continue to be disabled.

How Reduction Achieved: To eliminate a large backlog, SSA processed large numbers of Title II Continuing Disability Reviews (CDRs) in recent years. As the backlog was eliminated the focus was shifted to Title XVI CDRs (OMB No. 0960-0433). Therefore, fewer SSA-833s are being used. The decrease in burden hours is in accordance with the Agency's 7-Year Continuing Disability Review Budget Plan. Congress authorized special funding and mandated that periodic continuing disability reviews take place but did not mandate the number of reviews that take place each year.

Change in Burden: -87,122 hours

Agency: **Social Security Administration**

OMB Control No.: 0960-0608

Title: SSA-378, Claimant Conference Reply Form

Purpose of Collection: SSA is testing modifications to the disability determination procedures. One aspect of the test includes notifying claimants if initial determination of disability is less than fully favorable. In the prototype disability determination procedure, the form SSA-378 was used to allow a claimant to request a conference and/or provide additional medical evidence.

How Reduction Achieved: The disability determination test is no longer being used and the prototype form has been discontinued.

Change in Burden: -10,525 hours

Agency: **Department of Transportation**

OMB Control No.: 2137-0039

Title: Hazardous Materials Incident Reports

Purpose of Collection: Hazardous materials carriers provide reports of accidents/ incidents in transportation on the DOT Form 5800.1. These reports are used for revision of the hazardous materials standards and assessment of carriers of hazardous materials in transportation.

How Reduction Achieved: Docket HM-229, NPRM, Revisions to the Incident Reporting Requirements and the Hazardous Materials Incident Report Form 5800.1 was published on July 3, 2001. These proposed revisions to the reporting requirements/form are intended to increase the usefulness of data collected for risk analysis and management by government and industry, and to provide regulatory relief.

Change in Burden: -10,004 hours

Agency: Department of Treasury
OMB Control No.: 1545-0130
Title: Form 1120S and Schedules, U.S. Income Tax Return for an S Corporation
Purpose of Collection: The principal purpose of Form N-14 is to make material information available to investors regarding securities used in business combination transactions. The information required to be filed with the Commission permits verification of compliance with securities law requirements and assures the public availability and dissemination of such information. Without the registration statement requirement, material information would not necessarily be available to investors.

How Reduction Achieved: Due to the Commissioner's Burden Reduction Initiative, corporations with total receipts and assets of less than \$250,000 are not required to complete Schedules L and M-1.

Change in Burden: -14,262,930 hours

Agency: Department of Treasury
OMB Control No.: 1545-0123
Title: Form 1120 and Schedules, U.S. Corporation Income Tax Return
Purpose of Collection: Form 1120 is used by corporations to compute their taxable income and tax liability.
How Reduction Achieved: **Cutting Redundancy** - Due to the Commissioner's Burden Reduction Initiative, corporation with total receipts and assets of less than \$250,000 are not required to complete Schedules L, M-1 and M-2. . This will result in a net program change decrease of 26,211,719 hours. **Statutory Reductions** - Code references were deleted and added throughout the form and instructions. This will result in a program change decrease of 4,439,447 hours. **Other Deductions** - Changes were made throughout Form 1120, schedules, and instructions by adding lines, deleting lines, and adding 1 form attachment. These program changes are due to IRS. This will result in a program change decrease of 3,104,865 hours.

Change in Burden: -33,756,031 hours

Statute Title and PL#: Job Creation and Worker Assistance Act of 2002. P.L. 107-147.

Agency: Department of Treasury
OMB Control No.: 1545-0890
Title: Form 1120-A, U.S. Corporation Short-Form Income Tax Return
Purpose of Collection: Form 1120-A gives the IRS information necessary to determine whether the corporation has correctly computed its income tax liability.
How Reduction Achieved: **Cutting Redundancy** - Due to the Commissioner's Burden Reduction Initiative, corporations with total receipts and assets of less than \$250,000 are not required to complete Parts III and IV. This will result in a net program change decrease of 2,576,794 hours. **Statutory Reductions** - Code references were added and deleted throughout the form and instructions. This will result in a program change decrease of 427,645 hours. **Other Reductions** - Changes were made due to IRS. Lines were deleted and added, and a form attachment deleted. This

will result in a program change decrease of 373,949 hours. All of the above changes resulted in a program change decrease of 3,378,388 hours.

Change in Burden:
Statute Title and PL#:

-3,378,388 hours
Job Creation and Worker Assistance Act of 2002. P.L. 107-147.

Agency:
OMB Control No.:
Title:
Purpose of Collection:

Department of Treasury
1545-0074
2002 Form 1040 and Schedules, U.S. Individual Income Tax Return
This form is used by individual taxpayers to report their taxable income and calculate their correct liability.

How Reduction Achieved:

As part of the Burden Reduction Initiative, Treasury decided to increase the threshold for filing Schedule B (Form 1040) from \$400 to \$1,500. As a result of this change the number of people filing Schedule B was reduced from 33,861,904 to 23,092,147. This will result in a program change decrease of 15,616,147. **Other Reductions** - Also, additional text was added to the instructions for "Rollover of Gain From Empowerment Zone Assets" resulting of 1 write-in and 1 Code reference. This will result in a program change increase of 2,840,101. The net program change decrease is 12,776,046.

Change in Burden:

-12,776,046 hours

Agency:
OMB Control No.:
Title:
Purpose of Collection:

Department of Treasury
1545-0085
2002 Form 1040A and Schedules, U.S. Individual Income Tax Return
This form is used by individual taxpayers to report their taxable income and calculate their correct liability.

How Reduction Achieved:

As part of the **Burden Reduction Initiative**, Treasury has decided to increase the threshold for filing Schedule 1 (Form 1040A) from \$400 to \$1,500. As a result of this change the number of people filing Schedule 1 will be reduced from 3,391,161 respondents to 1,728,736 respondents. **Statutory Reductions** - Two worksheets were deleted, Line 26, "Tax Computation Worksheet for Certain Dependents" and Line 30, "Rate Reduction Credit Worksheet." Changes of increases and decreases of lines, Code references, and size of worksheets were made throughout Form 1040A, instructions, and schedules. The above changes will result in a program change increase of 3,683,969 hours, and a program change decrease of 8,871,556. **Other Reductions** program change due to IRS resulted in a program change decrease of 2,015 hours.

Change in Burden:
Statute Title and PL#:

-6,802,155 hours
Job Creation and Worker Assistance Act of 2002. P.L. 107-147. Economic Growth and Tax Relief Reconciliation Act 2001 P.L. 107-16.

Agency:
OMB Control No.:
Title:
Purpose of Collection:

Department of Veteran Affairs
2900-0615
National Survey of Veterans
To collect information not readily available from other sources, which will be used as input for strategic planning, policy analyses and budgeting purposes. This collection provides up to date information on veterans' use of VA and non-VA benefits usage. It also provides data on characteristics of the veteran population.

How Reduction Achieved:

The National Survey of Veterans is a periodic survey and as such does not have a recurring demand on the public. The data collection for the National Survey of Veterans has been completed.

Change in Burden:

-22,957 hours

FY 2003 Increases

Statutory Increases

Agency: Department of Agriculture
OMB Control No.: 0572-NEW
Title: Rural Broadband Access Loans and Loan Guarantee Program
Purpose of Collection: The program requires information on market feasibility of investments in rural broadband and financial resources of applicants in order to determine loan eligibility
Why Increase Occurred: New Program.
Change in Burden: 10,000 hours
Statute Title and PL#: Farm Security and Rural Investment Act of 2002, Pub. L. 101-171 (Section 6103)

Agency: Department of Agriculture
OMB Control No.: 0584-0055
Title: Child and Adult Care Food Program
Purpose of Collection: To provide benefits to eligible participants
Why Increase Occurred: The increases are due to new reporting requirements on the sponsoring organization and respondents.
Change in Burden: 17,424 and 491,000 hours
Statute Title and PL#: Agriculture Risk Protection Act of 2000, P.L. 106-224 Grain Standards and Warehouse Inspection Act of 2000, P.L. 106-472 and Healthy Meals for Healthy American Act of 1994, P.L. 103-448, Personal Responsibility and Work Opportunities—Reconciliation Act of 1996, P.L. 104-193 Child Nutrition Reauthorization Act of 1998, P.L. 105-336.

Agency: Department of Education
OMB Control No.: 1810-0576
Title: Consolidated State Application / Consolidated State Report
Purpose of Collection: The Department will use the information from the consolidated State application as the basis for approving funding under the covered Elementary and Secondary Education Act (ESEA) programs (in which the State participates) as authorized by NCLB. The Department also will use the performance targets, baseline data, and other related information in the consolidated application to assess the degree of progress States make over time in achieving ESEA goals. As with the previous collection, the information in this collection will allow the Department to monitor and provide technical assistance to States, schools, and school districts on the effective use of program funds.
Why Increase Occurred: The additional hours are due primarily to carrying out the statutory requirements included in the Title I Notice of Proposed Rulemaking.
Change in Burden: 10,360 hours
Statute Title and PL#: No Child Left Behind Act, P.L.# 107-110.

Agency: Department of Education
OMB Control No.: 1810-0581
Title: State Educational Agency, Local Educational Agency, and School Data collection and Reporting under ESEA, Title I, Part A

Purpose of Collection: To establish requirements from Title I, Part A of the Elementary and Secondary Education Act, as amended by the No Child Left Behind Act. These final regulations require State educational agencies, local educational agencies, and schools to collect and disseminate information to document progress, inform parents and the public, and provide services to at-risk students and their teachers.

Why Increase Occurred: Burden hour estimates reflect changes in Title I, Part A requirements under the No Child Left Behind Act and incorporates the previous burden hours that expired under old Title I regulations that were first published in July 1995.

Change in Burden: 2,586,428 hours

Statute Title and PL#: No Child Left Behind Act, P.L.# 107-110.

Agency: **Department of Education**

OMB Control No.: 1810-0662

Title: Migrant Education Program (MEP) Final Regulations Sections 200.83, 200.84 and 200.88

Purpose of Collection: To establish the requirements an SEA must meet for development of a comprehensive needs assessment and plan for service delivery, and to implement the program evaluation as required by Sections 106(b) and 1304(c)(2) of the Elementary and Secondary Education Act (ESEA), as amended by No Child Left Behind Act, P.L.# 107-110.

Why Increase Occurred: As a result from the implementation of sections 200.83, 200.84 and 200.88 of the proposed regulations for Title I, Part C of the No Child Left Behind Act.

Change in Burden: 19,925 hours

Statute Title and PL#: No Child Left Behind Act, P.L.# 107-110.

Agency: **Department of Education**

OMB Control No.: 1845-0061

Title: Federal Perkins Loan/NDSL Promissory Notes

Purpose of Collection: The collection of information on the promissory notes is necessary for eligible institutions of higher education to make Perkins or NDSL loans to students. The specific use of the promissory note is to authorize the loan holder to provide information to schools, lenders, guarantors, subsequent holders, the Department, and their agents about the loan. The promissory note is the means by which the borrower promises to repay the Perkins or NDSL loan under the terms and conditions set forth in the promissory note which is signed and agreed to by the borrower before the institution makes the loan. If the Department does not conduct this collection of information, a student would not have the opportunity to obtain a Perkins or NDSL loan and take advantage of benefits that the Perkins and NDSL programs have to offer.

Why Increase Occurred: New Statute.

Change in Burden: 345,000 hours

Statute Title and PL#: Higher Education Act of 1965, as amended through December 1999 Section 464(c).

Agency: **Environmental Protection Agency**

OMB Control No.: 2050-NEW

Title: Brownfields Grantee Reporting

Purpose of Collection: New legislation requires information from grantees obtaining brownfields revitalization funding and state response programs funding. The collection also provides for Government Performance Results Act reporting, ensures grant

	management accountability, and accounts for information relating to public involvement.
Why Increase Occurred:	New legislation included property specific eligibility requirements, an increase in program elements, and specific reporting obligations. There is also an increase in the number of grantees.
Change in Burden:	10,000 hours
Statute Title and PL#:	Small Business Liability Relief and Brownfields Revitalization Act, Public Law 107-118, Title II—Brownfields Revitalization and Environmental Restoration, Subtitles A and C.
Agency:	Environmental Protection Agency
OMB Control No.:	2070-0164
Title:	Data Acquisition for Anticipated Residue and Percent of Crop Treated [Addendum]
Purpose of Collection:	This collection is needed to re-evaluate the Agency's original tolerance decisions to assess whether the existing pesticide registration poses an unreasonable risk to human health or the environment. The collection and verification of data is necessary to comply with the law, in compliance with new requirements under the Food Quality Protection Act of 1996 (FQPA).
Why Increase Occurred:	This increase is to account for additional burden hours for respondents who must comply with Federal Food, Drug, and Cosmetic Act (FFDCA) sections 408(b)(2)(E) (ii) and 408(b)(2)(F) tolerance actions reviewed under the reregistration program within EPA's Office of Pesticide Programs. This modification increases the estimated number of respondents and total burden hours.
Change in Burden:	44,809 hours
Statute Title and PL#:	Federal Food, Drug, and Cosmetic Act (FFDCA).
Agency:	Department of Health and Human Services
OMB Control No.:	0910-NEW
Title:	Registration of Food Facilities
Purpose of Collection:	FDA will use the information to aid the enforcement activities and screening of foreign food shipments and to inform food facilities of specific food threats.
Why Increase Occurred:	The Bioterrorism Act requires the Secretary, through FDA to develop regulations requiring that domestic and foreign manufacturers/processors, holders, and packers of food intended for consumption in the United States to register with FDA by December 12, 2003. Facilities are also required to submit timely updates when any information on their registration changes.
Change in Burden:	1,059,427 hours
Statute Title and PL#:	Public Health Security and Bioterrorism Preparedness and Response Act of 2002, P.L.107-188
Agency:	Department of Health and Human Services
OMB Control No.:	0910-NEW
Title:	Prior Notice of Imported Food Shipments
Purpose of Collection:	Information necessary to collect may include the identity of the article of food; the manufacturer, the shipper; the grower, if known at the time of the notification; the originating country; the shipping country; and the anticipated port of entry.
Why Increase Occurred:	Section 801(m) of the Federal Food, Drug, and Cosmetic Act requires notification to FDA prior to the entry of imported food. FDA is proposing a regulation that would identify the parties responsible for providing notice and

explain the information that the prior notice is required to contain, the method of submission of the notice, and the minimum and the maximum period of advanced notice required. The required prior notice would provide the identity of the article of food; the manufacturer, the shipper; the grower, if known at the time of the notification; the originating country; the shipping country; and the anticipated port of entry.

Change in Burden:
Statute Title and PL#:

1,833,822 hours
Public Health Security and Bioterrorism Preparedness and Response Act of 2002, P.L.107-188

Agency:
OMB Control No.:
Title:
Purpose of Collection:

Department of Health and Human Services
0910-NEW
Establish and Maintain Records

This information will allow FDA to trace the immediate previous source of a food, to trace the immediate subsequent recipient, to trace the chain of custody/distribution and require the company to retain records.

Why Increase Occurred:

FDA is required by the Bioterrorism Act to develop regulations regarding the establishment and maintenance of records for foods to identify the immediate previous sources and the immediate subsequent recipients of food, including its packaging, in order to address credible threats of serious adverse health consequences or death to humans or animals.

Change in Burden:
Statute Title and PL#:

12,020,000 hours
Public Health Security and Bioterrorism Preparedness and Response Act of 2002, P.L.107-188

Agency:
OMB Control No.:
Title:

Department of Health and Human Services
0930-NEW

Regulations to Implement SAMHSA's Charitable Choice Statutory Provisions: 42 CFR Parts 54 and 54a

Purpose of Collection:

Section 1955 of the Public Health Service Act (42 USC 300x-65), as amended by the Children's Health Act of 2000 (Pub. L. 106-310) and Sections 581-584 of the Public Health Service Act (42 USC 290kk et seq., as added by the Consolidated Appropriations Act (Pub. L. 106-554)), set forth various provisions which aim to ensure that religious organizations are able to compete on an equal footing for Federal funds to provide substance abuse services. These provisions allow religious organizations to offer substance abuse services to individuals without impairing the religious character of the organizations or the religious freedom of the individuals who receive the services. The provisions apply to the Substance Abuse Prevention and Treatment Block Grant (SAPT BG), to the Projects for Assistance in Transition from Homelessness (PATH) formula grant program, and to certain Substance Abuse and Mental Health Services Administration (SAMHSA) discretionary grant programs (programs that pay for substance abuse treatment and prevention services, not for certain infrastructure and technical assistance activities).

Why Increase Occurred:

The legislation requires disclosure to patients of information about their entitlement to receive substance abuse treatment services from an alternative provider. The statutes also require that upon making such a referral the provider must notify the applicable level of State, local or Federal government.

Change in Burden:
Statute Title and PL#:

16,208 hours
Section 1955 of the Public Health Service Act (42 USC 300x-65), as amended by the Children's Health Act of 2000 (Pub. L. 106-310) and Sections 581-584 of the

Public Health Service Act (42 USC 290kk et seq., as added by the Consolidated Appropriations Act (Pub. L. 106-554))

Agency: Department of Health and Human Services
OMB Control No.: 0920-0556
Title: Assisted Reproductive Technology (ART) Program Reporting System
Purpose of Collection: The ART program reporting system has been designed in collaboration with the Society for Assisted Reproductive Technology (SART) to comply with the requirements of the Fertility Clinic Success Rate Technology and Certification Act. The reporting system includes all ART cycles initiated by any of the approximately 400 ART programs in the United States, and covers the pregnancy outcome of each cycle, as well as a number of data items deemed important to explain variability in success rates across clinics and across individuals.
Why Increase Occurred: New legislation, which requires the collection of new data.
Change in Burden: 56,067 hours
Statute Title and PL#: Fertility Clinic Success Rate Technology and Certification Act of 1992 [FCSRTCA], P.L. 102-493

Agency: Department of Health and Human Services
OMB Control No.: 0920-NEW
Title: Possession, Use, and Transfer of Select Agents and Toxins
Purpose of Collection: CDC was delegated the responsibility of registering entities that possess, use, or transfer select agents or toxins. In performance of its responsibility, CDC has modified a previously approved collection to include registration of entities; transfer of select agents and toxins; clinical and diagnostic laboratory report form; notification of theft, loss, or release; and application for exemption. As mandated in the law, these forms have been jointly developed by CDC and USDA/APHIS.
Why Increase Occurred: New legislation, which requires the collection of new data.
Change in Burden: 30,777 hours
Statute Title and PL#: Public Health Security and Bioterrorism Preparedness and Response Act of 2002, P.L. 107-188 (June, 2002)

Agency: Department of Housing and Urban Development
OMB Control No.: 2577-0232
Title: Conversion of Development from Public Housing Stock: Assessment; Conversion Plan
Purpose of Collection: Public Housing Authorities (PHAs) will perform a conversion assessment. PHAs may develop, and submit a conversion plan to HUD. HUD will review and evaluate the plan to ensure statutory and regulatory compliance.
Why Increase Occurred: Implementation of new legislation.
Change in Burden: 20,400 hours
Statute Title and PL#: Public Housing Reform Act, Section 533 P.L. 105-276, Oct. 21, 1998

Agency: Department of the Interior
OMB Control No.: 1076-0161
Title: 25 CFR 170, Indian Reservation Roads
Purpose of Collection: To determine how BIA will allocate funds to various tribal governments under the new Indian Reservation Roads program.
Why Increase Occurred: Implementation of new legislation.

Change in Burden: 31,470 hours
Statute Title and PL#: Transportation Equity Act for the 21st Century, P.L. 105-178

Agency: **Department of Justice**
OMB Control No.: 1115-0255
Title: Visa Waiver Program Passenger Arrival and Departure Data
Purpose of Collection: Section 217(h) of the Immigration and Nationality Act requires an automated entry and exit control system by specifying those passenger data elements that must be electronically transmitted to the INS by carriers seeking to transport Visa Waiver Program passengers into and out of the United States on or after October 1, 2002. This information is transmitted electronically under the Advanced Passenger Information System (APIS) Program administered jointly by the INS and the United States Customs Service.

Why Increase Occurred: Implementation of new legislation.
Change in Burden: 36,500 hours
Statute Title and PL#: Public Law 106-396, 114 Stat. 1637, The Visa Waiver Permanent Program Act (VWPPA); Public Law 107-71, Aviation and Transportation Security Act.

Agency: **Department of Labor**
OMB Control No.: 1205-0339
Title: Business Confidential Data Request and NAFTA Transitional Adjustment Assistance Confidential Data Request
Purpose of Collection: The Trade Act of 2002, H.R. 3009, P.L. 107-210 repeals the NAFTA-TAA, but extends TAA eligibility to secondarily affected worker and to workers whose form has shifted production to certain foreign countries.

Why Increase Occurred: The new law amended the Trade Act of 1974 and consolidated two previously approved programs, Trade Adjustment Assistance (TAA) and the North American Free Trade Agreement—Transitional Adjustment Assistance (NAFTA-TAA) programs.

Change in Burden: 14,350 hours
Statute Title and PL#: H.R. 3009, P.L. 107-210 (Trade Act of 2002).

Agency: **Department of Labor**
OMB Control No.: 1205-0190
Title: Customer Survey and TAA Customer Survey
Purpose of Collection: Information required for the Secretary of Labor to make determinations of eligibility for petitioning workers to apply for transitional adjustment assistance under the Trade Act of 1974.

Why Increase Occurred: The new law amended the Trade Act of 1974 and consolidated two previously approved programs, Trade Adjustment Assistance (TAA) and the North American Free Trade Agreement—Transitional Adjustment Assistance (NAFTA-TAA) programs.

Change in Burden: 11,677 hours
Statute Title and PL#: H.R. 3009, P.L. 107-210 (Trade Act of 2002).

Agency: **Department of Labor**
OMB Control No.: 1210-0122
Title: Notice of Blackout Period under ERISA
Purpose of Collection: To provide participants and affected beneficiaries of individual account pension plans advance written notice of any “blackout period” during which their right to

Why Increase Occurred:

direct or diversify investments, obtain a loan or a distribution under the plan may be temporarily suspended. The required notice is a third party disclosure. The Sarbanes-Oxley Act (SOA) of 2002 (Pub. L. 107-204), enacted on July 30, 2002, amended ERISA to require that administrators of individual account plans provide notice in advance of blackout periods. SOA also provided that the Secretary of Labor would promulgate interim final rules to provide implementing guidance on the requirements of SOA within 75 days of enactment. The Department of Labor's Pension and Welfare Benefits Administration issued interim final rules necessary to carry out the statutory provisions of SOA and amendments to ERISA on October 21, 2002 (67 FR 64766).

**Change in Burden:
Statute Title and PL#:**

166,129 hours
The Sarbanes-Oxley Act of 2002 (Pub. L. 107-204)

**Agency:
OMB Control No.:
Title:
Purpose of Collection:**

Securities and Exchange Commission
3235-0059
Regulation 14A and Schedule 14A
In Securities Act Release No 8154, the Commission proposed amendments to Item 9(e) of Schedule 14A to implement Section 202 of the Sarbanes-Oxley Act. The proposed amendments also addressed the independence of auditors who are charged with examining companies' financial statements. We believe that the proposed disclosure would allow investors to better assess an auditor's independence and activities of audit committees related to assuring the auditor's independence.

Why Increase Occurred:

The proposed amendments to Item 9(e) of Schedule 14A would require companies to disclose additional information in two new categories (tax fees and audit-related fees) and to disclose information for two years rather than one. This information regarding the categories of fees paid by the registrant to the auditor will better inform investors about the critical role that audit committees play in assuring the auditor's independence.

**Change in Burden:
Statute Title and PL#:**

11,492 hours
Sarbanes-Oxley Act of 2002, Pub. L. No 107-204

**Agency:
OMB Control No.:
Title:
Purpose of Collection:**

Securities and Exchange Commission
3235-0060
Form 8-K
Every issuer that is subject to Section 13(a) or 15(d) under the Exchange Act must file periodic and current reports with the Commission containing information about its business and financial condition. In Securities Act Release No. 8145, we proposed to require a company that publicly discloses material information regarding its actual or expected quarterly or annual results of operations or financial condition for a completed fiscal period to file the text of the public disclosure and any accompanying analysis using Form 8-K. The amendment to Form 8-K would not require companies to actually issue an earnings announcement or release but only require that it be filed if they choose to issue an earnings announcement or release. We believe that these announcements and releases should be available to investors on a widespread basis. The purpose of the proposed amendments to Form 8-K is to implement the requirements of the Sarbanes-Oxley Act.

Why Increase Occurred:

The proposed amendments would require issuers to promptly disclose this information by filing a current report on Form 8-K. This disclosure would increase the number of Form 8-K filings, thereby increasing the number of burden hours and costs associated with this form.

Change in Burden: 28,000 hours
Statute Title and PL#: Sarbanes-Oxley Act of 2002, Pub. L. No 107-204

Agency: **Securities and Exchange Commission**
OMB Control No.: 3235-0060
Title: Form 8-K
Purpose of Collection: Every issuer that is subject to Section 13(a) and 15(d) under the Exchange Act must file periodic and current reports with the Commission containing information about its business condition. In Securities Act Release No. 8138, the Commission proposed amendments to implement Section 406 of the Sarbanes-Oxley Act of 2002.

Why Increase Occurred: The proposed amendments would add disclosure requirements to implement Section 406 of the Sarbanes-Oxley Act of 2002. The proposed amendments would require companies to disclose on Form 8-K changes to, or waivers from, any provision of the code of ethics.

Change in Burden: 16,500 hours
Statute Title and PL#: Sarbanes-Oxley Act of 2002, Pub. L. No 107-204

Agency: **Securities and Exchange Commission**
OMB Control No.: 3235-0063
Title: Form 10-K
Purpose of Collection: Every issuer that is subject to Section 13(a) or 15(d) under the Exchange Act must file quarterly and annual reports with the Commission containing information about its business and financial conditions. In Securities Act Release 33-8144, we propose to require public companies to include a discussion of material off-balance sheet arrangements, contractual obligations and contingent liabilities and commitments in the MD&A section of their filings with the Commission. The purpose of the proposed amendments is to implement Section 401(a) of the Sarbanes-Oxley Act. Compliance with the revised disclosure requirements would be mandatory.

Why Increase Occurred: The proposed amendments would add disclosure requirements relating to off-balance sheet arrangements, contractual obligations and contingent liabilities and commitments. As a result, it would take a company more time to complete Form 10-K.

Change in Burden: 101,808 hours
Statute Title and PL#: Sarbanes-Oxley Act of 2002, Pub. L. No 107-204

Agency: **Securities and Exchange Commission**
OMB Control No.: 3235-0063
Title: Form 10-K
Purpose of Collection: Every issuer that is subject to Section 13(a) and 15(d) under the Exchange Act must file periodic and current reports with the Commission containing information about its business condition. In Securities Act Release No. 8138, the Commission proposed amendments to implement Sections 404, 406, and 407 of the Sarbanes-Oxley Act of 2002.

Why Increase Occurred: The proposed amendments would add disclosure requirements relating to implementation of Sections 404, 406, and 407 of the Sarbanes-Oxley Act of 2002. The proposed amendments would require the following disclosures in the annual report on Form 10-K: (1) whether a financial expert serves on a company's audit committee; (2) whether the company has a code of ethics for its specified senior corporate officers, and (3) management's annual report on the effectiveness of a company's internal controls and procedures for financial

reporting as of the end of the company's fiscal year and an attestation to, and report on, that internal control report by the company's registered public accounting firm. This disclosure would increase the amount of information that a company must compile and disclose on Form 10-K.

Change in Burden:
Statute Title and PL#:

80,937 hours
Sarbanes-Oxley Act of 2002, Pub. L. No 107-204

Agency:
OMB Control No.:
Title:
Purpose of Collection:

Securities and Exchange Commission
3235-0070
Form 10-Q
Every issuer that is subject to Section 13(a) or 15(d) under the Exchange Act must file quarterly and annual reports with the Commission containing information about its business and financial conditions. In Securities Act Release 33-8144, we propose to require public companies to include a discussion of material off-balance sheet arrangements, contractual obligations and contingent liabilities and commitments in the MD&A section of their filings with the Commission. The purpose of the proposed amendments is to implement Section 401(a) of the Sarbanes-Oxley Act. Compliance with the revised disclosure requirements would be mandatory.

Why Increase Occurred:

The proposed amendments would add disclosure requirements relating to off-balance sheet arrangements, contractual obligations and contingent liabilities and commitments.

Change in Burden:
Statute Title and PL#:

53,422 hours
Sarbanes-Oxley Act of 2002, Pub. L. No 107-204

Agency:
OMB Control No.:
Title:
Purpose of Collection:

Securities and Exchange Commission
3235-0070
Form 10-Q
Every issuer that is subject to Section 13(a) and 15(d) under the Exchange Act must file periodic and current reports with the Commission containing information about its business condition. In Securities Act Release No. 8138, the Commission proposed amendments to implement Section 404 of the Sarbanes-Oxley Act of 2002.

Why Increase Occurred:

The proposed amendments would add disclosure requirements relating to implementation of Section 404 of the Sarbanes-Oxley Act of 2002. The proposed amendments would require a company to disclose on Form 10-Q management's conclusions regarding the effectiveness of the company's internal controls as of the end of the period covered by each report.

Change in Burden:
Statute Title and PL#:

100,298 hours
Sarbanes-Oxley Act of 2002, Pub. L. No 107-204

Agency:
OMB Control No.:
Title:
Purpose of Collection:

Securities and Exchange Commission
3235-0287
Form 4
In Exchange Act Release No. 46421, the Commission proposed amendments to implement the accelerated filing deadline applicable to change of beneficial ownership reports required to be filed by officers, directors and principal security holders under Section 16(a) of the Securities Exchange Act of 1934, as amended by the Sarbanes-Oxley Act of 2002.

Why Increase Occurred:

Some of the information that was previously reported on Form 5 will now be reported on Form 4, thereby increasing the disclosure requirement for this form.

Change in Burden:

20,377 hours

Statute Title and PL#: Sarbanes-Oxley Act of 2002, Pub. L. No 107-204

Agency: **Securities and Exchange Commission**

OMB Control No.: 3235-0416

Title: Form 10-QSB

Purpose of Collection: Every Small Business issuer that is subject to Section 13(a) or 15(d) under the Exchange Act must file quarterly and annual reports with the Commission containing information about its business and financial conditions. In Securities Act Release 33-8144, we propose to require public companies to include a discussion of material off-balance sheet arrangements, contractual obligations and contingent liabilities and commitments in the MD&A section of their filings with the Commission. The purpose of the proposed amendments is to implement Section 401(a) of the Sarbanes-Oxley Act. Compliance with the revised disclosure requirements would be mandatory.

Why Increase Occurred: The proposed amendments would add disclosure requirements relating to off-balance sheet arrangements, contractual obligations and contingent liabilities and commitments.

Change in Burden: 19,773 hours

Statute Title and PL#: Sarbanes-Oxley Act of 2002, Pub. L. No 107-204

Agency: **Securities and Exchange Commission**

OMB Control No.: 3235-0416

Title: Form 10-QSB

Purpose of Collection: Every small business issuer that is subject to Section 13(a) and 15(d) under the Exchange Act must file periodic and current reports with the Commission containing information about its business condition. In Securities Act Release No. 8138, the Commission proposed amendments to implement Section 404 of the Sarbanes-Oxley Act of 2002.

Why Increase Occurred: The proposed amendments would add disclosure requirements relating to implementation of Section 404 of the Sarbanes-Oxley Act of 2002. The proposed amendments would require small business issuers to disclose on Form 10-QSB management's conclusions regarding the effectiveness of the company's internal controls as of the end of the period covered by each report, thereby increasing the amount of information that a company must compile and disclose on Form 10-QSB.

Change in Burden: 43,530 hours

Statute Title and PL#: Sarbanes-Oxley Act of 2002, Pub. L. No 107-204

Agency: **Securities and Exchange Commission**

OMB Control No.: 3235-0420

Title: Form 10-KSB

Purpose of Collection: Every Small Business issuer that is subject to Section 13(a) or 15(d) under the Exchange Act must file quarterly and annual reports with the Commission containing information about its business and financial conditions. In Securities Act Release 33-8144, we propose to require public companies to include a discussion of material off-balance sheet arrangements, contractual obligations and contingent liabilities and commitments in the MD&A section of their filings with the Commission. The purpose of the proposed amendments is to implement Section 401(a) of the Sarbanes-Oxley Act. Compliance with the revised disclosure requirements would be mandatory.

Why Increase Occurred: The proposed amendments would add disclosure requirements relating to off-balance sheet arrangements, contractual obligations and contingent liabilities and commitments.

Change in Burden: 28,650 hours

Statute Title and PL#: Sarbanes-Oxley Act of 2002, Pub. L. No 107-204

Agency: **Securities and Exchange Commission**

OMB Control No.: 3235-0420

Title: Form 10-KSB

Purpose of Collection: Every small business issuer that is subject to Section 13(a) and 15(d) under the Exchange Act must file periodic and current reports with the Commission containing information about its business condition. In Securities Act Release No.8138, the Commission proposed amendments to implement Sections 404, 406, and 407 of the Sarbanes-Oxley Act of 2002.

Why Increase Occurred: The proposed amendments would add disclosure requirements relating to implementation of Sections 404, 406, and 407 of the Sarbanes-Oxley Act of 2002. The proposed amendments would require a small business issuer to disclose the following on the annual report Form 10-KSB: (1) whether a financial expert serves on a company's audit committee; (2) whether the company has a code of ethics for its specified senior corporate officers, and (3) management's annual report on the effectiveness of a company's internal controls and procedures for financial reporting as of the end of the company's fiscal year and an attestation to, and report on, that internal control report by the company's registered public accounting firm.

Change in Burden: 32,681 hours

Statute Title and PL#: Sarbanes-Oxley Act of 2002, Pub. L. No 107-204

Agency: **Securities and Exchange Commission**

OMB Control No.: 3235-0570

Title: Form N-CSR under the Investment Company Act of 1940 and the Securities Exchange Act of 1934, Certified Shareholder Reports

Purpose of Collection: The Sarbanes-Oxley Act requires the Commission to adopt final rules that require the principal executive officer or officers and the principal financial officer or officers, or persons performing similar functions, of an issuer each to certify the information contained in the issuer's quarterly and annual reports filed or submitted under Section 13(a) or 15(d) of the Securities Exchange Act of 1934 ("Exchange Act"). Investment companies would use proposed Form N-CSR to satisfy their reporting requirements under the Exchange Act. The Commission staff would use the information provided on proposed Form N-CSR to verify that investment companies have provided the certification required by Section 302 of the Sarbanes-Oxley Act that the company's financial statements and other information in the shareholder report fairly present in all material respects the financial condition and results of operations of the investment company and the effectiveness of disclosure controls and procedures.

Why Increase Occurred: Implement new legislation.

Change in Burden: 37,000 hours

Statute Title and PL#: Sarbanes-Oxley Act of 2002, Pub. L. No 107-204

Agency: **Securities and Exchange Commission**

OMB Control No.: 3235-new

Title: Regulation G

Purpose of Collection: In Securities Act Release No. 8145, the Commission proposed to require registrants, when they publicly disclose material information that includes non-GAAP financial measures to provide a reconciliation to comparable GAAP figures. Regulation G is intended to implement the requirements of Section 401(b) Sarbanes-Oxley Act of 2002. Section 401(b) directs the Commission to issue final rules requiring pro forma financial information included in any periodic or other report filed with the Commission pursuant to the securities laws, or in any public disclosure or press or release to be reconciled to GAAP.

Why Increase Occurred: New Regulation G would imposed a minimal burden because much of the information that it requires such as directly comparable GAAP measures already must be provided pursuant to other forms and regulations, such as Form 10-K, Form 10-Q and Regulation S-X.

Change in Burden: 42,000 hours

Statute Title and PL#: Sarbanes-Oxley Act of 2002, Pub. L. No 107-204

Agency: **Social Security Administration**

OMB Control No.: 0960-0623

Title: SSA-827, Authorization to Disclose Information to Social Security Administration (SSA)

Purpose of Collection: Federal and State laws require authorization from disability claimants for their sources of medical and other information, including schools, to release such information to SSA and the State agency that makes disability determinations for SSA.

Why Increase Occurred: Significantly expanded language on the front and back of the form results in increased time to read the form. This increase is necessary because of the additional informed-consent burden due to the Health Insurance Portability and Accountability Act of 1996 legislation and the inclusion of language required by the Department of Education.

Change in Burden: 1,798,409 hours

Statute Title and PL#: The Health Insurance Portability and Accountability Act of 1996, Public Law 104-191; Family Education Rights and Privacy Act, Public Law 93-380; Individuals with Disabilities Education Act, Public Law 105-17

Agency: **Department of Transportation**

OMB Control No.: 2115-new

Title: Security Plans for Ports, Vessels and Facilities

Purpose of Collection: Security plans for ports, vessels and facilities are needed to establish security measures commensurate with the level and degree of risk within the marine transportation system. The rulemakings to implement these requirements will affect all users, workers, and property in and adjacent to U.S. navigable waters and waters subject to the jurisdiction of the United States.

Why Increase Occurred: Implementing new statutory requirements.

Change in Burden: First year burden is estimated at +1,170,000 hours, and the subsequent annual burden is estimated at 362,000 hours.

Statute Title and PL#: Maritime Transportation Security Act of 2002 Public Law 107-295

Agency: **Department of Treasury**

OMB Control No.: 1545-1809

Title: Form 8882, Credit for Employer-Provided Child Care Facilities and Services

Purpose of Collection: Form 8882 is used by child care providers who acquire, construct, rehabilitate or expand property which is to be used as a qualified child care facility. The credit applies to cost incurred as operating expenses.

Why Increase Occurred: Implementing new statutory requirements.
Change in Burden: 9,680,000 hours
Statute Title and PL#: Economic Growth and Tax Relief Reconciliation Act of 2001. P.L. 107-16

Agency: **Department of Treasury**
OMB Control No.: 1545-1008
Title: Form 8582, Passive Activity Loss Limitations
Purpose of Collection: Form 8582 is used by non-corporate taxpayers to figure the amount of any passive activity loss (PAL) for the current tax year and the total losses allowed from passive activities.

Why Increase Occurred: Implementing new statutory requirements.
Change in Burden: 2,100,924 hours
Statute Title and PL#: Community Renewal Tax Relief Act of 2000, P.L. 106-554. Job Creation and Worker Assistance Act of 2002. P.L. 107-147

Agency: **Department of Treasury**
OMB Control No.: 1557-NEW
Title: USA Patriot Act Paperwork Requirements
Purpose of Collection: Records and disclosures are required to implement the various provisions of The Uniting and Strengthening America by Providing Appropriate Tools Required to Intercept and Obstruct Terrorism Act (USA PATRIOT Act).

Why Increase Occurred: Implementing new statutory requirements.
Change in Burden: 50,000 hours
Statute Title and PL#: The Uniting and Strengthening America by Providing Appropriate Tools Required to Intercept and Obstruct Terrorism Act, Pub. L. 107-56 (October 26, 2001).

Agency: **Department of Veteran Affairs**
OMB Control No.: 2900-0554
Title: Homeless Grant and Providers Per Diem Program
Purpose of Collection: Program promotes development and provision of supportive housing and/or services to assist homeless veterans in the transition to independent living.
Why Increase Occurred: Changes in Law provided more benefits.
Change in Burden: 10,803 hours
Statute Title and PL#: PL 107-95 the Homeless Veterans Comprehensive Assistance Act of 2001.

Agency: **Department of Veteran Affairs**
OMB Control No.: 2900-New
Title: Application for Fisher Houses & Other Temporary Lodging
Purpose of Collection: This provides information to determine eligibility of veterans and family support members to VA sponsored temporary housing and for VA to reserve lodging & notify requester.

Why Increase Occurred: New legislation.
Change in Burden: 83,333 hours
Statute Title and PL#: Public Law 106-117, The Veterans' Millennium Health Care and Benefits Act.

Other Increases

Agency: **Department of Agriculture**

OMB Control No.: 0563-NEW
Title: General Administrative Regulations: Subpart V - Submission of Policies, Provisions of Policies, and Rates of Premium
Purpose of Collection: Subpart V establishes guidelines for the submission of policies or other material to the Federal Crop Insurance Board of Directors.
Why Increase Occurred: New requirement.
Change in Burden: 57,000 hours

Agency: **Department of Agriculture**
OMB Control No.: 0584-0026
Title: Free and Reduced Price Eligibility
Purpose of Collection: To provide benefits to eligible children.
Why Increase Occurred: Revise program regulations in implement procedures to improve accuracy of applications for free and reduced price meals.
Change in Burden: 35,669 hours

Agency: **Department of Commerce**
OMB Control No.: 0607-0880
Title: 2002 Economic Census Covering the Wholesale Trade Sector
Purpose of Collection: The economic census is conducted every five years and is the primary source of facts about the structure and functioning of the Nation's economy and features unique industry and geographic detail. Economic census statistics serve as part of the framework for the national accounts and provide essential information for government, business, and the general public. The census will use a mail canvass, supplemented by data from Federal administrative records, to measure the economic activity of more than 480,000 wholesale establishments classified in the North American Industry Classification System (NAICS).
Why Increase Occurred: This periodic collection will be conducted during Fiscal Year 2003.
Change in Burden: 719,999 hours

Agency: **Department of Commerce**
OMB Control No.: 0607-0881
Title: 2002 Economic Census Covering Retail Trade and Accommodation and Food Services Sectors
Purpose of Collection: The economic census is conducted every five years and is the primary source of facts about the structure and functioning of the Nation's economy and features unique industry and geographic detail. Economic census statistics serve as part of the framework for the national accounts and provide essential information for government, business, and the general public. The census will use a mail canvass, supplemented by data from Federal administrative records, to measure the economic activity of more than 1.8 million establishments classified in the North American Industry Classification System (NAICS).
Why Increase Occurred: This periodic collection will be conducted during Fiscal Year 2003.
Change in Burden: 1,282,099 hours

Agency: **Department of Commerce**
OMB Control No.: 0607-0882
Title: 2002 Economic Census Covering Utilities; Transportation and Warehousing; Finance and Insurance; and Real Estate, Rental and Leasing Sectors
Purpose of Collection: The economic census is conducted every five years and is the primary source of facts about the structure and functioning of the Nation's economy and features

unique industry and geographic detail. Economic census statistics serve as part of the framework for the national accounts and provide essential information for government, business, and the general public.

Why Increase Occurred:
Change in Burden:

This periodic collection will be conducted during Fiscal Year 2003.
829,578 hours

Agency:
OMB Control No.:
Title:
Purpose of Collection:

Department of Commerce
0607-0883
2002 Economic Census Classification Report
The Census Bureau implemented the new North American Industry Classification System (NAICS) for the 1997 Economic Census to replace the 1987 Standard Industrial Classification (SIC) system. The NAICS has been revised for the 2002 Economic Census. Many of the revisions significantly impact the Construction Sector. In order to provide detailed construction industry statistics reflecting NAICS revisions for the 2002 Economic Census, the Census Bureau will use the 2002 Economic Census Classification Report to collect additional information from a sample of construction businesses. The information collected will be used to assign the appropriate NAICS codes, update the Business Register (Standard Statistical Establishment List (SSEL)) and mailing list, improve the sampling frame, and ensure that the correct form is delivered during the initial mailing for the census.

Why Increase Occurred:
Change in Burden:

This periodic collection had a lower burden level in FY 2002 than in FY 2003.
32,500 hours

Agency:
OMB Control No.:
Title:
Purpose of Collection:

Department of Commerce
0607-0884
2002 Economic Census General Classification Report
In order to provide detailed industry data for the 2002 Economic Census and the Business Register [Standard Statistical Establishment Listing (SSEL)], businesses without industry classifications assigned by the Social Security Administration must be assigned North American Industry Classification System (NAICS) codes. During the 2002 Economic Census, the 2002 Economic Census General Classification Report will be used to collect information from unclassified single-unit establishments. In 2001, the year prior to the census, this form was used to collect information from: 1) establishments with a significant amount of receipts but no payroll; 2) new businesses with a large amount of payroll, but insufficient industry classification; and 3) establishments that have been previously classified as farms, but report large amounts of non-farm payroll.

Why Increase Occurred:
Change in Burden:

This periodic collection had a lower burden level in FY 2002 than in FY 2003.
28,333 hours

Agency:
OMB Control No.:
Title:
Purpose of Collection:

Department of Commerce
0607-0886
2002 Economic Census Ownership or Control Flier
As single-establishment firms are acquired or begin operating at additional locations, it is necessary to update the Bureau's Business Register (Standard Statistical Establishment Listing (SSEL)). During the 2002 Economic Census, the Ownership or Control fliers will be used to link establishments that are not single-establishment firms to their parent companies or create new multi-establishment firms when they operate at more than one location. In prior censuses these questions were part of the economic census questionnaires and

used to determine if single-establishment firms were either owned or controlled by another company or if they operate at more than one location. For the 2002 Economic Census we have removed these questions from economic census questionnaires and will include them on a separate flier that will only be inserted in economic census questionnaire mail-out packages sent to single-establishment firms.

Why Increase Occurred:
Change in Burden:

This periodic collection will be conducted during Fiscal Year 2003.
48,845 hours

Agency:
OMB Control No.:
Title:

Department of Commerce
0607-0887
2002 Economic Census Covering Information; Professional, Scientific, and Technical Services; Management of Companies and Enterprises; Administrative and Support and Waste Management and Remediation Services; Educational Services; Health Care and Social Assistance; Arts, Entertainment, and Recreation; and Other Services (Except Public Administration) Sectors

Purpose of Collection:

The economic census is conducted every five years and is the primary source of facts about the structure and functioning of the Nation's economy and features unique industry and geographic detail. Economic census statistics serve as part of the framework for the national accounts and provide essential information for government, business, and the general public.

Why Increase Occurred:
Change in Burden:

This periodic collection will be conducted during Fiscal Year 2003.
1,403,060 hours

Agency:
OMB Control No.:
Title:
Purpose of Collection:

Department of Commerce
0607-0892
2002 Vehicle Inventory and Use Survey (VIUS)
The 2002 VIUS (part of the 2002 Economic Census) will collect data to measure the physical and operational characteristics of a sample of trucks selected from more than 76 million private and commercial trucks registered on file with motor vehicle departments in the 50 states and the District of Columbia. The Census Bureau will collect the data for the sampled trucks from a questionnaire mailed to truck owners. Physical and operational vehicular characteristics estimates for each state, the District of Columbia, and the United States will be published. The VIUS is the only comprehensive source of information on the physical and operational characteristics of the Nation's truck population. The VIUS provides unique, essential information for government, business, and academia.

Why Increase Occurred:
Change in Burden:

This periodic collection will be conducted during Fiscal Year 2003.
85,169 hours

Agency:
OMB Control No.:
Title:
Purpose of Collection:

Department of Commerce
0607-0893
2002 Economic Census Covering the Construction Sector
The economic census is conducted every five years and is the primary source of facts about the structure and functioning of the Nation's economy and features unique industry and geographic detail. Economic census statistics serve as part of the framework for the national accounts and provide essential information for government, business, and the general public.

Why Increase Occurred:
Change in Burden:

This periodic collection will be conducted during Fiscal Year 2003.
324,999 hours

Agency: Department of Commerce
OMB Control No.: 0607-0894
Title: 2002 Economic Census of Puerto Rico and Island Areas
Purpose of Collection: The economic census is the primary source of dependable facts about the structure and functioning of the economies of Puerto Rico and each of the Island Areas (Guam, the Commonwealth of the Northern Mariana Islands, the U.S. Virgin Islands, and American Samoa), and features the only recognized source of data at a geographic level equivalent to U.S. counties. Economic census statistics serve as part of the framework for the national accounts of Puerto Rico and the Island Areas and provide essential information for government (Federal and local), business, and the general public. The 2002 Economic Census of Puerto Rico and Island Areas will cover sectors [as defined by the North American Industry Classification System (NAICS)] equivalent to that of the stateside economic census.
Why Increase Occurred: This periodic collection will be conducted during Fiscal Year 2003.
Change in Burden: 55,749 hours

Agency: Department of Commerce
OMB Control No.: 0607-0897
Title: 2002 Economic Census Covering the Mining Sector
Purpose of Collection: The economic census is conducted every five years and is the primary source of facts about the structure and functioning of the Nation's economy and features unique industry and geographic detail. Economic census statistics serve as part of the framework for the national accounts and provide essential information for government, business, and the general public.
Why Increase Occurred: This periodic collection will be conducted during Fiscal Year 2003.
Change in Burden: 55,079 hours

Agency: Department of Commerce
OMB Control No.: 0607-0899
Title: 2002 Economic Census Covering the Manufacturing Sector
Purpose of Collection: The economic census is conducted every five years and is the primary source of facts about the structure and functioning of the Nation's economy and features unique industry and geographic detail. Economic census statistics serve as part of the framework for the national accounts and provide essential information for government, business, and the general public.
Why Increase Occurred: This periodic collection will be conducted during Fiscal Year 2003.
Change in Burden: 940,199 hours

Agency: Department of Commerce
OMB Control No.: 0607-0900
Title: 2003 National Census Test
Purpose of Collection: The U.S. Census Bureau will conduct the two-part 2003 National Census Test as part of planning for the 2010 Decennial Census. The first part, which tests self-response options, is planned to take advantage of evolving technology. The Census Bureau needs to research various self-response options in order to develop a strategy that encourages the public to respond to the census using either paper or electronic means before Non-response Follow-up (NRFU) occurs. This part will examine the impact of offering various options on overall response rates and data quality. These options include mail, Internet, Telephone Interactive Voice Response (IVR), and a combination of Internet and IVR. The

second part of the test will examine revisions to the question on Hispanic origin and race. The goal of this portion of the test is to develop question wording and content that will lead to improved self-reporting of both race and Hispanic origin in the census and surveys.

Why Increase Occurred: The collection was submitted as new during FY 2003.
Change in Burden: 40,000 hours

Agency: Department of Commerce
OMB Control No.: 0607-0901
Title: 2002 Business Expenses Survey
Purpose of Collection: The 2002 Business Expenses Survey will supplement basic economic statistics produced by the 2002 Economic Census of Wholesale Trade, Retail Trade, and Service Industries with estimates of operating expenses. Further, it will provide measures of value produced for wholesale trade and retail trade. Essential measurement of the Nation's economy requires compilation of comprehensive and reliable data on both economic outputs (e.g., sales) and inputs (e.g., utilities and advertising expenses). This survey is the sole source of comprehensive expenses input data for covered industries.

Why Increase Occurred: The collection was submitted as new during FY 2003.
Change in Burden: 158,710 hours

Agency: Department of Commerce
OMB Control No.: 0607-0902
Title: 2002 Survey of Business Owners and Self-Employed Persons (SBO)
Purpose of Collection: The 2002 Survey of Business Owners and Self-Employed Persons (SBO) will provide the only comprehensive, regularly collected source of information on selected economic and demographic characteristics for businesses and business owners by gender, ethnicity, and race. It is conducted as part of the economic census program. These data are needed to evaluate the extent and growth of business ownership by minorities and women in order to provide a framework for assessing and directing Federal, State, and local government programs designed to promote the activities of disadvantaged groups.

Why Increase Occurred: The collection was submitted as new during FY 2003.
Change in Burden: 416,666 hours

Agency: Department of Commerce
OMB Control No.: 0607-NEW
Title: 2004 National Census Test
Purpose of Collection: The 2004 Census Test is a site-specific census test designed to assess methodologies and procedural design elements for data collection, capture, and processing operations, together with their associated support activities. The test will evaluate evolving technologies and updated procedures intended to help us meet our key goals for 2010: reducing operational risk, increasing the coverage, accuracy, and quality of census data, and containing cost.

Why Increase Occurred: The collection was submitted as new during FY 2003.
Change in Burden: 73,104 hours

Agency: Department of Commerce
OMB Control No.: 0607-NEW
Title: Overseas Enumeration Questionnaire

Purpose of Collection: The 2004 Overseas Enumeration Test is part of a research and testing program that will determine the feasibility, data, quality, and cost of enumerating all Americans living overseas during the 2010 census. The results of the 2004 test will provide information and recommendations to inform a test in 2006. If the Census Bureau and Congress decide to include an expanded overseas enumeration in the 2010 census, a "dress rehearsal" will be conducted in 2008. The proposed 2004 test will be conducted in three foreign countries. Americans living in these countries who request a test questionnaire will be mailed a questionnaire. Questionnaires also will be made available at embassies and consulates and through stakeholder organizations. Overseas Americans also can respond via the Internet. The questionnaire will contain the same "short form" (100 percent) questions asked stateside. In addition, respondents will be asked questions specific to this enumeration: citizenship, stateside address, and additional items needed for evaluating the test.

Why Increase Occurred: The collection was submitted as new during FY 2003.
Change in Burden: 12,881 hours

Agency: Department of Commerce
OMB Control No.: 0607-NEW
Title: 2004 Panel of the Survey of Income and Program Participation (SIPP), Core Questionnaire & Wave 1 Topical Modules

Purpose of Collection: The Census Bureau conducts the SIPP which is a household-based survey designed as a continuous series of national panels. New panels are introduced every few years with each panel usually having durations of one to four years. Respondents are interviewed at 4-month intervals or "waves" over the life of the panel. The survey is molded around a central "core" of labor force and income questions that remain fixed throughout the life of the panel. The core is supplemented with questions designed to address specific needs, such as obtaining information about child support agreements, support for non-household members, functional limitations and disabilities (adults/children), adult well-being, and welfare reform. The SIPP represents a source of information for a wide variety of topics and allows information for separate topics to be integrated to form a single, unified database so that the interaction between tax, transfer, and other government and private policies can be examined. Government domestic-policy formulators depend heavily upon the SIPP information concerning the distribution of income received directly as money or indirectly as in-kind benefits and the effect of tax and transfer programs on this distribution. They also need improved and expanded data on the income and general economic and financial situation of the U.S. population.

Why Increase Occurred: The collection was submitted as new during FY 2003.
Change in Burden: 119,378 hours

Agency: Department of Commerce
OMB Control No.: 0607-0444
Title: 2003 Company Organization Survey

Purpose of Collection: The Census Bureau conducts the annual COS in order to update and maintain a central, multipurpose business register (formerly known as the SSEL). In particular, the COS supplies critical information on the composition, organizational structure, and operating characteristics of multi-establishment enterprises.

Why Increase Occurred: The Census Bureau conducted the 2002 COS in conjunction with the 2002 Economic Censuses and coordinated these collections so as to minimize respondent burden. The increase in burden is attributable to the fact that

establishment data—collected for 2002 as part of the 2002 Economic Census—will be collected for 2003 through this collection.
48,745 hours

Change in Burden:

Agency: Department of Commerce
OMB Control No.: 0607-0449
Title: Annual Survey of Manufactures (ASM)
Purpose of Collection: 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 provides data for most of these items for each of the industries as defined in the North American Industry Classification System (NAICS). It also provides geographic data by state at a more aggregated industry level. Industry makes extensive use of the annual figures on product class shipments at the U.S. level in its market analysis, product planning, and investment planning. The ASM data are used to benchmark and reconcile monthly and quarterly data on manufacturing production and inventories.

Why Increase Occurred: ASM was collected as part of the 2002 Economic Censuses, but it will be administered separately in 2003.

Change in Burden: 186,100 hours

Agency: Department of Commerce
OMB Control No.: 0648-NEW
Title: Alaska Seabird Avoidance Program
Purpose of Collection: All vessels in the hook-and-line ground fish fisheries off Alaska and in the Pacific halibut fishery in U.S. convention waters off Alaska will be required to prepare and use a seabird avoidance plan.

Why Increase Occurred: Added requirements are needed to reduce seabird mortality and protect the endangered short-tailed albatross. A biological opinion issued under the Endangered Species Act requires action to protect the species

Change in Burden: 16,000 hours

Agency: Department of Commerce
OMB Control No.: 0651-0032
Title: Initial Patent Applications
Purpose of Collection: This information collection covers the documents and drawings that comprise the different types of patent applications. This collection covers the initial applications that are filed to start the patent proceedings (utility, plant, and design applications) and various applications that continue the prosecution of patent applications that have been abandoned or delayed for some reason (non-continued prosecution applications, continuation/divisional international applications, continued prosecution applications, and continuation-in-part applications). Provisional applications, which are similar to the other initial applications except that they do not require claims or oaths, are also part of this information collection.

Why Increase Occurred: As part of its movement toward electronic filing of all patent applications and related documents, the USPTO is accepting new utility and provisional applications electronically through the Electronic Filing System (EFS). The option to file these applications electronically adds 4,138 responses and 42,131 burden hours to this collection. Additionally, applications larger than 10 megabytes, which cannot be submitted through EFS, can be submitted to the

USPTO on CD-ROM, along with the Application Transmittal Form and a Cover Letter. The USPTO estimates that three of these will be submitted per year, for a total of one hour.

Change in Burden:

42,132 hours

Agency:

Department of Education

OMB Control No.:

1840-0759

Title:

The Evaluation of Exchange, Language, International and Area Studies (EELIAS)

Purpose of Collection:

EELIAS is an electronic performance reporting system for grantees under Fulbright-Hays and Title VI programs. Information collected using EELIAS meets the regulatory reporting requirements for these programs and assists ED staff in meeting GPRA requirements.

Why Increase Occurred:

The remaining seven grants programs will be added to EELIAS during FY 03.

Change in Burden:

12,528 hours

Agency:

Department of Education

OMB Control No.:

1845-NEW

Title:

FSA Students Portal

Purpose of Collection:

Federal Student Aid (FSA) of the U.S. Department of Education seeks to establish a registration system within the 'Students Portal', an Internet Portal Website. The Website will make the college application process more efficient, faster, and accurate by making it an automated, electronic process that targets financial aid and college applications. The Website uses some personal contact information criteria to automatically fill out the forms and surveys initiated by the user. The Website will also provide a database of demographic information that will help FSA target the distribution of financial aid materials to specific groups of students and/or parents.

Why Increase Occurred:

This is a new collection.

Change in Burden:

200,000 hours

Agency:

Department of Energy

OMB Control No.:

1905-0169

Title:

Manufacturing Energy Consumption Survey

Purpose of Collection:

Data obtained from the MECS serve as a major input into the National Energy Modeling System industrial models, which, in turn are used to benchmark other government and non-government modeling systems. In addition, it provides a benchmark whereby progress in controlling external peak electricity demand through the use of energy management programs can be identified, as well as the rate of penetration of energy efficient technologies into the U.S. manufacturing capital equipment base.

Why Increase Occurred:

Information collection is quadrennial, so the approval was allowed to expire in 2002 while EIA developed the new survey to be conducted in 2003.

Change in Burden:

55,291 hours

Agency:

Environmental Protection Agency

OMB Control No.:

2025-NEW

Title:

Electronic Reporting (Final Rule)

Purpose of Collection:

This rule will allow regulated entities to report electronically to EPA by permitting the use of electronic document receiving systems to receive electronic documents in satisfaction of certain document submission

requirements in EPA regulations. The rule would also allow state, tribal, and local environmental programs to seek EPA approval, as provided under 40 CFR §3.1000, to accept electronic documents to satisfy reporting requirements under authorized or delegated environmental programs that they administer. In seeking EPA approval, these state, tribal, and local environmental programs must upgrade their receiving systems as needed in order to satisfy the criteria laid out at 40 CFR 3.2000.

Why Increase Occurred:
Change in Burden:

New regulation.
12,000 hours

Agency:
OMB Control No.:
Title:

Environmental Protection Agency
2040-NEW
Final NPDES and ELG Regulatory Revisions for Concentrated Animal Feeding Operations (Final Rule)

Purpose of Collection:

This final rule expands the scope of the NPDES and ELG regulations for Concentrated Animal Feeding Operations (CAFOs) by regulating land application of manure, litter, and wastewater generated at these facilities. The rule expands the type of facilities covered to include dry chicken manure and immature animal operations. The rule also requires all facilities defined as a CAFO to apply for an NPDES permit.

Why Increase Occurred:
Change in Burden:

New regulation.
1,890,000 hours

Agency:
OMB Control No.:
Title:

Environmental Protection Agency
2060-0088
Final Consolidated Emissions Reporting Rule

Purpose of Collection:

The Consolidated Emissions Reporting Rule revises existing statewide annual point source inventory requirements to minimize the annual reporting burden for a majority of sources. Under the final rule, 55 state and territorial air quality agencies, as well as 49 local agencies, must annually submit emissions data for larger point sources emitting specified levels of criteria pollutants. New requirements associated with the final rule include a provision to report point source emissions of PM-2.5 and its precursors. In addition, every three years, states will be required to submit a statewide stationary area, non-road mobile, on-road mobile, and biogenic source inventory for all criteria pollutants, including PM-2.5 and ammonia.

Why Increase Occurred:
Change in Burden:

New regulation.
72,587 hours

Agency:
OMB Control No.:
Title:

Environmental Protection Agency
2040-0211
Phase II of the NPDES Storm Water Program

Purpose of Collection:

After small municipal separate storm sewer systems and small construction sites obtain permit coverage in March 2003, NPDES permitting authorities, including the Water Permits Division of the EPA Office of Wastewater Management, intend to use the data contained in storm water permit applications, construction waiver certifications, storm water pollution prevention plans (SWPPPs), no exposure certifications, and reports to set appropriate permit conditions, track discharges covered by storm water permits, and assess permit compliance.

Why Increase Occurred:

Phase II regulations, promulgated in December 1999, required small construction activities and certain small municipal separate storm sewer system operators to obtain NPDES permit coverage as of March 2003. Respondents

will then be required to implement storm water programs as part of an NPDES storm water permit and report and maintain information.
3,816,828 hours

Change in Burden:

Agency: Environmental Protection Agency
OMB Control No.: 2040-NEW
Title: Long Term 2 Enhanced Surface Water Treatment Proposed Rule
Purpose of Collection: Monitoring, reporting, and recordkeeping are required at both the system and state levels under the National Primary Drinking Water Regulations (NPDWRs).
Why Increase Occurred: New regulation.
Change in Burden: 145,854 hours

Agency: Environmental Protection Agency
OMB Control No.: 2040-NEW
Title: Stage 2 Disinfectants and Disinfection Byproducts Proposed Rule
Purpose of Collection: Monitoring, reporting, and recordkeeping are required at both the system and state levels under the National Primary Drinking Water Regulations (NPDWRs).
Why Increase Occurred: New regulation
Change in Burden: 248,772 hours

Agency: Environmental Protection Agency
OMB Control No.: 2070-0162
Title: TSCA Inventory Update Rule Amendments
Purpose of Collection: EPA is amending the Inventory Update Rule (IUR) for three principle reasons: (1) to tailor the chemical substance reporting requirements to more closely match the Agency's information needs without unreasonably increasing the reporting burdens on industry; (2) to obtain updated information relating to the potential human and environmental exposures of chemical substances listed on the TSCA Inventory; and (3) to improve the utility of the information reported under the IUR. The amendments are intended to obtain critical information that will enable EPA and other government agencies, industry and the public to better screen and assess chemical exposures and risks. EPA expects to be able to use this information to help set priorities for reviewing chemicals for further evaluation of potential risks.
Why Increase Occurred: New regulation.
Change in Burden: 414,500 hours

Agency: Environmental Protection Agency
OMB Control No.: 2070-NEW
Title: Data Submissions for the Voluntary Children's Chemical Evaluation Program (VCCEP)
Purpose of Collection: EPA is engaged in an effort jointly with stakeholders to design and develop a voluntary program to evaluate commercial chemicals to which children may have a high likelihood of exposure. The purpose of the voluntary program is to obtain toxicity and exposure data needed to assess the risk of childhood exposure to commercial chemicals. EPA launched a pilot of this program on December 26, 2000. Manufacturers of 23 chemicals have been asked voluntarily to sponsor evaluations of their chemicals in the pilot. This collection addresses the reporting activities necessary to implement the pilot program.

Why Increase Occurred: This will be a new information collection activity to obtain voluntary submissions of toxicity and exposure data on chemicals to which children may be especially exposed.

Change in Burden: 152,000 hours

Agency: **Environmental Protection Agency**
OMB Control No.: 2070-NEW
Title: Reporting and Recordkeeping Requirements under EPA's Hospitals for a Healthy Environment (H2E) Program
Purpose of Collection: This information collection supports EPA's Hospitals for a Healthy Environment (H2E) program. H2E is a voluntary partnership program jointly administered by the EPA and the American Hospital Association (AHA) that helps hospitals enhance work place safety, reduce waste and waste disposal costs, and become better environmental stewards and neighbors. The program is based on a 1998 Memorandum of Understanding signed by AHA and EPA to provide health care professionals with the tools and information necessary to reduce mercury waste, reduce the overall volume of waste, and identify pollution prevention opportunities. Participating health care facilities set waste reduction and pollution prevention goals and report progress on meeting their goals to EPA and AHA.

Why Increase Occurred: This will be a new information collection activity to obtain voluntary information on waste reduction and pollution prevention efforts in health care facilities.

Change in Burden: 10,110 hours

Agency: **Federal Communications Commission**
OMB Control No.: 3060-0207
Title: Part 11—Emergency Alert System (EAS)
Purpose of Collection: This collection contains rules and regulations providing for an emergency alert system (EAS). The EAS provides the President of the United States with the capability to provide immediate communications and information to the general public during periods of national emergency. The EAS also provides state and local governments and the National Weather Service with the capability to provide immediate communications and information to the general public concerning emergency situations posing a threat to life and property.

Why Increase Occurred: The Commission adopted a Report and Order (R&O) on February 22, 2002. The Report and Order amended 47 CFR Part 11 rules to revise the technical and operational requirements for the EAS. Many amendments were intended to enhance the capabilities and performance of the EAS during state and local emergencies, which will promote public safety.

Change in Burden: 16,500 hours

Agency: **Federal Communications Commission**
OMB Control No.: 3060-0519
Title: Rules and Regulations Implementing the Telephone Consumer Protection Act (TCPA) of 1991, NPRM, GC Docket No. 02-278 and CC Docket No. 92-90
Purpose of Collection: The Commission implemented rules pursuant to the requirements of the Telephone Consumer Protection Act of 1991 (TCPA), Public Law 102-243, (1991), which added Section 227 to the Communications Act of 1934, as amended, to restrict the use of automatic telephone dialing systems ("autodialers"), artificial or prerecorded messages, facsimile machines, or other devices to send unsolicited advertisements. In the NPRM, the Commission

sought comment on the current recordkeeping requirement on telemarketers to maintain lists of telephone subscribers who do not wish to be contacted by telephone. The Commission sought comment on the effectiveness of such lists in preventing unwanted telephone solicitations and whether the benefits of such lists continue to outweigh the cost to telemarketers.

Why Increase Occurred:

The Commission estimates that the total annual burden hour would increase from 936,000 respondents to 1,653,600 respondents based on more recent public information regarding the number of telemarketing calls made per day in the United States.

Change in Burden:

717,600 hours

Agency:

Federal Communications Commission

OMB Control No.:

3060-1025

Title:

Section 101.1440 MVDDS Protection of Direct Broadcast Satellites

Purpose of Collection:

This rule requires Multichannel Video Distribution and Data Services (MVDDS) licensees are required to conduct a survey to determine the location of all Direct Broadcast Satellite (DBS) customers around its proposed transmitting antenna site that may potentially be affected by the introduction of the MVDDS service. This will ensure that the MVDDS signal will not be in excess of the appropriate Equivalent Power Flux Density (EPFD) limits and cause interference to DBS customers.

Why Increase Occurred:

This rule section is required to keep all MVDDS licensees in compliance with the Commission's Interference Rules.

Change in Burden:

14,160 hours

Agency:

Federal Communications Commission

OMB Control No.:

3060-0855

Title:

Telecommunications Reporting Worksheet, FCC Forms 499, 499-A and 499-Q Pursuant to the Communications Act of 1934, as amended, telecommunications carriers (and certain other providers of telecommunications services) must contribute to the support and cost recovery mechanisms for telecommunications relay services, numbering administration, number portability, and universal service. The Commission modified the existing methodology used to assess contributions that carriers make to the Federal universal service support mechanisms. The adopted modifications will entail altering to the current revenue reporting requirements to which interstate telecommunications carriers are subject under Part 54 of the Commission's rules.

Why Increase Occurred:

The program change increase in burden hours reflects increased average reporting obligations and respondent inquiries to the Administrator under current procedures, as necessary for the Commission to implement the express directives of Congress in the Telecommunications Act of 1996.

Change in Burden:

58,200 hours

Agency:

Federal Energy Regulatory Commission

OMB Control No.:

1902-0096

Title:

Electric Rate Schedule Filings, FERC-516 (RM01-12-000) (Standard Market Rate Design)

Purpose of Collection:

To remedy remaining undue discrimination in the provision of interstate transmission services and in other industry practices, and to ensure just and reasonable rates for sales of electric energy within and among regional power markets. The Commission proposes to modify the Order No. 888 pro forma tariff to reflect nondiscriminatory, standardized transmission service and require

standardized wholesale electric market design. The Commission also proposes to expressly exercise jurisdiction over all transmission in interstate commerce by public utilities.

Why Increase Occurred: The Commission proposes to modify the Order No. 888 pro forma tariff to reflect nondiscriminatory, standardized transmission service and require standardized wholesale electric market design. The Commission also proposes to expressly exercise jurisdiction over all transmission in interstate commerce by public utilities.

Change in Burden: 215,104 hours

Agency: **Federal Energy Regulatory Commission**
OMB Control No.: 1902-0173
Title: Open Access Same-Time Information System and Standards of Conduct, (OASIS)

Purpose of Collection: The information contained in FERC-717 is required by the Commission to ensure that employees of a public utility (or any of its affiliates) engaged in marketing functions do not have preferential access to OASIS-related information or from engaging in unduly discriminatory business practices.

Why Increase Occurred: In the proposed rule, FERC is proposing to apply the standards of conduct to require a separation of the transmission function from all sales functions, including bundled retail sales and a restriction on preferential access to transmission information for the bundled sales function. All merchant function employees would need to be separated from transmission function employees, whether they are engaged in bundled retail sales or wholesale sales. Therefore, the transmission providers' employees engaged in bundled sales functions for retail native load will be treated the same as wholesale merchant function employees. In addition, transmission providers will have to implement measures to restrict native load sales employees' preferential access to transmission information.

Change in Burden: 11,895 hours

Agency: **Federal Trade Commission**
OMB Control No.: 3084-0097
Title: Telemarketing Sales Rule

Purpose of Collection: The Rule requires certain disclosures in telemarketing calls for sales of goods or services or solicitations of charitable contributions by sellers and/or telemarketers. The disclosures provide consumers or prospective donors with information necessary to make informed decisions. Recordkeeping provisions aid in determining compliance.

Why Increase Occurred: As a result of the Commission's review of the Rule, as required by the Telemarketing and Consumer Fraud and Abuse Prevention Act, the Commission has amended the rule to protect consumers further regarding emerging areas of fraud and abuse. Moreover, various provisions throughout the rule were modified to expand their coverage to include charitable solicitations, pursuant to the USA PATRIOT Act.

Change in Burden: 840,264 hours

Agency: **Department of Health and Human Services**
OMB Control No.: 0938-0786
Title: External Quality Review of Medicaid MCOs and Supporting Regulations in 42 CFR 438.352, 438.360, 438.362, and 438.364

Purpose of Collection: The results of Medicare reviews, Medicare accreditation surveys, and Medicaid external quality reviews will be used by States in assessing the quality of care provided to Medicaid beneficiaries provided by managed care organizations and to provide information on the quality of the care provided to the general public upon request.

Why Increase Occurred: The EQR protocols identify and discuss activities to be undertaken by personnel performing reviews of health care quality. The JCAHO developed these protocols with the advice of an expert panel. All activities that provide information for EQR must use protocols that are consistent with (as opposed to identical to) the activities discussed in the protocols. This will ensure that the conduct of the activities enhances the quality of EQR for state agencies and that the conduct of the activities is methodologically sound.

Change in Burden: 503,214 hours

Agency: **Department of Health and Human Services**

OMB Control No.: 0938-NEW

Title: Changes to the Medicare Claims Appeal Procedures--Supporting statement for 4004-P

Purpose of Collection: Proposed §405.940 provides for a redetermination of an initial determination by an FI or carrier. It requires that an individual file a written request for redetermination within 120 days from the date the individual receives the initial determination. The request for redetermination generally must be by a standard CMS form but may otherwise be accepted if the request contains the required elements.

Why Increase Occurred: This is a new collection imposing new requirements.

Change in Burden: 1,715,000 hours

Agency: **Department of Health and Human Services**

OMB Control No.: 0938-0883

Title: Standards for Privacy of Individually Identifiable Health Information and Supporting Regulations contained in 45 CFR Parts 160 and 164

Purpose of Collection: The Privacy Rule implements the privacy requirements of the Administrative Simplification subtitle of the Health Insurance Portability and Accountability Act of 1996. The final regulation would require covered entities (as defined in the regulation) to maintain strong protections for the privacy of individually identifiable health information; to use or disclose this information only as required or permitted by the Rule or with the express written authorization of the individual; to provide a notice of the entity's privacy practices; and to document compliance with the Rule.

Why Increase Occurred: This is a new collection imposing new requirements.

Change in Burden: 2,210,715 hours

Agency: **Department of Health and Human Services**

OMB Control No.: 0910-NEW

Title: Bar Code Label Requirement for Human Drug Products and Blood

Purpose of Collection: To require human drug product and biological product labels to have bar codes. The bar code for such products (other than blood and blood components) would contain the National Drug Code (NDC) number in a linear bar code. The rule would help reduce the number of medication errors in hospitals and other health care settings by allowing healthcare professionals to use bar code scanning equipment to verify that the right drug, in the right dose and the right route of administration, is being given to the right patient at the right time. It would also

require the use of machine-readable information on blood and blood component container labels.

Why Increase Occurred:
Change in Burden:

This is a new collection imposing new requirements.
1,776,590 hours

Agency:
OMB Control No.:
Title:

Department of Health and Human Services
0910-NEW

Purpose of Collection:

Food Labeling: Trans Fatty Acids in Nutrition Labeling; Nutrition Content Claims, and Health Claims
This rule requires food processors to disclose on the label information on the amount of trans fat when the product contains 0.5 g or more of trans fat per serving. This rule also allows manufacturers to make “trans fat free” claims on appropriate products. Such claims would trigger additional required information (i.e., a declaration of “0 g trans fatty acids” in a footnote, the levels of total fat and cholesterol if either or both are present at significant levels. This rule assists the consumer in constructing a diet consistent with dietary guidelines for limiting saturated fat intake.

Why Increase Occurred:

Section 403(q) of the Federal Food, Drug, and Cosmetic Act requires that the label or labeling of food bear nutrition information on the amount of nutrients present in a product.

Change in Burden:

598,000 hours

Agency:
OMB Control No.:
Title:

Department of Health and Human Services
0910-NEW

Purpose of Collection:

Current Good Manufacturing Practice (CGMPs) in Manufacturing, Packing, or Holding Dietary Ingredients and Dietary Supplements
FDA is proposing current good manufacturing practice regulations for dietary ingredients and dietary supplements that would establish the minimum CGMPs necessary to ensure that activities related to manufacturing, packaging, or holding dietary ingredients or dietary supplements. Respondents include those that manufacture, package or hold dietary ingredients or dietary supplements. FDA will use these records to determine whether the methods, facilities, and controls used in manufacturing, packaging, or holding dietary ingredients or dietary supplements conform to CGMP regulations.

Why Increase Occurred:

Section 402(g) of the Federal Food, Drug, and Cosmetic Act and the communicable disease provisions authorize FDA to prescribe good manufacturing practices required of manufacturing, packaging, or holding dietary ingredients or dietary supplements.

Change in Burden:

504,032 hours

Agency:
OMB Control No.:
Title:

Department of Health and Human Services
0990-NEW

Purpose of Collection:

OCR Complaint Forms
To establish a standardized, automated mechanism for filing complaints, the Office for Civil Rights will seek OMB approval of complaint forms.

Why Increase Occurred:

No prior standardized version.

Change in Burden:

17,930 hours

Agency:
OMB Control No.:
Title:

Department of Health and Human Services
0930-0078

Drug Abuse Warning Network (DAWN)

Purpose of Collection: DAWN collects data on drug-related medical emergencies and deaths. Data are reported from approximately 660 hospitals and medical examiners nationwide. Used by Federal, State and local agencies, the ongoing data system supports efforts to identify drug abuse trends, assess health hazards associated with substance abuse, and scheduled substances under the Controlled Substances Act.

Why Increase Occurred: The sample size and design for the emergency department component was completely revised to provide data for an expanded set of metropolitan areas in order to make the data more useful.

Change in Burden: 31,454 hours

Agency: **Department of Health and Human Services**
OMB Control No.: 0930-NEW
Title: The National Historically Black College and University (HBCU) Substance Use Survey

Purpose of Collection: The HBCU Substance Use Survey will assess the prevalence of alcohol, tobacco, and other drug use and identify a variety of risk and/or protective factors that may be associated with the use of these substances among college freshman at participating HBCU institutions.

Why Increase Occurred: Participating schools want to identify the needs and problems on their campuses and to modify their programs for students in response.

Change in Burden: 22,000 hours

Agency: **Department of Health and Human Services**
OMB Control No.: 0930-NEW
Title: National Treatment Outcomes Monitoring System

Purpose of Collection: NTOMS will be a surveillance system that will provide periodic reporting on access to and effectiveness of drug abuse treatment using a nationally representative sample of patients receiving treatment for psychoactive substance dependence in a sample of specialty treatment providers throughout the United States. NTOMS will collect information from and about clients, and limited information about treatment facilities.

Why Increase Occurred: This new data collection activity is being developed and implemented at the request of the Office of National Drug Control Policy to provide important information that is not currently available.

Change in Burden: 35,116 hours

Agency: **Department of Health and Human Services**
OMB Control No.: 0925-0423
Title: A Prospective Study of Diet and Cancer in Members of the American Association of Retired Persons (AARP)

Purpose of Collection: The information is expected to elucidate the relation between diet and several major cancers.

Why Increase Occurred: Planned periodic follow-up of an earlier survey after a three year interval.

Change in Burden: 55,977 hours

Agency: **Department of Health and Human Services**
OMB Control No.: 0920-NEW
Title: Monitoring and Evaluation Systems for Health Departments and Community-based Organizations

Purpose of Collection: The National Center for HIV, STD, and TB Prevention is conducting this survey. Although CDC receives evaluation data from grantees, the data

received to date have been insufficient for evaluation and accountability. Furthermore, there has not been standardization of required evaluation data from both health departments and CBOs. A revision of the Evaluation Guidance and the reporting process has become necessary to ensure CDC receives standardized, accurate, thorough evaluation data from both health department and CBO grantees.

Why Increase Occurred:
Change in Burden:

New submission.
86,250 hours

Agency:
OMB Control No.:
Title:

Department of Housing and Urban Development

2502-0525

Builder's Certification/Guarantee and New Construction Subterranean Termite Soil Treatment Record, and Wood Destroying Insect Infestation Inspection Report

Purpose of Collection:

This information collection is adding a new form, HUD-NPCA-1, to report the condition of the subject property for visible evidence of wood destroying insect infestations. The report will be used on existing structures being insured by HUD. Wood destroying insects include, but are not limited to: termites, carpenter ants, carpenter bees, and infesting wood boring beetles.

Why Increase Occurred:

HUD has adopted a form used by the National Pest Control Association so that there can be a uniform industry form. The increase to this collection is based on the number of existing homes sold each year that will use this report.

Change in Burden:

900,000 hours

Agency:
OMB Control No.:
Title:
Purpose of Collection:

Department of Housing and Urban Development

2577-NEW

Up-Front Income Verification (UIV) Data System Rent Subsidy Program

Public Housing Authorities (PHAs) would use the UIV data system to perform verification of the incomes of existing tenants during interim and annual recertifications, and to report income and rent discrepancies.

Why Increase Occurred:

New collection due to an initiative in the President's Management Agenda.

Change in Burden:

391,667 hours

Agency:
OMB Control No.:
Title:
Purpose of Collection:

Department of the Interior

1010-0152

Notice to Lessees and Operators (NTL)—Damage Caused by Hurricane Lili

The information to be collected is necessary for the MMS to assess the structural integrity of the platforms that may have been damaged by Hurricane Lili to determine if any of them pose a threat to continued safe operations or to the environment. The MMS will use the information collected to determine whether to require corrective action, including repairs and maintenance, on any damaged structures. The offshore oil and gas industry will use the information for financial purposes when dealing with partners, insurance companies, and company personnel.

Why Increase Occurred:

On October 2, 2002, Hurricane Lili hit the Gulf of Mexico as a category III/IV storm. As a result, MMS received numerous reports of severe damage to OCS platforms (both above and below the water line) along the path of the hurricane. The MMS is concerned that other damage that could eventually pose a threat to safety or to the environment remains undetected. The NTL will provide MMS with information needed to identify these situations and determine corrective action.

Change in Burden:

36,960 hours

Agency: Department of the Interior
OMB Control No.: 1018-0119
Title: Policy for Evaluation of Conservation Efforts When Making Listing Decisions
Purpose of Collection: If a State or other entity is taking steps to protect a species that the FWS is considering listing as endangered or threatened, then the FWS may not list that species. To be recognized as taking steps to protect a species, a State or other entity may enter into a voluntary conservation agreement with the FWS. When a State or other entity enters into such an agreement with the FWS, the State or other entity must develop a sound conservation plan and must monitor and report on the progress and results of the implementation of conversation efforts. These requirements ensure that conservation efforts are meeting their intended goal of protecting imperiled wildlife or plants. This information collection should result in a decrease in the number of species of wildlife and plants that the FWS must list as endangered or threatened.
Why Increase Occurred: This is a new program to formally collect written conservation plans, require monitoring of conservation efforts, and provide a progress report.
Change in Burden: 16,600 hours

Agency: Department of the Interior
OMB Control No.: 1029-NEW
Title: Surface Mining Permit Applications—Minimum Requirements for Reclamation and Operation Plans—30 CFR 780
Purpose of Collection: Permit application requirements in sections 507 and 508(g) of P.L. 95-87 require the applicant to submit the operations and reclamation plans for coal mining activities. Information collection is needed to determine whether the mining and reclamation plan will achieve the reclamation and environmental protections pursuant to SMCRA.
Why Increase Occurred: OSM is preparing the Placement of Excess Spoil Rule to address the environmental impacts of mining that involves the creation of excess spoil fills , particularly fills placed in streams. This rulemaking will resolve the controversy surrounding the legitimacy and on-the-ground impacts of mountaintop mining in West Virginia and adjacent states. Specifically, this rulemaking will require surface coal mining permit applicants to provide additional information on 1) fish and wildlife affected, 2) volumetric spoil and post-mining configuration design analysis, and 3) findings regarding the probable hydrological consequences of the proposed mine.
Change in Burden: 18,300 hours

Agency: Department of Justice
OMB Control No.: 1115-0077
Title: Arrival and Departure Record
Purpose of Collection: The data collected on this form provides required data elements; supports timely and accurate capture of nonimmigrant data and matching of arrival and departure records; and supports development of automated solutions to further streamline document handling and information processing. Documentation of aliens' arrival and departure to and from the United States is a part of the manifest requirements of Sections 231 and 235 of the Immigration and Nationality Act and may be evidence of registration when issued as provided by Section 264 of the Immigration and Nationality Act.
Why Increase Occurred: The increase is attributed to regulations at 8 CFR 212.1(a) (INS No. 2202; AG68, Removal of Visa and Passport Waiver for Certain Permanent Residents

of Canada and Bermuda), requiring all residents of Canada and Bermuda who are not citizens of the United States to have a passport and nonimmigrant for visa for entry to the United States.

Change in Burden:

33,000 hours

Agency:

Department of Labor

OMB Control No.:

1205-0417

Title:

FY 2002 Workforce Information Grant Plan and Annual Performance Report

Purpose of Collection:

Requires States to submit additional narrative in the annual grant plan, to assess customer satisfaction with State workforce information and to include a summary of the results of customer satisfaction assessment in an annual performance report, as conditions for receiving Workforce Information Core Products and Services reimbursable grants.

Why Increase Occurred:

The FY 2002 planning guidance requires additional narrative describing the statewide employment statistics system and how the system supports the state's Workforce Investment Act/Wagner-Peyser Five Year Strategic Plan and One-Stop Service Delivery.

Change in Burden:

44,064 hours

Agency:

Department of Labor

OMB Control No.:

1205-0373

Title:

Youth Opportunity Area Demonstration Evaluation

Purpose of Collection:

Provides third and final wave of the survey to be completed and serve as an analysis of the youth employment rate in the subject areas after three years of operation.

Why Increase Occurred:

Allows for follow-up estimates in the last five Kulick sites and the 36 Youth Opportunity areas.

Change in Burden:

17,323 hours

Agency:

Department of Labor

OMB Control No.:

1205-NEW

Title:

Labor Condition for the Permanent Employment of Aliens in the U.S., Implementation of New System

Purpose of Collection:

To process applications for permanent alien Employment Certification. System is expected to yield a large reduction in the average time needed to process labor certification applications and to eliminate the need to periodically institute special, resource intensive efforts to reduce backlogs, which has been a recurring problem.

Why Increase Occurred:

Implementation of Proposed Rule.

Change in Burden:

96,681 hours

Agency:

Department of Labor

OMB Control No.:

1205-NEW

Title:

ETA Data Validation Reporting Project

Purpose of Collection:

To collect data from state workforce agencies and Local workforce investment areas on the data validation efforts such as Validation Report Summaries and Data Element Validation Summaries.

Why Increase Occurred:

New collection to improve data validation efforts.

Change in Burden:

93,650 hours

Agency: Department of Labor
OMB Control No.: 1205-NEW
Title: Required Disclosures for Continuation Coverage under Part 6 of Title I of ERISA ("COBRA Notices")
Purpose of Collection: Continuation of health care coverage provisions of the ERISA generally require group health plans to provide participants and beneficiaries who would lose coverage due to death, divorce, or termination of employment (and other specific circumstances), with notice of the opportunity to elect to continue coverage under the plan at group rates for a limited period of time. This third party notice of the opportunity to continue coverage and related notices constitute the information collection.
Why Increase Occurred: The statutory notice requirements have been in effect since 1986; however, the Department's Pension and Welfare Benefits Administration (PWBA) has not issued regulations with respect to the statutory requirements. Individuals and industry representatives have encouraged PWBA to issue guidance as to the timing and content of the required notices, as well as standards for administering the notice process. PWBA intends to issue such guidance in 2003. The notice provisions affect significant numbers of respondent plans (about 2.6 million), and plan participants and beneficiaries (about 7 million responses) annually.
Change in Burden: 90,000 hours

Agency: Department of Labor
OMB Control No.: 1215-0188
Title: Labor Organization and Auxiliary Reports
Purpose of Collection: The Labor-Management Reporting and Disclosure Act (LMRDA) requires unions to file annual financial reports, initial information 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.
Why Increase Occurred: The increase was a result of the publication of a proposed Regulation revising the LM -2, LM-3, LM-4, and adding a new form, the T-1.
Change in Burden: 223,130 hours

Agency: Department of Labor
OMB Control No.: 1218-0176
Title: Recording and Reporting Occupational Injuries and Illnesses
Purpose of Collection: The Occupational Safety and Health Act requires that the Secretary of Labor develop and maintain an effective program of collection, compilation, and analysis of occupational safety and health statistics. The Department of Labor's Occupational Safety and Health Administration's (OSHA) Recordkeeping Regulations contained in Title 29 Code of Federal Regulations (CFR Part 1904) fulfill this requirement. The use of recordkeeping forms by employers helps to ensure that uniformity of the safety and health data utilized by OSHA and the Bureau of Labor Statistics.
Why Increase Occurred: On July 1, 2002, OSHA published a final rule revising the criteria for recording occupational hearing loss on the OSHA 300 and 301 forms. These revised criteria take affect January 1, 2003.
Change in Burden: 31,663 hours

Agency: National Science Foundation
OMB Control No.: 3145-0141
Title: National Survey of College Graduates

Purpose of Collection: The National Survey of College Graduates (NSCG) has been conducted biennially since 1993. In the 2003 NSCG, persons trained and/or working in science and engineering will be contacted. The purpose of this longitudinal study is to provide national estimates on the science and engineering workforce and changes in employment, education and demographic characteristics. The study is one of three components of the Scientists and Engineers Statistical Data System (SESTAT), which produces national estimates of the size and characteristics of the nation's science and engineering population.

Why Increase Occurred: Administration of the survey.

Change in Burden: 75,000 hours

Agency: **Securities and Exchange Commission**

OMB Control No.: 3235-0025

Title: Rule 30e-1 under the Investment Company Act of 1940, Reports to Stockholders of Management Companies

Purpose of Collection: Shareholder reports are one of the principal means by which funds provide periodic information to their investors.

Why Increase Occurred: The Commission has proposed amendments to rule 30e-1 that would permit a fund to include a summary portfolio schedule in its reports to shareholders and exempt a money market fund from the requirement to include a portfolio schedule of investments in securities of unaffiliated issuers in its reports to shareholders, under certain conditions; require reports to shareholders to include a tabular or graphic presentation of a fund's portfolio holdings by identifiable categories; require open-end management investment companies ("mutual funds") to disclose in reports to shareholders fund expenses borne by shareholders during the reporting period; and require a mutual fund to include Management's Discussion of Fund Performance in its annual report to shareholders.

Change in Burden: 140,000 hours

Agency: **Securities and Exchange Commission**

OMB Control No.: 3235-0025

Title: Rule 30e-1 under the Investment Company Act of 1940, Reports to Stockholders of Management Companies

Purpose of Collection: Rule 30e-1 requires registered management investment companies to send reports to their shareholders. Shareholder reports are one of the principal means by which funds provide periodic information to their investors.

Why Increase Occurred: The Commission has proposed to amend the requirements for the content of shareholder reports to require funds to disclose information about their proxy voting policies and procedures and their actual voting records for votes that were inconsistent with the proxy voting policies and procedures.

Change in Burden: 37,000 hours

Agency: **Securities and Exchange Commission**

OMB Control No.: 3235-0058

Title: Form 12b-25 – Notification of Late Filing

Purpose of Collection: Every issuer that is subject to Section 13(a) or 15(d) under the Exchange Act must file periodic and current reports with the Commission containing information about its business and financial condition. In Securities Act Release No. 8160, we proposed to provide investors with more information about important extraordinary corporate events on a more timely basis so that investors will be able to make investment and voting decisions.

Why Increase Occurred: The proposed amendments require more corporate events to be disclosed on Form 8-K. This disclosure would increase the number of Form 8-K filings. This, in turn, may result in an increase in the number of Form 12b-25 filings because more filers may have to inform the Commission that they are unable to file a report in timely manner.

Change in Burden: 16,750 hours

Agency: **Securities and Exchange Commission**

OMB Control No.: 3235-0063

Title: Form 10-K

Purpose of Collection: Every issuer that is subject to Section 13(a) or 15(d) under the Exchange Act must file periodic and current reports with the Commission containing information about its business and financial condition. In Securities Act Release No. 8160, we proposed to provide investors with faster disclosure of information about extraordinary corporate events so that investors will be able to make investment and voting decisions on a better-informed and more-timely basis. The proposed amendments would require prompt disclosure of this information within two business days on Form 8-K. In addition, Exchange Act Release No. 46079, the Commission proposed to require a registrant's principal executive officer and principal financial officer to certify that the information in the registrant's quarterly and annual reports is true in all important respects and that the reports contain all information about the registrant of which they are aware and believe is important to a reasonable investor.

Why Increase Occurred: The proposed amendments described in Securities Act Release No. 8106 would decrease the burden hours associated with Form 10-K by moving several required disclosures to Form 8-K. The Exchange Act Release No. 46079, proposals would increase the number of burden hours associated with the preparation and filing of an annual report on Form 10-K by requiring the new certifications.

Change in Burden: 28,152 hours

Agency: **Securities and Exchange Commission**

OMB Control No.: 3235-0278

Title: Rule 204-2 Under the Investment Advisers Act of 1940

Purpose of Collection: Rule 204-2 under the Investment Advisers Act of 1940 sets forth the requirements for maintaining and preserving specified books and records of investment advisers.

Why Increase Occurred: Proposed amendments to rule 204-2 would require registered investment advisers that vote client proxies to maintain specified records with respect to those clients. These advisers would be required to maintain copies of their policies and procedures about voting client proxies, as well as copies of records of each proxy statement received with respect to the securities of clients for whom the adviser exercises voting authority.

Change in Burden: 124,060 hours

Agency: **Securities and Exchange Commission**

OMB Control No.: 3235-0307

Title: Form N-1A under the Investment Company Act of 1940 and the Securities Act of 1933, Registration Statement of Open-End Management Investment Companies

Purpose of Collection: Open-end investment companies register offerings of securities under the Securities Act of 1933 [15 U.S.C. 77a et seq.] ("Securities Act") and register as

Why Increase Occurred:

investment companies under the Investment Company Act of 1940 [15 U.S.C. 80a-1 et seq.] (“Investment Company Act”). Form N-1A provides a means for open-end companies to register offerings of securities under the Securities Act and register as investment companies under the Investment Company Act on a single form. The purpose of Form N-1A is to provide a means of meeting the filing and disclosure requirements of the Securities Act and the Investment Company Act and to enable open-end companies to provide investors with information necessary to evaluate an investment in the securities they issue. The Commission proposed amendments to Form N-1A to require the disclosure of certain information about the policies and procedures the open-end investment company uses to determine how to vote proxies relating to portfolio securities. The proposed amendments would also require a fund to disclose in its registration statement the methods by which shareholders may obtain information about proxy voting.

Change in Burden:

16,594 hours

Agency:

Securities and Exchange Commission

OMB Control No.:

3235-0570

Title:

Form N-CSR under the Investment Company Act of 1940 and the Securities Exchange Act of 1934, Certified Shareholder Reports

Purpose of Collection:

The Sarbanes-Oxley Act requires the Commission to adopt final rules that require the principal executive officer or officers and the principal financial officer or officers, or persons performing similar functions, of an issuer each to certify the information contained in the issuer’s quarterly and annual reports filed or submitted under Section 13(a) or 15(d) of the Securities Exchange Act of 1934 (“Exchange Act”). Investment companies would use proposed Form N-CSR to satisfy their reporting requirements under the Exchange Act. The Commission staff would use the information provided on proposed Form N-CSR to verify that investment companies have provided the certification required by Section 302 of the Sarbanes-Oxley Act that the company’s financial statements and other information in the shareholder report fairly present in all material respects the financial condition and results of operations of the investment company and the effectiveness of disclosure controls and procedures. Proposed amendments to proposed Form N-CSR would enhance the ability of fund shareholders to monitor whether the fund uses its assets in the best interests of its shareholders.

Why Increase Occurred:

The Commission proposed amendments to proposed Form N-CSR to require the disclosure of certain information about issuers of portfolio securities with respect to which the fund was entitled to vote proxies, including identification of the issuers, the matters voted on, whether and how the fund voted its proxies, whether the matter voted on was proposed by management, and whether the fund voted for or against management.

Change in Burden:

74,000 hours

Agency:

Securities and Exchange Commission

OMB Control No.:

3235-0570

Title:

Form N-CSR under the Investment Company Act of 1940 and the Securities Exchange Act of 1934, Certified Shareholder Reports

Purpose of Collection:

The Sarbanes-Oxley Act requires the Commission to adopt final rules that require the principal executive officer or officers and the principal financial officer or officers, or persons performing similar functions, of an issuer each to certify the information contained in the issuer’s quarterly and annual reports filed or submitted under Section 13(a) or 15(d) of the Securities Exchange Act

Why Increase Occurred:

of 1934 (“Exchange Act”). Investment companies would use proposed Form N-CSR to satisfy their reporting requirements under the Exchange Act. The Commission staff would use the information provided on proposed Form N-CSR to verify that investment companies have provided the certification required by Section 302 of the Sarbanes-Oxley Act that the company’s financial statements and other information in the shareholder report fairly present in all material respects the financial condition and results of operations of the investment company and the effectiveness of disclosure controls and procedures. The Commission has proposed an amendment to proposed Form N-CSR that would require a fund that has used a summary portfolio schedule in its reports to shareholders in lieu of including a complete schedule of investments in securities of unaffiliated issuers, or a money market fund that has omitted its schedule of investments in securities of unaffiliated issuers from its reports to shareholders, to file its complete schedule of investments in securities of unaffiliated issuers pursuant to a new item of Form N-CSR.

Change in Burden:

71,950 hours

Agency:

Securities and Exchange Commission

OMB Control No.:

3235-0571

Title:

Rule 206(4)-6 Under the Investment Advisers Act of 1940

Purpose of Collection:

The Securities and Exchange Commission has proposed to adopt a new rule that would address an investment adviser’s fiduciary obligation to clients who have given the adviser authority to vote their proxies.

Why Increase Occurred:

Proposed Rule 206(4)-6 under the Investment Advisers Act of 1940 would require an investment adviser that votes client proxies to adopt written policies and procedures reasonably designed to ensure the adviser votes proxies in the best interest of the client, including procedures to address any material conflict that may arise between the interest of the adviser and the client. The proposed rule would also require the adviser to disclose to clients information about those procedures and policies and how clients may obtain information on how the adviser has voted their proxies.

Change in Burden:

103,590 hours

Agency:

Securities and Exchange Commission

OMB Control No.:

3235-NEW

Title:

Rule 206(4)-7 under the Investment Advisers Act of 1940, Compliance procedures and practices

Purpose of Collection:

The collection of information under rule 206(4)-7 is necessary to assure that investment advisers maintain comprehensive internal programs that promote the advisers’ compliance with the Advisers Act. The Commission staff conducting the Commission’s examination and oversight program would use the information collected to assess investment advisers’ compliance programs.

Why Increase Occurred:

The Division of Investment Management will recommend that the Commission propose rule 206(4)-7 to require all registered investment advisers to adopt and implement policies and procedures designed to prevent violations of the securities laws, review these policies and procedures at least annually for their adequacy and the effectiveness of their implementation, and designate a chief compliance officer responsible for administering the policies and procedures.

Change in Burden:

623,200 hours

Agency:

Securities and Exchange Commission

OMB Control No.:

3235-NEW

Title: Rule 38a-1 under the Investment Company Act of 1940, Compliance procedures and practices of registered investment companies

Purpose of Collection: The collection of information under rule 38a-1 is necessary to assure that investment companies maintain comprehensive internal programs that promote the companies' compliance with Federal securities laws. The Commission staff conducting the Commission's examination and oversight program would use the information collected to assess investment companies' compliance programs.

Why Increase Occurred: The Division of Investment Management will recommend that the Commission propose rule 38a-1 to require all registered investment companies and business development companies to adopt and implement policies and procedures designed to prevent violations of the securities laws, review these policies and procedures at least annually for their adequacy and the effectiveness of their implementation, and designate a chief compliance officer responsible for administering the policies and procedures.

Change in Burden: 326,950 hours

Agency: **Securities and Exchange Commission**

OMB Control No.: 3235-NEW

Title: Form N-Q under the Investment Company Act of 1940 and the Securities Act of 1933, Quarterly Schedule of Portfolio Holdings of Registered Management Investment Companies

Purpose of Collection: The information in proposed Form N-Q would be required to keep reasonably current the information in the filer's registration statement and to monitor the operations of registered investment companies so that the Commission can use inspection and document review resources effectively

Why Increase Occurred: The Commission has proposed new Form N-Q that is intended to improve the periodic disclosure provided by registered management investment companies ("funds") to their investors about fund investments. A fund would file its complete portfolio schedule as of the end of its first and third fiscal quarters with the Commission on the new proposed Form.

Change in Burden: 197,000 hours

Agency: **Social Security Administration**

OMB Control No.: 0960-0443

Title: SSA-832-U3, Cessation or Continuance of Disability or Blindness Determination and Transmittal

Purpose of Collection: Form SSA-832-C3-U3 is used by the DDS's to document and transmit determinations as to whether an individual's Title XVI disability benefits should be terminated or continued.

Why Increase Occurred: As SSA became current with the Title II CDR backlog (OMB No. 0960-0422, the focus was shifted to Title XVI CDRs. Many more Title XVI CDRs are being processed necessitating more SSA-832s. The increase in burden hours is in accordance with the Agency's 7-Year Continuing Disability Review Budget Plan. Congress authorized special funding and mandated that periodic continuing disability reviews take place but did not mandate the number of reviews that take place each year.

Change in Burden: 67,442 hours

Agency: **Social Security Administration**

OMB Control No.: 0960-0145

Title: Statement for Determining Continuing Eligibility Supplemental Security Income Payment / SSA-8202-F6 & SSA-8202-OCR SM

Purpose of Collection: The information collected on form SSA-8202 is used in middle-error-probability (MEP) and low-error-probability (LEP) redetermination cases to determine whether SSI recipients have met and continue to meet all statutory and regulatory requirements for SSI eligibility and whether they have been and are still receiving the correct payment amount. Form SSA-8202-OCR-SM collects information similar to that collected on Form SSA-8202-F6. It is used exclusively in LEP RZ cases, is mailed on a 6-year cycle to recipients who complete it without personal contact interviews and has been found to be very cost-effective. Periodic collection of this information is the only way SSA can make these determinations.

Why Increase Occurred: SSA revised and added several new questions to the SSA-8202 as a result of Manchaca Court Case Settlement, (Civil Action No. 9:90cv81; U.S. District Court for the Eastern District of Texas, Lufkin Division). Based on the court case settlement, SSA revised and expanded questions relating to food stamps and revised the burden estimate to reflect time required to answer the expanded questions.

Change in Burden: 15,333 hours

Agency: **Social Security Administration**
OMB Control No.: 0960-0416
Title: Statement For Determining Continuing Eligibility For Supplemental Security Income Payments / SSA-8203

Purpose of Collection: The information collected on form SSA-8203 is used in high-error probability (HEP) redetermination cases to determine whether SSI recipients have met and continue to meet all statutory and regulatory requirements for SSI eligibility and whether they have been and are still receiving the correct payment amount. Periodic collection of this information is the only way SSA can make these determinations.

Why Increase Occurred: SSA revised and added several new questions to the SSA-8203 as a result of Manchaca Court Case Settlement, (Civil Action No. 9:90cv81; U.S. District Court for the Eastern District of Texas, Lufkin Division). Based on the court case settlement, SSA revised and expanded questions relating to food stamps and revised the burden estimate to reflect time required to answer the expanded questions.

Change in Burden: 15,333 hours

Agency: **Social Security Administration**
OMB Control No.: 0960-0072
Title: SSA-i454, Report of Continuing Disability Interview

Purpose of Collection: The i454 is used to collect information from individuals receiving disability benefits or their representatives. The information is evaluated by SSA to determine whether the individuals remain eligible for benefit payments because they continue to be unable to engage in substantial gainful activity by reason of their impairments.

Why Increase Occurred: The planned i454 is designed as a self-help Internet application. The Internet application takes longer to complete because it includes a number of explanations, examples and self-help screens to be read while completing the questions. However, this time is offset by added public convenience and SSA processing efficiencies as follows: 1) The i454 allows the public flexibility to complete the application at the time and place of their choice, eliminating both travel and scheduling conflicts. 2) The application permits information to be entered over multiple sessions so users can stop and return later if they need to for any reason. 3) Dynamic pathing embedded within the application tailors

i454 to meet individual claimant needs, so the claimant is directed only to information necessary. These features in conjunction with the agency's initiative to create a fully electronic process for taking disability claims will further enhance SSA's ability to deliver fast and accurate claims service. This will further benefit the public by eliminating delays in claim adjudication due to lost documentation or claims folders as well as improving efficiency to SSA's field offices and the Disability Determination Services.

Change in Burden:

127,800 hours

Agency:

Social Security Administration

OMB Control No.:

0960-0577

Title:

⁶i3820 Internet Social Security Disability Report—Child and SSA-3820, Disability Report—Child

Purpose of Collection:

The information is collected by the State Disability Determination Services to develop medical evidence and to assess the alleged disability. This information forms the evidentiary basis upon which the initial disability evaluation is founded.

Why Increase Occurred:

The planned i3820 is designed as a self-help Internet application. The Internet application takes longer to complete because it includes a number of explanations, examples and self-help screens to be read while completing the questions. However, this time is offset by added public convenience and SSA processing efficiencies as follows; 1)The i3820 allows the public flexibility to complete the application at the time and place of their choice, eliminating both travel and scheduling conflicts. 2) The application permits information to be entered over multiple sessions so users can stop and return later if they need to for any reason. 3) Dynamic pathing embedded within the application tailors i3820 to meet individual claimant needs, so the claimant is directed only to information necessary. These features in conjunction with the agency's initiative to create a fully electronic process for taking disability claims will further enhance SSA's ability to deliver fast and accurate claims service. This will further benefit the public by eliminating delays in claim adjudication due to lost documentation or claims folders as well as improving efficiency to SSA's field offices and the Disability Determination Services.

Change in Burden:

52,300 hours

Agency:

Social Security Administration

OMB Control No.:

0960-0632

Title:

Request for Internet Services – Password Authentication

Purpose of Collection:

This electronic information collection allows members of the public to establish or re-establish their identity with SSA, to create a password and access or change their own personal information maintained by SSA.

Why Increase Occurred:

A pilot on SSI wage reporting will be conducted which will require expanding the universe of password users to include Supplemental Security Income recipients.

Change in Burden:

23,544 hours

Agency:

Social Security Administration

OMB Control No.:

0960-0643

⁶ Thei3820 is part of the AeDib application that when fully operational will encompass a suite of self-directed disability information collections which will seamlessly collect medical, vocational and educational information necessary to develop disability claims for adjudication

Title: Statement for Determining Continuing Eligibility for Supplemental Security Income (SSI) Payments-Adults; Statement for Determining Continuing Eligibility for SSI payments - Child

Purpose of Collection: SSA is conducting a test using forms SSA-3988-TEST and SSA-3989-TEST to determine the feasibility of using new mail-in redetermination forms for SSI recipients to complete and return without direct involvement of an SSA representative.

Why Increase Occurred: For phase 2, SSA expanded the initial test from 20,000 low error profile (LEP) and middle error profile (LEP) cases to 55,000 cases. Phase 2 includes high error profile cases in the sample, in addition to LEPs and MEPS.

Change in Burden: 11,666 hours

Agency: **Social Security Administration**

OMB Control No.: 0960-0662

Title: HA-1151, Medical Source Statement of Ability To Do Work-related Activities (Physical) & HA-1152, Medical Source Statement of Ability To Do Work-related Activities (Mental)

Purpose of Collection: These medical source statement forms are used to collect data and information that Administrative Law Judges and the Appeals Council require to effectively carry-out their responsibility to determine the residual functional capacity (RFC) of individuals who are appealing denied claims for benefits based on disability. RFC must be determined to decide cases that cannot be decided based on current work activity or on medical facts alone. The forms will be completed by medical sources that provide medical reports based either on existing medical evidence or on consultative examinations conducted for the purpose of submitting a medical report.

Why Increase Occurred: The Office of Hearing and Appeals has been using the HA-1151& HA-1152 to collect information without OMB approval. The increase represents the initial clearance of these forms.

Change in Burden: 50,000 hours

Agency: **Department of State**

OMB Control No.: 1405-NEW

Title: Internet Based Registration Service (Form DS-4024)

Purpose of Collection: To allow travelers to foreign countries the opportunity to register their intended locations online.

Why Increase Occurred: New program.

Change in Burden: 800,000 hours

Agency: **Department of Transportation**

OMB Control No.: 2120-NEW

Title: Final Rule Certification of Repair Stations, 14 CFR part 145

Purpose of Collection: Information is collected from applicants who wish to obtain repair station certification. Applicants must submit FAA form 8310-3 to the appropriate FAA flight standards district office for review. If the application is satisfactory, an onsite inspection is conducted. When all the requirements have been met, an air agency certificate and repair station operations specifications with appropriate ratings and limitations are issued.

Why Increase Occurred: This is a revision of 14 CFR Part 145, Certification of Repair Stations.

Change in Burden: 270,239 hours

Agency: Department of Transportation
OMB Control No.: 2120-NEW
Title: Fractional Aircraft Ownership Programs
Purpose of Collection: Fractional ownership is a new program that offers increased flexibility in aircraft ownership. Owners purchase shares of an aircraft and agree to share their aircraft with others having an ownership share in that same aircraft.
Why Increase Occurred: This new rule defines fractional ownership programs and their various participants, more clearly allocates responsibility and authority for safety of flight operations for purposes of compliance with the regulations, and ensures that fractional ownership program aircraft operations maintain a high level of safety.
Change in Burden: 38,128 hours

Agency: Department of Transportation
OMB Control No.: 2120-NEW
Title: Certification of Aircraft and Airmen for the Operation of Light-Sport Aircraft
Purpose of Collection: This rule would establish requirements for the certification, operation, and maintenance of light-sport aircraft. For the operation of light-sport aircraft, the rule would establish a sport pilot certificate and a flight instructor certificate with a sport pilot rating. The rule would also establish requirements for student and private pilots to operate these aircraft, and to revise the recreational pilot certificate to align it with privileges proposed for the new sport pilot certificate.
Why Increase Occurred: This is a new rule.
Change in Burden: 10,437 hours

Agency: Department of Transportation
OMB Control No.: 2126-0001
Title: Driver's Record of Duty Status
Purpose of Collection: Driver's Record of Duty Status are the primary tools used by motor carriers and commercial motor vehicle drivers to determine compliance with the maximum driving and duty time limitation prescribed by the Federal Motor Carrier Safety Administration's hours of service rules.
Why Increase Occurred: This increase is due to a final rule, titled "Safety Requirements for Operators of Small Passenger-Carrying Commercial Motor Vehicles Used in Interstate Commerce," which will result in an estimated 22,000 drivers who are subject to the driver's record of duty status requirements covered by this information collection.
Change in Burden: 836,000 hours

Agency: Department of Transportation
OMB Control No.: 2126-0003
Title: Inspection, Repair, and Maintenance
Purpose of Collection: This information collection ensures that motor carriers have adequate records to document the inspection, repair, and maintenance of their commercial motor vehicles, and to ensure adequate measures are taken to keep their commercial motor vehicles in safe and proper operating condition at all times.
Why Increase Occurred: This increase is due to a final rule, titled "Safety Requirements for Operators of Small Passenger-Carrying Commercial Motor Vehicles Used in Interstate Commerce," which will result in an estimated 18,430 vehicles who are subject to the inspection, repair, and maintenance requirements covered by this information collection.
Change in Burden: 238,976 hours

Agency: Department of Transportation
OMB Control No.: 2137-NEW
Title: Hazardous Materials Security Plans
Purpose of Collection: Security plans will enable shippers and carriers to reduce the possibility that a hazardous materials shipment will be used as a weapon of opportunity by terrorists.
Why Increase Occurred: Docket HM-232, NPRM, "Security Requirements for Offerors and Transporters of Hazardous Materials" was published on May 2, 2002, proposing to require shippers and carriers of certain highly hazardous materials to develop and implement security plans.
Change in Burden: This rulemaking resulted in an increase in burden of 1,207,500 hours for developing and implementing these security plans for the first year. This burden estimate is being revised for adoption into the final rule to be published in FY 2003. After the first year, the burden hours will be 247,250.

Agency: Department of Transportation
OMB Control No.: 2137-0034
Title: Hazardous Materials Shipping Papers & Emergency Response Information
Purpose of Collection: Shipping papers and emergency response information identifies the presence of hazardous materials to assist carrier personnel and emergency responders in the proper safety procedures and incident mitigation.
Why Increase Occurred: Docket HM-232, NPRM, "Security Requirements for Offerors and Transporters of Hazardous Materials" was published on May 2, 2002, proposing to require the name and address of the consignor and consignee and the shippers DOT Hazmat registration number, if applicable, in order to enhance the security of hazardous materials shipments.
Change in Burden: 361,111 hours

Agency: Department of Treasury
OMB Control No.: 1545-0074
Title: 2002 Form 1040A and Schedules, U.S. Individual Income Tax Return
Purpose of Collection: This form is used by individual taxpayers to report their taxable income and calculate their correct liability.
Why Increase Occurred: Two Code reference were added, the checkboxes on line 6 of the newly added 2001 Capital Gain Tax Worksheet, Schedule J have been deleted to prevent taxpayer confusion with the other two worksheets in these instructions.
Change in Burden: 8,269,155 hours

Agency: Department of Treasury
OMB Control No.: 1545-0085
Title: 2002 Form 1040A and Schedules, U.S. Individual Income Tax Return
Purpose of Collection: This form is used by individual taxpayers to report their taxable income and calculate their correct liability.
Why Increase Occurred: Editorial changes were made throughout the instructions. Two Code sections were added. Two checkboxes on the Social Security Benefits Worksheet for clarification purposes were removed to reduce burden, and provide consistency with various products.
Change in Burden: 3,226,439 hours

Agency: Department of Treasury
OMB Control No.: 1545-0130
Title: Form 1120S and Schedules, U.S. Income Tax Return for an S Corporation
Purpose of Collection: Form 1120S and its schedules are used by S corporations to figure their tax liability and report their income and other tax-related information. IRS uses the information to determine the correct tax for S corporations and their shareholders.
Why Increase Occurred: **Statutory Increases** - Changes were made by adding 5 Code references and 1 form attachment, and deleting 1 Code reference to Form 1120S instructions, and adding 1 Code reference and deleting 4 Code references to Form 1120S (Schedule D). This will result in a program change increase of 5,035,690 hours. **Other Reductions** - The changes were requested by IRS. Part III -Capital Gains Tax (Schedule D) is deleted because it is no longer relevant. One line is added to Form 1120S (Schedule B). This will result in a program change decrease of 585,430 hours. All of the above changes resulted in a program change increase of 4, 450,260 hours.
Change in Burden: 4,450,260 hours
Statute Title and PL#: 2000 Community Renewal Act. P.L. 106-554

Agency: Department of Treasury
OMB Control No.: 1545-0099
Title: Form 1065, Schedules, and Instructions, U.S. Return of Partnership Income
Purpose of Collection: Form 1065 is used by IRS to verify correct reporting of partnership items and for general statistics. The information is used by partners to determine the income, loss, credits, etc., to report on their tax returns.
Why Increase Occurred: **Statutory Increases** - Changes occurred for 2002 throughout the form, schedules, and instructions by adding 2 lines, 7 Code references, and 1 form attachment, and the deletion of 3 Code references. This will result in a program change increase of 9,136,615 hours. **Other Increases** – on Schedule M-2, the line ACapital Contributed@ is now split into ACash@ and AProperty@. This will result in a program change increase of 666,824 hours.
Change in Burden: 9,803,439 hours
Statute Title and PL#: 2000 Community Renewal Act. P.L. 106-554

Agency: Department of Treasury
OMB Control No.: 1557-0224
Title: Debt Cancellation Contracts and Debt Suspension Agreements—12 CFR 37
Purpose of Collection: 12 CFR 37 requires banks to make certain disclosures to customers prior to the purchase of debt cancellation contracts and debt suspension agreements (DCCs and DSAs). The disclosures are intended to establish standards to promote the protection of customers who buy DCCs and DSAs.
Why Increase Occurred: OCC issued Part 37 to ensure that national banks providing DCCs and DSAs do so on a safe and sound basis and to promote the protection of customers who purchase DCCs and DSAs.
Change in Burden: 29,800 hours

Agency: Department of Veteran Affairs
OMB Control No.: 2900-0227
Title: Nation-wide Customer Satisfaction Surveys
Purpose of Collection: Executive Order 12862 calls for the establishment and implementation of customer service standards, and for agencies to “survey customers to determine the kind and quality of services they want and their level of satisfaction with

**Why Increase Occurred:
Change in Burden:**

current services". To gain operational efficiency and to reduce potential respondent burden, the historically separate satisfaction questionnaire has been combined with the functional status and healthy behaviors questionnaire. Frequency of use has been increased as well as the combination with 2900-0609. 147,512 hours

Appendix C. Violations

OMB asked each agency to document its compliance with the information collection provisions of the PRA. Agencies were asked to report (1) the title of the information collection, (2) the nature of the violation, and (3) how the violation was discovered and remedied. The violations reported are described in three lists.

The first list, “FY 2002 Lapses in OMB Approval, Resolved as of April 1, 2003,” identifies by agency (and agency division) those ongoing collections of information for which OMB approval had expired but has subsequently been resolved. For each of these collections, the date of resolution (reinstatement or discontinuation) is noted.

The second list, “FY 2002 Lapses in OMB Approval, Unresolved as of April 1, 2003,” identifies ongoing agency use of an expired information collection.

The third list, “FY 2001 Violations: Collections without OMB approval or modified without OMB approval,” identifies agency uses of an information collection (or substantive or material modification thereof)¹ without having first obtained OMB approval under the PRA.

¹ “An agency may not make a substantive or material modification” of an already approved collection of information without obtaining OMB approval for that modification. 44 U.S.C. 3507(h)(3), 5 CFR 1320.5(g).

Table C.1: FY 2002 Lapses in OMB Approval
Resolved as of 4/1/03

OMB Control Number	Collection Title	Date of Expiration	Date of Reinstatement	Date Discontinued
<i>Department of Agriculture</i>				
Agricultural Research Service				
0518-0024	Use of Facilities for the Performance of Photography/Cinematography at the U.S. National Arboretum	10/31/2000		11/6/2001
Animal and Plant Health Inspection Service				
0579-0013	Virus Serum Toxin Act & Related Regulations	9/30/2001	3/12/2002	
0579-0015	Prohibited and Restricted Importation of Meats, Animal Byproducts, Poultry, Organisms, and Vectors into the	7/31/2001	3/12/2002	
0579-0047	Brucellosis Program Cooperative Agreements	9/30/2001	7/19/2002	
0579-0048	Certificate for Poultry and Hatching Eggs for Export	9/30/2001	2/13/2002	
0579-0049	Foreign Quarantine Notices	9/30/2001	2/11/2003	
0579-0052	Phytosanitary Export Certification	8/31/2001	6/18/2002	
0579-0071	Field Epidemiology Data System	9/30/2001	3/12/2002	
0579-0072	Exotic Bee Diseases and Parasites	9/30/2001	2/10/2003	
0579-0076	Endangered Species Regulations and Forfeiture	3/31/2002	8/20/2002	
0579-0088	Domestic Quarantines	11/30/2000	7/6/2002	
0579-0094	User Fee Regulations	3/31/2002	10/18/2002	
0579-0102	Imported Fire Ant	8/31/2001	9/30/2002	
0579-0115	Animal Welfare, 9 CFR, Part 3, Marine Mammals	2/28/2002	9/6/2002	
0579-0116	Exotic Newcastle Disease in Birds and Poultry Chlamydiosis in Poultry	8/31/2001	1/8/2002	
0579-0119	Foreign Quarantine Notices, Logs, and Lumber	9/30/2001		1/10/2003
0579-0121	Karnal Bunt	7/31/2000		1/17/2002
0579-0122	Asian Long-Horned Beetle	1/31/2001	2/13/2002	
0579-0126	Compensation for Wheat Seed and Straw in the 1995-1996 Crop Season	7/31/2000		1/31/2002
0579-0127	Communicable Diseases in Horses	1/31/2001	10/11/2001	
0579-0128	Importation of Fruits and Vegetables	1/31/2001	11/21/2001	
0579-0129	Importation of Fresh Hass Avocado Fruit	1/31/2001	1/8/2002	
0579-0130	Export Certification, Accreditation of Non-Government Facilities	4/30/2001	3/12/2002	
0579-0131	Importation of Tomatoes from France, Morocco and Western Sahara, Chile and Spain	4/30/2001	2/6/2002	
0579-0132	Mexicali Valley, Karnal Bunt	7/31/2001	11/16/2001	
0579-0144	Importation of Poultry Meat and Other Poultry Products from Sinaloa and Sonora Mexico	7/31/2002	10/18/2002	

OMB Control Number	Collection Title	Date of Expiration	Date of Reinstatement	Date Discontinued
0579-0194	Importation of Poultry Meat and Other Poultry Products from Sinaloa and Sonora, Mexico	7/31/2002	10/18/2002	
Cooperative State Research, Education, and Extension Service				
0524-0034	Application for Authorization to Use the 4-H Name and/or Emblem	7/31/2002	3/26/2003	
Economic Research Service				
0536-0043	Food Security Supplement to the Current Population	4/30/2002	9/19/2002	
Farm Service Agency				
0560-0014	General Regulations Governing the Peanut Warehouse Storage Loan and Handler Operations	2/28/2002		9/30/2002
0560-0074	Regulations Governing CCC Nonrecourse Cotton Loan Programs for 1996 and Subsequent Crops	6/30/2001	1/31/2002	
0560-0082	Conservation and Environmental Programs	3/31/2002	10/18/2002	
0560-0087	General Regulations Governing Commodity Loans for 1996 and Subsequent Crops-- 7 CFR part 1421	3/31/2000	3/29/2002	
0560-0093	General Regulations Governing Sugar Loans for 1996 and Subsequent Crops	3/31/2002		9/26/2002
0560-0116	Indemnity Payment Program- Dairy Indemnity Payment Program	9/30/2002	6/3/2002	
0560-0136	Upland Cotton Domestic User/Exporter Agreement and Payment Program	2/28/2002		9/30/2002
0560-0138	Sugar Program	11/30/2000	10/11/2001	
0560-0146	Debt Settlement Policies and Procedures	3/31/2002	3/3/2003	
0560-0158	Servicing of Real Estate Security for Farmer Program Loans and Certain Note-Only Cases	2/28/2002	7/6/2002	
0560-0163	Small Farmer Outreach, Training, and Technical Assistance	9/30/2002		11/25/2002
0560-0166	Verification of Debts and Assets	2/28/2002	6/17/2002	
0560-0171	Agreement for the Use of Proceeds/Release of Chattel Security	9/30/2001	3/29/2002	
0560-0177	Offer Forms and Shipment Information Log	1/31/2001	9/30/2002	
0560-0215	Representations for CCC and FSA Loans and Authorization to File a Financing Statement	3/31/2002	9/2/2002	
0560-0216	Storage of Honey Forfeited to CCC by Honey Producers	3/31/2002	9/3/2002	
0560-0220	Request for Electronic Loan Deficiency Payment Services	9/30/2002		12/16/2002
Food and Nutrition Service				
0584-0336	Disaster Food Stamp Program	1/31/2000	3/7/2003	
0584-0479	Waivers Under Section 6(0) of the Food Stamp Act	2/28/2002	8/22/2002	
Food Safety and Inspection Service				
0583-0103	Pathogen Reduction, Hazard Analysis and Critical Control Point (HACCP) Systems	2/28/1999	2/11/2003	
Forest Service				
0596-0022	36 CFR Part 228, Subpart A-- Locatable Minerals	3/31/2002	7/18/2002	
0596-0078	National Woodland Owner Survey	10/31/1997	12/27/2001	

OMB Control Number	Collection Title	Date of Expiration	Date of Reinstatement	Date Discontinued
0596-0097	Interpretive Association Annual Report	8/3/2002		12/4/2002
0596-0120	Stewardship Incentive Program	7/31/2002		12/4/2002
0596-0141	Small Business Timber Sale Set-Aside Program: Appeal Procedures on Recomputation of Shares	8/31/2000	5/24/2002	
0596-0146	How Are We Doing? Customer Service Comment Card	4/30/2002	9/30/2002	
0596-0165	Secure Rural Schools and Community Self Determination Act of 2000	3/31/2002		12/4/2002
National Agricultural Statistical Service				
0535-0226	2002 Census of Agriculture	6/30/1999	10/18/2001	
National Resources Conservation Service				
0578-0024	Volunteer Program- Earth Team	12/31/1998	3/27/2003	
Office of the Chief Financial Officer				
0505-0009	USDA Applicant Supplemental Sheet	10/31/2000	12/9/2002	
Risk Management Agency				
0563-0055	General Administration Regulations; Interpretations of Statutory and Regulatory Provisions	8/31/2002	3/3/2003	
Rural Business-Cooperative Service				
0570-0040	Agricultural Product Market Development Grant Program (Resource Center)	8/31/2001	6/17/2002	
Rural Housing Service				
0575-0119	Offset of Federal Payments to USDA Borrowers	2/28/2001	10/10/2001	
0575-0158	Supervised Bank Account	10/31/2000	1/11/2002	
Rural Utilities Service				
0572-0015	Advance of Loan Funds and Budgetary Control and Other Related Burdens	9/30/2002	3/3/2003	
0572-0118	Electric Engineering, Architectural Services and Design Policies	9/30/2002	3/3/2003	
0572-0125	Local Dial-Up Internet Grant Program	2/28/2002	6/17/2002	
Department of Commerce				
International Trade Administration				
0625-0130	Trade Fair Certification Program	2/28/2002	5/29/2002	
National Oceanic and Atmospheric Administration				
0648-0009	Billfish Tagging Report	8/31/2001	3/11/2002	
0648-0020	Pacific Billfish Angler Survey	8/31/2001	5/29/2002	
0648-0078	Certificate of Exemption Renewal	8/31/2001		12/31/2001
0648-0079	Subsequent Purchaser Reports	8/31/2001		12/31/2001
0648-0119	Coastal Zone Management Program Administration	8/31/2001	11/28/2001	
0648-0175	Marine Fisheries Initiative (MARFIN)	9/30/2001	3/11/2002	
0648-0179	Applications and Reports for Registration as a Tanner or Agent	9/30/2001	12/2/2002	

OMB Control Number	Collection Title	Date of Expiration	Date of Reinstatement	Date Discontinued
0648-0223	Pacific Albacore Logbook	8/31/2001	3/11/2002	
0648-0228	U.S. Fishermen Fishing in Russian Waters	8/31/2001	9/27/2002	
0648-0235	Northeast Region Survey of Intent and Capacity to Process Fish and Shellfish	2/28/2002	10/22/2002	
0648-0238	Surf Clam/Ocean Quahog Transfer Log	10/31/2001	9/27/2002	
0648-0240	Application to Shuck Surf Clams.Ocean Quahogs at Sea	10/31/2001	9/27/2002	
0648-0266	Seafood Inspection and Certification Requirements	2/28/2002	6/17/2002	
0648-0309	Scientific Research, Exempted Fishing, and Exempted Agency Submissions	3/31/2002	8/30/2002	
0648-0316	Prohibited Species Donation Program	5/31/2001	3/11/2002	
0648-0345	Southeast Region Bycatch Reduction Device Certification Family of Forms	8/31/2001	3/11/2002	
0648-0346	List of Gear by Fisheries and Fishery Management	8/31/2001	9/27/2002	
0648-0348	High Seas Fishing Vessel Identification Requirements	9/30/2001	3/11/2002	
0648-0349	High Seas Fishing Vessel Reporting Requirements	9/30/2001	3/11/2002	
0648-0364	Gear-Marking Requirements for Atlantic Large Whale Take Reduction Plan	2/28/2002	9/27/2002	
0648-0365	Documentation of Fish Harvest	2/28/2002	12/2/2002	
0648-0368	Vessel-Marking in Antarctic Waters	2/28/2002	9/27/2002	
0648-0371	Highly Migratory Species Vessel Logbooks and Gear Marking	3/31/2002	6/17/2002	
0648-0373	Atlantic Highly Migratory Species Vessel and Gear Marking	3/31/2002	6/17/2002	
0648-0374	Atlantic Highly Migratory Species Observer Notification Requirement	3/31/2002	6/17/2002	
0648-0376	Fishing Capacity Reduction Program Buyback Requests	5/31/2002	7/30/2002	
0648-0387	International Dolphin Conservation Program	8/31/2002	2/6/2003	
0648-0402	Application and Reports for Scientific Research and Enhancement Permits under the Endangered Species Act	6/30/2002	11/12/2002	

Department of Defense

Defense Finance and Accounting Service

0730-0001	Child Annuitant's School Certification	3/31/2002	9/27/2002	
0730-0008	Application for Former Spouse Payments from Retired Pay	9/30/2001	11/28/2001	
0730-0009	Waiver/Remission of Indebtedness Application	3/31/2002	9/27/2002	

Department of the Air Force

0701-0096	Application for Appointment as Reserves of the Air Force or USAF Without Component	9/30/2001	11/28/2001	
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Department of the Army

0702-0018	Uniform Tender Rates and/or Charges for Transportation	2/28/2002	7/8/2002	
0702-0022	Tender of Service and Letter of Intent	2/28/2002	7/8/2002	

OMB Control Number	Collection Title	Date of Expiration	Date of Reinstatement	Date Discontinued
0702-0027	Signature and Tally Record	2/28/2002	1/21/2003	
0702-0060	Pre-Candidate Procedures	6/30/2002	2/10/2003	
0702-0061	Candidate Procedures	8/31/2002	2/11/2003	
0702-0062	Offered Candidate Procedures	6/30/2002	2/10/2003	
Department of the Navy				
0703-0010	Custodianship Certificate to Support Claim on Behalf of Minor Children	5/31/2002	9/27/2002	
0703-0020	Enlistee Financial Statement	8/31/2000	9/11/2002	
0703-0028	NROTC Applicant Questionnaire	9/30/2001	9/10/2002	
Departmental and Others				
0704-0261	DoD Standard Tender of Freight Services	7/31/2001	8/2/2002	
0704-0320	Procurement Technical Assistance Cooperative Agreement Performance Report	4/30/2002	7/8/2002	
0704-0370	DoD Dependents Schools Overseas Employment Opportunities for Educators	6/30/2001	3/27/2002	
0704-0384	DoD Request for Personnel Security Investigation	8/31/2002	3/26/2003	
0704-0404	Technology Reinvestment Project (TRP) Review Project	9/30/2001		2/28/2002
Office of the Assistant Secretary for Health Affairs				
0720-0006	CHAMPUS Claim Form-- Patient's Request for Medical Payment	9/30/2002	3/12/2003	
0720-0013	Health Insurance Claim Form HCFA-1450	6/30/2000	3/26/2002	
U.S. Army Corps of Engineers				
0710-0003	Application of a Department of the Army Permit	6/30/2000	12/12/2001	
0710-0007	Terminal and Transfer Facilities Survey	2/28/2002	8/20/2002	
0710-0008	Lock Performance Monitoring System (PMS) Waterway Traffic Report	2/28/2002	8/19/2002	
0710-0012	Customer Service Survey, Regulatory Program U.S. Army Corps of Engineers	9/30/2001	8/19/2002	
<i>Department of Education</i>				
Office of Federal Student Aid				
1845-0011	William D. Ford Federal Direct Loan Deferment Request Form	2/28/2002	6/28/2002	
1845-0048	Federal Perkins/NSLDS Loan Assignment Form	8/31/2001	3/27/2002	
Office of Postsecondary Education				
1840-0113	Application for the Strengthening of Historically Black Colleges and Universities and Historically Black Graduate Institution Programs	2/28/2001	6/30/2002	
1840-0130	Teacher Cancellation Low Income Directory	3/31/2000	2/21/2003	
Office of the Under Secretary				
1875-0106	Application for Federal Education Assistance	9/30/2001	11/9/2001	
<i>Department of Health and Human Services</i>				

OMB Control Number	Collection Title	Date of Expiration	Date of Reinstatement	Date Discontinued
Administration for Children and Families				
0970-0145	Temporary Assistance to Needy Families (TANF) State	3/31/1997	7/26/2002	
0970-0155	Community-Based Family Resource and Support Program	5/31/2001	4/2/2002	
0970-0159	Statewide Automated Child Welfare Information System- Assessment Review Guide (SACWIS)	2/28/2001	5/8/2002	
0970-0174	NEW Program Plan Guidance and Report Requirements	3/31/2002	3/28/2003	
Center for Medicare and Medicaid Services				
0938-0469	Health Maintenance Organizations and Competitive Medical Plans and Supporting Regulations	8/31/2001	12/10/2001	
0938-0564	Information Collection Requirements in BPD 302-F, Medicare Secondary Payer	3/31/1996	3/28/2003	
0938-0679	Durable Medicare Equipment Regional Carrier, Certificates of Medical Necessity	10/31/2001	9/13/2002	
0938-0685	Medicare Federal Health Care Provider/Supplier Enrollment Application	2/28/2002	5/31/2002	
0938-0701	HEDIS 3/0 and Supporting Regulations	12/31/2000	3/29/2002	
0938-0817	Survey of Medicare Beneficiaries Who Involuntarily Disenroll from their Health Plan	6/30/2001	11/30/2001	
Food and Drug Administration				
0910-0396	Financial Disclosure by Clinical Investigators	6/30/2002	2/7/2003	
Indian Health Service				
0917-0002	HIS Contract Health Service Report	4/30/2001	1/28/2002	
0917-0006	HIS Scholarship Application	7/31/2001	12/5/2001	
Office of Human Development Services				
0980-0017	Head Start Program	5/31/2001	11/14/2001	
0980-0160	Developmental Disability Protection and Advocacy Program Performance Report	2/28/2002	8/12/2002	
0980-0172	State Council on Developmental Disabilities Program Performance Report	2/28/2002	9/10/2002	
0980-0212	Financial Status Reporting Form with Supplemental Form for Program of State Council on Developmental Disabilities	3/31/1993	9/10/2002	
0980-0243	Head Start Grants Administration	8/31/2002	1/27/2003	
0980-0270	Developmental Disability Protection and Advocacy Statement of Goals and Priorities	2/28/2002	9/12/2002	
Office of the Assistant Secretary for Health				
0937-0166	Sterilization Consent	8/31/2002	11/19/2002	
<i>Department of Housing and Urban Development</i>				
Government National Mortgage Association				
2503-0026	Quarterly Loan Level Reporting	3/31/2002	7/5/2002	
Office of Community Planning and Development				
2506-0016	Application for Relocation/Displacement Assistance	11/30/1995	4/30/2002	

OMB Control Number	Collection Title	Date of Expiration	Date of Reinstatement	Date Discontinued
2506-0020	HUD-Administered Small Cities Program Application for CDBG Funds & Performance Assessment Report	1/31/2000	5/21/2002	
2506-0085	State CDBG Program	11/30/2000	10/31/2001	
2506-0087	Environmental Review Procedures for Entities Assuming HUD Environmental Responsibilities	9/30/2001	11/26/2001	
2506-0121	Relocation and Real Property Acquisition Recordkeeping	8/31/1997	4/30/2002	
2506-0160	Consolidated Plan Community Revitalization Strategies, State CDBG Program-- FR-4081	12/31/1999		10/1/2001
2506-0173	Designation of Round III Empowerment Zones and Renewal Communities	7/31/2001	12/18/2001	
Office of Housing				
2502-0010	HUD Survey Instructions and Report for Insured Multifamily Projects	3/31/2001	6/10/2002	
2502-0028	Contractor's Requisition Project Mortgages	12/31/2000	12/10/2002	
2502-0036	Request for Credit Approval of Substitute Mortgage	7/31/1999	10/31/2002	
2502-0047	Construction Complaint (HUD-92556), Request for Financial Assistance	9/30/1999	10/31/2002	
2502-0057	SF Delinquent Loan Reporting	8/31/2000	10/29/2002	
2502-0060	Monthly Delinquent Loan Report	8/31/2000	3/28/2003	
2502-0081	Mortgagee's Cert./Application/Monthly Summary of Assistance Payments Due	10/31/1997	3/28/2003	
2502-0094	Assistance Payment Contract- Notice of (1) Termination, (2) Suspension, or (3) Reinstatement	9/30/1998	2/6/2003	
2502-0112	Mortgagor's Certificate of Actual Cost	1/31/2001	3/8/2002	
2502-0141	Application for Mortgage Insurance	10/31/2000	9/27/2002	
2502-0178	Management Reviews of Multifamily Projects	1/31/2000	4/25/2002	
2502-0187	Requisition for Disbursement of Section 202/811 Loan Funds	6/30/2002	12/31/2002	
2502-0189	Compliance Inspection Report, Mortgagee's Assurance Completion	7/31/1998	10/17/2001	
2502-0204	Owner/Tenant Certification for Multifamily Housing Programs	7/31/2001	10/5/2001	
2502-0265	Good Faith Estimate and Special Information Booklet	10/31/2001	7/24/2002	
2502-0301	Deed-in-Lieu of Foreclosure	4/30/1998	3/28/2003	
2502-0302	Local Appeals to Single-family Mortgage Limits	2/29/2000	11/27/2002	
2502-0314	Loan Servicing of All Three Coinsurance Programs: Section 223(f), Section 221(d), and Section 232	9/30/1998	11/12/2002	
2502-0340	Section 248 Single-Family Mortgage Insurance on Indian Reservations & Other Restricted Lands	3/31/2001	9/27/2002	
2502-0355	Contract and Subcontract Activity Reporting for Housing's Multifamily Programs-- MBE	8/31/1996	10/5/2001	
2502-0358	Single Family Mortgage Insurance on Hawaiian Homelands	11/30/1993	9/27/2002	
2502-0395	Flexible Subsidy, Capital Improvement Loan Program	1/31/2001	12/19/2002	

OMB Control Number	Collection Title	Date of Expiration	Date of Reinstatement	Date Discontinued
2502-0424	Pre-authorization Debit	4/30/1996	12/28/2001	
2502-0436	Mortgagee Request for Extension of Time Requirements	1/31/1996	1/8/2003	
2502-0446	Procedures for Appealing Section 8 Rent Adjustments	6/30/2000	11/27/2002	
2502-0456	Mortgagee Letter: "Revision to the Sec. 235(r) Refinancing Procedures"	3/31/2001		11/2/2002
2502-0458	Disclosure of Probable Transfer of Loan Servicing	11/30/1997		8/5/2002
2502-0460	Reporting Requirements for the Auction of Section 221(g)(4) Multifamily Mortgages	9/30/1998	1/11/2002	
2502-0462	Capital Advance Program for Sec. 811 Application for Supportive Housing for Persons with Disabilities	6/30/2002	1/2/2003	
2502-0470	Application Submissions Requirements, Conditional Commitment Through Final Closing, Section 202 Housing for the Elderly, Section 811 Housing for Persons with Disabilities	12/31/1996	1/8/2003	
2502-0485	Congregate Housing Services	10/31/200	11/26/2001	
2502-0492	Flexible Subsidy Program	10/31/1999		12/1/2001
2502-0493	Master Appraisal Report (MAR) for Proposed	2/28/1996	1/8/2003	
2502-0501	Initial Escrow Account Statement, Annual Escrow Account Statement	6/30/2000		10/1/2002
2502-0507	AAF Rent Increase Requirement Pursuant to the Housing	7/31/2001	3/26/2002	
2502-0518	Sec. 242 Hospital/Application for Project Mortgage Insurance	12/31/2000	10/5/2001	
2502-0520	Safe Neighborhood Grants (SNG)	11/30/2000		10/1/2002
2502-0523	Loss Mitigation Evaluation- FR-4032	12/31/2000	9/27/2002	
2502-0534	Home Equity Conversion Mortgages (HECM)	5/31/2002	8/2/2002	
2502-0545	Review of Health Care Facility Portfolios	7/31/2001	10/5/2001	
Office of Public and Indian Housing				
2577-0006	Lease Requirements - 24 CFR Part 966.4	9/30/2001	3/5/2003	
2577-0015	Contract for Development of A/E Services	6/30/2002	9/5/2002	
2577-0046	Procedure for Obtaining Certificates of Insurance for Capital Program Projects	8/31/2001	10/31/2001	
2577-0067	Insurance Information	7/31/2000	10/17/2001	
2577-0078	Pet Ownership in Public Housing for the Elderly or Handicapped: Notification to Applicants	6/30/2001	10/5/2001	
2577-0200	Loan Guarantees for Indian Housing	3/31/2002	6/4/2002	
2577-0201	Section 5(h) Homeownership Program: Resident Application	9/30/2001	1/7/2002	
2577-0208	Hope VI Application Requirements	5/31/2000	12/18/2001	
2577-0220	Admission To and Continued Occupancy of Public Housing, Policies on Applicant Admission, Verification, Communication, Screening, Waiting Lists	6/30/2000	11/26/2001	
2577-0226	Public Housing Authority (PHA) Plan	6/30/2002	2/6/2003	

OMB Control Number	Collection Title	Date of Expiration	Date of Reinstatement	Date Discontinued
Office of the General Counsel				
2510-0008	Information Request to Owners of Multifamily Housing in Boston	9/30/1999	11/26/2001	
Office of the Secretary				
2501-0009	Record of Employee Interview	1/31/2000	4/25/2002	
Policy Development and Research				
2528-0142	Section 8 Random Digit Dial Fair Market Rent Survey	8/31/2002	10/23/2002	
2528-0175	Community Development Work Study Program	3/31/2002	10/1/2002	
<i>Department of Interior</i>				
Bureau of Indian Affairs				
1076-0094	Law and Order on Indian Reservations	3/31/1995	11/6/2001	
1076-0101	Higher Education Grant Program Application	5/31/1998	10/26/2001	
1076-0106	Higher Education Annual Report -- 25 CFR 40, Subchapter E	1/31/2000	10/26/2001	
1076-0108	Indian School Equalization Program Student Membership Form	7/31/1993		12/21/2001
1076-0114	Application for Admission to two Indian colleges, Forms BIA-6222 and BIA-6223	1/31/1994	11/30/2001	
1076-0122	Student Enrollment Application, Form VIA-6248	12/31/1993	12/21/2001	
National Park Service				
1024-0018	National Register of Historic Places Registration Form	5/31/1999	1/16/2002	
1024-0029	Concessioner Annual Financial Report	12/1/1995	3/31/2003	
<i>Department of Justice</i>				
Civil Rights Division				
1190-0001	Procedures for the Administration of Section 5+ of the Voting Rights Act of 1965	2/28/2002	11/12/2002	
Executive Office for Immigration Review				
1125-0009	Application for Suspension of Deportation	8/31/2001	3/28/2003	
Federal Bureau of Investigation				
1110-0011	VICAP Crime Analysis Report	3/31/1997	12/19/2001	
General Administration				
1103-0027	Universal Hiring Grant Program Application	5/31/2001	1/3/2002	
1103-0027	Universal Hiring Grant Program Application	8/31/2002	3/19/2003	
1103-0037	COPS MORE (Making Officer Redeployment Effective) '98 Progress Report	3/31/2000	12/7/2001	
1103-0043	Regional Community Policing Institute Quarterly Projection Report	3/31/2001	10/23/2002	
Immigration and Naturalization Service				
1115-0053	Application to Register Permanent Residence or Adjust Status, and Supplementa A to Form I-485	6/30/2001	10/3/2001	
1115-0168	Petition for non Immigrant Worker	8/31/2001	10/4/2001	

OMB Control Number	Collection Title	Date of Expiration	Date of Reinstatement	Date Discontinued
1115-0180	Request for Hearing on a Decision in Naturalization Processing under Sec. 336	4/30/2002	7/16/2002	
1115-0190	Petition by Entrepreneur to Remove Conditions	9/30/2002	12/6/2002	
Legal Activities				
1105-0052	Claims Under the Radiation Exposure Compensation Act	2/28/2002	7/11/2002	
Office of Justice Programs				
1121-0094	Annual Survey of Jails	9/30/2001	5/30/2002	
1121-0115	Victims of Crime Act, Crime Victim Assistance Grant Program, Performance Report	7/31/2002		7/31/2002
1121-0170	Crime Victim Compensation State Certification Form	3/31/2002	12/17/2002	
1121-0224	National Youth Gang Survey	1/31/2001	4/22/2002	
Department of State				
1400-0009	Affidavit Regarding Change of Name	4/30/2001	11/19/2001	
1400-0010	Birth Affidavit	4/30/2001	11/19/2001	
1405-0002	Statement of Registration	2/28/2002	7/18/2002	
1405-0003	Application/License for Permanent Export of Unclassified Defense Article and Related Unclassified Technical Data	2/28/2002	7/18/2002	
1405-0013	Application/License for Temporary Import of Unclassified Defense Articles	2/28/2002	7/18/2002	
1405-0020	Application for Passport by Mail	4/30/2001	3/12/2002	
1405-0021	Non-Transfer and Use Certificate	2/28/2002	7/19/2002	
1405-0022	Application/License for Permanent/Temporary Export or Temporary Import of Classified Defense Articles and Classified Technical Data	2/28/2001	7/18/2002	
1405-0023	Application/License for Temporary Import of Unclassified Defense Articles	2/28/2001	7/18/2002	
1405-0025	Statement of Political Contributions, Fees, or Commissions in Connection with the Sale of Defense	2/28/2001	7/19/2002	
1405-0031	Approval of Funding to Support Educational Projects	3/31/2001	9/27/2002	
1405-0036	Grant Request Automated Submissions Program (GRASP) (Formerly Overseas Schools Questionnaire)	2/28/2002	7/29/2002	
1405-0051	Authority to Export Defense Articles and Services Sold Under the Foreign Military Sales (FMS) Program	2/28/2001	7/19/2002	
1405-0072	Department of State Diplomatic Motor Vehicles Applications	2/28/2002	5/30/2002	
1405-0092	Application for Amendment to License for Export or Import of Classified or Unclassified Defense Articles and Related Technical Data	2/28/2002	7/18/2002	
1405-0093	Request for Approval of Manufacturing License Agreements, Technical Assistance Agreements, and Other Agreements	2/28/2002	7/19/2002	
1405-0104	Request for Customs Clearance of Merchandise	6/30/2001	2/14/2002	

OMB Control Number	Collection Title	Date of Expiration	Date of Reinstatement	Date Discontinued
1405-0111	"Maintenance of Records by Registrants" Section 122.5 of the International Traffic in Arms Regulations (ITAR)	2/28/2001	7/19/2002	
1405-0117	Camp Counselor Exchanges-- Rulemaking No. 102	7/31/2000		1/31/2003
1405-0118	Evaluation of DOS-sponsored Educational and Cultural Exchange Program	8/31/2001	2/15/2002	
1405-0131	Medical Clearance Update	2/28/2002	5/30/2002	
1405-0139	Department of State Application for Federal Employment	2/28/2002	5/30/2002	
1405-0146	Statement of Non-Receipt of Passport	9/1/1978	12/2/2002	
<i>Department of the Interior</i>				
Bureau of Reclamation				
1006-0003	Procedure to Process and Recover Value of Rights-of-Use and Administrative Costs	7/31/1994	6/10/2002	
1006-0003	Right of Use Application	7/31/1994	6/10/2002	
<i>Department of the Treasury</i>				
1505-0181	Community Adjustment and Investment Program Grant Program Application	7/31/2001	12/18/2001	
Community Development Financial Institutions				
1559-0005	Bank Enterprise Award Program Application, Final Reporting Form	4/30/2001	11/16/2001	
1559-0006	Community Development Financial Institutions (CFDI Program)	3/31/2002	6/25/2002	
1559-0007	Presidential Awards for Excellence in Microenterprise Development Program	4/30/2001	11/26/2001	
1559-0008	Bank Enterprise Award (BEA) Program Survey	2/28/2001	11/16/2001	
1559-0014	New Markets Tax Credit Program-- Community Development Entity (CDE) Certification Application	5/31/2002	10/3/2002	
Financial Management Service				
1510-0029	Depositor's Application for Payment	7/31/2001	10/3/2001	
U.S. Customs Service				
1515-0218	Automated Clearinghouse Credit	3/31/2001	2/7/2002	
<i>Department of Transportation</i>				
Federal Motor Carrier Safety Administration				
2126-0001	Hours of Service of Drivers Regulations	9/30/2001	3/4/2002	
National Highway Traffic Safety Administration				
2127-0008	Consumer Complaint/Recall Audit Information	9/30/2001	2/20/2002	
2127-0043	Manufacturers' Identification -- 49 CFR Part 566	9/30/2001	2/7/2002	
2127-0044	Names and Addresses of First Purchasers of Motor Vehicles	9/30/2001	2/7/2002	
2127-0045	Petitions for Inconsequentiality-- 49 CFR 556	9/30/2001	2/7/2002	
2127-0052	Brake Hose Manufacturers Identification	9/30/2001	1/22/2002	
2127-0576	Voluntary Child Safety Seat Registration Form	9/30/2001	1/22/2002	

OMB Control Number	Collection Title	Date of Expiration	Date of Reinstatement	Date Discontinued
<i>Department of Veterans Affairs</i>				
2900-0029	Offer to Purchase and Contract of Sale, VA Form 26-6705; Credit Statement of Prospective Purchaser, VA Form 26-6705b; Addendum to Officer to Purchase and Contract of Sale, VA Form 26-6705-c; and Virginia Addendum, VA Form 26-6705d	6/30/2002	7/5/2002	
2900-0059	Statement of Person Claiming to Have Stood in Relation of Parent, VA Form 21-524	9/30/1998	3/1/2002	
2900-0060	Claim for Life Insurance Proceeds (NSLI & USGLI)	6/30/2002	8/23/2002	
2900-0080	Funeral Arrangements, VA Form 10-2065	10/23/1998	10/4/2001	
2900-0094	Supplement to VA Forms 21-526, 21-534, and 21-535 (For Phillippine Claims), VA Form 21-4169	2/28/2002	6/30/2002	
2900-0166	Application for Ordinary Life Insurance and Information about Modified Life, VA Form 29-8485, 29-9495A, 29-8700A-E, 29-8701A-E	5/31/2001	5/1/2002	
2900-0261	Application for Refund of Educational Contribution	11/30/1993	3/15/2002	
2900-0393	VA Acquisition Regulations, (VAAR), 48 CFR Chapter 8, Parts 813, A, B, C, 814, and 815	11/30/1996	3/12/2002	
2900-0418	Department of Veterans Affairs Acquisition Regulations, Sections 809.106-1, 809-504(d) and Clause 852.209-70	9/30/1996	3/15/2002	
2900-0422	Department of Veterans Affairs Acquisition Regulations	9/30/1996	3/15/2002	
2900-0442	Request for Armed Forces Separation Records, VA Form Letter 21-80e	8/31/1997	10/16/2001	
2900-0474	Loan Guaranty Funding Fee Transmittal, VA Forms 26-8986 and 26-8986-1	11/30/2000	12/5/2001	
2900-0495	Marital Status Questionnaire, VA Form 21-0537	3/31/2001	10/2/2001	
2900-0521	Credit Underwriting Standards and Procedures for Processing VA Guaranteed Loans (38 CFR 36.4337), VA Forms 26-8497, 26-8497a, 26-1820	12/31/1997	10/2/2001	
2900-0568	Submission of School Catalog to the State Approving Agency	4/30/2000	8/13/2002	
2900-0568	Submission for School Catalog to the State Approving Agency	4/30/2000	8/13/2002	
2900-0573	Application for Extension of Eligibility Period under Survivors' and Dependents' Educational Assistance (Title 38 CFR 21.3047)	7/31/2000		10/23/2001
2900-0575	Certification as to the Completion Time of a Correspondence Course	9/30/2000		2/28/2002
2900-0576	Affirmation of Enrollment Agreement	9/30/2000	8/13/2002	
2900-0579	Application of Spina Bifida Vocational Rehabilitation - Title 38 CFR 21.8014	11/30/2000	11/22/2002	
2900-0580	Request for Transportation Expense Reimbursement- Title 38 CFR 21.8370	11/30/2000	11/21/2002	
2900-0583	Informed Consent for Patient Care - Title 38 CFR 17.32	10/31/2000	11/19/2001	

OMB Control Number	Collection Title	Date of Expiration	Date of Reinstatement	Date Discontinued
2900-0594	Election to Apply Selected Reserves Services to either Montgomery GI Bill-Active Duty or to the Montgomery GI Bill-Selected Reserve - 38 CFR 21.7042 and 21-7540	1/31/2001	8/13/2002	
2900-0596	Claim for Educational Assistance- 38 CFR 21.1030	8/31/2001		10/23/2001
2900-0597	Monthly Verificatin of Pursuit of Training under the Montgomery GI Bill, Selected Reserve-38 CFR 21.7654 and 21.7656(a)	8/31/2001		2/28/2002

Environmental Protection Agency

Air and Radiation

2060-0132	Nonconformance Penalties for Heavy-Duty Engines and Heavy-Duty Vehicles, Including Light-Duty Trucks Reporting and Recordkeeping Requirements	5/31/1997	7/1/2002	
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Federal Communications Commission

3060-0068	FCC Form 702, Application for Consent to Assign an Experimental Authorization	1/31/2001	5/14/2002	
3060-0419	Secs. 76.94, 76.95, 76.105, 76.106, 76.107, 76.109, 76.1609	3/31/2002	5/30/2002	

Federal Emergency Management Agency

3067-0066	Request for Fire Suppression Assistance	8/31/2002	3/1/2003	
3067-0161	National Fire Incident Reporting System (NFIRS)	6/30/1998	3/17/2003	
3067-0163	Individual and Family Grant Program	4/30/2002	10/25/2002	
3067-0198	Effectiveness of a Community's Implementation of NFIP, Community Assistance Contact Report and Community Assistance Visit	8/31/2002	11/13/2002	
3067-0207	Hazard Mitigation Grant Program Application	9/30/1996	3/1/2003	
3067-0237	Emergency Management Institute Resident Course Evaluation Form	2/28/2002	12/2/2002	

Federal Energy Regulatory Commission

1902-0032	Natural Gas Pipeline Company Quarterly Statement of Monthly Data	5/31/2002	8/2/2002	
1902-0070	Gas Pipeline Rates: Rate Tracking	12/31/2000	10/5/2001	
1902-0140	Annual Electric Control and Planning Area Report	5/31/2000	3/7/2003	
1902-0155	Certificated Rate Filings: Gas Pipeline Rates	10/31/2000	10/5/2001	

National Aeronautics and Space Administration

2700-0003	NASA Contractor Financial Management Reports	6/30/2001	10/15/2001	
2700-0007	Radioactive Material Transfer Receipt	2/28/2002	8/2/2002	
2700-0017	NASA Property in the Custody of Contractors	2/28/2002	8/2/2002	
2700-0047	Property Management and Control, Grants	2/28/2002	8/2/2002	
2700-0052	Patents, Data, and Copyrights-- NASA FAR Supplement Part 1827	5/31/2001	11/20/2001	

OMB Control Number	Collection Title	Date of Expiration	Date of Reinstatement	Date Discontinued
2700-0054	Contract Modifications-- NASA FAR Supplement Part 18-43	2/28/2002	8/2/2002	
2700-0057	Application for Volunteer Program	2/28/2002	5/17/2002	
2700-0073	Small Business and Small Disadvantaged Business Concerns and SF-295	2/28/2002	8/2/2002	
2700-0088	NASA Acquisition Process, Reports Required Under Contracts Valued at Less than \$500 K	2/28/2002	5/28/2002	
2700-0092	Cooperative Agreements with Commercial Firms	2/28/2002	5/28/2002	
2700-0093	Grants and Cooperative Agreements with State and Local Governments	2/28/2002	8/2/2002	
2700-0094	Cost Reduction Proposals under the NASA FAR Supplement	2/28/2002	8/2/2002	

Small Business Administration

3245-0012	Requests from Borrowers (Reports, Records, and Financial Statements)	9/30/2001	5/29/2002	
3245-0071	Application for 503/504 Loan	6/30/1998	4/23/2002	
3245-0132	Lender Transcript	5/31/2000	3/12/2002	
3245-0188	Personal Financial Statement	3/31/2000	11/21/2001	
3245-0200	Settlement Sheet	6/30/2001	3/12/2002	
3245-0201	7(a) Loan Closing Forms	7/31/2000	5/29/2002	
3245-0270	Semi-Annual Report on Services in Connection With Obtaining Federal 8(a) Contracts	4/30/1997	12/31/2002	
3245-0332	New Markets Venture Capital Program	7/31/2001	9/27/2002	

Table C.2: FY 2002 Lapses in OMB Approval
Unresolved as of 4/1/03

OMB Control Number	Collection Title	Date of Expiration	Date of Reinstatement	Date Discontinued
<i>Department of Agriculture</i>				
Farm Service Agency				
0560-0004	Report of Acreage	6/30/1997		
0560-0121	Payer's Request for Identifying Number	10/31/2000		
0560-0148	Importer Assessments	2/28/2002		
0560-0182	Tobacco Marketing Quota Referenda Ballot	9/30/2002		
0560-0183	Assignment of Payments and Joint Payment	2/28/2001		
0560-0192	Power of Attorney	3/31/2002		
0560-0205	Lamb Meat Adjustment Assistance Program (LMAAP)	9/30/2002		
0560-0217	Designation of Burley Tobacco Sales and Request for Marketing Cards	3/31/2002		
Foreign Agricultural Service				
0551-0031	List of Commodities by Firm Available for Exporting	5/31/2002		
Rural Utilities Service				
0572-0059	Electric and Telephone Standards/Specifications Acceptance, Telephone Field Trials, and Telephone Contract Forms	9/30/1997		
0572-0076	RUS Specification for Quality Control and Inspection of Timber	9/30/1997		
<i>Department of Defense</i>				
Department of the Army				
0702-0064	International Military Student Information	12/31/2002		
Department of the Navy				
0703-0006	Facilities Available for the Construction or Repair of	9/30/2002		
Departmental and Others				
0704-0377	Industrial Capabilities Questionnaire	7/31/2002		
Office of the Assistant Secretary for Health Affairs				
0720-0003	Statement of Personal Injury -- Possible Third Person Liability	6/30/2002		
0720-0020	Application for CHAMPUS-- Provider Status: Corporate Services Provider	5/31/2002		
0720-0021	Armed Forces Health Professions Loan Repayment Program Loan Information Form	9/30/2002		
<i>Department of Health and Human Services</i>				
Administration for Children and Families				
0970-0204	Grants to States for Access and Visitation: Program Reporting	8/31/2002		
Center for Medicare and Medicaid Services				

OMB Control Number	Collection Title	Date of Expiration	Date of Reinstatement	Date Discontinued
0938-0227	Medical Review of Outpatient Therapy	12/31/1997		
0938-0366	Intermediate Care Facilities for the Mentally Retarded	10/31/1996		
Departmental Management				
0990-0162	State Medicaid Fraud Control Units Annual Report	3/31/1999		
<i>Department of Housing and Urban Development</i>				
Office of Community Planning and Development				
2506-0161	Consolidated Plan, Section 108 Loan Guarantee	1/31/2000		
Office of Housing				
2502-0117	Request for Acceptance of Changes in Approved Drawings and Specifications	1/31/1995		
2502-0190	Application for Homeownership Assistance under Section 235 of the NHA	1/31/2001		
2502-0331	Multifamily Project Applications and Applications Reviews (MAP)	6/30/2002		
2502-0445	Mortgagee's Certification and Application for Interest Reduction Payments	1/31/1991		
2502-0464	Pre-foreclosure Sale Procedure	10/31/1997		
2502-0468	Mortgagee's Certificate	3/30/1994		
2502-0477	Direct Endorsement Underwriter/HUD Reviewer Analysis of Appraisal Report	7/31/1996		
Office of Public and Indian Housing				
2577-0007	Contract for Inspection Services -- Turnkey	11/30/1995		
2577-0026	Operating Budget, Supporting Schedules and Board Resolution	6/30/2001		
2577-0028	Report on Occupancy for Public and Indian Housing	5/31/2001		
2577-0062	Part 965 PHA-Owned or Leased Projects, Maintenance	9/30/1996		
2577-0157	Modernization of Public Housing Under Comprehensive Grant Program (CGP)	2/28/2002		
2577-0159	Low-Income Public Housing, Project -Based Accounting	12/31/1994		
Office of the General Counsel				
2510-0006	Legal Instructions Concerning Applications for Full Insurance, Benefits, Assignment of Multifamily Mortgages to the Secretary	12/31/1996		
2510-0009	Information Request to Owners and Managers of all HUD Assisted Housing in the Boston Metropolitan Statistical Area, Pursuant to Section II.A of the March 11, 1991 Decree	7/31/1997		
2510-0010	Guide for Opinion of Counsel to the Mortgagor	3/31/1997		
2510-0012	Notice of Application for Designation as a Single Family Foreclosure Commissioner (Single Family Mortgage Foreclosure Act of 1994)	10/31/1999		
Office of the Secretary				
2501-0011	Report of Additional Classification and Wage Rate Pursuant to a DAVIS-BACON Wage Determination	10/31/1983		

OMB Control Number	Collection Title	Date of Expiration	Date of Reinstatement	Date Discontinued
<i>Department of Justice</i>				
Federal Bureau of Investigation				
1110-0021	Post -Graduate Evaluation of the FBI National Academy Survey Booklet	4/30/2002		
General Administration				
1103-0036	Police Corps Service Agreement	7/31/2001		
Legal Activities				
1105-0071	National Drug Threat Survey	7/31/2002		
Office of Justice Programs				
1121-0148	Denial of Federal Benefits for Drug Offenders	5/31/2002		
1121-0177	Edward Byrne Memorial State and Local Law Enforcement Assistance Program	4/30/1999		
1121-0185	Certification of Compliance with Statutory Eligibility	6/30/1999		
1121-0186	Certification of Compliance with the Statutory Eligibility Tribal Governments	3/31/1998		
1121-0217	State Identification Systems Formula Grant Program Application Kit	9/30/1999		
<i>Department of State</i>				
1405-0011	Application for Consular Report of Birth Abroad of a Citizen of the United States (Includes SS-5)	2/2/2002		
<i>Federal Emergency Management Agency</i>				
3067-0026	Community Disaster Loan Application	9/30/1996		
3067-0034	Application for Community Disaster Loan Cancellation	9/30/1996		
3067-0166	Crisis Counseling Assistance and Training Program	7/31/2002		
3067-0229	Mortgage Portfolio Protection Program	6/30/1998		
3067-0271	Flood Mitigation Assistance; Flood Mitigation Plan	10/31/2002		
<i>Small Business Administration</i>				
3245-0062	Small Business Investment Corporation License	2/28/2002		
3245-0075	National Training Participant Evaluation	10/31/2000		
3245-0077	Small Business Lending Companies Reporting and Recordkeeping Requirements	3/31/2000		
3245-0080	Statement of Personal History	5/31/2002		
3245-0083	Amendments to License Application	8/31/2001		
3245-0131	Transaction Report on Loans Serviced by Lenders	2/28/2002		
3245-0183	SBA Counseling Evaluation	10/31/2000		
3245-0205	8(a) Annual Update	1/31/1997		

**Table C.3: FY 2002 Violations
Collections Without OMB Approval or Modified Without OMB Approval**

OMB Control Number	Collection Title	Description of Violation	How Discovered and Remedied
<i>Department of Agriculture</i>			
Risk Management Agency			
--	Standard Reinsurance Agreement Plan of Operations	Unapproved collection.	Discovered at the time of submission for OMB approval. The collection is currently pending at OMB.
<i>Department of Commerce</i>			
National Oceanic and Atmospheric Administration			
0648-0047	Application for Commission to the NOAA Corps	Commerce decided to discontinue the collection in 1996, and subsequently began recollecting the information without OMB approval.	A website review indicated that applications were being solicited. OMB clearance was obtained.
United States Patent and Trademark Office			
0651-0048	Native American Tribal Insignia Database	Unapproved collection.	The USPTO established the Native American Tribal Insignia database based on Congressional direction, and began accepting requests to record insignia on August 31, 2001. The collection was not cleared by OMB until March 31, 2002.
0651-0009	Electronic Response to Office Action and Preliminary Amendment Forms	Unapproved collection of additional information within an already-approved collection.	The "Response to Office Actions" was inadvertently omitted from the information collection package approved by OMB in 2001. USTPO will resubmit the entire collection for approval.
<i>Department of Education</i>			
Office of Postsecondary Education			
1840-0113	Application for the Strengthening of Historically Black	Modification without	OMB discovered this modification when the package

OMB Control Number	Collection Title	Description of Violation	How Discovered and Remedied
	Colleges and Universities and Historically Black Graduate Institution Programs	OMB approval.	was submitted for clearance. The revised collection was approved by OMB.
<i>Federal Emergency Management Agency</i>			
--	Pre-Disaster Mitigation Assistance.	Unapproved collection.	During a program staff meeting concerning the clearance of another information collection, it was discovered that this collection was in use without OMB approval. The program will be publishing a <i>Federal Register</i> notice by April, 2003, and requesting emergency approval to include the collection in the NOFA.
--	Heritage Hall Surveys	Unapproved collection.	The US Fire Administration contracted for a Feasibility Report on Heritage Hall. The contractor developed two one-time surveys that were conducted in October 2002. It was brought to the attention of the Records Management Branch at FEMA after data collection was complete.
--	Flood Mapping Needs Assessment—MNUSS Worksheet and Database	Unapproved collection.	During a conversation with the program manager for this collection, it was discovered that the collection was being used. Once identified as a violation, the program manager submitted a clearance package to OMB for clearance.
--	Citizen Corps Council Registration Form	Unapproved collection.	The staff did not realize that websites were subject to the PRA. They were informed by internal memo on January 9, 2003. The website has been up since April 2002. The collection has been submitted to OMB for review.
--	Citizen Corps Individual Registration Form	Unapproved collection.	The staff did not realize that websites were subject to the PRA. They were informed by internal memo on January 9, 2003. The website has been up since April 2002. The collection has been submitted to OMB for review.

OMB Control Number	Collection Title	Description of Violation	How Discovered and Remedied
<i>Department of Health and Human Services</i>			
Centers for Disease Control and Prevention			
0920-0556	Assisted Reproductive Technologies (ART)	Inclusion of a non-covered population in a covered information collection.	All non-ART clinics were required to use the ART reporting system, as stated in a <i>Federal Register</i> notice in September, 2000. The violation was discovered upon renewal of the contract. An emergency clearance request was submitted immediately and approved.
0920-0571	MDE/STAR for the National Breast and Cervical Cancer Early Detection Program	Unapproved collection.	The program originally had only 4 respondents, but grew to 71 respondents as the project grew. The violation was discovered during a program review, and an emergency clearance request was approved by OMB.
Health Services Agency			
0915-0259	Survey of State/Local Efforts to Coordinate Trauma Care Delivery	Advance copies sent to meeting participants.	New data collection was approved on 2/8/02.
0915-0262	Survey of State/Local Efforts to Coordinate Trauma Care Delivery	Unapproved collection.	Clearance officer became aware of an on-line data collection. New collection approved 6/14/02.
--	Maternal and Child Health Bureau Common Grant Guidance Discretionary Grants (Previously listed as "Healthy Start Data Reporting Requirements")	Unapproved collection.	Clearance officer became aware of the violation. Clearance request was submitted to OMB.
Food and Drug Administration			
0910-0485	Medical Device Labeling Regulations	Unapproved collection.	FDA identified this violation and submitted it for OMB review. OMB cleared the requirements on 3/21/02.
0910-0498	Export Certificates for FDA Regulated Products Under U.S.C. Sections 801(e) and 802	Unapproved collection.	FDA identified this violation and submitted it for OMB review. OMB cleared the requirements on 11/27/02.
National Institutes of Health			

OMB Control Number	Collection Title	Description of Violation	How Discovered and Remedied
--	The Sister Study	Unapproved pilot study.	Violation was reported to OMB by NIEHS when concerns were raised by OMB during review of the full-scale sister study.
0925-0510	An Evaluation of the National Cancer Institute Science Enrichment Program	Collection was believed to have been approved under another OMB clearance, but had not been approved	In the course of negotiations for a related study, program mentioned that the data had been collected under OMB # 0925-0473. Clearance was obtained for the study under a new OMB number.
<i>Department of Interior</i>			
Bureau of Reclamation			
1006-0024	Summary of Water Requirements for Crops on Eligible Lands	Unapproved collection.	Identified in a letter from Congressman Ose. Approved by OMB on 4/8/02.
Fish and Wildlife Service			
1018-0120	Federal Subsistence Regional Advisory Council membership Application, Nomination, and Interview Forms	Unapproved collection.	Discovered by an internal FWS review. Approved by OMB on 2/26/03.
Geological Survey			
1028-0078	North American Breeding Bird Survey	Unapproved collection.	USGS discovered forms in use during a program review. Approved by OMB on 3/12/02.
1028-0079	North American Amphibian Monitoring Program	Unapproved collection.	USGS discovered forms in use during a program review. Approved by OMB on 3/12/02.
<i>Internal Revenue Service</i>			
1545-1788	Taxpayer Advocacy Panel (TAP) Membership Application (Form 13259)	Unapproved collection by field office, posted on its website.	Discovered by IRS staff. Treasury advised the field office to remove the application from the site and submit a PRA clearance package immediately. It was approved by OMB on 5/17/02.
<i>Social Security Administration</i>			
0960-xxxx	Acknowledgement of Receipt (Notice of Hearing)	Unapproved Collection.	The Reports Clearance Officer discovered the violation during a review of the final rule for Video Teleconferencing before Administrative Law Judges.

OMB Control Number	Collection Title	Description of Violation	How Discovered and Remedied
- 0960-xxxx	Employee Verification Service	Unapproved Collection.	SSA will clear this form with the associated regulation. The Reports Clearance Officer discovered the collection during a clearance of a related information collection. The collection was approved on 3/12/03.
- 0960-0639	Contact with Rep Payee; Contact with Beneficiary	Unapproved Collection.	The forms were discovered during the conduct of a forms management project. OMB approved the information collections on 10/26/01.
- 0960-0646	National Teacher Questionnaire; Request for Administrative Information	Unapproved Collection.	SSA forms were submitted for OMB clearance. At that time, SSA discovered that State versions of the forms were in use. OMB approved the SSA forms on 2/27/02. State forms have been replaced by SSA forms.
- 0960-0662	Medical Source Statement of Ability to Do Work-Related Activities (Physical and Mental)	Unapproved Collection.	The forms were discovered during the conduct of a forms management project. OMB approved the information collections on 12/24/02/
- 0960-0663	Private Printing and Modification of Prescribed Applications and Other Forms	Unapproved Collection.	The Reports Clearance Officer discovered the collection of information in a current rule during a review of a draft revised NPRM for this rule. OMB approved the information collection on 12/20/02.
<i>Department of State</i>			
1405-0110	U.S.- Egypt Science and Technology Joint Fund Annual Grants Program Announcement	Unapproved Collection.	The Reports Clearance office discovered the violation. Collection 60-day notice was published 1/02/2003 and collection will be submitted to OMB for approval to reinstate.

Appendix D. OMB Memoranda to Agencies on PRA Violations



EXECUTIVE OFFICE OF THE PRESIDENT
OFFICE OF MANAGEMENT AND BUDGET
WASHINGTON, D.C. 20503

November 14, 2001

MEMORANDUM FOR CHIEF INFORMATION OFFICERS
GENERAL COUNSELS AND SOLICITORS

FROM: John D. Graham /s/
Administrator
Office of Information and Regulatory Affairs

Jay P. Lefkowitz /s/
General Counsel

SUBJECT: Ensuring Full Compliance with the Information Collection
Provisions of the Paperwork Reduction Act

We are writing to you to emphasize the importance of the Federal Government complying fully with the information collection provisions of the Paperwork Reduction Act of 1995 (PRA), and to ask for your assistance in eliminating existing PRA violations and preventing future violations.

The PRA requires agencies and OMB to ensure that information collected from the public minimizes burden and maximizes practical utility. The Act assigns to each agency's Chief Information Officer (CIO) the responsibility for ensuring that the agency complies with the PRA. The attached paper summarizes the PRA and its requirements for public, agency, and OMB review of collections of information. OMB's review is conducted by the Office of Information and Regulatory Affairs (OIRA).

In this year's *Information Collection Budget* (ICB), OMB documented 487 violations of the PRA, of which 191 remained unresolved as of the cut-off date for the ICB's publication. While these figures do represent a continuation in the recent downward trend in the number of PRA violations, we cannot allow this situation to continue. Our objective is to ensure that the Federal Government is in full compliance with the PRA by no later than the end of this fiscal year.

OMB would therefore like to work with each of your agencies to resolve existing violations and take whatever actions are necessary to avoid future violations.

As a first step, we are asking the CIOs of the 27 agencies identified in the *Information Collection Budget* to provide the following information to your agency's OIRA desk officer:

- For each violation of the PRA described in Appendix B.2 (i.e., the continued use of collections for which OMB approval has expired), please indicate affirmatively whether your agency (1) has already requested a reinstatement of the OMB approval, (2) is planning to request a reinstatement of the OMB approval, or (3) has discontinued its use. Each of these collections that falls into categories (1) or (2) represents a violation of the PRA until its approval is reinstated. Provide a timetable for resolution, including publication of all relevant *Federal Register* notices and submission to OMB, for each collection that your agency plans to continue using.
- For each violation of the PRA described in Appendix B.3 (i.e., for collections for which OMB approval has never been given), provide a timetable of resolution, including publication of all relevant *Federal Register* notices and submission to OMB.
- Describe the procedures that you (and your agency) have in place to prevent future violations, both through your monthly review of OMB's computer-generated reports and through your general oversight and participation in the agency's programmatic functions.

Please provide this information to your OIRA Desk Officer by December 14th.

In addition, as part of this effort, we are asking agency General Counsels and Solicitors to take whatever actions you can to assist the CIOs in ensuring your agency's full compliance with the PRA. Please inform personnel in your agency that OMB-OIRA is approving a very high percentage of the well-supported information collection requests and thus concern about OMB approval is not a legitimate basis for avoiding OMB review of a worthy information collection.

We are aware that OIRA has not always responded to PRA requests in a timely fashion. We are working diligently to correct this problem and to respond to all requests within the time frame described in the statute.

If you have any questions about this effort, please contact us directly or have agency staff contact your OIRA Desk Officer.

Attachment

Paperwork Reduction Act

The Paperwork Reduction Act of 1995 (44 U.S.C. chapter 35; see 5 CFR Part 1320) requires that the Office of Management and Budget approve all collections of information by a Federal agency from the public before they can be implemented. Collections of information include (1) requests for information for transmission to the government, such as application forms and written report forms, (2) reporting or recordkeeping requirements, and (3) third-party or public disclosure requirements. Many information collections, recordkeeping requirements, and third-party disclosure requirements are contained in or authorized by regulations as monitoring or enforcement tools, while others appear in questionnaires and their accompanying instructions. An underlying goal of the Act is to minimize the Federal paperwork burden on the public. The Act also recognizes the importance of information to the successful completion of agency missions, and charges OMB with the responsibility of weighing the burdens of the collection on the public against the practical utility it will have for the agency.

In general terms, the 1995 Act requires agencies to plan for the development of new collections of information and the extension of ongoing collections of information well in advance of sending the proposal to OMB. Advance planning is necessary because agencies need to estimate potential burdens on respondents, prepare to disclose certain additional information to the public (e.g., time limits for recordkeeping requirements), seek public comment through 60-day notice in the Federal Register, and thereafter submit their clearance requests to OMB for review and approval. In developing a paperwork clearance request, the agency needs to demonstrate to OMB that the collection of information is the least burdensome way of obtaining information necessary for the proper performance of its functions, that the collection is not duplicative of others, and that the collection has practical utility. Additionally, the agency is required to certify that a proposed collection of information "reduces to the extent practicable and appropriate the burden" on respondents, including, for small business, local government, and other entities, the use of the techniques outlined in the Regulatory Flexibility Act.

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

Under the Act, OMB approval for an agency to use each data collection instrument can last for a maximum of three years. Approval is evidenced by OMB granting an OMB control number for the information collection instrument. The Act prohibits agencies from penalizing those who fail to respond to Federal collections of information that do not display valid OMB control numbers. The Act also prohibits agencies from penalizing those who have not been informed that a response is not required unless the collection of information displays a valid control number. Both of these public protections "may be raised in the form of a complete defense, bar, or otherwise at any time during the agency administrative

process or judicial action applicable thereto" (44 U.S.C. 3512(b)). Recent court cases discussing the Act and its "public protection" provision include Center for Auto Safety v. NHTSA, 244 F.3d 144 (D.C. Cir. 2001), and Saco River Cellular Inc. v. FCC, 133 F.3d 25 (D.C. Cir. 1998).



EXECUTIVE OFFICE OF THE PRESIDENT
OFFICE OF MANAGEMENT AND BUDGET
WASHINGTON, D.C. 20503

June 6, 2002

MEMORANDUM FOR CHIEF INFORMATION OFFICERS
GENERAL COUNSELS AND SOLICITORS

FROM: John D. Graham, Ph.D. /s/
Administrator
Office of Information and Regulatory Affairs

SUBJECT: Ensuring Full Compliance with the Paperwork Reduction Act

We are writing to again emphasize the importance of the Federal Government complying fully with the information collection provisions of the Paperwork Reduction Act of 1995 (PRA). While our memo dated November 14, 2001 has helped to resolve a number of PRA violations, and undoubtedly helped to reduce the number of future violations, we are again asking your assistance in eliminating still-existing PRA violations and avoiding future violations.

The PRA requires agencies and the Office of Management and Budget (OMB) to ensure that information collected from the public minimizes burden and maximizes practical utility. The Act assigns each agency's Chief Information Officer (CIO) the responsibility for ensuring that the agency complies with the PRA. OMB's Office of Information and Regulatory Affairs (OIRA) is responsible for conducting reviews under the PRA.

In last year's Information Collection Budget (ICB), OMB documented 487 violations of the PRA, of which 191 remained unresolved as of the cut-off date for that ICB's publication. In this year's ICB, there were 406 violations, of which 109 remained unresolved as of March 12, 2002 (the cut-off date for this year's ICB). Of those unresolved violations, 47 are known to be long-standing (i.e., in violation prior to FY 2001). While these figures do represent a continuation in the recent downward trend in the number of PRA violations, the number of overall and unresolved violations is still unacceptably high.

In light of this continuing problem, we are asking each agency to do the following:

- We have attached a list of all of your agency's violations from the FY 2001 reporting period that were unresolved as of April 26, 2002 (if applicable). Please review this list carefully and indicate, for each individual collection, if your agency (1) has already requested a reinstatement of the OMB approval, (2) is planning to request a reinstatement of the OMB approval, or (3) has discontinued its use. Each collection

in the first two categories has been in violation of the PRA for at least six months. This is unacceptable. For each of the violations in these categories, provide a timetable for resolution, including publication of all relevant Federal Register notices and submission to OMB.

- Provide a list of all collections that are currently in violation since September 30, 2001, with an indication of the status of the collection and plans for resolution (as detailed in the bullet above).
- Describe the procedures that you (and your agency) have in place to prevent future violations, both through your monthly review of OMB's computer-generated reports and through your general oversight and participation in the agency's programmatic functions.

Please provide this information to your OIRA Desk Officer by July 8, 2002. In addition to information requested above, we will be scheduling meetings in early summer with the CIOs and GCs of the five agencies with the highest number of overall, long-standing, or high-burden violations to further discuss the resolution of these violations. These agencies are:

- Department of Agriculture
- Department of Health and Human Services
- Department of Housing and Urban Development
- Department of State
- Department of Veterans Affairs

If you have any questions about this effort, please contact us directly or have agency staff contact your OIRA Desk Officer.

Attachment (open Bookmarks for easy selection)

Commerce
DOD
DOJ
DOL
ED
HHS
HUD
State
USDA
VA

U.S. Department of Commerce—Outstanding Violations of the PRA from ICB-02

0648-0078	Certificate of Exemption Renewal	8/31/2001
0648-0079	Subsequent Purchaser Reports	8/31/2001
0648-0179	Applications and Reports for Registration as a Tanner or Agent	9/30/2001
0648-0228	U.S. Fishermen Fishing in Russian Waters	8/31/2001
0648-0346	List of Gear by Fisheries and Fishery Management	8/31/2001

U.S. Department of Defense—Outstanding Violations of the PRA from ICB-02

0703-0028	NROTC Applicant Questionnaire	9/30/2001
0704-0261	DoD Standard Tender of Freight Services	7/31/2001
0710-0012	Customer Service Survey, Regulatory Program U.S. Army Corps of Engineers	9/30/2001

U.S. Department of Justice—Outstanding Violations of the PRA from ICB-02

1125-0009	Application for Suspension of Deportation	8/31/2001
1103-0036	Police Corps Service Agreement	7/31/2001
1103-0043	Regional Community Policing Institute Quarterly Projection Report	3/31/2001
1121-0094	Annual Survey of Jails	(pending)

- Tribal Resource Grant Program Hiring Progress Report-Unapproved Collection.
- Tribal Resource Grant Program Equipment & Training Progress Report-Unapproved Collection
- Mental Health & Community Safety Initiative Application Kit-Unapproved Collection
- Universal Hiring Program Application Update Form-Unapproved Collection
- COPS in Schools Annual Report

U.S. Department of Labor—Outstanding Violations of the PRA from ICB-02

- State Plans for the Development and Enforcement of Standards-Unapproved Collection

U.S. Department of Education—Outstanding Violations of the PRA from ICB-02

1840-0510	Cancellation and Deferment Request Forms for the Federal Direct Student Loan	7/2001
1820-0577	Report of Program Settings Early Intervention Services	12/31/1997
1830-0510	Adult Education General Reporting Requirements	10/31/1994

Health and Human Services—Outstanding Violations of the PRA from ICB-02

0970-0145	Temporary Assistance to Needy (TANF) Families	3/31/1997
0970-0159	Statewide Automated Child Welfare Information System-Assessment Review Guide (SACWIS)	(pending)
0938-0679	Durable Medicare Equipment Regional Carrier, Certificates of Medical Necessity	10/31/2000

- Healthy Start Data Reporting Requirements-Unapproved Collection. Will submit clearance package by July 2002.

Housing and Urban Development—Outstanding Violations of the PRA from ICB-02

2506-0020	HUD-Administered Small Cities Program Application for CDBG Funds & Performance Assessment Report	(pending)
2506-0121	Relocation and Real Property Acquisition	(pending)
2502-0265	Good Faith Estimate and Special Information Booklet	10/31/2000
2502-0010	HUD Survey Instructions and Report for Insured Multifamily Projects	3/31/2001
2502-0028	Contractor's Requisition Project Mortgages	12/31/2000
2502-0036	Request for Credit Approval of Substitute Mortgage	7/31/1999
2502-0047	Construction Complaint (HUD-92556), Request for Financial Assistance	9/30/1999
2502-0060	Monthly Delinquent Loan Report	8/31/2000
2502-0094	Assistance Payment Contract-Notice of (1) Termination, (2) Suspension, (3) Reinstatement	9/30/1998
2502-0121	Mortgagee Questionnaire	12/31/1999
2502-0141	Application for Mortgage Insurance	10/31/2000
2502-0301	Deed-in-Lieu of Foreclosure	4/30/1998
2502-0302	Local Appeals to Single-family Mortgage Limits	2/29/2000
2502-0314	Loan Servicing of All Three Coinsurance Programs: Section 223(f), Section 221(d), and Section 232	9/30/1998
2502-0340	Section 248 Single-Family Mortgage Insurance on Indian Reservations & Other Restricted Lands	3/31/2001
2502-0395	Flexible Subsidy, Capital Improvement Loan Program	1/31/2001
2502-0409	Section 8 Housing Assistance Payment (HAP) Contract, Part II	9/30/1999
2502-0410	Survey of Tenants in Certain Properties with HUD- Held and Foreclosed Mortgages	3/31/2001
2502-0446	Procedures for Appealing Section 8 Rent Adjustments	6/30/2000
2502-0456	Mortgagee Letter: "Revision to the Sec.235(r) Refinancing Procedures	3/31/2001
2502-0458	Disclosure of Probable Transfer of Loan Servicing	11/30/1997
2502-0470	Application Submission Requirements, Conditional Commitment Through Final Closing, Section 202 Housing for the Elderly, Section 811 Housing for Persons with Disabilities	12/31/1996
2502-0501	Initial Escrow Account Statement, Annual Escrow Account Statement	6/30/2000

**Housing and Urban Development—Outstanding Violations of the PRA from ICB-02
Continued**

2502-0516	Affiliated Business Disclosure (Formerly Controlled Business)	10/31/2000
2502-0517	Escrow Account Disbursement	10/31/2000
2502-0520	Safe Neighborhood Grants	11/30/2000
2502-0523	Loss Mitigation Evaluation-FR-4032	12/31/2000
2577-0006	Lease Requirements-24CFR966.4	9/30/2001
2577-0026	Operating Budget, Supporting Schedules and Board Resolution	6/30/2001
2577-0028	Report on Occupancy for Public and Indian Housing	5/31/2001
2510-0006	Legal Instructions Concerning Applications for Full Insurance Benefits, Assignment of Multifamily Mortgage to the Secretary	12/31/1996
2510-0009	Information Report to Owners and Managers of all HUD Assisted Housing in the Boston Metropolitan Statistical Area	7/31/1997
2510-0009	Guide for Opinion of Counsel to Mortgage	3/31/1997

U.S. Department of State—Outstanding Violations of the PRA from ICB-02

1405-0046	Marine Note of Protest	9/30/1996
1405-0052	Seaman Action Certificate, Form FS-0463	10/31/1988
1405-0077	Denial of Passports to Certain Persons Convicted of Drug Trafficking, Form Rpt.-7	6/30/1990
1405-0079	Application for Benefits for US Hostages (Check), Form DSP-108	3/31/1991
1405-0097	Ground Rules for US Initiative on Joint Implementation, Form Rprt-2	1/31/1997
1405-0117	Camp Counselor Exchanges—Rulemaking No. 102	7/31/2000
1405-0121	Certificate of Eligibility for Exchange Visitor Status (J-1 Visa)	4/20/2000
47-R0178	Statement of Non-Receipt of Passport	9/1/1978

U.S. Department of Agriculture—Outstanding Violations of the PRA from ICB-02

0579-0049	Foreign Quarantine Notices	9/30/2001
0579-0052	Phytosanitary Export Certification	8/31/2001
0579-0088	Domestic Quarantines	11/30/2000
0579-0102	Imported Fire Ant	8/31/2001
0579-0119	Foreign Quarantine Notices, Logs, and Lumber	9/30/2001
0560-0004	Report of Acreage	6/30/1997
0560-0121	Payer's Request for Identifying Number	10/31/2000
0560-0177	Offer Forms and Shipment Information Log	1/31/2001
0560-0183	Assignment of Payments and Joint Payment	2/28/2001
0583-0103	Pathogen Reduction, Hazard Analysis and Critical Control Point (HACCP) Systems	2/28/1999
0596-0141	Small Business Timber Sale Set-Aside Program: Appeal Procedures on Recomputation of Shares	8/31/2000 (pending)
0578-0024	Volunteer Program – Earth Team	12/31/1998
0505-0009	USDA Applicant Supplemental Sheet	10/31/2000
0572-0059	Electric and Telephone Standards/Specifications Acceptance, Telephone Field Trials, and Telephone Contract Forms	9/30/1997
0572-0076	REA Specification for Quality Control and Inspection of Timber	9/30/1997

- Farm Service Agency Unapproved Collection (no number, no title) to post program forms on the Internet
- Animal and Plant Health Inspection Service-TB Cooperative Agreements Unapproved Collection. Plans to submit ICR 6/02.
- Food and Nutrition Services Unapproved Collection (no number, no title)-Non-Entitlement Discretionary Grants Submitted Dec, 2001 and is under review.

Department of Veterans Affairs—Outstanding Violations of the PRA from ICB-02

2900-0568	Submission of School Catalog to the State	4/30/2000
2900-0579	Application of Spina Bifida Vocational Rehabilitation Title 38 CFR 21.8014	11/30/2000
2900-0580	Request for Transportation Expense Reimbursement Title 38 CFR 21.8370	11/30/2000
2900-0581	Election of Benefits Between Benefits under 38 USC Chapter 35 and Vocational Training Benefits For Vietnam Veterans' Children Suffering from Spina Bifida 38CFR21.8016	11/30/2000
2900-0594	Election to Apply Selected Reserves Services to either Montgomery GI Bill-Active Duty or to the Montgomery GI Bill-Selected Reserve-38CFR21.7042 and 21-7540	1/31/2001
2900-0595	Election to Receive Dependents' Education assistance Instead of Dependency and Indemnity Compensation 38CFR21.3023	1/31/2001
2900-0597	Monthly Verification of Pursuit of Training under the Montgomery GI Bill, Selected Reserve-38CFR21.7654 and 21.7656(a)	8/31/2001



EXECUTIVE OFFICE OF THE PRESIDENT
OFFICE OF MANAGEMENT AND BUDGET
WASHINGTON, D.C. 20503

ADMINISTRATOR
OFFICE OF
INFORMATION AND
REGULATORY AFFAIRS

NOV 8 2002

MEMORANDUM FOR CHIEF INFORMATION OFFICERS

FROM: John D. Graham, Ph.D. *JAG*
Administrator
Office of Information and Regulatory Affairs

SUBJECT: Ensuring Full Compliance with the Paperwork Reduction Act

In a November 14, 2001 memorandum from the office of the OMB General Counsel and my office, we stated our determination to work with agencies to eliminate violations of the Paperwork Reduction Act (PRA) by the end of FY 2002. While most agencies have made significant progress in reducing the number of violations—all but one agency has resolved more than half of their existing violations from last year's ICB—the Administration has not yet reached the goal of zero violations. I cannot emphasize enough the importance of agencies eliminating all current PRA violations as quickly as possible and avoiding future violations. Complying with the Act's information collection provisions is for the most part a straightforward administrative task. Full compliance is an achievable goal that we can and must meet.

On June 6, 2002, I asked your agency to identify progress on violations reported in the ICB for FY 2001, and to identify any new violations that had occurred since October 1, 2001. Using these and other data, we have identified "old" (existing) and "new" (recently expired or recently discovered) violations that had not been resolved as of October 1, 2002. (See chart on next page for a breakdown of violations by agency.) While most agencies have done a good job of resolving the existing violations, some agencies are still having significant problems in clearing up these old violations. Many agencies are allowing a significant number of packages to lapse - - that is, failing to obtain OMB re-approval when the time period for OMB clearance ends - - thereby creating "new" violations. Six agencies—U.S. Department of Agriculture, U.S. Department of State, Small Business Administration, Federal Emergency Management Agency, Department of Commerce, and National Aeronautics and Space Administration—had 10 or more new violations from October 1, 2001 to the reporting date of June 6, 2002. Many of those new violations remained unresolved as of October 1, 2002.

I recognize that agencies are continuing their work to resolve existing violations. For example, VA has resolved 16 of 18 violations and HHS has resolved 12 of 15

violations. Overall, 31 of the 82 violations that are still unresolved are currently at OMB for review, and an additional 33 of those 82 violations have had their 60-day Federal Register notice published. Only 18 have had no action taken to resolve the existing violation.

Our goal now is to achieve zero violations by no later than April 1, 2003. To accomplish this, agencies must make stronger efforts not only to resolve existing violations, but to put into place policies that will prevent future violations from occurring. Each agency already has developed, and described to us, detailed plans to eliminate future violations; these plans should be carried out diligently. If the plans are not effective in eliminating new violations, agencies should reevaluate and strengthen their plans. Attention should be given at the highest levels of the agency to assure that agencies are complying with their responsibilities under the PRA.

To assist you in determining the efficacy of your agency's PRA clearance system, I have attached a list of collections that have expired in the last 30 days and those that are due to expire in the next 150 days. The PRA contact for each agency receives these lists monthly and should be using them for short-term planning purposes. This list should be a supplement to an agency-generated list that tracks all currently approved and expired information collections, so that your agency knows the status of all agency collections and can plan far enough in advance for the expiration of all currently approved packages. In order to ensure that your agency's procedures are functioning correctly to avoid future violations and quickly clear up violations that have occurred in the past 30 days, please do the following for all collections on the attached list:

1. For those collections that have expired (if any), verify that the information collection activities have been discontinued by the program. If it is determined that the program is still collecting the information in violation of the PRA, immediately initiate procedures to reinstate the information collection under the PRA and determine why the collection was not sent to OMB for extension of the existing clearance in a timely fashion. **The 60-day *Federal Register* notice for these collections should be published no later than December 13, 2002. The information collection request for approval should be received by OMB no later than February 28, 2003.**
2. For those collections that are due to expire on or before March 31, 2003, verify that the 60-day *Federal Register* notice has been published. If the notice has not yet been published, **a notice should be placed in the *Federal Register* no later than December 13, 2002, and an information collection request should be sent to OMB no later than February 28, 2003.** An emergency extension may be granted, at the discretion of the OIRA desk officer, for those collections that are set to expire prior to submission of the information collection request to OMB. **Starting now, however, emergency extension requests will not be granted unless the agency has published a 60-day *Federal Register* notice (unless it demonstrates exceptional circumstances).** Therefore, **any** emergency

extension request must be accompanied by a citation for the 60-day Federal Register notice and a date of publication.

3. For those collections due to expire on or after April 30, 2003, make any changes to the currently approved packages that are necessary (including changes to the burden estimates) and publish the 60-day *Federal Register* notices at least four months prior to the expiration date of the collection. These collections should be submitted to OMB no later than one month prior to the expiration date.

OMB will be sending the Information Collection Budget (ICB) bulletin for FY 2002 to your agency very shortly. As in the past, we are asking agencies to make a thorough accounting of all violations that have been identified as existing violations in previous ICBs and those that have occurred or been identified since the last ICB in which the agency participated. In addition, to further emphasize the importance of our goal of zero violations, we are asking agencies to send OMB the *Federal Register* cite and date of the 60-day notice for all unresolved violations. Failure to publish a *Federal Register* notice for any unresolved violation will be considered an incomplete response to the ICB bulletin. It is important that agencies make a concerted effort to identify all collections that are in violation as of September 30, 2002, and work to resolve all violations prior to submitting their ICB exhibits to OMB.

Attachments

Agency	# total violations	# violations in 2001 ICB	# violations unresolved	# violations at OMB	# new violations reported as of 6/6/02	# new violations unresolved	# new violations at OMB	# total unresolved violations
Agriculture	44	21	12	4	23	12	3	24
Housing and Urban Development	39	37	13	10	2	1	1	14
State	23	7	2	0	16	0	N/A	2
Veterans Affairs	18	11	2	2	7	0	N/A	2
Small Business Administration	18	N/A	N/A	N/A	18	10	1	10
Commerce	15	5	1	1	10	4	3	5
Health and Human Services	13	4	0	N/A	9	3	0	3
Defense	12	5	0	N/A	7	4	0	4
Justice	11	5	2	1	6	4	3	6
Federal Emergency Management Agency	11	N/A	N/A	N/A	11	6	1	6
NASA	10	N/A	N/A	N/A	10	0	N/A	0
Education	6	3	0	N/A	3	1	1	1
Social Security Administration	3	N/A	N/A	N/A	3	3	0	3
Federal Energy Regulatory Commission	3	N/A	N/A	N/A	3	2	0	2
Labor	1	N/A	N/A	N/A	1	0	N/A	0
Interior	1	1	0	N/A	0	N/A	N/A	0
Federal Communications Commission	1	N/A	N/A	N/A	1	0	N/A	0
TOTALS:	229	99	32	18	130	50	13	82

** The following agencies



EXECUTIVE OFFICE OF THE PRESIDENT
OFFICE OF MANAGEMENT AND BUDGET
WASHINGTON, D.C. 20503

DEC 3 2002

ADMINISTRATOR
OFFICE OF
INFORMATION AND
REGULATORY AFFAIRS

The Honorable Jim Moseley
Deputy Secretary of the Department
of Agriculture
Washington, DC 20250

Dear Mr. Moseley:

As you can tell from the enclosed memo to all agencies, we take our responsibilities under the Paperwork Reduction Act (PRA) very seriously and are committed to a zero-tolerance policy for violations of the PRA. While overall we are making progress toward full compliance with the PRA's information collection requirements, we still have a long way to go. We have asked all agencies to take specific steps to resolve currently existing violations and to put policies in place to prevent future PRA violations. Given the large number of past and current violations for the U.S. Department of Agriculture (USDA), we are asking USDA to take the additional steps outlined below.

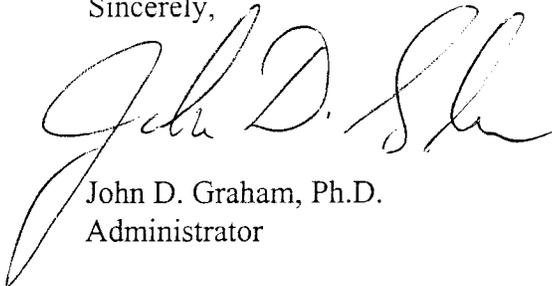
In our last memo to the Department, dated June 6, 2002, we asked USDA for an update on the resolution of old violations and the identification of new violations since September 30, 2001. USDA provided us with a list of 23 new violations, and it appears that USDA has accrued significantly more violations since its report to us. This increased number of violations is far in excess of that of other agencies. To assist you in determining the status of USDA's PRA inventory, we have enclosed a list of USDA's collections that have expired in Fiscal Year 2002. While some of them were likely allowed to expire because data collection activities have ceased, a substantial proportion of the list appears to be in violation of the PRA.

As such, by December 20, 2002, we are asking USDA to report to OMB the status of each of the collections on the expired list. The response should indicate, for each collection, if the package has been discontinued or is still being collected in violation of the PRA. For those packages that have been discontinued, USDA should provide the date of discontinuation, after verifying with the program office that the information collection was actually discontinued on the date indicated and was not collected after that date. For those collections still in violation, USDA should follow the steps spelled out in the enclosed general memo to agencies to resolve those violations in the coming months, including publication of the Federal Register notices and submission of the collection to OMB by the dates indicated in the memo.

Given that USDA has continued to accrue violations even after our meeting in August with USDA's CIO and GC, I am asking USDA to take another look at its procedures, with an eye toward the guidance for avoiding violations set forth in our general memo to all agencies. I would like to meet with USDA officials again, by December 20, to discuss what reforms USDA plans to make to eliminate PRA non-compliance, and to receive an update on where USDA stands on the resolution of current violations. OMB is planning to convene a seminar to share agency "best practices" for compliance with the PRA. These seminars should assist USDA in planning further systematic reforms to assure improved compliance with the PRA in the very near future.

My staff and I look forward to working closely with USDA in the coming weeks to attain our goal of zero violations by April 1, 2003. Please let me or my staff know if we can be of any assistance in the interim in helping USDA to reach the performance goals that I have set for all agencies. Thank you for your continued attention to this important matter.

Sincerely,

A handwritten signature in black ink, appearing to read "John D. Graham". The signature is fluid and cursive, with a large initial "J" and "G".

John D. Graham, Ph.D.
Administrator

Enclosures



EXECUTIVE OFFICE OF THE PRESIDENT
OFFICE OF MANAGEMENT AND BUDGET
WASHINGTON, D.C. 20503

DEC 3 2002

ADMINISTRATOR
OFFICE OF
INFORMATION AND
REGULATORY AFFAIRS

The Honorable Alphonso Jackson
Deputy Secretary of the Department of Housing
and Urban Development
451 7th Street, S.W.
Washington, DC 20410

Dear Mr. Jackson:

As you can tell from the enclosed memo to all agencies, we take our responsibilities under the Paperwork Reduction Act (PRA) very seriously and are committed to a zero-tolerance policy for violations of the PRA. While overall we are making progress toward full compliance with the PRA's information collection requirements, we still have a long way to go. We have asked all agencies to take specific steps to resolve currently existing violations and to put policies in place to prevent future PRA violations. Given the large number of past and current violations for the Department of Housing and Urban Development (HUD), we are asking HUD to take the additional steps outlined below.

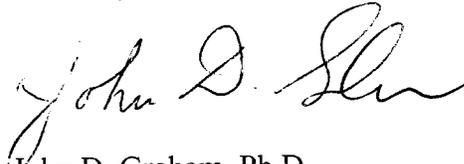
In our last memo to the Department, dated June 6, 2002, we asked HUD for an update on the resolution of old violations and the identification of new violations since September 30, 2001. HUD provided us with a list of new violations that had occurred between October 1, 2001 and June 6, 2002. We have enclosed a list of HUD's collections that have expired in Fiscal Year 2002, and it appears that there are a significant number of collections on the list of expired collections that were not reported to the Office of Management and Budget (OMB). While some of these collections were likely allowed to expire because data collection activities have ceased, a substantial proportion of the list appears to be in violation of the PRA.

As such, by December 20, 2002, we are asking HUD to report to OMB the status of each of the collections on the expired list. The response should indicate, for each collection, if the package has been discontinued or is still being collected in violation of the PRA. For those packages that have been discontinued, HUD should provide the date of discontinuation, after verifying with the program office that the information collection was actually discontinued on the date indicated and was not collected after that date. For those collections still in violation, HUD should follow the steps spelled out in the enclosed general memo to agencies to resolve those violations in the coming months, including publication of the Federal Register notices and submission of the collections to OMB by the dates indicated in the memo.

Given that HUD has continued to accrue violations even after our meeting in August with HUD's CIO and GC, I am asking HUD to take another look at its procedures, with an eye toward the guidance for avoiding violations set forth in our general memo to all agencies. I would like to meet with HUD officials again, by December 20, to discuss what reforms HUD plans to make to eliminate PRA non-compliance, and to receive an update on where HUD stands on the resolution of current violations. OMB is planning to convene a seminar to share agency "best practices" for compliance with the PRA. These seminars should assist HUD in planning further systematic reforms to assure improved compliance with the PRA in the very near future.

My staff and I look forward to working closely with HUD in the coming weeks to attain our goal of zero violations by April 1, 2003. Please let me or my staff know if we can be of any assistance in the interim in helping HUD to reach the performance goals that I have set for all agencies. Thank you for your continued attention to this important matter.

Sincerely,

A handwritten signature in cursive script that reads "John D. Graham". The signature is written in black ink and is positioned above the printed name and title.

John D. Graham, Ph.D.
Administrator

Enclosures