U.S. DEPARTMENT OF THE INTERIOR
OFFICE OF SURFACE MINING
RECLAMATION AND ENFORCEMENT
DIRECTIVES SYSTEM

Subject Number: REG-6

Transmittal Number: 756

Date: JAN 6 1993

Subject: Information Collection Request

Approval: [signature] Title: Director

1. Purpose. This directive provides a description of responsibilities and procedures for controlling the paperwork burden which the Office of Surface Mining Reclamation and Enforcement (OSM) imposes on the public and the responsibilities and procedures for the preparation and assembly of information collection clearance packages. The requirements prescribed in this directive are applicable to all OSM actions which will result in the collection of information from, or place recordkeeping requirements upon, the public.

2. Summary. This directive reflects the following changes to OSM Directive REG-6, dated 11/06/86:

a. Deletes information which is duplicated in the Departmental Information Collection Handbook (381 DM 12);

b. Provides a copy of the Handbook and an excerpt of 318 DM 2;

c. Updates the information collection requirements and procedures for requesting the Office of Management and Budget (OMB) approval through the Office of Program Analysis, Department of the Interior.

3. Definitions. All definitions found in the Information Collection Handbook (Appendix 1) and its respective appendices, specifically pages 5 through 8 of Appendix 1, apply to OSM's preparation of Information Collection documents.

4. Policy/Procedures.

a. Concept. Plans or forms proposed by OSM for conducting or sponsoring the collection of information upon an identical item from 10 or more persons or entities must be submitted to the Office of Information and Regulatory Affairs at OMB, for review and disposition. All rules of general applicability which contain collections of information are deemed to involve 10 or more respondents and therefore require approval by OMB.

b. Responsibilities.

(1) The Assistant Directors, through Division Chiefs, are responsible for appointing Originators to prepare information collection documents for submission to the Information Collection Clearance Officer (ICCO). The Assistant Directors are also responsible for informing the ICCO, on an annual basis, of any new rulemaking which may contain information collection requirements.

(2) The Chief, Division of Technical Services is the program official responsible for countersigning the SF-83.

(3) The Information Collection Clearance Officer is responsible for:

(a) Signing the SF-83;

(b) Disseminating to appropriate OSM program officials all instructions received from the Department relative to information collection;

(c) Responding to OSM program officials about the Paperwork Reduction Act and the information collection approval process;

(d) Reviewing all OSM clearance packages for Departmental and OMB guideline conformance;

(e) Providing appropriate OSM program officials a minimum of 6 months notice of an OMB information collection clearance expiration;

(f) Consolidating, reviewing and ensuring the accuracy and completeness of the annual OSM information collection budget submission;

(g) Monitoring approval requests throughout the year to ensure that requests do not cause OSM to exceed the OMB established allowances;

(h) Reviewing all proposed and final rulemaking documents to ensure accuracy of information collection statements, and that all information collection requirements have been submitted to OMB for approval;

(i) Providing advice and assistance in preparing new or updated supporting statements and conducting surveys or test collections;

(j) Providing training on information collection clearance procedures to OSM personnel as needed.

(k) Preparing the SF-83 and Federal Register notice for clearance packages;

(l) Preparing and delivering the entire clearance package to the Office of Program Analysis, Department of the Interior.

(m) Notifying the appropriate OSM officials of an OMB Clearance, the date of the clearance, the expiration date of the clearance, OMB comments, if any, concerning the clearance and any printing and notation requirements for approved forms.

(n) Requesting OMB to furnish a clearance number if OMB fails to notify OSM of an approval or denial within the 90 day review period.

(4) The Originator assigned to prepare and process the paperwork for an information collection requirement is responsible for:

(a) Developing, drafting and revising all collection plans and/or reporting forms;

(b) Conducting any surveys or test collections needed to refine information collections to minimize burden hours or determine burden costs, effects and utility (surveys or test collections may not include more than 9 respondents without OMB approval);

(c) Preparing the supporting statement for the information collection requirement in the format presented in Appendix 1, pages 28 through 34, of this directive;

(d) Preparing preamble and rulemaking language pertaining to information collection in the format presented in Appendix 2;

(e) Informing the ICCO of any impending regulatory changes with information collection ramifications (addition or deletion);

(f) Responding to all ICCO requests for data in connection with the annual OSM information collection budget submittal;

(g) Coordinating with the Office of the Solicitor as appropriate, and

(h) Forwarding the original or revised supporting statement, a copy of all required forms, a copy of the proposed and/or existing regulatory language, a copy of specific (if applicable) Surface Mining Control and Reclamation Act language requiring information collection, and a computer disk in OSM approved word processing format containing the supporting statement to the ICCO.

c. Procedures - Originator.

(1) Upon notification by the ICCO through Division Chiefs that an existing information collection requirement is scheduled for renewal, the Originator, in consultation with the ICCO, will proceed with the responsibilities outlined in paragraphs 4.b.(4)(a)-(c) and (e)-(h). The revised information collection clearance package is due to the ICCO no later than 5 months prior to the expiration of the existing OMB clearance.

(2) Upon notification by the ICCO that a proposed agency rulemaking will result in a new information collection requirement, the Originator, in consultation with the ICCO will proceed with the responsibilities outlined in paragraphs 4.b.(4)(a)-(h). The information collection clearance package for the new collection is due to the ICCO no later than the date the proposed rule is scheduled to enter surname or actually enters surname, whichever is later.

5. Reporting Requirements. An Information Collection Budget submittal to OMB is required annually. The timing of the submittal is subject to change on an annual basis. The ICCO will alert the appropriate officials of the submittal date once it is finalized.

6. Effects on Other Documents. This directive supersedes Directive Reg 6, Transmittal Number 298, dated 11/06/86.

7. References.

a. Departmental Manual 381 DM 12
b. Paperwork Reduction Act of 1980
c. Paperwork Reduction Reauthorization Act of 1986
d. 5 CFR Part 1320

8. Effective Date. Upon issuance.

9. Contact. ICCO, (202) 343-1475.

10. Keywords. Information Collection, Paperwork Reduction

11. List of Appendices.

Appendix 1 Information Collection Handbook 381 DM 12
Appendix 2 Departmental Draft Revision of 318 DM 2; Statements for Referencing Compliance with E.O. 12291, The Regulatory Flexibility Act, and The Paperwork Reduction Act

UNITED STATES
DEPARTMENT OF THE INTERIOR

INFORMATION COLLECTION HANDBOOK (381 DM 12)

OFFICE OF THE SECRETARY
Washington, D.C. 20240

FOREWORD

This revised Information Collection Handbook (381 DM) is issued to provide updated procedures for the preparation and assembly of clearance packages required for OMB approval of collections of information under the Paperwork Reduction Act. The Handbook has been revised extensively to simplify procedures and incorporate new requirements imposed by OMB. Adherence to these procedures will expedite their review and approval. Questions regarding the content of this Handbook may be directed to Bureau Information Collection Officers, who can also supply additional copies.

Oscar W. Mueller Jr.

Oscar W. Mueller, Jr.
Director, Office of Management Improvement

APR 25 1989

Date:

DEPARTMENT OF THE INTERIOR

DEPARTMENTAL MANUAL

INFORMATION COLLECTION HANDBOOK
(381 DM)

TABLE OF CONTENTS

1.1 Definitions. Definitions of terms related to information collection can be found in Appendix 1 to this chapter. These definitions are essential to understanding this Handbook and should be read carefully.

1.2 General Information Collection Guidelines. Unless the requesting bureau is able to demonstrate a specific statutory or programming requirement, OMB will not approve a collection of information:

A. Requiring respondents to report information more often than quarterly;

B. Requiring respondents to prepare a written response to a collection of information in fewer than 30 days after its receipt;

C. Requiring respondents to submit more than an original and two copies of any document;

D. Requiring grantees to submit or maintain information other than that required under OMB Circular A-102 or A-110;

E. Providing for remuneration of respondents, other than contractors or grantees;

F. Requiring respondents to retain records, other than health, medical, or tax records, for more than three years;

G. Unless the bureau has taken all practical steps to develop separate and simplified requirements for small businesses and other small entities;

H. Requiring respondents to submit proprietary, trade secret, or other confidential information, unless the bureau can demonstrate that it has instituted procedures to protect the information's confidentiality to the extent permitted by law;

I. Requiring respondents to maintain or provide information in a format other than that in which the information is customarily maintained; or

J. Unless the bureau demonstrates that it has considered reducing the burden on respondents by the use of automated collection techniques or other forms of information technology.

1.3 Requirements for Forms Used to Collect Information From the Public. Each form used to collect information from fewer than ten persons and which is required by law or in order to obtain a benefit, must be imprinted with a statement that OMB approval under the Paperwork Reduction Act is not required. Each form used to collect information from ten or more persons must be imprinted with the OMB approval number, the expiration date, Paperwork Reduction Act statement, and the estimated burden statement. As an interim measure, existing stocks of forms not imprinted with the required information may be used until depletion, if each form distributed to respondents is accompanied by an attachment containing the required information. In each case, at the next reprinting, the approval number, expiration date, Paperwork Reduction Act statement, and estimated burden statement must be added to the form or instruction sheet.

A. OMB Approval Number. The OMB approval number and the expiration date must be printed in the upper right corner.

B. Paperwork Reduction Act Statement.

(1) The form must be imprinted with the following statement:

Paperwork Reduction Act Statement

> This information is being collected to (enter reason), and will be used to (enter use). Response to this request is (enter one of the following: "voluntary. No action may be taken against you for refusing to supply the information requested;" "required to obtain a benefit in accordance with [enter the statutory citation of the requirement];" or "mandatory in accordance with [enter the statutory citation of the requirement])."

(2) The Paperwork Reduction Act Statement may be combined with the statement required by the Privacy Act (see 383 DM 4.7) if the reason, use, obligation to respond and nature of confidentiality are given, as outlined above.

(3) The statement should be printed in eight point or larger type. It should be placed on the face of the form, preferably in the upper right corner. If there is no room on the form and the completion instructions are provided on a separate sheet, the statement may be included at the beginning of the instructions.

C. Assurances of Confidentiality. If the information collected will be treated as confidential, the Paperwork

Reduction Act statement must include a description of the nature and extent of the confidentiality to be provided. The authority for confidential treatment must also be stated.

D. Estimated Burden Statement. Each form must include an estimated burden statement.

(1) Burden Estimates. Estimates of burden contained in the required statement must correspond to the estimates given in the clearance package submitted to OMB. (See Chapter 3, Appendix 2, Item 13.)

(2) Form of Statement.

(a) Some forms impose approximately the same burden on all respondents. Examples are simple permit applications used by individuals or nontechnical surveys. For forms of this type, the following statement should be used:

> Public reporting burden for this form is estimated to average XX hours per response, including the time for reviewing instructions, gathering and maintaining data, and completing and reviewing the form. Direct comments regarding the burden estimate or any other aspect of this form to [insert title and address of bureau ICCO]; and the Office of Management and Budget, Paperwork Reduction Project [insert the OMB approval number of the information collection], Washington, DC 20503.

(b) Burden for some complex forms may vary widely. Examples include complex permit forms or applications completed by firms or organizations. On forms of this type, the following statement may be used:

> Public reporting burden for this form is estimated to vary from XX to XX hours per response, with an average of XX hours per response, including time for reviewing instructions, gathering and maintaining data, and completing and reviewing the form. Direct comments regarding the burden estimate or any other aspect of this form to [insert title and address of bureau ICCO] and the Office of Management and Budget, Paperwork Reduction Project [insert the OMB approval number of the information collection], Washington, DC 20503.

(c) The exact wording of the statement may be changed if necessary to fit specific cases, for instance, substituting "minutes" for "hours." The statement should, however, follow the models as closely as possible.

(3) Placement of Statement. The estimated burden statement should be printed in eight point or larger type. The statement should be located either:

(a) On the face of the form immediately following the Paperwork Reduction Act statement; or

(b) If it is not possible to place the statement on the face of the form for reasons of design, then the statement must be placed with instructions that are attached to the form, immediately following the Paperwork Reduction Act statement. In the latter case, the statement must be printed in a typeface equal or superior to that used for the instructions.

(4) Required Followup Action. Each bureau ICCO will ensure that all comments received from the public in response to the estimated burden statement are discussed with the appropriate program officials and that a review is conducted to verify burden estimates in question and correct estimates as necessary. The ICCO will maintain a file of the comments received and documentation of action taken together with the file relating to the OMB approval (see 381 DM 12.14B).

1.4 Requirements for Rules Which Contain Collections of Information. If a rule includes a collection of information, the following items must be codified in a separate section (see 318 DM 2 for more details on preparation of this section):

A. The OMB approval number (but not the expiration date);

B. The Paperwork Reduction Act statement referred to in section 1.3B, above; and

C. The estimated burden statement referred to in section 1.3D, above. (Note: the words "collection of information" should be substituted for "form" in the sample statements.)

DEFINITIONS OF TERMS RELATED TO COLLECTION OF INFORMATION

The terms defined below are taken from 5 CFR 1320. The terms are used extensively in this Handbook and are essential to understanding the instructions it contains.

1. "Adjustment" means a change in the burden of a collection of information which is not the result of deliberate action by the Department or a Bureau. Examples of adjustments are: corrections of errors in burden estimates, reestimates of burden based on more accurate data, or changes in use because a different number of respondents decides to respond or make use of the collection of information instrument.

2. "Burden" means the total time, effort, or financial resources required to respond to a collection of information, including that needed to read or hear instructions; to develop, modify, or assemble any materials or equipment; to conduct tests, inspections, polls, observations, or the like, necessary to obtain the information; to organize the information into the requested format; to review its accuracy and the appropriateness of its manner of presentation; and to maintain, disclose, or report the information.

(a) The time and financial resources necessary to comply with a collection of information that would be incurred by persons in the normal course of their activities (e.g., in compiling and maintaining business records) will be excluded from the "burden" if the reporting or recordkeeping activities needed to comply are usual and customary.

(b) A collection of information that is also sponsored by a unit of State or local government is presumed to impose a Federal burden except to the extent the agency shows that the State or local requirement would be imposed even in the absence of a Federal requirement.

3. "Bureau" refers to bureaus and offices of the Department.

4. "Collection of information" or "information collection" means the obtaining or soliciting of information by a bureau

DEFINITIONS (Cont'd.)

from ten or more persons by means of identical questions, whether the collection is mandatory, voluntary, or required to obtain a benefit. The "obtaining" or "soliciting" of information includes any requirement or request for persons to obtain, maintain, retain, report, or publicly disclose information.

(a) A "collection of information" includes the use of written report forms, application forms, schedules, questionnaires, reporting or recordkeeping requirements, or other similar methods. Similar methods may include contracts, agreements, policy statements, plans, rules or regulations, planning requirements, circulars, directives, instructions, bulletins, requests for proposal or other procurement requirements, interview guides, disclosure requirements, labeling requirements, telegraphic or telephonic requests, and standard questionnaires used to monitor compliance with agency requirements.

(b) A requirement to obtain or compile information for disclosure to the public through posting, notification, labeling, or similar method is a "collection of information" whenever the same requirement would be a "collection of information" if the information were provided to the agency. The public disclosure of information originally supplied by the Federal Government to the recipient for disclosure to the public is not included within this definition.

(c) A collection of information contained in a rule of general applicability must be approved by OMB, even if there are fewer than ten respondents per year.

5. "Information" means any statement of fact or opinion, whether in numerical, graphic, or narrative form, and whether oral or maintained on paper, magnetic tapes, or other media.

"Information" does not generally include items in the following categories:

(a) Affidavits, oaths, affirmations, certifications, receipts, changes of address, consents, or acknowledgements, provided that they entail no burden other than that necessary to

DEFINITIONS (Cont'd.)

identify the respondent, the date, the respondent's address, and the nature of the instrument;

(b) Samples of products or of any other physical objects;

(c) Facts or opinions obtained through direct observation by an employee or agent of the sponsoring agency or through nonstandardized oral communication in connection with direct observations;

(d) Facts or opinions submitted in response to general solicitations of comments from the public, published in the Federal Register or other publications, provided that no person is required to supply specific information pertaining to the commenter, other than that necessary for self-identification, as a condition to the agency's full consideration of the comment;

(e) A request for facts or opinions addressed to a single person;

(f) Examinations designed to test the aptitude, abilities, or knowledge of the persons tested and the collection of information for identification or classification in connection with such examinations;

(g) Facts or opinions obtained or solicited at or in connection with public hearings or meetings; or

(h) Facts or opinions obtained or solicited through nonstandardized follow-up questions designed to clarify response to approved collections of information.

6. "Information collection allowance" refers to the annual allocation made by the Office of Management and Budget (OMB) to each agency for the collection of information from the public. The allowance is expressed in hours of burden which the agency may impose on the public.

7. "Information Collection Budget (ICB)" refers to the planning document required by OMB for information collection activities. The ICB is compiled every year based on instructions provided by OMB. Individual information collections are listed

DEFINITIONS (Cont'd.)

separately along with the estimated burden associated with each.

8. "OMB inventory" refers to the monthly list of approved collections of information published by OMB. The inventory lists burden hours and responses and is compiled from information submitted on SF 83.

9. "Person" means an individual, partnership,.association, corporation, business trust, or legal representative; an organized group of individuals, a state, territorial or local government or branch thereof, or a political subdivision of a State, territory, or local government. Current employees of the Federal Government are excluded from this definition for purposes of the collection of information within the scope of their employment.

10. "Program Change" means a change in burden resulting from the imposition, modification or revocation of a requirement imposed by the government, e.g. change in sample size, reporting frequency or amount of information required. Program changes are also referred to as either program increases or program decreases.

2.1 Purpose of Clearance Package. The Paperwork Reduction Act requires that any government agency wishing to collect information from ten or more people first obtain approval (clearance) of the requirement from the Office of Management and Budget (OMB). A clearance package provides OMB with the information it needs to decide if the collection is necessary and imposes the smallest possible burden. If these criteria are met, OMB will approve the collection of information and issue an approval number which must appear on or with the requirement.

2.2 Documents Required In Clearance Packages. Illustrations 1 and 2 to this chapter show the order in which the documents should be assembled. Submit an original and three copies, except where other requirements are indicated.

A. The following documents are required in all clearance packages:

(1) Standard Form 83 (SF 83), Request for OMB Review;

(2) Supporting Statement;

(3) Copies of the form or regulation containing the requirement. (Copies of the complete form or section of the regulation are required. Rulemaking documents which do not contain the complete text of the information collection are not acceptable.);

(4) Four copies of the Federal Register notice soliciting public comment (see item 6, below, and illustration 1 to this chapter);

(5) An envelope large enough to contain the entire package, addressed as follows:

Office of Information and Regulatory Affairs
Office of Management and Budget
Room 3201
New Executive Office Building
Washington, D.C. 20503

(6) A signed Federal Register notice soliciting public

comment on the information collection. The notice will be prepared in accordance with the format in Illustration 3 (if regular review by OMB is requested) or Illustration 4 (if expedited review is requested). The notice will be accompanied by two signed or certified copies. Four additional copies are required for attachment to the supporting statement in accordance with Illustration 1 of this chapter. The original and two certified copies required for publication in the Federal Register should be accompanied by an envelope addressed as follows:

Office of the Federal Register
NARA
Washington, D.C. 20408

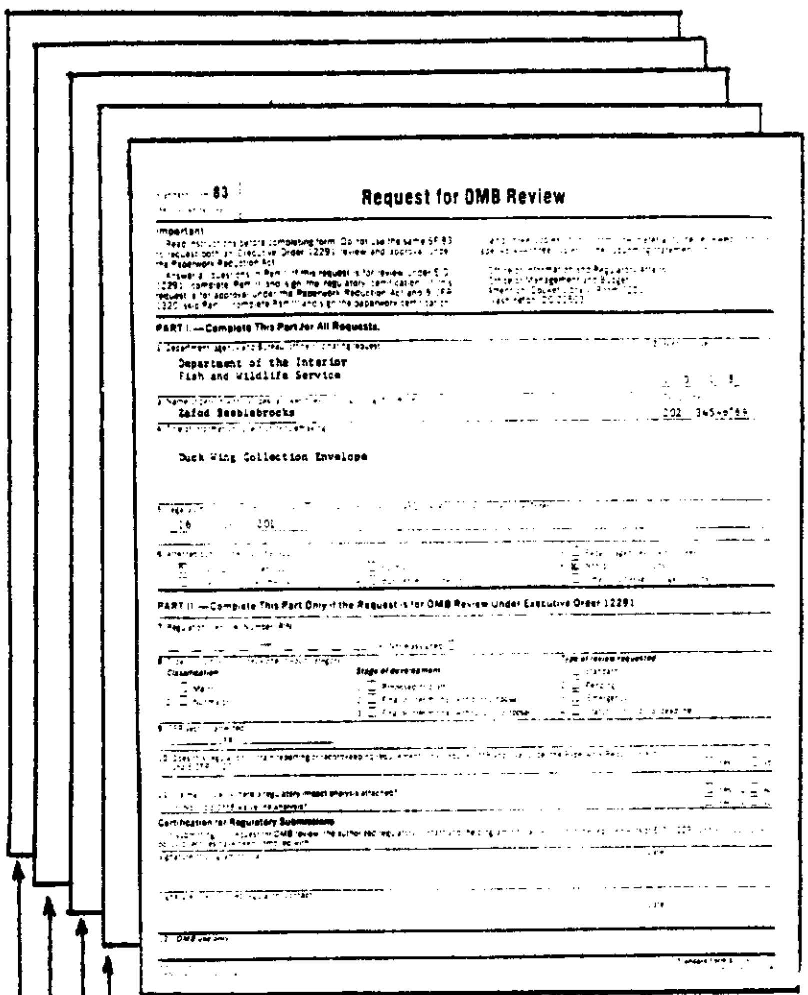
B. The following documents are required as indicated:

(1) Copies of collections of information (forms or regulations) which are being replaced must be part of any clearance package requesting clearance for a modification of an information collection which will result in a program change.

(2) Copies of statutory authority are required in the case of an information collection for which response is mandatory (see item 24 of SF 83 and the associated instructions in Appendix 1 to Chapter 3).

ASSEMBLY OF STANDARD FORM 83 AND REQUIRED ATTACHMENTS

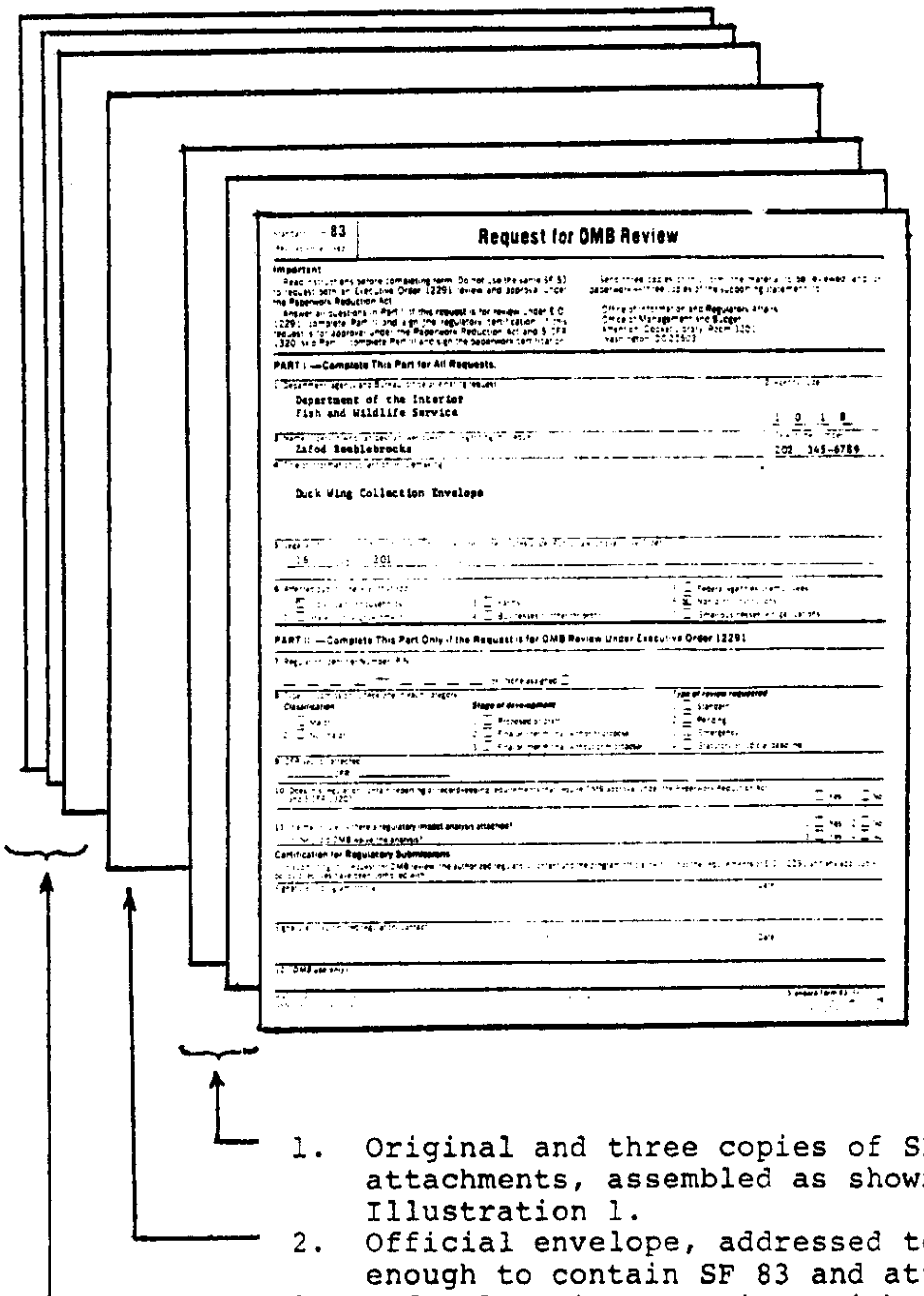
Each clearance package must contain an original and four copies of the SF 83 and attachments. Assemble each SF 83 and attachments as shown below. For instructions on combining these documents with the remainder of the package, see Illustration 2.



1. Standard Form 83
2. Supporting statement
3. Copy of the information collection (form, regulation, etc.)
4. Copy of the statutory authority (<u>only</u> if information collection is mandatory)
5. Copy of the Federal Register notice [see illustration 3 and paragraph 2.2 A (4)]

ASSEMBLY OF CLEARANCE PACKAGE AND REQUIRED ATTACHMENTS

Each clearance package will be assembled in the order shown below.



1. Original and three copies of SF 83 and attachments, assembled as shown in Illustration 1.
2. Official envelope, addressed to OMB and large enough to contain SF 83 and attachments.
3. Federal Register notice, with certified copies and envelope addressed to Office of the Federal Register.

FORMAT FOR FEDERAL REGISTER NOTICES PUBLISHED FOR INFORMATION COLLECTIONS FOR WHICH REGULAR (NON-EXPEDITED) APPROVAL IS REQUESTED

Notices should be typed double spaced in the format given below and may be signed by any official authorized to sign Federal Register notices. The text will remain the same in all cases. Each notice should list the items of information shown below. If an item is not applicable type "none" after the entry. An abstract is required in all cases. Confirm the billing code ("####-##" in the sample) and the OMB telephone number ("@@@-@@@-@@@@" in the sample) with the bureau ICCO. The eight digit OMB approval number ("****-****" in the sample) must be entered as part of the OMB address and in the body of the notice.

[####-##]

DEPARTMENT OF THE INTERIOR

Bureau of Indian Affairs

Information Collection Submitted to the Office of Management and Budget for Review Under the Paperwork Reduction Act

The proposal for the collection of information listed below has been submitted to the Office of Management and Budget for approval under the provisions of the Paperwork Reduction Act (44 U.S.C. Chapter 35). Copies of the proposed collection of information and related forms may be obtained by contacting the Bureau's clearance officer at the phone number listed below. Comments and suggestions on the proposal should be made directly to the bureau clearance officer and to the Office of Management and Budget, Paperwork Reduction Project (****-****), Washington, DC 20503, telephone @@@-@@@-@@@@.

Title: Buffalo Transport, 25 CFR 1211

OMB approval number: ****-****

Abstract: Respondents supply identifying information and data on number of buffalo transported, disposition of transported buffalo, and financial data necessary to determine eligibility

FORMAT FOR FEDERAL REGISTER NOTICES PUBLISHED FOR INFORMATION COLLECTIONS FOR WHICH REGULAR (NON-EXPEDITED) APPROVAL IS REQUESTED

for permit. This information allows the Bureau to determine if legal limits on the transfer of buffalo are being observed.

Bureau form number: 5-2981

Frequency: On occasion

Description of respondents: Individuals transporting buffalo across tribal lands

Estimated completion time: 1/2 hour

Annual responses: 402

Annual burden hours: 201

Bureau clearance officer: Ann M. Ployee 202-936-3236

DEC 20 1988

Abe Eurocrat
Chief, Branch of Buffalo Control

FORMAT FOR FEDERAL REGISTER NOTICES PUBLISHED FOR INFORMATION COLLECTIONS FOR WHICH EXPEDITED PROCESSING HAS BEEN REQUESTED

When expedited OMB review is requested in accordance with 381 DM 12.13, a Federal Register notice must be prepared in the format given below. The notice should be typed double spaced and may be signed by any official authorized to sign Federal Register notices. The text will remain the same in all cases. A copy of the actual information collection instrument (i.e., the form or the section of the regulation which contains the requirement) and any relevant instructions must be published as part of the notice, as must the date by which OMB approval is requested. Confirm the billing code ("####-##" in the sample) and OMB telephone number ("@@@-@@@-@@@@" in the sample) with the bureau ICCO. Enter the OMB approval number ("****-****" in the sample) as part of the OMB address and in the body of the notice.

[####-##]

DEPARTMENT OF THE INTERIOR

Minerals Management Service

Information Collection Submitted to the Office of Management and Budget for Review Under the Paperwork Reduction Act

The proposal for the collection of information reproduced below has been submitted to the Office of Management and Budget for approval under the provisions of the Paperwork Reduction Act (44 U.S.C. Chapter 35). An expedited review has been requested in accordance with the Act, since allowing for the normal review period would adversely affect the public interest for the reasons given below. Approval has been requested by August 5, 1988. Comments and suggestions on the proposal should be made directly to the bureau clearance officer listed below and to the Office of Management and Budget, Paperwork Reduction Project (****-****), Washington, DC 20503; telephone @@@-@@@-@@@@.

Title: Request for Reservoir MER

OMB approval number: ****-****

Abstract: Information is collected to obtain facts on reservoir characteristics and parameters. This information will be used to determine whether or not the reservoir is sensitive and to evaluate the lessee's request for approval of a maximum efficient

FORMAT FOR FEDERAL REGISTER NOTICES PUBLISHED FOR INFORMATION COLLECTIONS FOR WHICH EXPEDITED PROCESSING HAS BEEN REQUESTED

rate (MER) of production. This information collection currently has OMB approval. It is being modified to collect additional information required to conform to recent legislation and to increase the accuracy of MER determinations.

Reason for expedited review: To comply with a statutory deadline and because of the hardship which would be imposed on operators by failure to implement this new requirement before the end of the current quarter.

Frequency: On occasion

Description of respondents: Oil and gas lessees on the outer continental shelf requesting an MER.

Estimated completion time: 1 hour

Annual responses: 600

Annual burden hours: 600

Bureau clearance officer: Polly Nomial 703-936-5256

JUL 20 1988

Arthur Zoniwoop
Chief, Branch of Information Analysis

3.1 Completion of Standard Form 83.

A. General Requirements.

(1) Submit only one Standard Form 83 (SF 83) and copies with each clearance package. If several information collections are grouped together for one clearance, the data for all of the information collections in the group must be summarized on one SF 83.

(2) If OMB approval is being renewed for information collections having more than one OMB approval number, a separate SF 83, supporting statement, etc., must be completed for each approval number.

B. Specific Instructions. For instructions on completion of SF 83, consult the parts of this chapter listed below.

(1) Appendix 1. This contains item-by-item instructions (published by OMB as SF 83A) for completion of SF 83.

(2) Illustration 1. This is a sample of a correctly completed SF 83. It should be used, together with the instructions, as a model.

3.2 Completion of the Supporting Statement.

A. General Requirements.

(1) A supporting statement must be prepared for each information collection for which OMB approval is requested.

(2) When related information collections are combined in a single clearance package a separate supporting statement should be prepared for each information collection.

(a) The clearance package should include a summary sheet, listing each information collection and its responses, respondents, and burden hours, and the total for the entire package.

(b) If several items of the supporting statement are identical for each collection, these items may be included once following the summary sheet. The justification for each individual collection would then refer to these common items.

B. Specific Instructions. For instructions on completion of supporting statements, consult the parts of this chapter listed below.

(1) Appendix 2. This contains item-by-item instructions from SF 83A for composition and format of supporting statements.

(2) Illustration 2. This is a sample of a correctly completed supporting statement. It should be used, together with the instructions, as a model.

SAMPLE OF COMPLETED STANDARD FORM 83 (FRONT)

Portions of the form which are shaded in this sample will not be completed for information collections (this includes the lower signature block on the reverse).

Standard Form **83**
(Rev September 1983)

Request for OMB Review

Important

Read instructions before completing form. Do not use the same SF 83 to request both an Executive Order 12291 review and approval under the Paperwork Reduction Act.

Answer all questions in Part I. If this request is for review under E.O. 12291, complete Part II and sign the regulatory certification. If this request is for approval under the Paperwork Reduction Act and 5 CFR 1320, skip Part II, complete Part III and sign the paperwork certification.

Send three copies of this form, the material to be reviewed, and for paperwork—three copies of the supporting statement, to

Office of Information and Regulatory Affairs
Office of Management and Budget
Attention: Docket Library, Room 3201
Washington, DC 20503

PART I.—Complete This Part for All Requests.

1. Department/agency and Bureau/office originating request
Department of the Interior
Fish and Wildlife Service

2. Agency code
1 0 1 8

3. Name of person who can best answer questions regarding this request
Zafod Beeblebrocks

Telephone number
(202)345-6789

4. Title of information collection or rulemaking

Duck Wing Collection Envelope

5. Legal authority for information collection or rule *(cite United States Code, Public Law, or Executive Order)*
16 USC 201 , or

6. Affected public *(check all that apply)*
1 [x] Individuals or households
2 [ ] State or local governments
3 [ ] Farms
4 [ ] Businesses or other for-profit
5 [ ] Federal agencies or employees
6 [x] Non-profit institutions
7 [ ] Small businesses or organizations

PART II.—Complete This Part Only if the Request Is for OMB Review Under Executive Order 12291

7. Regulation Identifier Number (RIN)
or, None assigned [ ]

8. Type of submission *(check one in each category)*
Classification
1 [ ] Major
2 [ ] Nonmajor
Stage of development
1 [ ] Proposed or draft
2 [ ] Final or interim final, with prior proposal
3 [ ] Final or interim final, without prior proposal
Type of review requested
1 [ ] Standard
2 [ ] Pending
3 [ ] Emergency
4 [ ] Statutory or judicial deadline

9. CFR section affected
CFR

10. Does this regulation contain reporting or recordkeeping requirements that require OMB approval under the Paperwork Reduction Act and 5 CFR 1320? [ ] Yes [ ] No

11. If a major rule, is there a regulatory impact analysis attached? 1 [ ] Yes 2 [ ] No
If "No," did OMB waive the analysis? 3 [ ] Yes 4 [ ] No

Certification for Regulatory Submissions

In submitting this request for OMB review, the authorized regulatory contact and the program official certify that the requirements of E.O. 12291 and any applicable policy directives have been complied with.

Signature of program official | Date

Signature of authorized regulatory contact | Date

12. (OMB use only)

Previous editions obsolete
NSN 7540-00-634-4034

83-108

Standard Form 83 (Rev. 9-83)
Prescribed by OMB
5 CFR 1320 and E.O. 12291

SAMPLE OF COMPLETED STANDARD FORM 83 (REVERSE)

PART III.—Complete This Part Only if the Request is for Approval of a Collection of Information Under the Paperwork Reduction Act and 5 CFR 1320

13. Abstract—Describe needs, uses and affected public in 50 words or less "Migratory Birds" "Wildlife Management"

Information on the age, species, and sex and on the geographic distribution of the duck harvest from samples of hunters is needed for refuge use planning and to determine if new land acquisitions are necessary. The information will be used for better management of harvesting and land resources.

14. Type of information collection *(check only one)*

Information collections not contained in rules

1 [X] Regular submission
2 [ ] Emergency submission *(certification attached)*

Information collections contained in rules

3 [ ] Existing regulation *(no change proposed)*
4 [ ] Notice of proposed rulemaking (NPRM)
5 [ ] Final, NPRM was previously published
6 Final or interim final without prior NPRM
A [ ] Regular submission
B [ ] Emergency submission *(certification attached)*
7 Enter date of expected or actual Federal Register publication at this stage of rulemaking *(month, day, year)*: ____

15. Type of review requested *(check only one)*

1 [ ] New collection
2 [ ] Revision of a currently approved collection
3 [X] Extension of the expiration date of a currently approved collection without any change in the substance or in the method of collection
4 [ ] Reinstatement of a previously approved collection for which approval has expired
5 [ ] Existing collection in use without an OMB control number

16. Agency report form number(s) *(include standard/optional form number(s))*

3-9992

17. Annual reporting or disclosure burden

1 Number of respondents	500
2 Number of responses per respondent	1
3 Total annual responses *(line 1 times line 2)*	500
4 Hours per response	1
5 Total hours *(line 3 times line 4)*	500

18. Annual recordkeeping burden

1 Number of recordkeepers	
2 Annual hours per recordkeeper	
3 Total recordkeeping hours *(line 1 times line 2)*	
4 Recordkeeping retention period	years

19. Total annual burden

1 Requested *(line 17-5 plus line 18-3)*	500
2 In current OMB inventory	1,000
3 Difference *(line 1 less line 2)*	-500
Explanation of difference	
4 Program change	-250
5 Adjustment	-250

20. Current *(most recent)* OMB control number or comment number

1018-9999

21. Requested expiration date

Three years from approval

22. Purpose of information collection *(check as many as apply)*

1 [ ] Application for benefits
2 [X] Program evaluation
3 [ ] General purpose statistics
4 [ ] Regulatory or compliance
5 [X] Program planning or management
6 [X] Research
7 [ ] Audit

23. Frequency of recordkeeping or reporting *(check all that apply)*

1 [ ] Recordkeeping

Reporting

2 [X] On occasion
3 [ ] Weekly
4 [ ] Monthly
5 [ ] Quarterly
6 [ ] Semi-annually
7 [ ] Annually
8 [ ] Biennially
9 [ ] Other *(describe)*: ____

24. Respondents' obligation to comply *(check the strongest obligation that applies)*

1 [X] Voluntary
2 [ ] Required to obtain or retain a benefit
3 [ ] Mandatory

25. Are the respondents primarily educational agencies or institutions or is the primary purpose of the collection related to Federal education programs? [ ] Yes [X] No

26. Does the agency use sampling to select respondents or does the agency recommend or prescribe the use of sampling or statistical analysis by respondents? [ ] Yes [X] No

27. Regulatory authority for the information collection

43 CFR 125.9 ; or ____ FR ____ ; or Other *(specify)*: ____

Paperwork Certification

In submitting this request for OMB approval, the agency head, the senior official or an authorized representative, certifies that the requirements of 5 CFR 1320, the Privacy Act, statistical standards or directives, and any other applicable information policy directives have been complied with.

Signature of program official | Date
Chief - Branch of Duck Management | Bureau ICCO | FEB 29 1989

Signature of agency head, the senior official or an authorized representative | Date

U.S. GOVERNMENT PRINTING OFFICE : 1984 O - 433-469

COMPLETION OF STANDARD FORM 83

The instructions in this Appendix are taken from Standard Form 83-A, published by the Office of Management and Budget. Additional instructions and comments are in the right hand column.

Note: *Do not request review under E.O. 12291 and approval under the Paperwork Reduction Act and 5 CFR 1320 on the same SF 83.*

General Instructions

For requests for approval of a collection of information, complete Parts I and III (skip Part II), sign the Paperwork Certification and send three copies of the completed SF 83 and three copies of the supporting statement and forms, questions, or other instruments for which approval is requested, to OMB. The submission must include the revelant portion of any statute, regulation, handbook or other document that establishes a recordkeeping, reporting, or disclosure requirement, and copies of the notice submitted to the ***Federal Register*** informing the public that OMB approval is being sought.

← There are different copy requirements for the Department. (See Chapter 2)

Submissions for approval of a collection of information must be signed by the appropriate program official and by either the agency head, the Senior Official designated under the Paperwork Reduction Act and 5 CFR 1320.8, or that person's designee.

Requests should be submitted to:

Office of Information and Regulatory Affairs
Office of Management and Budget
Attention: Docket Library, Room 3201
Washington, DC 20503

← Requests are submitted through ICCO's and the Department. Provide an envelope large enough to contain the original and copies of the entire clearance package addressed to OMB.

COMPLETION OF STANDARD FORM 83
(Cont'd.)

Instructions for Part I

1. Department/Agency and Bureau/Office Originating Request.—Provide both the name of the department or agency and the name of the bureau or office within the department which is issuing the regulation or proposing the collection of information.

2. Agency Code.—OMB has assigned a four digit numerical code to each agency and will supply it upon request.

These numbers can be obtained from Bureau ICCO's.

3. and 4.—Self explanatory.

Item 4. Be certain the title is identical to that on the form or in the document requiring the collection of information. Titles used should be brief, but should provide a clear idea of what the survey, report form, rulemaking, or other document is about. A longer description should be provided in item 13.

5. Specific legal authority.—Cite title and section of the United States Code. If a regulation or a collection of information is authorized by more than one statute or section, cite the principal legal authority.

If a regulation or a collection of information is mandated or authorized by a law which has not yet been codified into the United States Code, cite the Public Law number. If a regulation or a collection of information is authorized only by Executive Order, cite the E.O. number.

6. Affected Public.—Check all categories that apply. Note that if a significant effect on small business is predicted, the Regulatory Flexibility Act requires agencies to evaluate alternatives to mitigate this impact and 5 CFR 1320.6(h) requires agencies to take all practical steps to develop separate and simplified collection of information requirements for small businesses and other small entities.

****

Instructions for Part II are not included, since this part is not completed for information collections

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COMPLETION OF STANDARD FORM 83
(Cont'd.)

Instructions for Part III

General Instructions

These instructions should be used in conjunction with 5 CFR 1320, which provides information on coverage, definitions, and other matters of procedure and interpretation under the Paperwork Reduction Act of 1980

Specific Instructions

13. Abstract.—Provide a statement of not more than 50 words covering the agency's need for the information, the uses to which it will be put, and a brief description of the respondents.

The first item in the abstract must be a minimum of two keywords selected from the current edition of the GAO Thesaurus. The keywords must be preceded and followed by quotation marks. Additional keywords, either from the thesaurus or devised by the originating program office, may be entered if desired. Contact your bureau ICCO for instructions on how to obtain a copy of the thesaurus.

14. Type of Information Collection.—Check only one category. If the collection of information is not explicitly set forth in a rule, check either 1 or 2. Regular submissions (1) are those which are reviewed under 5 CFR 1320.12. Emergency submissions (2) must include the certification required by 5 CFR 1320.17(a). In addition, agencies requesting emergency clearance must provide the information required by 1320.17(b) and (c). If the submission does not meet the requirements for an emergency clearance, the agency's Clearance Officer may ask the OMB Desk Officer for an expedited review.

An informal request for expedited review (see 381 DM 12.13) is considered a "regular" submission.

If the collection of information is explicitly set forth in a rule, check one of the categories 3 through 6. If it is in an existing regulation to which no change is proposed, check 3. If it is submitted with a Notice of Proposed Rulemaking (NPRM) under 5 CFR 1320.13, check 4. If it is contained in a final regulation for which an NPRM had been published, check 5. If the collection of information is contained in a final or interim final rule for which an NPRM had not been published, check 6A or 6B.

15. Type of Review Requested (check only one category).—

1. New.—If this collection of information has not previously been conducted or sponsored by the agency.

2. Revision.—If this collection of information is currently approved by OMB, and the agency wishes to make a substantive or material change in the collection, its burden estimate, or the use to which the information is to be put.

COMPLETION OF STANDARD FORM 83
(Cont'd.)

3. *Extension.*—If this collection of information is currently approved by OMB, and the agency wishes only to extend the approval past the currently assigned expiration date without making any other change in the collection of information or its burden estimate.

4. *Reinstatement.*—If this collection of information previously held OMB approval, but the approval has expired or was withdrawn before this submission was made.

5. *Existing collection in use without an OMB control number.*—If this collection of information is currently in use but does not have a currently valid OMB control number.

16. Agency Report Form Number(s).—Supply any identifying numbers or codes that the agency has assigned to the collection of information. If the instrument is a Standard or Optional Form, or is being proposed for such use, the submission to OMB by the agency must be through the General Services Administration (see 5 CFR 1320.15 for further information about this procedure).

17. and 18. Annual Reporting or Disclosure Burden, and Annual Recordkeeping Burden.—The definition of burden, and a discussion of burden elements, is contained in 5 CFR 1320.7(b).

See Chapter 1, Appendix 1, of this Handbook.

In general, burden includes, but is not limited to, the time required to:

- Read or hear any instructions;
- Generate the information;
- Process, compile, and review the information; and
- Record, disclose, or report the information.

For new information collections, burden estimates should be based on prior experience with similar activities, pretests, consultations with other agencies that have sponsored similar activities, or consultations with potential respondents. When the clearance request covers several information collections, obtain the answer to item 17.4 by dividing item 17.5 by item 17.3. Round off the answer to the nearest whole number.

No ranges are allowed.

18-4.—If the recordkeeping retention period is not specified as a number of years - for example, if records are to be retained for the life of a given machine - enter a point estimate (not a range) at 18-4, and explain the estimate in the supporting statement.

If several collections of information are submitted to OMB for approval in a single package (covered by an SF 83), describe the burden for each collection in the supporting statement, and provide an estimate of the burden for the entire submission at questions 17 and 18.

COMPLETION OF STANDARD FORM 83 (Cont'd.)

19. Total Annual Burden.—

1. Enter the sum of the annual reporting burden (17-5) and the annual recordkeeping burden (18-3) on this line.

2. Enter the burden (hours) currently approved by OMB for this collection of information.

- Enter zero (0) for any collection whose OMB approval has expired.
- Enter zero (0) for a new submission.

This figure comes from the inventory of approved information collections maintained by OMB, not the ICB. Contact your ICCO if you don't know the figure in the inventory.

3. Enter the difference between 19-1 and 19-2 on this line. The difference, if any, must be explained at lines 19-4 and/or 19-5.

Note that it is possible for the explanation of the figure in item 19.3 to be split between items 19.4 and 19.5. For instance, it is possible for the difference in item 19.3 to be 500 hours, of which 300 are a reestimate and 200 a program increase. In all cases, the figures in items 19.4 and 19.5 must add up to the figure in item 19.3.

To receive burden accounting credit for a program change, record adjustments as well as program changes, even if the net difference (item 19.1 minus item 19.2) is zero. For example, if 19.3 is "0", there could be a reestimate (item 19.5) of +50 hours and a program decrease (item 19.4) of -50 hours.

4. Program Change.—is a change in burden which is the result of deliberate action by the Government. Examples of program changes are:

- Adding, dropping, or changing questions.
- Changing the frequency of a collection of information.
- Requiring or requesting more, fewer, or different respondents to record, retain, disclose, or report information.
- Changing eligibility requirements for an assistance program in a way that changes the number of applicants or potential applicants for the benefit.

5. Adjustment.—is a change in burden which is not the result of deliberate agency action. Examples of adjustments are:

- Corrections of errors in burden estimates.
- Corrections of the record to provide an estimate of the burden for a collection of information currently in use without an OMB control number.
- Reestimates in burden due to factors outside the agency's control, such as population changes, a change in the number of firms in an industry, or a change in use because a different number of respondents decide to respond or to make use of the collection of information instrument.

20. Current (or most recent) OMB Control Number or Comment Number.—If the collection of information had previously received or now has an OMB control number or comment number, enter the number. If the collection has had different numbers, or has had both a control number and a comment number, enter the number that was most recently assigned.

Do not enter more than one number.

COMPLETION OF STANDARD FORM 83
(Cont'd.)

21. Requested Expiration Date.—Enter the month and year through which OMB approval is requested. The date should be no more than three years from the expected date of OMB approval. For "emergency" approvals submitted under the provisions of 5 CFR 1320.17 the requested date should not be more than ***90 days*** after the date of OMB's receipt of the agency's submission.

← It is acceptable to enter a time period rather than a date. For example "three years from date of approval." Three years is the maximum approval granted by OMB.

22. Purpose.—

1. Application for benefits.—Is a collection of information which a person completes in order to participate in, receive, or qualify for a grant, financial assistance, or other benefit (including employment) from a Federal agency or program.

2. Program evaluation.—Is a formal assessment, through objective measures and systematic analysis, of the manner and extent to which Federal programs achieve their objectives or produce other significant effects. It is used to assist internal agency management and policy making.

3. General purpose statistics.—Are data collected chiefly for use by the public or for general government use, without primary reference to the policy or program operations of the agency collecting the data. This category should also be used to indicate activities required to design, manage, or evaluate general purpose statistical programs.

4. Regulatory or compliance.—Are collections of information undertaken for the purpose of measuring or enforcing compliance with laws or regulations. The category includes collections of information incidental to regulation, such as applications for waiver and exemptions. Applications for licenses, certificates, and the like, are also included in this category.

5. Program planning or management.—Includes all collections of information (other than program evaluation and audits) relating to progress reporting and grants management, financial and supply management, procurement and quality control, and other collections of administrative information that do not fit in any other category. This category also includes surveys and other collections of information used to develop new regulations or to review existing regulations.

6. Research.—Refers to collections of information to further the course of scientific or medical research, rather than for a specific program purpose.

7. Audits.—Refers to collections of information conducted for the purpose of verifying the accuracy of accounts and records.

COMPLETION OF STANDARD FORM 83
(Cont'd.)

23. Frequency of Recordkeeping or Reporting.—

1.—If the collection of information request or requirement explicitly includes a recordkeeping requirement, check this item. If the collection of information also includes a disclosure or reporting component, check the appropriate item 2 through 9.

2 through 9.—For collections of information that involve reporting, check the frequency of reporting that is requested or required of a respondent. If the reporting is on "an event" basis, check "on occasion" (item 2). Also check item 2 for all disclosure requirements.

← For approval requests for more than one information collection, check as many choices as are appropriate. Note that the answer to this item should correspond to the answer for item 17.2 (e.g., two responses in item 17.2 means that "semi-annually" should be checked in item 23).

24. Respondent's Obligation to Reply.—

1. Voluntary.—Means that response is entirely discretionary and has no direct effect on any benefit or privilege for the respondent.

2. Required to obtain or retain a benefit.—Means that the response is elective, but is required to obtain or retain a benefit. This includes licensing and permit requirements.

3. Mandatory.—Means that the respondent must reply or face civil or criminal sanctions.

← Note that mandatory information collections are those for which there is a penalty for nonresponse.

If more than one status applies (for example, the first page of a form is mandatory but the second page is optional), check the box which corresponds to the strongest obligation to respond. (Mandatory is the strongest obligation, and voluntary is the weakest.)

25. Self explanatory.

26. Does the Agency Use Sampling to Select Respondents or Does the Agency Recommend or Prescribe the Use of Sampling or Statistical Analysis by Respondents?—Check "Yes" if information is collected from a subset of all potential respondents on the basis of a selection made by the agency, and the results are used to infer the characteristics of the whole from the sample. Also check "Yes" if the respondents are asked or required to use similar sampling or other statistical techniques in generating or collecting the information requested or required by this collection.

27. Regulatory Authority for the Information Collection.—If the regulatory authority is contained in an existing regulation, cite as specifically as possible to the principal section of the ***Code of Federal Regulations*** which states the requirement.

Signatures - The top line must be signed by an approving program official and the Bureau ICCO. The bottom line is reserved for the Department.

SAMPLE SUPPORTING STATEMENT

Supporting Statement for Grazing Permit Applications

A. Justification

1. 50 CFR 29.1, in accordance with section 401 of the Migratory Bird Hunting Stamp Act Amendment of June 15, 1935, (49 Stat, 383, 16 U.S.C., sec. 715) and U.S.C. 16, 668dd-ee (Administration of National Wildlife Refuge System), requires that the economic privilege of grazing livestock in any wildlife refuge area shall be authorized by permit only when the activity will not be incompatible with the purposes for which the refuge was established. Accordingly, Service policy (5 RM 17) requires that grazing uses and privileges granted to the public on refuges will be documented by properly executed permits. The information required of an applicant is needed to allow the refuge manager to determine the eligibility and selection priority of the applicant and terms necessary for resource protection.

2. The information will be used to determine the eligibility of an applicant, permit priorities, and terms necessary for resource protection. The name, address, and telephone number of the applicant are needed to identify and communicate with the individual or entity. A description of the grazing privileges desired, including number, ownership, and class of cattle and season of use, is needed to assess activity and develop resource protection requirements. Information about applicant experience and equipment, with references, is requested to support the applicant's ability to carry out the terms of the permit. Information needed to establish permit priority for previous refuge permittees, former owners or tenants of refuge lands, resident neighbors, and veterans is requested. Age (or status as minor head-of-family) is requested of individual applicants to establish permit eligibility. Failure to collect this information would mean that access to Federally owned grazing land could not be controlled and would lead to overgrazing and destruction of natural resources.

3. This information is unique to each applicant and grazing situation. Respondents are individuals who apply for permits on an as-needed basis. For these reasons, it is not practical for respondents to supply the information by computer, or for the Service to automate its processing of responses.

4. No similar information pertaining to refuge lands is collected by the Service or by other Federal agencies.

5. Since circumstances vary with each situation in which grazing privileges are requested, there is no available information which can be used in lieu of that supplied on each application.

SAMPLE SUPPORTING STATEMENT

6. The only small organizations from which information is collected are incorporated ranches or farms, or livestock associations. As in the case of individual applicants, information requested is limited to the minimum necessary to establish eligibility, priority, and terms for resource protection.

7. Permits are issued in response to requests from applicants. Information collection will occur at the time of application. The frequency of collection can therefore not be reduced.

8. Guidelines in 5 CFR 1320.6 are not exceeded.

9. During preparation of this permit, public meetings were held in Kumquat, Washington and Ocean View, Kansas. Concerns raised at these meetings resulted in the elimination of questions asking the permittee's net worth and total number of acres devoted to non-livestock uses. Comments were also sought from the National Grazing League and American Federation of Range Users. None were received.

10. Not applicable. No confidential information is solicited.

11. Not applicable. No sensitive questions are asked.

12. The total cost to the Federal Government of renewing and processing grazing permit applications is estimated at $21,000 (or approximately $15 per application). Cost to respondents is estimated at $10 each, or a total of $14,000, based on an estimated cost of $20 per hour for time spent searching for required information and completing the form. These estimates are based on current experience with the application.

13. It will take an average of 30 minutes (0.5 hours) for an applicant to supply the needed information. This includes time needed to read and understand instructions. Information is already maintained by the owners as part of their normal course of business and needs only to be transferred to the application. Service experience indicates that about 1400 applications for grazing permits will be made each year. Based on trial completion of the form by Service employees and conversations with nine representative respondents, estimated completion time for an average response was changed from 1.35 hours to a more accurate completion time of 1/2 hour per response. This has resulted in a total burden 500 hours less than that requested for this information collection in the FY 1988 information collection budget. A further reduction of 200 hours is due to eliminating the items requesting the permittee's net worth and the total

SAMPLE SUPPORTING STATEMENT

number of acres devoted to non-livestock uses. The table below summarizes these reductions.

1400	Hours requested in FY 1988 ICB
-500	Hours due to reestimate of completion time
-200	Hours due to elimination of items requested
700	Hours requested on SF 83

14. There are currently 1200 hours in the OMB inventory for this collection. Since the inventory was last updated, there has been an increase of 200 respondents due to a greater demand for grazing in refuges. The difference between this figure and the 700 hours requested on SF 83 is explained below:

1200	Hours in OMB inventory
-500	Hours due to reestimate of response time
+200	Hours due to change in number of respondents
-200	Hours due to program change
700	Hours requested on SF 83

15. This is an ongoing information collection with no ending date and no plans for publication. Information is collected as grazing permit requests are made, usually on a seasonal basis.

B. Collection of Information Employing Statistical Methods

This section is not applicable. Statistical methods are not employed.

INSTRUCTIONS FOR SUPPORTING STATEMENTS

The instructions in this Appendix are taken from Standard Form 83A, published by the Office of Management and Budget.

General Instructions

A supporting statement must accompany each request for approval of a collection of information. The statement must be prepared in the format described below, and all statements must contain the information specified in Section A below. If an item is not applicable, provide a brief explanation. If Section B does not apply, indicate that the collection does not employ statistical methods.

Specific Instructions

A. Justification.—Requests for approval shall:

1. Explain the circumstances that make the collection of information neccessary. Include identification of any legal or administrative requirements that necessitate the collection.

A copy of the appropriate section of each statute and of each regulation mandating or authorizing the collection of information should be attached to the supporting statement.

2. Indicate how, by whom, and for what purpose the information is to be used and the consequence to Federal program or policy activities if the collection of information was not conducted.

This should be a detailed explanation which justifies the need for specific items of information being requested. Experience has shown that insufficient information in this item is a frequent cause of statements being returned by OMB for additional work. The level of detail in this item must be comparable to that in the sample contained in Illustration 2. Specific references to form items/numbers and/or CFR citations must be provided to facilitate comparison of the justification with the actual requirement. Restating or describing the requirement without explaining the need for the information is not sufficient.

3. Describe any consideration of the use of improved information technology to reduce burden and any technical or legal obstacles to reducing burden.

4. Describe efforts to identify duplication.

5. Show specifically why any similar information already available cannot be used or modified for use for the purpose(s) described in 2.

6. If the collection of information involves small businesses or other small entities, describe the methods used to minimize burden.

7. Describe the consequence to Federal program or policy activities if the collection were conducted less frequently.

8. Explain any special circumstances that require the collection to be conducted in a manner inconsistent with the guidelines in 5 CFR 1320.6.

These guidelines are reprinted in section 1.2 of this Handbook.

INSTRUCTIONS FOR SUPPORTING STATEMENT

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

Consultation with representatives of those from whom information is to be obtained, or those who must compile records, should occur at least once every three years -- even if the collection of information activity is the same as in prior periods. There may be circumstances that mitigate against consultation in a specific situation. These circumstances should be explained in the supporting statement.

← For information collections contained in rules, include a discussion of comments received as part of the rulemaking process. (Include only comments relating to the collection of information requirements.)

In the supporting statement, provide:

a. The names and telephone numbers of those consulted and the year in which the consultation took place. Indicate the agencies, companies, State or local governments, or other organizations represented by those consulted.

b. A summary of any major problems that could not be resolved during consultation.

← If the list of persons consulted runs to several pages, a summary of representative individuals and organizations may be provided.

c. A description of other public contacts and opportunities for public comment, and a summary of the comments received.

10. Describe any assurance of confidentiality provided to respondents and the basis for the assurance in statute, regulation, or agency policy.

← If the basis for the assurance is the Privacy Act, provide the number of the Privacy Act system of records (e.g., NPS-14).

11. Provide additional justification for any questions of a sensitive nature, such as sexual behavior and attitudes, religious beliefs, and other matters that are commonly considered private. This justification should include the reasons why the agency considers the questions necessary, the specific uses to be made of the information, the explanation to be given to persons from whom the information is requested, and any steps to be taken to obtain their consent.

12. Provide estimates of annualized cost to the Federal Government and to the respondents. Also provide a description of the method used to estimate cost, which should include quantification of hours, operational expenses (such as equipment, overhead, printing, and support staff), and any other expense that would not have been incurred without the paperwork burden.

INSTRUCTIONS FOR SUPPORTING STATEMENT

13. Provide estimates of the burden of the collection of information. The statement should:

- Provide number of respondents, frequency of response, annual burden, and an explanation of how the burden was estimated. Unless directed to do so, agencies should not make special surveys to obtain information on which to base burden estimates. Consultation with a few potential respondents is desirable. If the burden on respondents is expected to vary widely because of differences in activity, size, or complexity, show the range of estimated burden, and explain the reasons for the variance.
- If the request for approval is for more than one form, provide burden estimates for each form for which approval is sought and summarize the burdens on the SF 83. If only one form is submitted, you need not duplicate the information entered on the SF 83.
- If the proposed collection of information was not included in the agency's Information Collection Budget (ICB) or if the burden shown on the SF 83 is different from that in the ICB, explain the difference.

These estimates must correspond to those in item 19 of the SF 83.

This is very important, especially where program changes are claimed. Explain the specific reasons (e.g., elimination of questions, increase in number of respondents) for changes.

14. Explain reasons for changes in burden, including the need for any increase.

Explain the reason for changes from the burden currently listed in the OMB inventory. Note that the burden in the inventory is often different from that listed in the ICB. Where this is the case, items 13 and 14 will use different figures (see the example in Illustration 2). Copies of the current OMB inventory are available from bureau ICCO's.

15. For collections of information whose results are planned to be published for statistical use, outline plans for tabulation, statistical analysis, and publication. Provide the time schedule for the entire project, including beginning and ending dates of the collection of information, completion of report, publication dates, and other actions.

B. Collections of Information Employing Statistical Methods.—Descriptions of collections of information submitted for approval that employ statistical methods shall contain the following information. References to stratification may be ignored if that technique is not used.

Respond to the questions in this section of the supporting statement only if information is collected from a subset of respondents which is selected by the bureau and the results are used to infer characteristics of the whole from the sample.

If the collection of information does not employ statistical methods, so indicate.

If the collection employs statistical methods:

1. Describe (including numerical estimate) the potential respondent universe and any sampling or other respondent selection method to be used. Data on the number of entities (e.g., establishments, State and local government units, households or persons) in the universe covered by the collection and in the corresponding sample are to be provided in tabular form for the universe as a whole and for each of the strata in the proposed

INSTRUCTIONS FOR SUPPORTING STATEMENT

sample. The tabulation should also indicate expected response rates for the collection as a whole. If the collection had been conducted previously, the actual response rate achieved during the last collection should be noted.

2. Describe the procedures for the collection of information including:

- Statistical methodology for stratification and sample selection,
- Estimation procedure,
- Degree of accuracy needed for the purpose described in the justification,
- Unusual problems requiring specialized sampling procedures, and
- Any use of periodic (less frequent than annual) data collection cycles to reduce burden.

3. Describe methods to maximize response rates, and to deal with issues of nonresponse. The accuracy and reliability of information collected must be shown to be adequate for intended uses.

For collections based on sampling, a special justification must be provided for any collection that will not yield "reliable" data that can be generalized to the universe studied.

4. Describe any tests of procedures or methods to be undertaken.

Testing is encouraged as an effective means of refining collections of information to minimize burden and improve utility. Tests must be approved if they call for answers to identical questions from ten or more respondents. A proposed test or set of tests may be submitted for approval separately or in combination with the main collection of information.

5. Provide the name and telephone number of individuals consulted on statistical aspects of the design and the name of the agency unit, contractor(s), grantee(s), or other person(s) who will actually collect and/or analyze the information for the agency.

DRAFT REVISION

STATEMENTS FOR REFERENCING COMPLIANCE WITH E.O. 12291, THE REGULATORY FLEXIBILITY ACT, AND THE PAPERWORK REDUCTION ACT

I. E.O. 12291 and the Regulatory Flexibility Act.

A. The following statement should be used in preambles to indicate whether rules are major rules under E.O. 12291 and whether rules have significant economic effects on a substantial number of small entities under the Regulatory Flexibility Act (5 U.S.C. 601 *et seq*.). NOTE: The reasons for the determination and certification *must* be provided in addition to the statement (see 318 DM 2.2, 318 DM 6.5 and 318 DM 6.6).

> The Department of the Interior has determined this document (is/is not) a major rule under E.O. 12291 and certifies this document (will/will not) have a significant economic effect on a substantial number of small entities under the Regulatory Flexibility Act (5 U.S.C. 601 *et seq*.).

B. If the Office of Management and Budget (OMB) exempts a rule from the regulatory impact analysis provisions or all of the provisions of E.O. 12291 (Sec. 8(b)), the date and nature of the exemption will be provided instead of the statement of effects. If a rule qualifies as an exemption under the emergency, statutory or judicial deadline provisions (Sec. 8(a)), the provisions of 318 DM 6.7B(1) and (2) apply.

II. Paperwork Reduction Act. The following statements should be used to indicate whether rules contain collections of information which require OMB approval under the Paperwork Reduction Act (44 U.S.C. 3501 *et seq*.). (See 318 DM 2.2, 318 DM 2.3 and 381 DM 12.) NOTE: All rules of general applicability which contain collections of information are deemed to involve ten or more respondents, therefore approval by OMB is *mandatory*.

A. When a rule does not contain collection of information requirements, the following statement should be used in the preamble:

> This rule does not contain collections of information which require approval by the Office of Management and Budget under 44 U.S.C. 3501 *et seq*.

B. When newly developed collections of information are submitted to OMB for approval prior to or simultaneously with a proposed rule, the following statements will be used:

Preamble - The collections of information contained in this rule have been submitted to the Office of Management and Budget for approval as required by 44 U.S.C. 3501 et seq. The collection of this information will not be required until it has been approved by the Office of Management and Budget.

and

Public reporting burden for this collection of information is estimated to average (xx) hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing the burden, to [insert title and address of bureau ICCO]; and the Office of Management and Budget, Paperwork Reduction Project [insert OMB approval number of the collection of information], Washington, DC 20503.

or

Public reporting burden for this collection of information is estimated to vary from (xx) to (xx) hours per response, with an average of (xx) hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing the burden, to [insert title and address of bureau ICCO] and the Office of Management and Budget, Paperwork Reduction Project [insert OMB approval number of the collection of information], Washington, DC 20503.

C. When collections of information have been approved by the OMB, the following statements will be used:

Preamble - The collections of information contained in this rule have been approved by the Office of Management and Budget under 44 U.S.C. 3501 et seq. and assigned clearance number (cite number).

Text - The collections of information contained in (cite section[s]) have been approved by the Office of Management and Budget under 44 U.S.C. 3501 et seq. and assigned clearance number (cite number). The information will be used to (enter use). Response is (enter one of the following: "voluntary. No action may be taken against you for refusing to supply the information requested;" "required to obtain a benefit in accordance with [enter the statutory citation of the requirement];" or "mandatory in accordance with [enter the statutory citation of the requirement])."

and

Public reporting burden for this information is estimated to average (xx) hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing the burden, to [insert title and address of bureau ICCO]; and the Office of Management and Budget, Paperwork Reduction Project [insert OMB approval number of the collection of information], Washington, DC 20503.

or

Public reporting burden for this collection of information is estimated to vary from (xx) to (xx) hours per response, with an average of (xx) hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing the burden, to [insert title and address of bureau ICCO];

and the Office of Management and Budget, Paperwork Reduction Project [insert OMB approval number of the collection of information], Washington, DC 20503.

(NOTE: Each rule containing a collection of information must contain at least the basic statement of compliance with the Paperwork Reduction Act, as outlined above. If a rule contains the basic statement of compliance, but not the burden estimate or request for comments, it is not necessary to amend the rule solely to insert or update the latter information. However, the burden estimate and request for comments will be inserted or modified at the next occasion on which the rule is amended.)