

INFORMATION COLLECTION BUDGET

**OF THE
UNITED STATES
GOVERNMENT**



FISCAL YEAR 2001

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

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The Fiscal Year 2001 Information Collection Budget

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Executive Summary

The President has said he wants the government to give the people more options, and fewer orders. He has said the government should respect the people and answer to them. As the Administration approaches its responsibilities under the Paperwork Reduction Act (PRA), it should use these authorities to implement the President's objectives.

There is a lot of work that needs to be done. The Federal Government is losing, not gaining, ground in its efforts to control its imposition of reporting requirements on the public. For FY 2001, Federal agencies anticipate an increase in total Federal paperwork burden of 1.1 percent (an increase of over 82 million hours of effort). And this increase is not something new. Federal paperwork burden has increased 8 out of the last 10 years, imposing ever increasing burdens on the American consumer, employee, business, and, most of all, taxpayer.

Who is causing this increase in burden? There are lots of culprits. No session of Congress is complete without several hundred new statutes, creating new programs and reports to Congress. Expanding existing Federal programs and undertaking new legislative initiatives invariably calls for more, not less, data collection. Federal agencies themselves have many competing responsibilities. They often subordinate paperwork burden reduction to other needs, when they should be paying more attention to their PRA responsibilities. For example, agency Chief Information Officers (CIOs) often focus on information technology investments, and leave the development of new forms and the collection of data to the program offices, who almost invariably need more data collection to meet their program needs.

The Office of Management and Budget (OMB) also needs to strengthen its oversight of the agency CIOs and agency development of forms and other kinds of data collection. OMB plans to ensure that the heads of agencies include the Paperwork Reduction Act (PRA) as an integral part of their management strategies, and to encourage CIOs to give the PRA clearance process more attention. OMB will also work harder to coordinate its review of agency information collections with its oversight responsibilities over other aspects of information resource management, such as IT planning, privacy, information dissemination, and computer security. Too often, CIO staff responsible for information collections do not work closely enough with other CIO staff, and OMB should work to encourage that cooperation.

The Information Collection Budget. OMB prepares an annual report to keep Congress and the public informed of major activities under the PRA. This report, the Information Collection Budget (ICB), describes Federal efforts to improve the quality of services delivered to the public by improving the efficiency and effectiveness of Federal information collections. It also highlights agencies' efforts to reduce the time the public spends on Federal information collections and promotes further reductions by giving agencies examples of practical approaches that other agencies have used successfully. This ICB also complies with a statutory reporting requirement incorporated into the FY 2001 Consolidated Appropriations Act on the effectiveness of the PRA.

Since the PRA authorizes appropriations for the Office of Information and Regulatory Affairs through this fiscal year, this Congress will likely reconsider the PRA. The Administration looks forward to presenting its views through the normal legislative process and hopes to work closely with Congress as it considers proposals to improve the effectiveness of the PRA.

Summary of the ICB. Chapter 1 of this ICB acknowledges that the Federal government has again failed to meet the statutory goals set forth in the PRA. It describes some of the institutional difficulties that have prevented burden reduction in the past and emphasizes that more can be done to reduce the paperwork burden on the public. The Administration recognizes the potential for great improvement, but real progress will require the combined efforts of the Federal agencies, OMB, and Congress.

Chapter 2 presents the ICB totals for the Federal government and for each of the 27 agencies that participated in the ICB process. Its tables, developed in consultation with the agencies, identify changes during FY 2000 and expected changes during FY 2001 due to agency actions and new statutory mandates.

Chapter 3 responds to the statutory requirement to report to Congress on the effectiveness of the PRA with respect to rulemaking. This reporting requirement is part of the Consolidated Appropriations Act for Fiscal Year 2001 (Public Law 106-554).

Chapter 4 gives specific examples of changes occurring during FY 2000 or expected for FY 2001 due either to new statutory mandates or agency actions. These examples highlight agency efforts to streamline and reduce information collections from the public. They also demonstrate that the information collection needs of the Federal government are not static, but constantly change to reflect new statutory and policy priorities.

The ICB has two appendices, the first of which describes the ICB totals and how they were derived. The second appendix, as required by the PRA, lists all known violations of the PRA and agency efforts at compliance.

Chapter 1. The Challenge of Meeting Paperwork Burden Reduction Goals

The Paperwork Reduction Act of 1995 (PRA) directs the OMB Director to set “an annual governmentwide goal” for the reduction of information collection burdens — 10 percent each for FY 1996 and FY 1997, and 5 percent each for FY 1998–2001. The Federal government target for FY 2001 does not meet these burden reduction goals. As described in Appendix A, the aggregate of the individual agency goals for FY 2001 is an increase of 1.1 percent. As has been in the case for the last 20 years, with the exception of the first goal established for FY 1981–1982, the Federal government has not minimized burden imposed on the public to the extent envisioned by the PRA and its predecessor statutes.

It has become an aphorism that we live in an information age. The corollary is that the government continues to collect more and more information rather than less. Whether it is in pursuit of national security, the economic well-being of the nation, tax collection, or the protection of public health and safety or the environment, the inevitable response of the Federal government is to collect information to assist in carrying out its responsibilities.

This response must be tempered. For example, while information technology has given the Federal government the ability to manage more and more information, it has not automatically led to improvements in information collections or burden reduction. It makes no sense to collect electronically information that should not be collected on paper. Nor can making a plain paper form electronic be a substitute for the comprehensive review required by the PRA. The purpose of that review is to ensure that the information collected by the government is the minimum necessary and that it imposes the minimum burden on the public.

The government is making progress, but much more work needs to be done. In the Information Collection Budget that follows, OMB documents examples of agencies working to update and improve their information collection activities. As the Federal government moves closer and closer to fully electronic interactions with the public, each information collection must be scrutinized to ensure the practical utility of that information and to minimize the burden on the public. The Administration will continue this work to reduce the burden the Federal government imposes on its citizens in fulfilling its need for information.

Annual Paperwork Burden Reduction Goals

In 12 of the past 20 years, the PRA and its predecessor statutes have set annual paperwork burden reduction goals—either 5 or 10 percent annually. These goals have served as a catalyst for agencies to

Table 2.1
Past Paperwork Burden
Reduction Goals

Year	Statutory PRA Goal	ICB Target
FY 1981		-4.0%
FY 1982	-15%	-12.8%
FY 1983	-10%	-8.4%
FY 1984	—	-6.5%
FY 1985	—	-3.3%
FY 1986	-5%	-3.11%
FY 1987	-5%	-1.73%
FY 1988	-5%	-3.51%
FY 1989	-5%	-0.75%
FY 1990	—	-0.93%
FY 1991	—	-0.13%
FY 1992	—	+0.65%
FY 1993	—	+0.27%
FY 1994	—	+0.54%
FY 1995	—	+0.61% [†]
FY 1996	-10%	-0.77% [†]
FY 1997	-10%	-1.83% [†]
FY 1998	-5%	+0.96%
FY 1999	-5%	+2.6%
FY 2000	-5%	+2.5%
FY 2001	-5%	+1.1%

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

reduce paperwork burdens, and have been implemented through the process by which OMB, in consultation with the agencies, develops the annual Information Collection Budget.¹

President Carter initiated this process with his 1979 Executive Order which required each agency to establish an annual information collection budget. In the Paperwork Reduction Act of 1980, Congress codified the Information Collection Budget process initiated by President Carter, requiring OMB to send Congress each year a report that included “an analysis by agency ... describing the estimated reporting hours required of persons” by Federal collections of information and a “summary of accomplishments and planned initiatives to reduce burdens” of these collections.² The Act implements these statutory goals by instructing the OMB Director to establish specific governmentwide paperwork burden reduction goals each year.

With this statutory authority, OMB developed, and continues to use, the annual Information Collection Budget as a tool for eliminating needless reporting requirements, minimizing duplication, streamlining forms, and facilitating comprehensive executive review of agency information collection efforts. However, since the 1980 PRA took effect, the aggregate of the agencies’ annual goals has met the statutorily set governmentwide goal only once — for FY 1981–1982. (See table 2.1.)

Agency Annual Goals Fail to Reach the Governmentwide Goal. In developing changes to the PRA in 1995, the Congress and the Executive Branch realized that the impetus for information collection burden reduction has to come from those agencies and programs most familiar with the information collections themselves. Thus, the 1995 PRA gave the direct responsibility for managing its information resources to each

agency’s Chief Information Officer (CIO). OMB and the CIOs together establish “annual agency goals” to reduce paperwork burden on the public to the “maximum practicable” extent “in each agency.” However, these reductions in paperwork burden must be consistent with the agency ability to carry out its statutory and program responsibilities. The 1995 PRA specifically charges OMB with the responsibility of weighing the burden of an information collection on the public against the practical utility it will have for the agency.

Given the importance of collecting information to the implementation of agency programs, any changes to data collections require thorough evaluation of their effects. In the past, these evaluations have indicated a need for more, not less, information to carry out a given agency responsibility. In a number of years, for

¹ See, generally, the FY 1998 Information Collection Budget of the United States Government, Chapter 2, “Historical Origins of the Information Collection Budget.”

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

example, agencies (both individually and as an aggregate whole) have increased their collection of information in order to carry out their statutory and program responsibilities. Thus, the aggregate of the agencies' annual goals — the sum of the “maximum practicable” reductions that the agencies can achieve — may not, and as a general matter does not, total to the “governmentwide goal.”

Balancing Burden Reduction Against Agency Needs and Performance of Government

Missions. The 1995 PRA in its core paperwork-review provisions recognizes that, for a burden reduction target to be “practicable,” the target must be consistent with the ability of agencies to carry out their statutory and program responsibilities. While an underlying goal of the 1995 PRA is to minimize Federal paperwork burden on the public³ it also affirms the importance of information to the successful completion of agency missions and charges OMB with the responsibility of weighing the burdens of information collection on the public against the practical utility it will have for the agency. Specifically, the 1995 PRA provides that “[b]efore approving a proposed collection of information, the [OMB] Director shall determine whether the collection of information by the agency is necessary for the proper performance of the functions of the agency, including whether the information shall have practical utility.”⁴

The 1995 PRA directs OMB to evaluate an agency's need for information as balanced against the various statutory criteria included in the 1995 PRA. If an information collection that an agency submits for OMB review meets the practical utility, burden, and other PRA criteria for approval, OMB will approve it in accordance with the PRA, notwithstanding the effect of this approval on burden reduction targets. OMB does not have the authority under the 1995 PRA to disapprove the collection of information simply because an approval would cause the agency to exceed the agency's paperwork burden reduction goal stated in the ICB or the Federal government to exceed the statutory goals.

The PRA's annual reduction goals are extremely ambitious. In fact, in retrospect, of course, it would have been virtually impossible for the Federal government to achieve all of the goals over the last 20 years. The goals do encourage agencies to target burden reduction. However, had the goals been achieved, the Federal government would be collecting only about 40% of the information it did in 1980. Given the continued expansion of Federal responsibilities and the growth of the nation over the last 20 years, these goals in the aggregate are well beyond what is reasonably achievable.

Agencies Collect More, Not Less, Information

The Federal Need for Information. Burden reduction cannot be planned in a vacuum. Developing a strategy to reduce burden on the public requires a knowledge of the missions that Congress has given each agency and the agency's chosen means to carry out its mission. Only with a complete understanding of the agency's responsibilities can OMB and the agency CIOs establish and meet reasonable agency burden reduction targets.

The Federal Government affects the American people through taxes, spending, and regulation. These activities include spending on education, training, and health care, regulation of the environment, financial systems, and the workplace, and taxation of income, products, and estates. To carry out all of these responsibilities carefully and effectively, the Federal Government collects information. As noted above,

³ 44 U.S.C. 3501(1).

⁴ 44 U.S.C. 3508.

Federal agencies must balance their reliance on information, and the associated burden imposed on the public, against the policy objectives they pursue to meet the needs of the American people.

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

Tax Collection. The Treasury Department (specifically, the Internal Revenue Service (IRS), Customs Service, and the Bureau of Alcohol, Tobacco, and Firearms (ATF)) collects over \$1.6 trillion in individual and business income taxes, tariff duties, user fees, excise taxes, registration fees, license fees, and other assessments that fund the Federal programs that protect and support Americans. It is well known that the Federal Government collects information to verify compliance with the Internal Revenue Code and other statutes. The Federal tax system, in particular, involves a large amount of self-reporting and recordkeeping by individual and business taxpayers, which the IRS relies on to verify and collect the correct amount of income tax. As a whole, the Treasury Department is responsible for over 80 percent of all information collection and recordkeeping conducted or required by the Federal Government.

Treasury has been working diligently to ensure it collects only the information it needs, and Treasury is working continuously to simplify the tax forms where it can. But the complexity of the Tax Code means that Treasury's need for information is extremely large and net burden continues to increase.

The burden of the tax code grows each year for several reasons. It increases due to growth in the economy. Higher employment and more businesses means more taxpayers. Moreover, changes to the tax code, whether to raise or lower tax revenue, have tended to make tax compliance more complex and thus to impose more burden on the public. For example, a single tax relief measure, the Taxpayer Relief Act of 1997 imposed an additional 174 million hours of burden on the public annually according to Treasury.

Treasury is unable on its own to redesign the tax code to minimize burden. However, it has been making efforts to improve its administration of the tax laws to reduce the time the public spends working on taxes. For example, last year, Treasury transferred 2 million taxpayers from the 1040 to the simpler 1040A, which reduced overall burden by 2.4 million hours. Treasury also continues to work on electronic filing to make the public's task easier and less likely to result in errors.

Other Regulatory and Compliance Reporting. Tax forms are not the only type of regulatory and compliance reporting. Non-Treasury regulatory and compliance reporting constitutes roughly 70 percent of the remaining information collection activity of the Federal Government. The Federal Government collects information to verify compliance with Federal requirements by individuals, businesses, educational and nonprofit institutions, and State and local governments. The Federal Government also requires individuals, firms, and other entities to retain information or to disclose information to demonstrate compliance. This information can be collected through reporting requirements, distributed to third-parties through disclosure requirements, or simply maintained by respondents through recordkeeping requirements.

Occasionally, an agency will engage in a comprehensive review of a regulatory program. It is through these reviews that burden from these collections is most often reduced. Reductions, where they occur, tend to happen not by the elimination of existing programs but rather through a significant reexamination

of a program's function and implementation. For example, FTC maintained its requirement that makers and sellers of textiles provide content and country of origin information to consumers, but streamlined the requirements, reducing burden. While these efforts are sometimes the result of the periodic PRA review, they are more likely initiated because of pressure to improve the entire program and are generally more effective in this context. For this reason, any Administration regulatory reform efforts will have paperwork burden reduction as one of its goals.

The PRA processes help to ensure that unnecessary burden is not imposed on the public in the first place. In the meantime, however, the burden of these programs tend to grow as well, because these programs apply to entire categories of people or businesses, regardless of the number of respondents. Continued economic growth and population growth bring greater numbers into these programs, requiring more information. Agencies also continue to implement new programs, either by legislative mandate or to meet statutory program goals.

Application for Benefits. This category of information collection includes the administration of social welfare programs, management of entitlement programs (e.g., the Federal disability and retirement systems), grants and loans, contract procurement, and the request for a license or permit from the Federal government. In the aggregate, these reporting requirements constitute roughly 26 percent of the non-Treasury information collection activity of the Federal government.

As with regulatory or compliance reporting, agencies generally have limited scope to examine these programs strictly in the context of reducing burden. Some collections are required by statute to provide benefits, meaning that the total burden relies heavily on the number of qualified applicants. Some collections are necessary to the administrative functioning of an agency's program, such as with grant and procurement management.

The most common strategy for reducing the burden of these collections is through the redesign and streamlining of application forms. For example, a number of agencies that provide loans to the private sector, such as the Department of Agriculture and the Small Business Administration, have created "low doc," or lower documentation, forms for applicants requesting loans below a certain threshold. This reduces burden on smaller applicants without exposing the Federal government to significant additional risk.

Program Management and Evaluation. The Federal government collects information to help manage, evaluate, and plan Federal programs. This involves activities such as developing new program strategies, making decisions about program operations, and assessing the efficiency or effectiveness of existing programs. These activities constitute about three percent of the non-Treasury information collection activity of the Federal government.

With the increased emphasis on performance standards and customer service, as required by the Government Performance and Results Act of 1993 (GPRA), agencies are conducting a greater number of information collections of this type. In many cases, OMB, Congress, and the agency Inspector Generals, dismayed by a lack of data, are recommending even more surveys. Given this pressure, agencies must work to minimize the burden of these new surveys and to ensure that they do not duplicate existing surveys. One means of burden reduction, though technically demanding, uses statistical sampling methods to reduce the number of customers surveyed without sacrificing the accuracy of the results.

General Purpose Statistics. While the most well-known and comprehensive Federal collection of statistical information may be the Decennial Census, there are many other such data collections. These constitute about one percent of the non-Treasury information collection activity of the Federal government. Most are mandated by statute, so the agencies work to minimize burden by improving their methodologies and paring down the information collections. One notable recent success was that the 2000 Decennial Census, despite the increase in population, imposed less burden on the public than the 1990 Decennial Census. The Department of Commerce and other statistical agencies, working with OMB, are continuously working to ensure that the burden of these regular collections is kept to a minimum without jeopardizing the reliability of the data.

Research. Collections of information involving research are those designed to test a hypothesis, permit conclusions to be drawn, and thereby develop or contribute to generalizable knowledge. These constitute substantially less than one percent of the information collection activity of the Federal government. These projects, once initiated, are rarely the target of burden reduction efforts since changing the collection in the middle jeopardizes the results. Instead, agencies work to minimize the burden of the collection when they design the research project

Agency Barriers. Each Federal agency is generally in the best position to identify potential targets in its programs for burden reduction, and burden reduction efforts work best when the entire agency works together towards that goal. But there are many reasons that agencies have not pursued burden reduction as vigorously as they could.

In general, agencies have many competing responsibilities. For the typical Federal agency, paperwork burden reduction is a secondary responsibility. Too often, agencies believe that the principles of the PRA conflict with their statutory missions and program responsibilities. Instead, agencies should understand that the PRA encourages sound management and balanced consideration of all factors and is entirely compatible with their need to perform their duties.

OMB continues to work with agencies to ensure that they understand the PRA and its purposes. The Information Technology Management Reform Act of 1996 (ITMRA), established the Chief Information Officer (CIO) and placed responsibility for the PRA with the CIO. The benefits of making burden reduction the responsibility of a single, high-level agency official, however, have not been realized. The CIO in most agencies is focused on his or her responsibilities for information technology investments. PRA burden reduction efforts remain under served and frequently lack the CIO's support. While this prioritization has reflected the need for the Federal government to keep up with the public's expectations for electronic service delivery, it means that the CIO focuses on burden reduction through automation. As noted above, however, these savings are often illusory without a significant reexamination of the program's fundamental business processes and information needs. OMB plans to continue instructing the CIOs on their role under the PRA and to reinforce their authority to bring about these fundamental changes.

OMB must also work with the CIOs to improve the quality of the ICB as a planning tool. Too often there is a fundamental disconnect between the process by which OMB approves information collections and the planning process behind the ICB. Agency program staff tend to pay attention to the principles of the PRA only when directly faced with the approval process. Instead of developing new policies with the PRA in mind, they remember the PRA at the end of the program planning process and only then involve

the CIO's PRA staff. This limits the ability of the CIO to use the ICB process to manage information resources and plan burden reduction efforts.

OMB is only successful when the CIO is able to carry out the PRA responsibilities to reduce paperwork burden. In fact, the only time agencies seem to be able to reduce burden effectively is when the head of the agency decides to do so. Witness, for example, during the previous Administration, the only years for which the target for burden went down was immediately following passage of the PRA of 1995 and during the Administration's three year effort to reduce burden by 25%. Without that kind of leadership, the CIOs fail to engage program staff and must rely on repetitive reassurances that all that can be done has been.

OMB will improve its oversight of the CIOs and the agencies. Specifically, OMB plans to ensure that the heads of agencies include the PRA as an integral part of their management strategies, and to encourage CIOs to give the PRA paperwork clearance process more attention. OMB also plans to offer greater training and guidance to the CIO staff on proper PRA implementation. In addition, OMB will work with agencies to ensure that they do not make the same mistakes in reorganization that they did eight years ago when they eliminated the centralized expertise in the PRA.

OMB will also work harder to coordinate the review of information collections with its oversight responsibilities over other aspects of information resource management, such as IT planning, privacy, dissemination, and computer security. Too often, CIO staff responsible for information collections do not work closely enough with other CIO staff, and OMB should work to encourage that cooperation.

Legislative Responsibilities. In order to reduce the burden of information collections on the public, the Executive Branch needs the help of Congress. No session of Congress is complete without several hundred new statutes and a series of appropriations bills, complete with new programs and reports to Congress. These new legislative initiatives and amendments to existing laws typically require more, not less, data collection.

In FY 2001, agencies anticipate they will impose a net increase of 35 million burden hours due to the passage of new statutes. For example, the Gramm-Leach-Bliley Act (calling for disclosure of information by and to various financial and business institutions) will require 12 million hours of reporting burden, the Wireless Communications and Public Safety Act of 1999, 11 million hours, and the Safe Drinking Water Act (1996), 2 million hours. In FY 2000, changes to new statutes increased the Federal reporting burden by one percent (73 million hours), and in FY 1999, burden increased by 2.4 percent. The Taxpayer Relief Act of 1997 helped taxpayers financially, but is estimated to have increased reporting burden by 64 million hours in FY 1998, by 97 million hours in FY 1999, and 13 million hours in FY 2000. The Small Business Job Protection Act of 1996 increased reporting burden by 4.3 million hours in FY 1998. The Family Medical Leave Act has imposed over 645 thousand hours of reporting burden each year since it passed, in 1993.

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

Legislation can reduce burden, too. For example, the Taxpayer Relief Act of 1997 eliminated the need for a form to report gains made on home sales, eliminating over 4 millions hours of burden. Short of

eliminating programs, Congress can also achieve burden reduction with targeted reform. The Economic Development Administration Reform Act of 1998 gave DOC the authority it needed to streamline its application process and eliminate duplication. Agencies need to help Congress identify these kinds of legal impediments to burden reduction and work to eliminate them. OMB should ask agencies to identify statutory impediments to burden reduction and other technical fixes that can help improve agencies' information resources management, and recommend these changes to Congress.

Sometimes, however, Congressional desire to remedy a problem limits the ability of OMB and the agencies to adhere to the principles of the PRA. For example, the Livestock Reporting Act of 1999 precisely proscribed a series of new mandatory information collections and required implementation in a relatively short time frame. The statute requires up to 3 reports a day from livestock packers and importers. In total, a single packer may be required to submit over 10,000 individual pieces of information daily. Upon receiving the information, USDA has 1 hour to organize and aggregate the large quantities of data into reports that can be readily understood. USDA and OMB have no ability to ensure the practical utility of the information, including its usefulness in remedying the Congressionally-identified problem, and to balance it against the burden imposed on the industry. Nor is there any scope for burden reduction. OMB encourages Congress to refrain from specifying detailed information collections in statute and to preserve each agency's ability to explore all possible options to solve the problems Congress identifies. This would ensure that the agency and OMB have a full opportunity to evaluate each information collection as the PRA requires and balance the burden imposed on the public against the value of each piece of information.

In addition to passing laws that increase the level of Federal paperwork burden, Congress imposes its own reporting requirements on Federal agencies as well. The Consolidated Appropriations Act of 2001, for example, requires agencies to prepare and submit over 75 reports to Congress. This Act also included over 25 provisions requiring that private citizens and entities report information to Federal agencies. Even when Congress seeks to eliminate reporting requirements on Federal agencies, there has been a tendency to restore certain reporting requirements. The Federal Reports Elimination and Sunset Act of 1995 provided for the elimination of many statutory reporting requirements on May 15, 2000. But, during the 106th Congress, Congress reimposed over 250 of these reporting requirements.

In addition, Congress often does not have the information available to it to evaluate clearly the impact on paperwork burden of its actions. Unlike fiscal policy, where OMB and CBO evaluate bills for their budgetary impact, or Unfunded Mandates, where Congress has in place procedures to specifically consider the impacts on state and local governments, there is no specific consideration of paperwork burden during the legislative process. Even harmless sounding amendments can make a huge difference. Congress could develop its own expertise to evaluate potential information collection burdens and develop a means of encouraging an open debate on the relative benefits of new collections. OMB can help Congress more fully understand the impacts of their legislative proposals on burden. CIOs are already responsible under the PRA for evaluating the impact of legislation on information collections. OMB can request this specifically in its development of Administration positions and inform Congress as appropriate.

Public Involvement. A primary problem with the PRA in general is the lack of general understanding of the PRA and how it applies both to agency management and to the public in general. The public protection clause of the PRA (44 U.S.C. 3612) is extremely potent, granting a member of the public broad protections against an agency that has failed to comply with the PRA. Unfortunately, too many members of the public are reluctant to use to the PRA to protect themselves, partially because they do not

understand the Act, partially because they are not confident that they will not be penalized for raising the issue. The public should avail itself of the rights that PRA provides, including the ability to ask OMB directly whether a person can be penalized for failing to comply with an information collection request.

The public is also reluctant to exercise the public protections when applying to the government for benefits. For example, between 1992 and 1997, the State Department had not obtained PRA approval for the form Americans use to apply for a passport. However, few people were willing to challenge the requirement to complete the form because they knew that refusing to do so would delay their getting a passport.

OMB relies on the public protection clause because it is the only statutory sanction against the agency for failing to comply with the PRA. When the public does not use it, OMB must rely on persuasion to bring about compliance. It is clear that this has not been enough.

The public also does not take full advantage of their ability to participate in the information collection process. For the vast majority of collections reviewed, neither the agency nor OMB have received comments. The addition in 1995 of an additional 60-day comment period to the approval process has not accomplished its stated goal of increasing public participation. It has increased the agency costs of compliance (both in time and money) without a corresponding improvement in Federal performance.

The public is the primary beneficiary of the PRA, and its failure to engage fully on the issue of information collections can be disheartening. While this failure does not negate the positive impact of the PRA, it does make reducing burden on the public more difficult. Better efforts to educate and communicate with the public are needed.

OMB. Numerous suggestions have been made over the years to improve implementation of the PRA and ensure continued efforts to reduce burden. While OMB is often the focal point of these suggestions, improvements will require a cooperative effort between OMB, the agencies, and Congress. In addition to the possibilities mentioned above, OMB is also considering improving its outreach.

OMB has made improvements in informing the public of violations of the PRA, including in the Information Collection Budget a list of violations for the previous year, and listing recent expirations on its website. OMB is working to develop a new information system that will be able to provide more information to the public about approved and expired information collection. As noted above, however, these efforts will only work if the public becomes more aware of their legal remedies under the PRA.

Towards that goal, OMB can increase its efforts to inform the public and agencies about the PRA and its principles and procedures. OMB's current regulations implementing the PRA are complex and difficult to read, and OMB has not issued final guidance to the public or the agencies. OMB can work to redraft its regulations to be easier to read and understand, and as necessary issue guidance explaining the PRA. OMB could also try other means of outreach to encourage greater public participation. OMB will explore these options and take action in the near future.

The obstacles to governmentwide burden reduction are high, perhaps in some cases insurmountable. But continued efforts by OMB, Federal agencies, and Congress can at least ensure that the information collection burden imposed on the public remains as small as possible.

Chapter 2. Information Collection Budget of the Federal Government for FY 2000 and FY 2001

Hours Needed for Information Collection Activities for FY 1999 and FY 2000

The Information Collection Budget (ICB) reports the hours needed for Federal information collection activities and the changes from year-to-year. Table 1.1 shows the estimated number of hours the public spent on Federal information collections as the end of FY 1999.

The first column of the table shows the total hours needed by the 27 Federal agencies that impose the greatest burden. The second column shows the “Changes Due to Agency Action” for each agency in FY 2000. These are intentional changes to an agency’s information collection activities that resulted from a specific agency action but were not directly related to a new statutory mandate.⁵ Examples of this kind of change would be creation of an electronic application system, streamlining or redesigning a form, or creating a new survey. The third column shows the change due to agency actions as a percentage of the burden for FY 1999 corrected for lapses in OMB approval.⁶

The fourth column show the “Changes Due to New Statutes” for each agency for FY 2000. These are changes to an agency’s information collection activities resulting from or required by a recently-passed statute. For example, this would include applications for a new benefit or loan program established by statute or a new reporting requirement specifically detailed in statute. The fifth column shows the change due to new statutes as a percentage of the burden for FY 1999 corrected for lapses in OMB approval.

Table 1.1 does not show all of the factors which contributed to the change in total hours between FY 1999 and FY 2000. Table A.1 in appendix A has a more complete breakdown for FY 2000.

Over 80% of the Federal total is conducted by the Department of the Treasury (including all Federal tax and revenue reporting and recordkeeping imposed by the Internal Revenue Service and the Customs Service). Efforts to improve the efficiency of the tax collection system through increased use of information technology have been relatively successful and are continuing. However, IRS continues to impose greater and greater burden on the public as it works to implement the frequent and significant amendments to the tax code. As a result, the hours needed by the public to complete information

⁵ “Changes Due to Agency Action” do not include changes due to a lapse of OMB approval, the expiration or reinstatement of a continuing information collection.

⁶ See Appendix A for an explanation of the correction.

collections by the Department of the Treasury increased by 123 million. In addition to paying \$2 trillion in taxes to the Treasury, taxpayers spend an estimated 6.2 billion hours to fill out IRS forms and other paperwork.

For FY 2000, agencies reported over 73 million hours of increase in paperwork burden due to new statutory mandates. Treasury had the largest statutory increases, 51.7 million hours, with the Department of Health and Human Services (HHS) and the Department of Labor (DOL) imposing over 10 million hours and 2 million hours respectively. Some statutes, such as the Mammography Quality Standards Reauthorization Act of 1998, affected one agency, HHS, causing 3.3 million hours of its statutory increase. Other statutes, like the Gramm-Leach-Bliley Act, changing disclosure requirements for financial services companies, require a number of agencies to take action. In this case, the Treasury, the

Table 1.1: FY 2000 Information Collection Totals
(millions of hours)

	FY 1999 Total Hours Needed	FY 2000 Changes Due to Agency Action		FY 2000 Changes Due to New Statutes	
Departments					
Agriculture	67.68	0.79	1.1%	0.13	0.2%
Commerce*	7.21	0.31	4.2%	0.34	4.7%
Defense	111.73	0.30	0.3%	0.04	0.0%
Education	42.07	(0.56)	-1.3%	0.41	1.0%
Energy	4.48	0.06	1.9%	0.00	0.0%
Health and Human Services	164.35	1.59	1.0%	10.35	6.3%
Housing and Urban Development	19.75	(0.26)	-2.0%	0.00	0.0%
Interior	4.36	0.53	9.9%	0.05	1.0%
Justice	36.59	0.56	1.6%	0.32	0.9%
Labor	195.95	(0.42)	-0.2%	2.01	1.0%
State	28.85	0.20	0.7%	0.01	0.0%
Transportation	140.00	(0.05)	0.0%	0.05	0.0%
Treasury	5,909.07	71.60	1.2%	51.68	0.9%
Veterans Affairs	5.27	(0.21)	-3.6%	0.77	13.5%
Agencies					
EPA	118.91	1.94	1.6%	0.95	0.8%
FAR	23.42	(0.11)	-0.5%	(0.00)	0.0%
FCC	32.49	(5.63)	-17.3%	0.50	1.5%
FDIC	7.97	0.01	0.1%	0.29	3.6%
FEMA	4.97	0.02	0.5%	0.47	10.1%
FERC	3.98	(1.64)	-42.9%	0.00	0.0%
FTC	126.56	(4.91)	-3.9%	4.03	3.2%
NASA	7.34	0.20	2.7%	0.00	0.0%
NSF	4.74	0.01	0.1%	0.00	0.0%
NRC	9.51	0.05	0.5%	0.00	0.0%
SEC	76.56	0.26	0.3%	0.74	1.0%
SBA	1.67	0.01	0.4%	0.00	0.0%
SSA	21.22	0.59	2.7%	0.02	0.1%

* The program changes for the Department of Commerce excludes the hours needed by periodic collections such as the Decennial Census. The hours needed for these activities are listed in appendix A.

Federal Deposit Insurance Corporation (FDIC), the Federal Trade Commission (FTC), and the Securities and Exchange Commission (SEC) attributed over 5.2 million hours of increased burden to this Act.

As seen in Table 1.1, agency Chief Information Officers (CIOs) reported a variety of changes in estimated hours needed due to agency actions between FY 1999 and FY 2000. Among the cabinet departments, the Department of Veterans Affairs reported the greatest percentage reduction due to agency actions (-3.6%). The Department of the Interior (+9.9%) and the Department of Commerce reported the greatest increases, (+9.9%) and (+4.2%). For the independent regulatory commissions, the Federal Energy Regulatory Commission (FERC) and the Federal Communications Commission (FCC) reported the greatest percentage reductions due to agency actions, (-42.9%) and (-17.3%).

Agency Accomplishments in FY 2000

Federal Agencies continue to collect large amounts of information from the public. However, under the Paperwork Reduction Act and other processes, some programs have been reexamined to find ways to either reduce the amount of information collect or improve the way they collect information. Some notable agency accomplishments are listed below.

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

- Environmental Protection Agency (EPA) amended its rules implementing the Resource Conservation and Recovery Act (RCRA) to reduce the number of Boiler and Industrial Furnaces that need to report and keep records, reducing burden on these facilities by over 130,000 hours.
- FCC reduced burden on local exchange carriers (LECs) by reducing the amount of information they need to provide in order to request a change in the access fees they charge to other telecommunications companies. This change reduced burden on LECs by over 1.7 million hours.
- FTC reduced burden on makers and sellers of textiles by streamlining requirements to disclose content and country of origin information to customers. This change reduced burden on this industry by 6 million hours.

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

- The Department of Agriculture (USDA) has created a “low-doc” loan application for their Farm Loan Program. This form, which can be used for loans under \$50,000 or for recurring operating loans, requires significantly less time and information than their regular loan application, reducing the burden on small farmers by over 16,000 hours.
- The Department of Labor (DOL) estimates that it reduced burden on the public by over 300,000 hours by streamlining and simplifying its Form 5500. This form is used by businesses to document their employee benefit plans.

- The Department of the Treasury's Internal Revenue Service transferred 2 million taxpayers from the 1040 to the simpler 1040A, which reduced the burden by 19.7 million hours for the 1040 and increased the burden by 17.3 million hours for the 1040A. The overall burden reduction was 2.4 million hours.

Agencies are changing the way they do business, incorporating information technology into their own work and allowing the public to their existing IT systems to communicate with the agencies' systems.

- USDA created an automated version of the form it uses to administer the Noninsured Crop Disaster Assistance Program, reducing the amount of time it takes the public to apply by almost 850,000 hours.
- DOL changed their rules to allow employers to distribute employee benefit plan disclosures electronically, reducing burden by over 170,000 hours.

Chapter 3 has a more complete description of these and other significant changes in information collection activities for FY 2000 and FY 2001.

Expected Hours Needed for Information Collection Activities for FY 2001

Table 1.2 presents the expected changes in FY 2001. The columns in this table are analogous to the columns in Table 1.1. Table A.2 in appendix A gives a more detailed breakdown of the projected changes in the next two years. As in years before, Treasury is responsible for over 80 percent of the information collection burden of the Federal Government.

The largest anticipated percentage decreases due to agency actions come from NASA (-17.7%) through continued streamlining of its procurement processes. The largest percentage increases due to agency actions in FY 2001 come from FDIC (+24.6%), due to its proposed rule on Fair Credit Reporting, and HHS (+13.6%), mostly due to its new regulation on shell eggs.

For FY 2001, agencies reported almost 35 millions hours increased burden due to new statutory mandates. FCC expects its burden to increase by a third (almost 11 million hours) due to implementation of the Wireless Communications and Public Safety Act of 1999. The Treasury Department expects an additional 12.8 million hours of burden due mostly to continued implementation of the Gramm-Leach-Bliley Act.

**Table 1.2: FY 2001 Information Collection Totals
(millions of hours)**

	FY 2000 Total Hours Needed	FY 2001 Expected Changes Due to Agency Action		FY 2001 Expected Changes Due to New Statutes	
Departments					
Agriculture	75.19	2.50	2.9%	1.59	1.8%
Commerce*	7.99	0.53	6.7%	0.02	0.3%
Defense	93.62	(0.24)	-0.3%	0.10	0.1%
Education	41.98	(0.62)	-1.5%	0.03	0.1%
Energy	2.92	(0.06)	-1.4%	0.00	0.0%
Health and Human Services	173.71	23.97	13.7%	0.84	0.5%
Housing and Urban Development	12.46	(0.04)	-0.2%	0.02	0.1%
Interior	5.64	(0.21)	-2.8%	0.00	0.0%
Justice	36.82	0.28	0.8%	0.00	0.0%
Labor	181.59	6.33	3.5%	0.53	0.3%
State	29.19	0.18	0.6%	0.00	0.0%
Transportation	117.65	(1.86)	-1.6%	2.34	2.0%
Treasury	6,156.80	8.52	0.1%	12.77	0.2%
Veterans Affairs	5.98	(0.16)	-2.5%	0.03	0.4%
Agencies					
EPA	128.75	1.04	0.8%	4.73	3.7%
FAR	23.30	0.93	4.0%	0.20	0.8%
FCC	29.01	(1.38)	-4.8%	10.99	37.9%
FDIC	8.27	2.04	24.6%	0.08	0.9%
FEMA	5.14	0.01	0.1%	0.08	1.2%
FERC	3.70	(0.41)	-10.5%	0.00	0.0%
FTC	73.76	0.03	0.0%	0.00	0.0%
NASA	7.19	(1.27)	-17.7%	0.00	0.0%
NSF	4.75	0.00	0.0%	0.00	0.0%
NRC	9.52	(0.94)	-9.9%	0.00	0.0%
SEC	71.78	(0.30)	-0.4%	0.00	0.0%
SBA	2.18	(0.14)	-4.9%	0.05	1.8%
SSA	22.27	1.34	5.8%	0.28	1.2%

* The program changes for the Department of Commerce excludes the hours needed by periodic collections such as the Decennial Census. The hours needed for these activities are listed in appendix A.

Chapter 3. Report on Paperwork Burden Imposed by Agency Regulations

Much of the paperwork burden imposed by the Federal Government results from the collection of information to ensure compliance with Federal regulatory requirements. To demonstrate compliance with these requirements, the Federal Government collects information from individuals, businesses, educational and nonprofit institutions, and State and local governments, and it sometimes requires that they retain information for a specified period of time or disclose information to third parties.

The public is most familiar with the information collections conducted by the Internal Revenue Service to verify taxpayers' compliance with their obligations under the Internal Revenue Code. In addition, the Federal Government requires individuals and companies to maintain records so that agency officials can enforce compliance with Government requirements. For example, employers often keep records of employees' medical histories, and airlines maintain passenger lists of travelers on international flights. The Federal Government also imposes disclosure requirements, such as the third-party disclosures that the Federal Trade Commission (FTC) requires businesses to make to their customers – under the Fair Packaging and Labeling Act and the Textile Fiber Products Identification Act – concerning the identity, manufacture or distribution, and the quantity of contents or servings of commodities.

Congress recognizes that the public's compliance with Federal regulations is costly. On December 21, 2000, Congress passed the Consolidated Appropriations Act (CAA), 2001, (P.L. 106-554). Section 518 of H.R. 5658 directed OMB to submit to Congress by July 1, 2001, a report that:

(1) evaluates, for each agency, the extent to which implementation of chapter [44] of title 31, United States Code, as amended by the Paperwork Reduction Act of 1995 (Public Law 104-13), has reduced burden imposed by rules issued by the agency, including the burden imposed by each major rule issued by the agency;

(2) includes a determination, based on such evaluation, of the need for additional procedures to ensure achievement of the purposes of that chapter, as set forth in section 3501 of title [44], United States Code, and evaluates the burden imposed by each major rule that imposes more than 10,000,000 hours of burden, and identifies specific reductions expected to be achieved in each of fiscal years 2001 and 2002 in the burden imposed by all rules issued by each agency that issued such a major rule.

As a result of this statutory requirement, OMB requested that agency chief information officers prepare and submit the following material:⁷

- A statement of how implementation of the Paperwork Reduction Act of 1995 (PRA) “has reduced burden imposed by rules issued by [your] agency, including the burden imposed by each major rule issued by [your] agency.” Since the CAA language focused on the 1995 PRA, OMB instructed agencies to focus on rules issued since May 1995.
- Information on the “burden imposed by each major rule that imposes more than 10,000,000 hours of burden.” Since the term “major” is now used only under the Congressional Review Act (CRA) (5 U.S.C. 800), OMB directed agencies to gather information on final rules, issued since March 29, 1996, that the Administrator of OIRA designated as “major” and that imposed a PRA burden of over 10,000,000 hours.
- A description of “specific reductions expected to be achieved in each of fiscal years 2001 and 2002 in the burden imposed by all rules...” promulgated by agencies that had issued one or more “major” rules that imposed over 10,000,000 hours of paperwork burden. Information for FY 2001 was already required as part of the Information Collection Budget (see Chapter 3), so OMB asked agencies only to provide additional information about expected paperwork burden reductions during FY 2002.

This chapter discusses how agency implementation of the PRA has reduced burden imposed by regulations, including major rules, as defined by the CRA. It also evaluates the burden imposed by major rules that impose more than 10,000,000 hours of paperwork burden. Since the Department of Labor (DOL) is the only agency that has issued a major rule that imposes more than 10,000,000 hours of paperwork burden, the chapter concludes with DOL’s expected reductions in FY 2002 in the burden imposed by all DOL rules. Expected reductions in FY 2001 in the paperwork burden imposed by all rules issued by DOL are addressed in Chapter 3.

How Implementation of the PRA has Reduced Burden Imposed by Regulations

Federal regulations enables agencies to provide the public with a variety services and protections. The PRA, among other statutes, requires agencies to acknowledge that providing these services and protections often requires the expenditure of time and money by individuals and businesses who must comply with Federal regulations. Accordingly, agencies should seek to ease regulatory compliance burden in a number of ways, including streamlining and automating regulatory processes. Below are some examples of what agency CIOs have reported as their paperwork burden reduction activities related to regulations since the enactment of the 1995 PRA.

Department of Commerce. The Department of Commerce (DOC) has strived to make regulatory requirements clearer and reduce duplication. A regulatory change to the patent rules by the Patent and Trademark Office (PTO) in FY 1997 resulted in a reduction of approximately 500,000 hours. The number of patent filings have continued to increase over the years, offsetting the reduced burden hours. DOC has also reduced overall burden by providing electronic collection options. The Census Bureau’s Shippers Export Declarations/Automated Export System is an example of where they have reduced burden (by over 200,000 hours). DOC plans to continue to pursue burden reduction in rulemaking and by

⁷ OMB Memorandum for Chief Information Officers (February 9, 2001).

implementing electronic collection options through its Government Paperwork Elimination Act (GPEA) initiatives.

Department of Education. The Department of Education (ED) currently has only one collection that exceeds the 10 million hour threshold, the Federal Family Education Loan Program. The burden associated with this regulation has been substantially reduced since 1995. For example, in 1999, ED removed two provisions and reduced the burden associated with four others by allowing computerization of records and electronic processing. ED also published a final rule in 2001 that would reduce the burden associated the State plan for the State Vocational Rehabilitation Services Program authorized under title I of the Rehabilitation Act of 1973, as amended (OMB Control No. 1820-0500) by almost 500,000 hours. Under the rule, all State plan requirements based solely on the regulations would be deleted and thus reduce paperwork burden by enabling States to focus their resources on the provision of vocational rehabilitation services to applicants and individuals eligible for services. If these regulations become effective in their present form, the State plan requirements will be those required solely by title I of the Rehabilitation Act.

Department of Energy. The Department of Energy's current information collection burden is approximately 2.9 million hours annually, a reduction of 36 percent since Fiscal Year 1997. This reduction has resulted from the elimination of regulatory reporting requirements, reductions in the number of respondents, and improvements in the use of information technology.

Department of Health and Human Services. As early as 1994, the Food and Drug Administration (FDA) began preparing to automate its most far-reaching business requirements by developing systems, infrastructure, technology security, and necessary administrative functions to support electronic submissions, reviews and dissemination. The following table identifies some of the reductions that FDA has accomplished.

Title	Fiscal Year	How Reduction Achieved	Decrease in Burden Hours
Medical Devices, Medical Device Reporting, Certification (OMB No. 0910-0059)	1998	This requirement of MDR certification was eliminated by a provision in the FDA Modernization Act of 1997 (FDAMA), which took effect on February 19, 1998.	193,810
Premarket Approval of Medical Devices (OMB No. 0910-0231)	1999	Reduction in burden was achieved through implementation of FDAMA and CDRH Reengineering Efforts.	36,254
Regulations Restricting the Sale and Distribution of Cigarettes and Smokeless Tobacco to Protect Children and Adolescents (OMB No. 0910-0312)	2000	FDA revoked its regulations governing access to and promotion of nicotine-containing cigarettes and smokeless tobacco to children and adolescents.	205,401

While increased statutory requirements have resulted in several new data collection activities, the Health Resources and Services Administration (HRSA) reduced its inventory of burden hours by 32 percent since FY 1995. Decreases in burden have been achieved due to increases in system automation,

electronic submission, recordkeeping and reporting, and form consolidation. Additional burden decreases were obtained when HRSA implemented a new centralized agency level grants system.

Legislative changes were made to P.L. 105-393, which changed the way HRSA Competing Training Grants programs are implemented. Under the new statute, the grant programs were consolidated into several categories for application submission, and the statutory reporting requirements from the previous law are no longer required. The information in the application is used to determine the eligibility of applicants for awards, to calculate the amount of each award, and to judge the relative merit of the applications. The burden estimate was decreased by 176,875 hours.

Department of Housing and Urban Development. The Department of Housing and Urban Development (HUD) has reported more than a 40 percent overall burden reduction since FY 1995. As an example, the rule implementing amendments to the U.S. Housing Act of 1937 caused by the Quality Housing and Work Responsibility Act of 1998 provided for the complete merger of the Section 8 Tenant-Based Certificate and Voucher Programs (OMB Control No. 2577-0169), leading to a four percent reduction of 26,528 hours in public burden. Other successes include the implementation of the Quality Housing and Work Responsibility Act of 1998 (P.L.105-276). This allowed a significant revision to the reporting requirements under OMB Control No. 2577-0083 and resulted in a reduction in public burden of 161,131 hours annually.

Department of the Interior. The Department of the Interior's (DOI) Office of Regulatory Affairs tracks and reviews all regulatory activities undertaken by DOI offices or bureaus. One of the tasks of this office is to review each proposed rule to ensure its compliance with the PRA. This has led to a reduction in the burden imposed by DOI regulations in two ways: (1) new rules are more carefully considered for their potential information collection burdens at the design stage, and (2) existing rules are periodically reviewed and screened to identify information collections, including third-party collections, not previously identified and, where feasible, revised to reduce such burdens. The amount of burden reduction resulting from these activities has varied among the bureaus. In the primary regulatory bureaus – the Bureau of Land Management (BLM), the Minerals Management Service (MMS), and the Office of Surface Mining Reclamation and Enforcement (OSM) – only modest real reductions in paperwork burdens have been feasible. These bureaus' regulations are modeled closely on existing laws, such as the OCS Lands Act, that have been subject to considerable debate within Congress and have been amended to fine tune their provisions. Key sections of these laws, which provide for protection of the environment, public safety, and collection of revenues, call for a collection of information. Accordingly, the primary PRA goal of the regulatory bureaus has become to collect this needed information as efficiently as possible, which limits opportunity for major reduction in burden. The Bureau of Indian Affairs (BIA), however, has been able to reduce its burden substantially. The BIA has managed this by rewriting its regulations to consolidate forms and eliminate redundant information collections.

Department of Justice. About 46% of the Department of Justice's (DOJ) information collections belong to the Immigration and Naturalization Service (INS), and these collections account for more than 88% of the Department's total burden hours. The implementation of new immigration and naturalization legislation and the required monitoring of law enforcement grant funding by the Office of Community Oriented Policing Services and the Office of Justice Programs has resulted in an increase in the burden imposed by the Department. Serious attempts have been made by the Department to reduce the reporting burden imposed on the public through various efforts to re-engineer and streamline the required mission-related processes, with the result being that the burden hours increased less than would have been

expected due to statutory changes. The Department remains fully committed to supporting the precepts of the PRA as well as the Government Paperwork Elimination Act by designing new forms and filing requirements to minimize the paperwork burden on the public, utilizing electronic collection and dissemination of information, and redesigning and consolidating existing forms to eliminate redundancy.

Department of Labor. At the Department of Labor (DOL), enactment of the 1995 PRA has resulted in a more detailed paperwork burden analysis during the rulemaking process. The Department has also worked closely with industry and labor organizations in the rulemaking process for both new and existing rules to limit the burden imposed by its rules by ensuring maximum utility and flexibility. For example, the Occupational Safety and Health Administration (OSHA) participated in an OMB-sponsored roundtable discussion with stakeholders in April 2000 to explore strategies for reducing burden through Phase II of its Standards Improvement Project. Below are specific examples of how DOL has implemented the 1995 PRA to reduce paperwork burden imposed by rules.

- *Mandatory Safety Standards for Underground Coal Mines:* On June 30, 1997, DOL reduced the paperwork burden associated with these regulations by reducing the frequency of reporting. Mine operators were no longer required to report biannually on hazardous conditions. Instead, mine operators are now only required to certify that an examination of hazardous conditions is conducted and to report only when a hazardous condition is found. This revision resulted in a decrease of 7,523 burden hours.
- *41 CFR Parts 60-1, Government Contractors, Affirmative Action:* On August 19, 1997, DOL revised the regulations relating to record retention, compliance monitoring, maintenance of non-segregated facilities, and other aspects of enforcement. These revisions reduced the compliance burdens of covered contractors, and improved the efficiency of administering and enforcing Executive Order 11246, as amended. Specifically, DOL estimated that eliminating the written certification regarding non-segregated facilities would reduce compliance burdens by roughly 850,000 hours.
- *41 CFR Part 60-2, Government Contractors, Affirmative Action:* On November 13, 2000, DOL issued a final rule revising and restructuring the regulations that establish the requirements for affirmative action programs, as well as related sections in 41 CFR Part 60-1. The rule refocuses the regulatory emphasis from the development of a document that complies with highly prescriptive standards, to a performance-based standard that effectively implements an affirmative action program into the overall management plan of the contractor. The rule also helps to fulfill the Department's goal of increasing the number of Federal contractors brought into compliance. A means to fulfill that goal is for DOL to more effectively monitor the pay practices of Federal contractors. The final rule of 60-1 and 60-2 resulted in an approximate 1.8 million-burden hour net reduction.
- *Health Insurance Portability and Accountability Act Regulations:* On April 8, 1997, DOL issued interim final regulations implementing the Health Insurance Portability and Accountability Act (HIPAA) of 1996 (P.L. 104-191) jointly with the Departments of Health and Human Services and Treasury. In developing these interim final rules, the Departments were committed to reducing HIPAA's burdens on the regulated community, while ensuring that workers and their families received the protections that Congress gave them. For example, the interim final rules help minimize the administrative burdens for employers and plan sponsors associated with the

certification of creditable coverage requirements in several ways, including transitional relief for obtaining dependent information and the reduction of unnecessary duplication of certificates. In addition, the rules allow paperless, telephone transmission of information, if all parties agree. Each of these innovations serves to reduce the final cost of compliance, making it easier for regulated entities to implement HIPAA's requirements.

- *Employee Retirement Income Security Act Regulation:* On January 28, 1999, DOL published a proposed regulation concerning the use of electronic technologies for disclosures under Employee Retirement Income Security Act of 1974 (ERISA) that clarifies the circumstances under which disclosures made through electronic media will be considered to satisfy existing disclosure requirements. Although this was a proposed rule, the ability of respondents to reduce their burdens through the use of electronic media was projected to take effect immediately due to the inclusion of a good faith reliance provision in the proposal pending the issuance of final rules. Burden reductions are achieved by distributing information electronically. At the time of publication, it was estimated that the rule would reduce the burden of the Summary Plan Description (OMB Control No. 1210-0039) by 238,562 hours and \$3,039,000 over a two-year period, and the burden of the Summary Annual Report (OMB Control No. 1210-0040) by 560,043 hours and \$16,351,000.
- *Form 5500:* On April 19, 2000, DOL issued a final regulation conforming the Pension Benefits and Welfare Administration's (PWBA) annual reporting and disclosure requirements to the recently revised Form 5500, the annual report on financial conditions and operations filed by pension and welfare benefit plans. DOL, IRS, and PBGC completed an extensive review of the form and instructions to streamline and simplify it, eliminating unnecessary elements, and addressing elements known to generate confusion or errors. The review was intended to reduce reporting burden for employee benefit plans, and support the implementation of a new and more efficient processing system for the approximately 1.2 million returns filed annually. The form revisions were adopted concurrent with the implementation of a new computerized ERISA Filing Acceptance System (EFAST) to simplify and expedite the receipt and processing of the Form 5500 by relying on computer scannable forms and electronic filing technologies. The revision resulted in a reduction of 313,850 hours and \$40,540,000 in the burden imposed by PWBA's components of the Form 5500.
- *Steel Erection Standard:* DOL also strives to reduce burden hours and costs when promulgating new standards. For example, on January 18, 2001, DOL issued the final rule for the Steel Erection standard reducing burden hours from the proposed standard (from 79,228 to 33,921 hours) resulting in a total savings of 45,307 burden hours (OMB Control No. 1218-0241). Part of this reduction was achieved by removing the unnecessary requirement for certification of pre-shift visual crane inspections.

Department of Transportation. As a result of its implementation of the 1995 PRA, the Department of Transportation (DOT) has reduced the burden imposed on the public through rulemaking by identifying duplication of requirements for related drug and alcohol testing information collection programs. During this process, DOT also reviewed the burden imposed on small businesses for reporting procedures and amended the number of reports required to be submitted. This further reduced the burden imposed on small businesses. After this review, DOT issued a new rulemaking (49 CFR Part 40) for the Procedures for Transportation Workplace Drug and Alcohol Testing Programs, resulting in the elimination of

substantial duplication and program burden reductions.

Department of the Treasury. The Internal Revenue Service (IRS) regularly issues regulations and guidance that reduce taxpayer burden in a variety of ways. For example, several items of recently published guidance have reduced paperwork requirements, made it easier for taxpayers to file returns and other information with the IRS, or made it easier for taxpayers to comply with tax laws and regulations. Examples of regulations and guidance that have reduced or will reduce taxpayer burden include the following:

- *Tip Reporting, Notice 2000-21 and Announcements 2000-19 to 23:* IRS proposed expanded voluntary tip agreements for use in the food and beverage industry and the cosmetology and barbering industry. In addition, IRS proposed voluntary tip agreements for other industries where tipping is customary. These agreements make it easier for employers and employees to meet their tip reporting requirements.
- *Participation in Annuity and Deferred Compensation Plans, Revenue Rulings 2000-33 and 35, and Announcement 2000-60:* IRS allowed for automatic enrollment of participants in 403(b) annuity plans, 457 governmental and tax exempt deferred compensation plans, and 401(k) prototype plans. This makes the participation process easier to initiate for both workers and employers.
- *Retirement Plan Administration, Treasury Decision 8900:* IRS simplified retirement plan administration by allowing elimination of certain options by which participants' retirement benefits can be distributed, recognizing that participants can structure similar distribution options through an individual retirement account (IRA).
- *Last Known Address (REG-104939-9):* This final regulation will permit the IRS to use the U.S. Postal Service National Change of Address database to update a taxpayer's last known address. This will help keep the IRS master file current as to last known address and will ease the burden on taxpayers to contact the IRS separately when they have a change of address.
- *Qualified Intermediary Withholding Agreements (Revenue Procedure 2000-12):* This revenue procedure contains the Qualified Intermediary (QI) withholding agreement and guidance for entering into the agreement. The objective of the QI withholding agreement is to simplify withholding and reporting obligations for certain payments of income made to an account holder through one or more foreign intermediaries.
- *U.S.-U.K. Income Tax Treaty (Revenue Procedure 2000-13):* This revenue procedure provides guidance on the application of Articles 10(2) and 23 of the U.S.-U.K. Income Tax Treaty after the repeal of the U.K. Advance Corporation Tax (ACT) and reduction of U.K. shareholder tax credit. Specifically, it deals with procedures for claiming treaty refunds under the Treaty after April 5, 1999 when the reduction in ACT rates caused withholding tax allowed under the Treaty to equal the ACT refund due under the Treaty. A simplified procedure was put in place to allow individuals to claim the Treaty benefits without first filing refund claims with Inland Revenue.

- *Excise Tax (Treasury Decision 8879)*: This regulation removed the requirement that vehicle manufacturers and their dealers must be registered by the IRS in order for the manufacturer to make an excise tax-free sale to its dealer for the dealer's resale.
- *REMIC Certificates (Treasury Decision 8888)*: This regulation removes the requirement on Real Estate Mortgage Investment Conduit (REMIC) issuers to place certain information related to OID accrual on the face of each certificate for a REMIC regular interest. The IRS now derives the information from other sources.

Environmental Protection Agency. Two key examples Environmental Protection Agency (EPA) reductions were a 4.6 million hour decrease in the Office of Water's Discharge Monitoring Report and a 1.6 million hour reduction in the Office of Solid Waste's Land Disposal Restrictions program. The Discharge Monitoring reduction was achieved by allowing reduced reporting for those facilities that had a proven good compliance record. The Land Disposal Restrictions program reduction was achieved by allowing a one-time notification for shipments of hazardous waste. Another notable effort is the ongoing burden reduction streamlining effort of the Resource Conservation and Recovery Act (RCRA) program by EPA's Office of Solid Waste (OSW). OSW is assessing which RCRA requirements can be cut back, streamlined, or eliminated for their anticipated rulemakings and is considering the following questions.

- Is the requirement duplicative of other requirements?
- Have states or EPA Regional Offices told EPA that they rely heavily on and really used the information?
- Are alternative mechanisms available to obtain the information, either through reporting requirements in other environmental statutes or through market mechanisms?
- If it is a repetitive requirement for information, can it be made less frequent or even a one-time report?

Some of the burden reduction ideas OSW has considered for proposed rulemaking include:

- Reducing the number of reports required;
- Reducing frequency for self-inspections at hazardous waste facilities;
- Revising personnel training requirements;
- Reducing Land Disposal Restriction requirements; and
- Using electronic reporting and recordkeeping.

Several cross-Agency initiatives have been launched that have potential for significant burden reduction. These projects have generally helped to steer the Agency toward ways of collecting and managing information from the public and States which will be more efficient over the long-term. Most notable among these is the *National Environmental Information Exchange Network (Network)*. The *Network* is a partnership program with the States, aimed at developing more efficient environmental data exchanges. It includes efforts to move toward electronic reporting, use of specific data standards, and a centralized data exchange network. Six data standards were finalized by November 2000, and EPA plans to propose a rule, the Cross-Media Electronic Reporting and Recordkeeping Rule (CROMERRR), to simplify the transfer of data to the Agency as well as remove obstacles to electronic reporting.

Federal Deposit Insurance Corporation. Since the 1995 PRA revisions took effect, the Federal Deposit Insurance Corporation (FDIC) has achieved a number of burden reductions in information collections contained in rules, including the following:

OMB Control No.	Regulation	Burden Hour Reduction
3064-0030	12 CFR 335 – Securities of Nonmember Insured Banks	53,056 hours
3064-0046	12 CFR 338 - Fair Housing (implementing FRB Rule C)	91,172 hours
3064-0087	12 CFR 326 – Minimum Security Devices and Procedures	1,200 hours
3064-0092	12 CFR 345 – Community Reinvestment	75,586 hours
3064-0103	12 CFR 323 – Appraisals	65,735 hours
3064-0111	12 CFR 362 – Activities of Insured State Banks	60,268 hours
3064-0113	12 CFR 363 – Annual Independent Audits and Reporting	36,010 hours
3064-0120	12 CFR 339 – Loans in Areas Having Special Flood Hazards	27,488 hours
3064-0082	12 CFR 226 -- Regulation Z – Truth in Lending	1,023,100 hours
3064-0083	12 CFR 213 -- Regulation M – Consumer Lending	3,724 hours
3064-0084	12 CFR 205 -- Regulation E – Electronic Fund Transfers	156,520 hours
3064-0085	12 CFR 338 -- Regulation B - Fair Housing	55,900 hours
Total Burden Reduction:		1,649,759 hours

Federal Energy Regulatory Commission. The Federal Energy Regulatory Commission (FERC) has initiated several programs to streamline its regulations and, where possible, advance the use of information technology to reduce the burden and costs associated with complying with its requirements. Examples of these initiatives are identified below:

- *RM96-1-000 (Order No. 587, issued October 25, 1995 and subsequent orders):* FERC issued a rulemaking to revise its regulations to require interstate natural gas pipelines to follow standardized procedures for critical business practices: nominations; allocations, balancing and measure; invoicing; capacity release; and standardized mechanisms for electronic communication between the pipelines and those entities with which they do business. These regulations incorporated by reference, standards submitted by the Gas Industry Standards Board (GISB), a consensus standards' organization open to all members of the gas industry. Full implementation of GISB standards and business practices has resulted in the elimination of 1.7 million hours from the Commission's inventory.
- *RM99-8-000 (Order No. 617, issued August 7, 2000):* FERC issued a final rule amending its records' retention regulations for public utilities and licensees, natural gas companies and oil pipeline companies. The issuance of this rule resulted from comments received during a PRA

recertification process that produced a systematic review by Commission staff and technical conferences with industry. The changes to FERC's regulations included a revision of general instructions and shortening the various retention periods to reduce or eliminate burdensome and unnecessary requirements. In addition, to adapt to the rapidly changing technological advances in storage media, the Commission authorized companies in an Accounting Issuance that each jurisdictional company be given the flexibility to select its own storage media. The only stipulations placed by the Commission were that the storage media selected must have a life expectancy of at least equal to the applicable retention period unless there is a quality transfer from one media to another with no loss of data and implementation of internal control procedures to assure the reliability of and ready access to data stored on machine readable media. The Commission anticipates a reduction of 679,800 hours with the implementation of these regulations.

Nuclear Regulatory Commission. The NRC has undertaken a number of initiatives to reduce unnecessary burden to the public. Although some of the initiatives target specific NRC regulations to be rewritten, others address general changes in the way the NRC conducts business and have resulted in information collection burden reductions, e.g., the move towards performance-based and risk-informed rulemakings. Some of these performance-based or risk-informed rulemakings have required an initial implementation burden, usually for the license applicant or licensee to perform an analysis to ensure that the facility can be operated safely under reduced oversight.

- *Domestic Licensing of Production and Utilization Facilities, 10 CFR Part 50:* The 1997 clearance extension renewal eliminated or reduced various reporting and recordkeeping requirements that are no longer needed. It also incorporated the burden reduction for plants converting to standard technical specifications, which reduces the need to submit license amendment requests. NRC is also issuing fewer generic letter requests that require responses from licensees. The renewal reduced licensee burden by 607,682 hours (a 272,958 hour programmatic reduction and a 334,724 hour reduction based on a reduction in the number of licensees).
- *Revision of NRC's Acquisition Regulation (NRCAR), 48 CFR 20:* The Federal Acquisition Regulation (FAR) was revised to increase the simplified acquisition threshold to \$100,000. Contracts awarded between the values of \$50,000 and \$99,000 are now being awarded using simplified acquisition procedures stated under FAR Part 13. Therefore, NRC revised 48 CFR Part 20, the NRC's acquisition regulation, to meet the requirements of the Federal Acquisition Streamlining Act, the Federal Acquisition Reform Act, and the Information Technology Management Reform Act. The revised NRCAR has reduced the burden on small businesses by streamlining burdensome competitive proposal and task order proposal submittal requirements by using oral presentations with a minimum number of evaluation criteria during the source selection process. The reduction in burden is estimated to be 93,739 hours.
- *Revision to Medical Byproduct Licensing, 10 CFR Part 35:* 10 CFR 35 contains recordkeeping and reporting requirements for licensees authorized to administer byproduct material, or radiation therefrom, to humans for medical use to ensure that public health and safety is protected and that possession and use of byproduct material is in compliance with the license and regulatory requirements. The regulation has been revised in its entirety to be more performance-based and risk-informed, and thereby to reduce the information collection burden of compliance. Specifically, proposed changes include: (1) elimination of certain requirements for

quality management programs; (2) elimination of prescriptive requirements for radiation safety committees, and inclusion of requirements for interdepartmental/disciplinary coordination of the licensee's radiation protection program only for licensees with multiple modalities or multiple users; (3) allowing licensees to revise their radiation protection program without Commission approval under specified circumstances; and (4) elimination of prescriptive general technical requirements and their recordkeeping requirements. Because of significant changes made to the final rule, the information collection requirements must be resubmitted to OMB. The rule is expected to be published in the Federal Register by May 2001 with full implementation required within six months. NRC projects a burden reduction of 441,923 hours as a result of the comprehensive revision to eliminate prescriptive requirements.

Social Security Administration. In 1997, the Social Security Administration (SSA) achieved a significant burden reduction of almost 331,000 hours when it issued a final rule that changed SSA's process for obtaining earnings information from approximately 1.3 million beneficiary wage earners. Due to improvements both in employer reporting practices and in SSA's annual wage reporting process, SSA eliminated the need for the annual earnings test and no longer required beneficiary wage earnings to complete Forms SSA-777 and SSA-7770. SSA now obtains earnings reports from Form W-2 and self-employment income tax returns. The process is also completely automated for the majority of wage earners.

Burden Imposed by All Major Rules that Impose More Than 10,000,000 Hours of Burden

Since the enactment of the Congressional Review Act in March 1996, the Department of Labor is the only agency to have issued a "major" rule (as defined by the Act) that imposes a PRA burden of 10,000,000 hours. DOL issued two such rules, which are discussed below.

60-1 and 60-2 Government Contractors, Affirmative Action Requirements; Final Rule: Issued on November 13, 2000, this final rule revises and restructures 41 CFR Part 60-2, that is, the regulations that establish the requirements for affirmative action programs as well as related sections in 41 CFR Part 60-1. The rule refocuses the regulatory emphasis from the development of a document that complies with highly prescriptive standards, to a performance-based standard that effectively implements an affirmative action program into the overall management plan of the contractor. The rule also introduces a new tool, the Equal Opportunity Survey (EO Survey), which requires contractors to report aggregated compensation data. Contractors are encouraged to file the EO Survey electronically. In addition, the final rule revises and restructures the regulations relating to affirmative action programs as part of DOL's continuing efforts to meet the objectives of the Reinventing Government Initiative. These objectives include:

- Obtaining input from those most directly affected by the regulations;
- Reducing paperwork and compliance burdens wherever possible;
- More effectively focusing Government resources where most needed in order to administer the law most efficiently;

- Making the regulations easier to understand by streamlining and simplifying them and writing them in plain language; and
- Updating the regulations to accommodate modern organizational structures and to take advantage of new technologies.

The rule revises regulations that contain information collection requirements that are currently approved under OMB Control No. 1215-0072. The rule codifies a new requirement, the EO Survey, which is approved under OMB Control No. 1215-0196. This rule resulted in the following burden changes.

OMB Control No.	Previous	New	Difference
Burden Hours:			
1215-0072	13,701,349	10,895,679	(2,865,350)
1215-0196	0	1,050,000	1,050,000
Net Burden Hours	13,701,349	11,945,679	(1,815,350)
Burden Costs:			
1215-0072	\$34,000	\$24,000	(\$10,000)
1215-0196	\$0	\$150,000	\$150,000
Net Burden Costs	\$34,000	\$174,000	\$140,000

Overall, there is a net paperwork burden savings of 1,815,350 hours and an additional burden cost of \$140,000.

On November 14, 2000, DOL also issued the final rule for OSHA's Ergonomic Program Standard, which was a major rule under the Congressional Review Act and would have imposed more than 10 million burden hours. On March 20, 2001, however, Congress enacted legislation (P.L. 107-005) overturning the ergonomics standard under the authority of the CRA.

Expected Reductions in FY 2002 in the Burden Imposed by All Rules Issued by Agencies that have Issued Major Rules that Impose More Than 10,000,000 Hours of Burden

The Department of Labor is the only agency that has issued a "major" rule (as defined by the CRA) that imposes a PRA burden of 10,000,000 hours. This section discusses specific paperwork burden reductions DOL expects to achieve in fiscal year 2002 through rulemaking.

30 CFR Part 70 Mandatory Health Standards for Underground Coal Mines: If DOL finalizes its proposed rule for Plan Verification (RIN 1219-AB14), DOL projects a burden reduction of approximately 39,000 hours (OMB Control No. 1219-0011). This reduction will be achieved by revising current regulations moving the burden of respirable dust sampling from mine operators to DOL – the Federal government will provide the dust data cards and conduct the sampling procedures.

A Systemic Approach to Burden Reduction: One of DOL's most ambitious efforts to reduce paperwork burden is OSHA's plans to present all ICRs to the its advisory committees to seek advice and assistance in identifying ways to reduce or eliminate paperwork burdens in its standards without adversely impacting worker safety or health. OSHA anticipates that this process – a commitment made in response to suggestions from the public at a roundtable held during OMB's Information Initiative, "Collecting Information in the Information Age" – will begin in 2001.

Chapter 4. Significant Paperwork Reductions and Increases – FY 2000 & 2001

The Paperwork Reduction Act of 1995 (PRA) requires the head of each agency, supported by his or her 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 chapter 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.
- **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.
- **Simplifying Forms.** Simplifying or streamlining forms to make them easier to read and fill out, and making programs easier to apply for.
- **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 chapter 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. Third, the examples identify areas where more work can be done to yield further benefits.

FY 2000 Reductions

Streamlining Regulations

Agency: **Environmental Protection Agency**
OMB Control No.: 2050-0073
Title: New Resource Conservation and Recovery Act (RCRA) Reporting and Recordkeeping Requirements for Boilers and Industrial Furnaces Burning Hazardous Waste (Rule Revision)
Purpose of the Collection: EPA is excluding certain hazardous waste combustors from RCRA requirements in order to promote beneficial energy recovery. EPA is also simplifying analytical criteria and eliminating regulatory duplication.
How Reduction Achieved: A new exclusion will reduce the number of affected facilities. For the remaining boilers and industrial furnaces, EPA eliminated duplicative requirements under the Clean Air Act (OMB Control No. 2060-0349).
Change in Burden: -131,228 hours

Agency: **Department of the Interior**
OMB Control No.: 1076-0136
Title: Indian Self-Determination and Education Assistance Act Programs
Purpose of the Collection: To facilitate tribal control of certain federal programs that affect tribes.
How Reduction Achieved: Under new regulations, tribes can contract several programs under one contract, reducing information needs.
Change in burden: -60,470 hours

Agency: **Nuclear Regulatory Commission**
OMB Control No.: 3150-0104 and 3150-0011
Title: NRC Form 366, Licensee Event Report; and 10 CFR Part 50, Domestic Licensing of Production and Utilization Facilities
Purpose of the Collection: Licensees must report events of safety significance by telephone within one to eight hours of the event and submit a full written report within 30 days. This information allows NRC to protect the health and safety of the public and notify other power reactor licensees, as necessary.
How Reduction Achieved: 10 CFR 50.72 and 50.73 have been amended to reduce or eliminate unnecessary reporting burden associated with events of little or no safety significance.
Change in Burden: 10 CFR Part 50 (50.72): There will be an annual burden reduction of 270 hours after the implementation burden (20,800 hours) is complete. NRC Form 366 (50.73): -13,500 hours

Agency: **Federal Communication Commission**
OMB Control No.: 3060-0395, 3060-0511, 3060-0512, 3060-0513
Title: USOA Report, Access Charge Report, Annual Summary Report and Joint Cost Report.
Purpose of the Collection: The Automated Reporting Management Information System (ARMIS) facilitates the timely and efficient analysis of revenue requirements, rate of return and price caps,

	jurisdictional separations, and universal service fund, and provides an improved basis for auditing and other oversight functions.
How Reduction Achieved:	The Commission reduced filing burden on mid-sized LECs, eliminated the requirement that carriers report data pertaining to inside wire and payphone investment, and eliminated or revised other reporting requirements.
Change in Burden:	-125,841 hours
Agency:	Federal Communication Commission
OMB Control No.:	3060-0760
Title:	Access Charge Reform B CC Docket No. 96-262
Purpose of the Collection:	The pricing flexibility framework is designed to grant greater flexibility to price cap LECs as competition develops, while ensuring that: 1) price cap LECs do not use pricing flexibility to deter efficient entry or engage in exclusionary pricing behavior; and 2) price cap LECs do not increase rates to unreasonable levels for customers that lack competitive alternatives.
How Reduction Achieved:	The Commission reduced burden by simplifying how showings are demonstrated and by reducing the number of required showings per filing area.
Change in Burden:	-1,738,597 hours
Agency:	Federal Communication Commission
OMB Control No.:	3060-0854
Title:	Truth-in-Billing Format B CC Docket No. 98-170
Purpose of the Collection:	The information collection is designed to reduce telecommunications fraud by making telephone bills easier for consumers to read and understand, and thereby, making fraud easier to detect and report.
How Reduction Achieved:	The reduction in burden results from the modification of the Commission's requirements regarding highlighting information on telephone bills.
Change in Burden:	-226,220 hours
Agency:	Federal Energy Regulatory Commission
OMB Control No.:	1902-0060
Title:	Gas Pipeline Certificates: Construction, Acquisition and Abandonment, FERC-537 (RM98-17-000)
Purpose of the Collection:	Information collected is necessary to certify interstate pipelines engaged in the transportation or sale of natural gas, the construction, acquisition, and operation of facilities to be used in those activities, and to authorize the abandonment of facilities and services or to authorize certain NGPA transportation.
How Reduction Achieved:	The reduction in burden is a result of raising the reporting threshold for filings by pipelines, providing pipelines with greater flexibility in filing, and further expediting the certification process.
Change in Burden:	-12,600 hours
Agency:	Federal Trade Commission
OMB Control No.:	3084-0101
Title:	Rules and Regulations Under the Textile Fiber Products Identification Act of 1939
Purpose of the Collection:	The rules impose disclosure and recordkeeping requirements on manufacturers or other sellers of textile fiber products. Content and country of origin disclosures enable potential purchasers, both consumers and businesses, to make informed buying decisions in the marketplace.
How Reduction Achieved:	Reduction is due to streamlining in the disclosure requirements by, for example, eliminating unnecessary words on labels.
Change in Burden:	-6,000,000 hours

Agency:	Department of Agriculture
OMB Control No.:	0560-0178
Title:	Receiving and Processing Applications
Purpose of the Collection:	The information collection is used to support an applicant's request for a farm operating, farm ownership, or emergency loan under the Farm Service Agency's (FSA) Farm Loan Program.
How Reduction Achieved:	FSA is implementing a low-documentation (lo-doc) application for applicant's requesting an operating loan less than \$50,000 or a recurring annual operating loan. The Agency is eliminating information collected from these applicants as the potential risk associated is significantly less than that for operating loans greater than \$50,000, farm ownership loans, and emergency loans.
Change in Burden:	-16,640 hours
Agency:	Securities and Exchange Commission
OMB Control No.:	3235-0070
Title:	Form 10-Q
Purpose of the Collection:	Form 10-Q is filed by issuers of securities to satisfy their quarterly reporting obligations pursuant to Section 13 and Section 15(d) of the Securities Exchange Act of 1934.
How Reduction Achieved:	Burden reduction is achieved by elimination of the Financial Data Schedule.
Change in Burden:	-29,550 hours
Agency:	Federal Acquisition Regulation System
OMB Control No.:	9000-0010
Title:	Progress Payments
Purpose of the Collection:	Certification and supporting information regarding progress payments to a contractor during contract performance are required to ensure regulatory compliance.
How Reduction Achieved:	The decrease results from increasing the contract dollar threshold for permitting progress payments and establishing a dollar threshold for progress payment requests.
Change in Burden:	-156,816 hours
<u>Eliminating Redundancy</u>	
Agency:	Department of Transportation
OMB Control No.:	2125-0028
Title:	Highway Performance Monitoring System (HPMS) Field Manual
Purpose of the Collection:	This information collection is used by FHWA to develop and implement legislation and by State Federal transportation officials to adequately plan, design and administer effective, safe and efficient transportation systems.
How Reduction Achieved:	Reduction was achieved through a strategic reassessment of the requirements for this manual and elimination and/or streamlining of approximately 20 percent of the required data.
Change in Burden:	-18,720 hours
Agency:	Department of Agriculture
OMB Control No.:	0551-0027
Title:	Market Access Program (MAP)
Purpose of the Collection:	The information collected will be used by the Foreign Agriculture Service (FAS) to manage, plan, evaluate, and account for government resources.

How Reduction Achieved:	Less detailed information is requested than in the past without compromising program integrity. Applicants have the option of submitting their material electronically over the Internet.
Change in Burden:	-15,630 hours
Agency:	Department of Agriculture
OMB Control No.:	0583-0109
Title:	Performance Standards for the Production of Certain Meat and Poultry Products
Purpose of the Collection:	The preparation of performance standards and process schedules is necessary for food processing establishments to obtain approval to operate from the Food Safety and Inspection Service (FSIS).
How Reduction Achieved:	The reporting and recordkeeping requirements of this information collection were redundant to the requirements of the Hazard Analysis and Critical Control Point (HACCP) System which was fully implemented on January 25, 2000.
Change in Burden:	-24,166 hours

Simplifying Forms

Agency:	Department of the Interior
OMB Control No.:	1010-0140 (replaces 1010-0022)
Title:	Report of Sales and Royalty Remittance (Form MMS-2014)
Purpose of the Collection:	Form MMS-2014 is used to report oil and gas royalties, certain rents, and other lease-related transactions to the Minerals Management Service (MMS).
How Reduction Achieved:	MMS developed a new Form MMS-2014 that reduces the volume of lines reported and processed, minimizes errors and related error correction workloads, simplifies reporting, and lowers costs for both industry and RMP. This new form will replace the existing Form MMS-2014, approved under OMB Control No. 1010-0022.
Change in Burden:	-55,229 hours
Agency:	National Science Foundation
OMB Control No.:	3145-0101
Title:	National Survey of Scientific and Engineering Research Facilities at Colleges and Universities
Purpose of Collection:	This survey provides data on the status and the need for science and engineering (S&E) research facilities at colleges and universities in the U.S. as directed by P.L. 99-159.
How Reduction Achieved:	The number of questions was reduced from ten to two to significantly reduce respondent burden while NSF redesigns the questionnaire for the 2003 administration of the survey.
Change in Burden:	-10,702 hours
Agency:	Department of Commerce
OMB Control No.:	0607-0782
Title:	Annual Capital Expenditures Survey
Purpose of the Collection:	This survey collects data on fixed assets and depreciation, sales and receipts, and capital expenditures for new and used structures and equipment.
How Reduction Achieved:	The Census Bureau eliminated the collection of specific types of structures and equipment data from employer businesses and eliminated the new (birth) single-establishment business research.
Change in Burden:	-40,000 hours

Agency:	Department of Labor
OMB Control No.:	1210-0016 and 1210-0110
Title:	Form 5500 – Annual Report/Return of Employee Benefit Plan
Purpose of the Collection:	The Form 5500 serves as a disclosure document for plan participants, as well as the principal source of information and data available to the Department of Labor, Internal Revenue Service, and Pension Benefit Guaranty Corporation in their enforcement, research, and policy formulation programs. The Form 5500 is also the primary source of data on employee benefit plans for federal agencies, Congress, and the private sector.
How Reduction Achieved:	The reduction results from streamlining and simplifying the form, eliminating unnecessary elements, and addressing elements known to generate confusion or errors.
Change in Burden:	-313,850 hours
Agency:	Department of Agriculture
OMB Control No.:	0560-0175
Title:	Noninsured Crop Disaster Assistance Program
Purpose of the Collection:	The Noninsured Crop Disaster Assistance Program (NAP) provides eligible producers of specific crops with protection from disasters comparable to the catastrophic risk protection plan of crop insurance. In administering NAP, the Farm Service Agency must collect applicant information to determine eligibility, ensure compliance with program policies, and, during disaster situations, assess crop loss.
How Reduction Achieved:	FSA revised the NAP Actual Production History and Approved Yield Record (Form CCC-452) to make it available in an automated and manual form. The automation of the form reduced the amount of time necessary to collect the information and improved the accuracy of calculations involved in determining approved yields.
Change in Burden:	-846,000 hours
Agency:	Department of Agriculture
OMB Control No.:	0572-0031
Title:	RUS Form 479, “Financial and Statistical Report for Telephone Borrowers”
Purpose of the Collection:	This form provides RUS with (1) vital financial information needed to ensure the maintenance of the security for the Government’s loans, and (2) statistical data which enables RUS to ensure the provision of quality telephone service as mandated by the Rural Electrification Act of 1936, as amended (RE Act).
How Reduction Achieved:	Approximately 50 percent of the fields on the form have been eliminated in response to comments from the public.
Change in Burden:	-4,119 hours
Agency:	Department of Justice
OMB Control No.:	1115-0053
Title:	Application to Register Permanent Residence or Adjust Status, and Supplement A to Form I-485; Form I-485 and I-485A
Purpose of the Collection:	This collection is used by persons in the United States to apply to adjust to permanent resident status or register for permanent residence while in the United States, and may also be used by certain persons to request a change in the date their permanent residence began.
How Reduction Achieved:	The benefits process was evaluated by the INS, and the instructions were revised to provide for a more user-friendly, less burdensome collection.
Change in Burden:	-40,663 hours

Using Information Technology

Agency: Department of Health and Human Services
OMB Control No.: 0915-0172
Title: Maternal and Child Health Services Block Grant Annual Report
Purpose of the Collection: This collection helps States and jurisdictions set priorities and strategies for meeting the needs of the maternal and child health population.
How Reduction Achieved: Burden was reduced by devising a system allowing for electronic submission and automatic calculation through the Title V Electronic Reporting Package.
Change in Burden: -11,709 hours

Agency: Department of Labor
OMB Control No.: 1210-0039
Title: Summary Plan Description Requirements under the Employee Retirement Income Security Act
Purpose of the Collection: Statutory provisions and related regulations provide plan administrators with guidance on information required to be furnished to participants and beneficiaries of employee benefit plans so that they may be informed about the provisions of the plan and protected in their rights under the plan.
How Reduction Achieved: PWBA now considers disclosures made through electronic media to satisfy existing disclosure requirements. Burden reductions reflect savings plan administrators may achieve by distributing information electronically.
Change in Burden: -170,516 hours

Agency: Department of Agriculture
OMB Control No.: 0584-0053
Title: Coupon Account and Destruction Report
Purpose of the Collection: The Food and Nutrition Service (FNS) uses the information collected to reconcile food stamp coupons received as payment on recipient claims, mutilated or improperly manufactured, old series coupons for exchange, and coupons returned for miscellaneous reasons.
How Reduction Achieved: FNS continues to work toward full implementation of Electronic Benefits Transfer (EBT). Accordingly, there are fewer bulk storage points, issuance points and certification offices that must submit the report and fewer food coupons to reconcile.
Change in Burden: -28,204 hours

Agency: Department of Agriculture
OMB Control No.: 0584-0074
Title: Worksheet for Food Stamp Program Quality Control Reviews
Purpose of the Collection: In order to determine the accuracy of the food stamp benefits authorized by each State agency, the Food and Nutrition Service (FNS) conducts quality control reviews of a statistical sample of food stamp cases from each agency.
How Reduction Achieved: FNS automated the Worksheet for Food Stamp Program Quality Control Reviews, which significantly reduced the amount of time it takes a State agency to compile the necessary information for a quality control review.
Change in Burden: -54,105 hours

Agency: National Aeronautics and Space Administration
OMB Control No.: 2700-0087

Title: NASA Acquisition Process, Bids and Proposals for Contracts with an Estimated Value Less than \$500,000.

Purpose of the Collection: The information collection allows NASA to evaluate bids and proposals for goods and services in support of NASA's mission and in response to contractual requirements.

How Reduction Achieved: The NASA Acquisition Internet Service continues to reduce contractor efforts in searching out and downloading contract opportunities, and allows for greater use of hi-tech IT methods in the submission of proposals/bids.

Change in Burden: - 9,500 hours

Statutory Reductions

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

OMB Control No.: 0915-0060

Title: HRSA Competing Training Grant Application

Purpose of the Collection: This application is used to determine the eligibility of applicants for awards, to calculate the amount of each award, and to judge the relative merit of the applications.

How Reduction Achieved: Burden was reduced after amendments changed the way training grants programs were implemented, allowing for the consolidation of grant programs into several categories.

Change in Burden: -19,886 hours

Statute Title and P.L. #: Health Professions Education Partnerships Act of 1998, P.L. 105-392

Agency: **Social Security Administration**

OMB Control No.: 0960-0369

Title: Annual Earnings Test--Direct Mail Follow-Up Program Notices, SSA-L9778, SSA-L9779, SSA-L9781, SSA-L9784 and SSA-L9785

Purpose of the Collection: SSA uses the Annual Earnings Test notices to improve beneficiary reporting on work and earnings during the year.

How Reduction Achieved: The Senior Citizens' Freedom to Work Act of 2000 eliminated the earnings test at full retirement age (currently age 65). Therefore, beneficiaries who are at full retirement age and are currently working no longer need to complete the Annual Earnings Test notices.

Change in Burden: -14,167 hours

Statute Title and P.L.#: The Senior Citizens' Freedom to Work Act of 2000, P.L. 106-182

Agency: **Department of Agriculture**

OMB Control No.: 0584-0280

Title: Summer Food Service Program

Purpose of the Collection: The Food and Nutrition Service (FNS) collects information from State agencies, program sponsors, camps, and other participating organizations to document participation in the Summer Food Service Program. The required reports and recordkeeping supports payment to participants for meals served and accounts for other costs incurred by these groups.

How Reduction Achieved: FNS amended its regulations to account for provisions documented in three separate pieces of legislation. The Healthy Meals for Healthy American Act of 1994, P.L. 103-448, called for a reduction in administrative reporting requirements for organizations that had previous experience in the Summer Food Service Program. The ;Personal

Responsibility and Work Reconciliation Act of 1996, P.L. 104-193, prohibited FNS from requiring an annual submission of a free and reduced price policy statement after the initial submission, unless there is a substantive change. Finally, the William F. Goodling Child Nutrition Reauthorization Act of 1998, P.L. 105-336, amended existing statutes to require State agencies to use a single State/local agreement for all programs operated by the same food authority under the administration of the State agency. This legislation also called for State agencies to use a common reimbursement form to claim meals served under the programs.

Change in Burden:

-7,587 hours

Statute Title and P.L. #:

Healthy Meals for Healthy American Act of 1994, P.L. 103-448; Personal Responsibility and Work Reconciliation Act of 1996, P.L. 104-193; William F. Goodling Child Nutrition Reauthorization Act of 1998, P.L. 105-336

Other**Agency:****Federal Communication Commission****OMB Control No.:**

3060-0212

Title:

Section 73.2080 Equal Employment Opportunity (EEO) Program

Purpose of the Collection:

The data generated from this information collection is used by broadcasters in the preparation of the FCC 395-B and FCC 396.

How Reduction Achieved:

The Commission adopted requirement that broadcasters undertake two supplemental recruitment measures, but now allows them to choose their own measures if they are able to demonstrate success in achieving broad outreach to all segments of the community. This choice in recruitment measures resulted in a decrease in the burden for this collection.

Change in Burden:

-324,992 hours

Agency:**Department of Education****OMB Control No.:**

1850-0582

Title:

Integrated Postsecondary Education Data System (IPEDS)

Purpose of the Collection:

IPDES is a system of surveys designed to collect basic data from approximately 10,000 postsecondary institutions in the United States. The IPDES provides information on numbers of students enrolled, degrees completed, other awards earned, dollars expended, staff employed at postsecondary institutions, and cost and pricing information.

How Reduction Achieved:

Burden has been reduced by revising surveys and moving from paper to a Web-based data collection.

Change in Burden:

-56,856 hours

Agency:**Department of Treasury****OMB Control No.:**

1545-0074

Title:

2000 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 million taxpayers, who filed Form 1040 in the past only because they received capital gain distributions, are now able to file the simpler Form 1040A. Thus, Treasury removed two million filers from Form 1040 and from the Capital Gain Tax Worksheet in the instructions. Also, a checkbox was added to Form 1040 to allow taxpayers to authorize the IRS to discuss the return with the paid preparer designated on the form. A new line was added to Form 1040 due to the fact that non-refundable

	personal credits are fully allowed against the total of the regular tax and the alternative minimum tax minus any foreign tax credit.
Change in Burden:	-13,277,146 hours
Agency:	National Aeronautics and Space Administration
OMB Control No.:	2700-0087
Title:	NASA Acquisition Process, Bids and Proposals for Contracts with an Estimated Value Less than \$500,000.
Purpose of the Collection:	This information collection is used to evaluate bids and proposals submitted to NASA for goods and services in support of NASA's mission and in response to contractual requirements.
How Reduction Achieved:	NASA's Consolidated Contracting Initiative created a process where NASA Centers can make use of existing contracts at other Centers and at other agencies, thus reducing the number of proposals and bids required.
Change in Burden:	-75,950 hours

FY 2000 Increases

Statutory Increases

Agency:	Department of the Interior
OMB Control No.:	1004-0191
Title:	Alaska Veterans Native Allotment Regulations and Allotment Form
Purpose of the Collection:	This information is collected to determine if applicants meet the requirements of the law to obtain 160 acres of Federal land.
Why Increase Occurred:	New law requires the BLM to solicit information.
Change in Burden:	+20,496 hours
Statute Title and P.L.#:	<u>Open Season For Certain Alaska Native Veterans for Allotments</u> , P.L. 105-276
Agency:	Department of the Interior
OMB Control No.:	1018-0106
Title:	National Boating Infrastructure Grant Program Survey
Purpose of the Collection:	The Department uses this information to help States determine what boat access facilities are currently available and where additional facilities are needed.
Why Increase Occurred:	New law requires the FWS to conduct a new survey.
Change in Burden:	+32,200 hours
Statute Title and P.L.#:	<u>Sportfishing and Boating Safety Act of 1998</u> , P.L. 105-178
Agency:	Federal Deposit Insurance Commission
OMB Control No.:	3064-0136.
Title:	Privacy of Consumer Financial Information
Purpose of the Collection:	The elements of this information collection are required under section 504 of the Gramm-Leach-Bliley Act. Section 504 requires FDIC to issue regulations as necessary to implement notice requirements and restrictions on a financial institution's ability to disclose nonpublic personal information about consumers to nonaffiliated third parties. Consumers will use the privacy notice information to determine whether they want personal information disclosed to third parties that are not affiliated with the institution. Further, consumers will use the opt-out notice

	mechanism to advise the bank of their wishes regarding disclosure of their personal information.
Why Increase Occurred:	This is a new collection required by the Gramm-Leach-Bliley Act.
Change in Burden:	+259,380 hours
Statute Title and P.L. #:	<u>Gramm-Leach-Bliley Act</u> , P.L. 106-102
Agency:	Federal Deposit Insurance Commission
OMB Control No.:	3064-0139
Title:	Community Reinvestment Act (CRA) Sunshine
Purpose of the Collection:	Section 711 of the Gramm-Leach-Bliley Act added a new section 48 to the FDI Act entitled “CRA Sunshine Requirements”. Section 711 requires the public disclosure of CRA agreements between an insured depository institution and a non-governmental party. The parties must also file an annual report with the appropriate banking agency concerning the disbursement, receipt and use of funds or other resources under the agreement. The collection of information in CRA Sunshine implement these statutorily mandated reporting and recordkeeping requirements.
Why Increase Occurred:	This is a new collection required by the Gramm-Leach-Bliley Act.
Change in Burden:	+28,500 hours
Statute Title and P.L. #:	<u>Gramm-Leach-Bliley Act</u> , P.L. 106-102
Agency:	Department of Health and Human Services
OMB Control No.:	0910-0426
Title:	Quality Mammography Standards: Lay Summaries for Patients
Purpose of the Collection:	This collection insures patients are properly informed of the results of mammography tests.
Why Increase Occurred:	In the initial Mammography regulation, the Mammography Quality Standards Act of 1992 (MQSA), facilities were required to issue lay summaries of only questionable mammography examinations to the patient. The Mammography Quality Standards Reauthorization Act (MQSRA) of 1998 Lay Summaries portion of the MQSRA now requires that facilities provide to each patient a summary of the mammography report written in lay terms within 30 days of the mammographic examination.
Change in Burden:	+3,332,000 hours
Statute Title and P.L. #:	<u>Mammography Quality Standards Reauthorization Act of 1998</u> , P.L. 105-248
Agency:	Department of Health and Human Services
OMB Control No.:	0910-0435
Title:	Prescription Drug Marketing Act Regulations
Purpose of the Collection:	This collection contains the reporting and recordkeeping requirements related to the reimportation and wholesale distribution of prescription drugs.
Why Increase Occurred:	A new FDA final rule was implemented.
Change in Burden:	+3,361,996 hours
Statute Title and P.L. #:	<u>Prescription Drug Marketing Act</u> , P.L. 100-293
Agency:	Federal Communication Commission
OMB Control No.:	3060-0937
Title:	Establishment of a Class A Television Service, MM Docket No. 00-10
Purpose of the Collection:	The information collections contained within this Report and Order will ensure that the integrity of the TV spectrum is not compromised. It will also ensure that unacceptable interference will not be caused to existing radio services and that statutory requirements are met.

Why Increase Occurred:	This information collection resulted from the requirements of the CBPA.
Change in Burden:	+396,251 hours
Statute Title and P.L. #:	<u>The Community Broadcasters Protection Act of 1999, P.L. 106-113</u>
Agency:	Department of State
OMB Control No.:	1405-0124
Title:	Irish Peace Process Cultural and Training Program (IPPCTP) Employer Information Collection
Purpose of the Collection:	This program matches employment opportunities for persons from the Republic of Ireland and Northern Ireland and allows these persons to be tracked during their stay in the United States. It will also provide for reporting on the work experience of the individuals selected in this program.
Why Increase Occurred:	New legislation established this employment opportunity program.
Change in Burden:	+12,400 hours
Statute Title and P.L. #:	<u>Irish Peace Process Cultural and Training Program Act, P.L. 105-319</u>
Agency:	Federal Emergency Management Agency
OMB Control No.:	3067-0282
Title:	Proof of Loss – Cerro Grande Fire Assistance Act
Purpose of the Collection:	Congress required the Federal Emergency Management Agency to provide a means for victims of the Cerro Grande, New Mexico fire in May 2000 to expeditiously obtain redress from the United States for their fire-related losses. FEMA established a process to receive, evaluate, determine and settle fire-related loss claims through rulemaking (44 CFR, Part 295). Victims are required to complete the Proof of Loss, provide a specific description and value of their losses. The information is used to evaluate their claims and determine if compensation is due them.
Why Increase Occurred:	The information collection was designed to implement the Cerro Grande Fire Assistance Act.
Change in Burden:	+405,000 hours
Statute Title and P.L. #:	<u>Cerro Grande Fire Assistance Act (Consolidated Appropriations Act), P.L. 106-113</u>
Agency:	Social Security Administration
OMB Control No.:	0960-0601
Title:	Qualified Medicare Beneficiary Demonstration Project
Purpose of the Collection:	SSA is collecting information from its beneficiaries to determine their potential Medicare Part B buy-in eligibility and to identify barriers to enrollment. SSA will collect additional information to complete an application for Medicare Part B benefits for those screened potentially eligible.
Why Increase Occurred:	Public Law 105-277 directs SSA to evaluate means to promote the Medicare buy-in programs targeted to elderly and disabled individuals under titles XVIII and XIX of the Social Security Act.
Change in Burden:	+24,499 hours
Statute Title and P.L. #:	<u>Omnibus Consolidated and Emergency Supplemental Appropriations Act of 1999, P.L. 105-277; P.L. 106-113, Making Consolidated Appropriations for Fiscal Year Ending September 30, 2000 and for Other Purposes</u>
Agency:	Federal Trade Commission
OMB Control No.:	3084-0121
Title:	Gramm-Leach-Bliley Act, P.L. 106-102 (1999), codified at 15 U.S.C. 6801 et seq.

Purpose of the Collection:	This information collection is designed to ensure that customers and consumers, subject to certain exceptions, will have access to the privacy policies of the financial institutions with which they conduct business.
Why Increase Occurred:	This was a new collection mandated by or designed to implement the Gramm-Leach-Bliley Act.
Change in Burden:	+4,033,000 hours
Statute Title and P.L. #:	<u>Gramm-Leach-Bliley Act, P.L. 106-102</u>
Agency:	Department of Commerce
OMB Control No.:	0694-0091
Title:	Chemical Weapons Convention Declaration Forms, Inspections and Inspection Reports
Purpose of the Collection:	The Chemical Weapons Convention (CWC) bans the development, production, acquisition, stockpiling, retention, and direct or indirect transfer of chemical weapons. Under the CWC, companies that produce, process, consume, utilize, or transfer certain chemicals must file initial and annual declarations. This information will be submitted to the Organization for the Prohibition of Chemical Weapons (OPCW), the treaty's international body. The collection of this information is required to comply with the treaty.
Why Increase Occurred:	This is a reinstatement of a previously used OMB control number.
Change in Burden:	+34,709 hours
Statute Title and P.L. #:	<u>Chemical Weapons Convention Implementation Act of 1998, P.L. 15-277</u>
Agency:	Department of Labor
OMB Control No.:	1210-0113
Title:	National Medical Support Notice C Part B
Purpose of the Collection:	The Child Support Performance and Incentive Act of 1998 mandated the promulgation of regulations by the Department of Labor (PWBA) and the Department of Health and Human Services to establish a model qualified medical support order for use by State child support agencies and private employer-sponsored health plans to facilitate the enrollment of children in health care coverage.
Why Increase Occurred:	The Departments published a proposed model notice that is intended to simplify and standardize communications among States, parents, and group health plans under ERISA and create a uniform form for the enforcement of child medical support orders (64 FR 62054, November 15, 1999).
Change in Burden:	+785,000 hours
Statute Title and P.L. #:	<u>Child Support Performance and Incentive Act of 1998, P.L. 105-200</u>
Agency:	Department of Labor
OMB Control No.:	1210-0114
Title:	Disclosures to Policyholders of Insurance Company General Accounts Which Include Employee Benefit Plan Assets
Purpose of the Collection:	This required disclosure permits fiduciaries to monitor contract compliance and calculate the rate of return on invested assets where funds are managed in a "general account" of an insurance company.
Why Increase Occurred:	Section 1460 of the Small Business Job Protection Act of 1996 (Pub. L. 104-188) amended the Employee Retirement Income Security Act by adding new section 401(c), which establishes certain requirements for insurance companies that offer and maintain policies for private sector employee benefit plans where the assets are held

	in the insurer's general account. The regulation requires certain disclosures to be provided at the outset of the contract and annually and other disclosures to be provided upon request.
Change in Burden:	+1,204,369 hours
Statute Title and P.L.#:	<u>Small Business Job Protection Act of 1996, P.L. 104-188</u>
Agency:	Securities and Exchange Commission
OMB Control No.:	3235-0537
Title:	Regulation S-P
Purpose of the Collection:	This information is used to prevent certain disclosures of non-public personal information by investment advisers, brokers, dealers, and investment companies.
Why Increase Occurred:	This is a new regulation required by Gramm-Leach-Bliley Act
Change in Burden:	+716,000 hours
Statute Title and P.L. #:	<u>Gramm-Leach-Bliley Act, P.L. 106-102</u>
Agency:	Department of Treasury
OMB Control No.:	1545-1676
Title:	Qualified Transportation Fringe Benefits
Purpose of the Collection:	This proposed regulation provides guidance to employers that provide qualified transportation fringe benefits under Code section 132(f), including guidance to employers that provide cash reimbursement for qualified transportation fringes and employers that offer transportation fringes in lieu of compensation.
Why Increase Occurred:	This is a new regulation needed to implement and verify compliance with Code section 132(f).
Change in Burden:	+12,968,728 hours
Statute Title and P.L.#:	<u>Taxpayer Relief Act of 1997, P.L. 105-34; Transportation Equity Act for the 21st Century, P.L. 105-178</u>
Agency:	Department of Treasury
OMB Control No.:	1557-0216
Title:	Privacy of Consumer Financial Information
Purpose of the Collection:	The Gramm-Leach-Bliley Act prohibits a financial institution from disclosing nonpublic personal information about a consumer to non-affiliated third parties unless the institution satisfies various disclosure requirements. Consumers will use the privacy notice information to determine whether they want personal information disclosed to third parties that are not affiliated with the institution and to advise the bank of their wishes regarding disclosure of their personal information. Institutions will use the opt-out information to determine the wishes of their consumers and to act appropriately.
Why Increase Occurred:	The Gramm-Leach-Bliley Act required the OCC to issue regulations to establish notice requirements and restrictions on financial institutions' ability to disclose nonpublic personal information about consumers to nonaffiliated third parties.
Change in Burden:	+108,000 hours
Statute Title and P.L.#:	<u>Gramm-Leach-Bliley Act, P.L. 106-102</u>
Agency:	Department of Treasury
OMB Control No.:	1512-0554
Title:	2000 Floor Stocks Tax Return (Cigarettes) and Recordkeeping Requirements, ATF F 500.28T

Purpose of the Collection: Section 9302(j) of the Balanced Budget Act imposes a floor stocks tax on all cigarettes. This floor stocks tax is to be computed on Federally tax paid or tax determined on large and small cigarettes held for sale on January 1, 2000 and January 1, 2002.

Why Increase Occurred: The increase in burden is due to a final rule (27 CFR Part 296) which states that each person will be required to make either a record of the physical inventory or a book or a record inventory supported by the appropriate source records. The inventory must separately account for any cigarettes held for sale that have been marked for export from the United States

Change in Burden: +1,514,500 hours

Statute Title and P.L.#: Balanced Budget Act of 1997, P.L. 105-33

Other

Agency: **Department of the Interior**

OMB Control No.: 1010-0057

Title: 30 CFR 250, Subpart C, Pollution Prevention and Control

Purpose of the Collection: The Department uses this information to determine whether an Outer Continental Shelf (OCS) facility will have a significant effect on the air quality in the Breton National Wildlife Refuge/Wilderness Area (BWA).

Why Increase Occurred: This information is needed to determine whether OCS activities may significantly affect Breton National Wildlife Refuge/Wilderness Area air quality (Prevention of Significant Deterioration Class I Area, as defined by Clean Air Act). Respondents collect and report information on facilities, equipment, fuel usage, etc. MMS will use this information to calculate air pollutant emissions that may significantly impact onshore areas.

Change in Burden: +40,880 hours

Agency: **Department of the Interior**

OMB Control No.: 1010-0136

Title: Federal Oil Valuation

Purpose of the Collection: The Department uses this information to establish royalty valuation methods that capture the true market value of crude oil produced from Federal leases, both onshore and offshore.

Why Increase Occurred: Previous oil valuation rules relied heavily on posted prices to determine royalty value; however, the domestic crude oil market has moved away from posted prices to set market value. MMS now requires respondents to use separate valuation procedures for leases in three different geographical groupings— California and Alaska, the Rocky Mountain Region, and all other locations— to reflect the different crude oil market conditions and practices in each of these areas.

Change in Burden: +17,711 hours

Agency: **Department of the Interior**

OMB Control No.: 1010-0137

Title: Historical Well Data Cleanup (HWDC) Project

Purpose of the Collection: The Department uses this information to obtain missing data for well bores not assigned American Petroleum Institute numbers, to identify other data missing from the Minerals Management Service (MMS) records, to geologically map existing

	MMS data to the correct well bore/location, and to evaluate resources for lease sales for fair market value.
Why Increase Occurred:	This project is a one-time data collection effort over a period of three years to gather missing data and information essential for MMS mission accomplishment.
Change in Burden:	+90,000 hours
Agency:	Environmental Protection Agency
OMB Control No.:	2070-0093
Title:	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 the Collection:	Certain facilities manufacturing, processing, or otherwise using any of over 600 listed toxic chemicals and chemical categories in excess of applicable threshold quantities must report on their environmental releases and transfers of and waste management activities for such chemicals annually. Facilities must also provide information on the quantities of the toxic chemicals in waste streams and the efforts made to reduce or eliminate those quantities.
Why Increase Occurred:	EPA lowered the reporting thresholds for certain persistent bioaccumulative toxic (PBT) chemicals, added a category of dioxin and dioxin-like compounds to the list of toxic chemicals, and established a 0.1 gram reporting threshold for the category. EPA added certain other PBT chemicals to the list of toxic chemicals and established lower reporting thresholds for these chemicals as well. Lowering the reporting thresholds for PBT chemicals increases the amount of publicly available information on the quantities of these chemicals released or otherwise managed as waste.
Change in Burden:	+1,485,411 hours
Agency:	Environmental Protection Agency
OMB Control No.:	2040-0071
Title:	Revision to the National Water Quality Inventory Reports (Clean Water Act Sections 305(b), 303(d), 314(a) and 106(e)) and Revisions to EPA's Regulations Implementing Section 303(d)
Purpose of the Collection:	States, territories, and authorized tribes identify and prioritize waters that are not attaining water quality standards and submit a list of water-quality limited waters to EPA for review and approval. States, territories and authorized tribes then develop total maximum daily loads (TMDLs) of pollutants for water-quality limited waters that are not expected to achieve water quality standards through other controls. TMDLs are also submitted to EPA for review and approval.
Why Increase Occurred:	Specific new activities include revising the methodology for collecting and evaluating water quality data and information, providing the listing methodology in a new format, establishing schedules for developing the TMDLs for listed waters, and increasing public participation. Specific new activities for development of TMDLs include preparation of implementation plans, tracking and follow-up on implementation progress, and providing written response to public comments on the TMDLs.
Change in Burden:	+933,521 hours
Agency:	Department of Health and Human Services
OMB Control No.:	0910-0442
Title:	Medical Devices; Device Tracking (Amended)
Purpose of the Collection:	Certain manufacturers are under FDA orders to track a device, whose failure would likely have serious adverse health consequences, and which is implanted in humans

for more than 1 year, or is life-sustaining or life supporting and used outside a device user facility. Under this information collection, these manufacturers are required to collect and maintain current tracking information about the identity and location of the device during distribution, and about the identity and location of patients receiving the device, including certain physician information.

Why Increase Occurred: A new order from FDA was issued.
Change in Burden: +2,790,693 hours

Agency: **Federal Communication Commission**

OMB Control No.: 3060-0950

Title: Extending Wireless Telecommunications Services to Tribal Lands, WT Docket No. 99-266

Purpose of the Collection: This information is used to implement bidding credits for federally-recognized tribal areas that have a telephone service penetration rate below the seventy percentile rate of that for the nation and to encourage the deployment of wireless services to tribal lands.

Why Increase Occurred: The Commission requires that winning bidders seeking a bidding credit to serve a qualifying tribal land within a particular market to complete the long-form application (FCC Form 601). They are also required to certify that the recipient has constructed and is operating a system capable of serving 75% of the population of those markets.

Change in Burden: +768,800 hours

Agency: **Federal Energy Regulatory Commission**

OMB Control No.: 1902-0128

Title: Gas Pipeline Certificates: Environmental Impact Statement, FERC-577 (RM98-16-000)

Purpose of the Collection: FERC-577 information is required by the Commission to ensure compliance with the National Environmental Policy Act of 1969(NEPA). The data is used by the Commission to examine the potential effects of a proposed interstate natural gas pipeline construction project on soils, geology, water land use, recreation, aesthetics, air and noise quality, vegetation, wildlife, cultural resources, and pipeline and LNG safety.

Why Increase Occurred: FERC amended the Commission's regulations by adding certain early landowner notification requirements that will ensure that landowners who may be affected by a pipeline's proposal to construct natural gas pipeline facilities have sufficient opportunity to participate in the Commission's certificate process. The new changes also require pipelines to consult with the National Marine Fisheries Service and apply erosion control, wetland, and waterbody construction/mitigation procedures to activities conducted under pipeline blanket construction certificates.

Change in Burden: +19,544 hours

Agency: **Federal Trade Commission**

OMB Control No.: 3084-0102

Title: Trade Regulation Rule Concerning Pay-Per-Call Services and Other Telephone-Billed Purchases (APay-Per-Call Rule)

Purpose of the Collection: The rule requires the disclosure of cost and other information regarding pay-per-call services so that consumers know in advance what charges they can expect to incur.

Why increase occurred: Proposed amendments were necessary to clarify or strengthen the rule's legal requirements and ensure that it remains effective and consistent with the purposes of the Telephone Disclosure and Dispute Resolution Act.

Change in Burden: +1,500,000 hours

Agency: Department of Commerce
OMB Control No.: 0607-0810
Title: American Community Survey
Purpose of the Collection: This survey collects the "long-form" demographic, social, economic, and housing data traditionally collected in the decennial census on a continual basis throughout the decade from a sample of households.
Why Increase Occurred: The Department expanded the number of counties in which the ACS is conducted.
Change in Burden: +376,050 hours

Agency: Department of Commerce
OMB Control No.: 0607-0856 and 0607-0858
Title: Census 2000, Stateside and Puerto Rico Enumerations
Purpose of the Collection: The Congressionally mandated decennial census collects basic housing and demographic information from every household in the United States, Puerto Rico, and the Island Areas.
Why Increase Occurred: This collection is part of the Congressionally mandated decennial census. The burden hours were newly imposed during FY 2000.
Change in Burden: +27,214,702 hours

Agency: Department of Labor
OMB Control No.: 1210-0040
Title: ERISA Summary Annual Report Requirement
Purpose of the Collection: The reporting and disclosure requirements are intended to enhance the level of security and accountability for small pension plan assets while keeping administrative burdens and costs to a minimum by building on current recordkeeping, disclosure, and bonding requirements.
Why Increase Occurred: The regulation requires that in order for a pension plan with fewer than 100 participants to qualify for an exemption from the requirement to engage an independent accountant, participants must be provided with enhanced information under certain circumstances when plan assets are held by entities other than specific financial institutions.
Change in Burden: +20,595 hours

Agency: Department of Labor
OMB Control No.: 1210-0117
Title: Application for EFAST Electronic Signature and Codes for EFAST Transmitters and Software Developers
Purpose of the Collection: EFAST-1 is the vehicle by which administrators' and transmitters' signatures and declarations are transmitted to the Department so they can be provided with secure codes for the filing and transmission of the Form 5500 Series. The electronic signatures and other codes provide future verification of a filer's standing as a qualified participant in the electronic filing program, and a means of contact for information exchange and publication distribution between the filer, transmitter, or software developer and the Department.
Why Increase Occurred: In order to file electronically, employee benefit plan administrators, Form 5500 Series transmitters, and entities developing software to complete and/or transmit the Form 5500 Series must submit an Application for EFAST Electronic Signature and Codes for EFAST Transmitters and Software Developers (Form EFAST-1) to PWBA.
Change in Burden: +80,083 hours

Agency:	Department of Labor
OMB Control No.:	1215-0196
Title:	Equal Opportunity Survey
Purpose of the Collection:	To provide Government contractors an opportunity to report the results of their affirmative efforts to employ and promote minorities and women in their workforce and provide them a tool for self-analysis.
Why Increase Occurred:	This is a new collection.
Change in Burden:	+84,000 hours
Agency:	Department of Labor
OMB Control No.:	1219-0131
Title:	Training Plans, New Miner Training, Newly-hired Experienced Miner Training
Purpose of the Collection:	Mine operators develop and implement a written training plan, provide training, record and certify training and maintain training certificates for miners trained in health and safety.
Why Increase Occurred:	This final rule amended MSHA's existing health and safety training regulations (30m CFR Part 48), establishing new training requirements in Part 46, to ensure that all miners receive the required training, which would result in a decrease in accidents, injuries, and fatalities.
Change in Burden:	+253,393 hours
Agency:	Department of Education
OMB Control No.:	1840-0744
Title:	Reference and Reporting Guide for Preparing State and Institutional Reports on Teacher Quality and Preparation
Purpose of the Collection:	These reports, required by the Higher Education Amendments of 1998, provide information regarding accountability in teacher preparation and incentives for improvements.
Why Increase Occurred:	The data collection increased from three topics to nine and a questionnaire was added for the 1,250 institutions with teacher preparation programs. Institutions must provide annual pass rates and three other data items.
Change in Burden:	+127,624 hours
Agency:	Department of Agriculture
OMB Control No.:	0579-0155
Title:	Irradiation Phytosanitary Treatment of Fresh Fruits and Vegetables
Purpose of the Collection:	The Animal and Plant Health Inspection Service (APHIS) established a new treatment alternative, irradiation, for the importation of certain fresh fruits and vegetables into the United States. Information is collected from importers to determine that proper irradiation practices were followed.
Why Increase Occurred:	This is a new treatment alternative for ensuring that pest and disease entry into the United States through imported fresh fruits and vegetables is minimized. Implementation of the new program resulted in several new information collection requirements.
Change in Burden:	+10,305 hours
Agency:	Securities and Exchange Commission
OMB Control No.:	3235-0536
Title:	Regulation FD

Purpose of the Collection:	Reg FD (Other Disclosure Materials) requires public disclosure of material information from issuers of publicly traded securities so that investors have current information upon which to base investment decisions.
Why Increase Occurred:	This is a new collection.
Change in Burden:	+75,000 hours
Agency:	Department of Treasury
OMB Control No.:	1545-0085
Title:	2000 Form 1040A 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.
Why Increase Occurred:	The Department added a new line to report capital gain distributions from mutual funds. This new line will allow an estimated 2 million taxpayers, who filed Form 1040 in the past only because they received capital gain distributions, to file the simpler Form 1040A. These taxpayers will also complete a new Capital Gain Tax Worksheet in the Form 1040A instructions. Also, a checkbox was added to Form 1040A to allow taxpayers to authorize the IRS to discuss the return with the paid preparer designated on the form. Additional changes were made in the instructions and we corrected errors from a previous burden computation.
Change in Burden:	+29,293,753 hours
Agency:	Department of Treasury
OMB Control No.:	1545-1610
Title:	Form 5500 and Schedules, Annual Return/Report of Employee Benefit Plan.
Purpose of the Collection:	In accordance with Code sections 6058 and 6039D and ERISA sections 104 and 4065, a return/report must be filed every year for every pension benefit plan, welfare benefit plan, fringe benefit plan, and certain Direct Filing Entities. The IRS uses the information to determine if the plan appears to be operating properly as required under the law, or whether the plan should be audited.
Why Increase Occurred:	Form 5500 and the related Forms 5500-C, 5500-R, and schedules are being replaced with this new, streamlined Form 5500. The new form, which is the reason for this burden increase, will be used by all filers. Small plans will have less extensive reporting requirements. The goals of this initiative are to: (1) reduce annual reporting burdens for all filers by reducing the total amount of information collected by the Form 5500 series; (2) provide plans using simple tax qualification structures and financial operations with correspondingly simple annual reporting requirements; (3) restructure the annual reporting forms to make them more understandable and easier to complete; and (4) reduce government and filer costs involved in filing, receiving, and processing annual reports.
Change in Burden:	+4,938,719 hours
Agency:	Federal Acquisition Regulation System
OMB Control No.:	9000-0154
Title:	Davis-Bacon Act--Price Adjustment (Actual Method)
Purpose of the Collection:	Government contracting officers use this information to establish the contract price adjustment for a contract's construction requirements or to incorporate wage determinations otherwise applied to the contract by operation of law.
Why increase occurred:	This is a new collection.
Change in Burden:	+81,000 hours

FY 2001 Reductions

Streamlining Regulations

Agency:	Department of the Interior
OMB Control No.:	1029-0117 (replaces #1029-0034)
Title:	Permit Applications – Minimum requirements for legal, financial, compliance and related information – 30 CFR 778
Purpose of the Collection:	Individuals who plan to conduct surface coal mining operations must submit to the regulatory authority all relevant information regarding ownership and control, their compliance status and history. The information is used to ensure all legal, financial and compliance requirements are satisfied prior to issuance or denial of a permit.
How Reduction Achieved:	The Office of Surface Mining is re-engineering the final rules on Ownership and Control, which impose less burden for this part.
Change in Burden:	-8,039 hours
Agency:	Nuclear Regulatory Commission
OMB Control No.:	3150-0011
Title:	10 CFR Part 50, Domestic Licensing of Production and Utilization Facilities
Purpose of the Collection:	10 CFR Part 50 specifies technical information and data to be provided to the NRC or maintained by applicants and licensees of nuclear power plants, research, and test reactors so that the NRC may make determinations necessary to promote the health and safety of the public.
How Reduction Achieved:	This burden reduction is attributable to the following two ongoing initiatives: 1) more plants have converted to Standard Tech Specs which require fewer reports to be submitted to NRC and 2) the need for licensee response to Generic Communications has decreased hours because many regulatory issues are now being resolved through industry initiatives rather than by issuance of and response to Generic Letters.
Change in Burden:	-426,660 hours
Agency:	Federal Communication Commission
OMB Control No.:	3060-0370, 3060-0470, 3060-0384, 3060-0511, 3060-0512, 3060-0513, 3060-0395, 3060-0410 and 3060-0496
Title:	FY 2000 Biennial Regulatory Review B Comprehensive Review of the Accounting Requirements and the Automated Reporting Management Information Systems (ARMIS) Reporting Requirements for Incumbent Local Exchange Carriers (ILECs): Phase 2 and Phase 3, CC Docket No. 00-199.
Purpose of the Collection:	The Commission is soliciting public comment from certain common carriers on various recordkeeping and reporting requirements.
How Reduction Achieved:	The Commission is considering regulatory changes that would reduce burden by eliminating one-fourth of the Class A accounts in Part 32 of its rules; eliminating certain inventory requirements; eliminating the threshold requirements in 47 CFR 32.2003(b) of the rules, and revising the Commission's affiliate transaction rules.
Change in Burden:	-412,128 hours
Agency:	Federal Communication Commission
OMB Control No.:	3060-0298
Title:	Part 61, Tariffs
Purpose of the Collection:	Part 61 is designed to ensure that all tariffs filed by common carriers are formally sound, well organized, and provide the Commission and the public with sufficient

	information to determine the justness and reasonableness of the rates, terms, and conditions in those tariffs.
How Reduction Achieved:	The schedules containing the terms and conditions of these tariffs will no longer be required to be filed with the Commission, which is required to determine whether such schedules are just and reasonable. Moreover, the Commission's requirement that all dominant incumbent local exchange carriers file interstate tariffs electronically contributes to the burden reduction.
Change in Burden:	-553,555 hours
Agency:	Department of Labor
OMB Control No.:	1215-0072
Title:	OFCCP Recordkeeping and Reporting Requirements: Supply and Service
Purpose of the Collection:	The Department uses this information to enforce the Federal contractor's equal opportunity and nondiscrimination contractual obligations.
How Reduction Achieved:	The burden reduction results from simplifying and reducing regulatory requirements.
Change in Burden:	-2,835,510 hours
Agency:	Department of Agriculture
OMB Control No.:	0575-0033, 0573-0045, 0575-0046, 0575-0047, 0575-0100, 0575-0104, 0575-0118, 0575-0155, 0575-NEW
Title:	Information Collections related to the Rural Rental Housing Program
Purpose of the Collection:	These collection of information ensure compliance with program regulations and protects the integrity and use of federal funds.
How Reduction Achieved:	The new regulation will encompass all collection requirements for the Rural Rental Housing Program. The creation of this comprehensive regulation will reduce the burden associated with the previous 8 collections by streamlining efforts that will involve an increased use of information technology and a reduction in the number of forms that must be completed (22 to 17).
Change in Burden:	-541,010 hours
Agency:	Department of Agriculture
OMB Control No.:	0583-0082
Title:	Application for Inspection, Sanitation, Accredited Laboratories
Purpose of the Collection:	The Food Safety Inspection Service (FSIS) requires meat, poultry, and egg product establishments and FSIS accredited non-Federal analytical laboratories to maintain certain paperwork and records. FSIS uses this collected information to ensure that all meat and poultry establishments produce safe, wholesome, and unadulterated products, and that non-Federal laboratories comply with FSIS regulations.
How Reduction Achieved:	With the publication of its sanitation performance standards regulations, FSIS eliminated the need for information collection requirements regarding sanitation procedures. These regulations converted FSIS' command and control sanitation regulations into less prescriptive performance standards. Although establishments must continue to be maintained in a sanitary manner, FSIS no longer prescribes the methods and paperwork that establishments are to follow.
Change in Burden:	-17,419 hours
Agency:	Securities and Exchange Commission
OMB Control No.:	3235-0225
Title:	Rule 17f-4 under the Investment Company Act of 1940, Deposits of Securities in Securities Depositories

Purpose of the Collection: Rule 17f-4 specifies the conditions under which a registered management investment company or its custodian may place the company's securities in a securities depository. The rule includes certain recordkeeping and reporting requirements that are intended to provide evidence of securities transactions, protect the safety of assets held in depository arrangements, and facilitate the review and approval of these arrangements.

How Reduction Achieved: Amendments to Rule 17f-4 would reduce burden by updating and simplifying the rule's compliance requirements to reflect changes in commercial law; expanding the types of entities that may be used as securities depositories, and permitting investment company officers to authorize depository arrangements.

Change in Burden: -35,000 hours

Agency: **National Aeronautics and Space Administration**

OMB Control No.: 2700-0088

Title: NASA Acquisition Process, Reports Required for Contracts with an Estimated Value Less than \$500,000.

Purpose of the Collection: NASA uses this information collection to monitor compliance for contracts in support of NASA's mission and in response to contractual requirements.

How Reduction Achieved: Part 12 of the FAR encourages the use of commercial products in contracting. NASA has increased the acquisition of commercial products, which results in more fixed-price contracts rather than cost-type contracts. Fixed-price contracts require far less reporting, thereby reducing the burden imposed on contractors.

Change in Burden: -484,092 hours

Agency: **Federal Acquisition Regulation System**

OMB Control No.: 9000-0002

Title: Solicitation Mailing List Application (SF 129)

Purpose of the Collection: Federal agencies use Standard Form 129, Solicitation Mailing List Application, as an application form for prospective contractors to provide information needed to establish and maintain a list of firms interested in selling to the Government.

How Reduction Achieved: This burden reduction is possible because the SF 129 is no longer required by Part 15 of the Federal Acquisition Regulation. Part 14, however, maintains use of the SF 129.

Change in Burden: -99,760 hours

Eliminating Redundancy

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

OMB Control No.: 0925-0001

Title: Research and Research Training Grant Applications and Related Forms

Purpose of the Collection: This collection is used by applicants to obtain NIH funding under assistance mechanisms.

How Reduction Achieved: Burden is reduced by introducing modular grant application procedures to streamline the application process, simplifying the reporting requirements for budget requests.

Change in Burden: -535,918 hours

Agency: **Social Security Administration**

OMB Control No.: 0960-0108

Title: Form SSA-3945, Report of Work Activity – Continuing Disability

Purpose of Collection:	The information collected by the SSA-3945 was used by SSA Program Service Centers to contact beneficiaries to determine whether they have worked or been employed after becoming disabled and if so, whether that work constituted substantial gainful activity.
How Reduction Achieved:	SSA eliminated the SSA-3945 by consolidating it with the SSA-821-BK (OMB No. 0960-0059.) The SSA-821-BK is used to collect information on the work and earnings of both Social Security and SSI disability applicants. The revised form SSA-821-BK is easier for the public to understand, thereby eliminating the need for recontacts, resulting in improved service to the customer. Combining the forms have reduced the individual respondent burden by 30 minutes.
Change in Burden:	-105,000 hours
Agency:	Department of Commerce
OMB Control No.:	0608-0053
Title:	Annual Survey of U.S. Direct Investment Abroad
Purpose of the Collection:	The Department uses this collection to obtain information on the operations of nonbank U.S. multinational companies and their nonbank foreign affiliates.
How reduction achieved:	BEA has proposed to raise exemption levels on both long and short forms for foreign affiliates, and to require U.S. parent companies under a specified size to report only selected items on the form that collects data on their operations.
Change in Burden:	-10,600 hours
Agency:	Department of Agriculture
OMB Control No.:	0572-0119
Title:	Guaranteed Loans, General
Purpose of the Collection:	The information collection is used to support the Rural Utilities Service (RUS) in determining eligibility for applicants seeking guaranteed loans.
How Reduction Achieved:	RUS is revising and rewriting the regulation governing the guaranteed loan program which currently overlaps with guaranteed loan programs offered by other agencies in USDA. The new regulation will be easier to understand and will reduce burden on respondents.
Change in Burden:	-62,501 hours
Agency:	Department of Agriculture
OMB Control No.:	0583-0089
Title:	Processing Procedures and Quality Control Systems
Purpose of the Collection:	The information collection addresses reporting and recordkeeping requirements for meat and poultry processors as it relates to processing operations and quality control systems. The information is necessary to ensure that meat and poultry products are wholesome, unadulterated, and properly labeled and packaged.
How Reduction Achieved:	The Food Safety Inspection Service modified its regulations to be more performance standards based. Accordingly, previous command and control requirements have been eliminated in light of full implementation of the Hazard Analysis and Critical Control Point (HACCP) regulations to avoid redundancy.
Change in Burden:	-743,906 hours

Simplifying Forms

Agency:	Department of the Interior
OMB Control No.:	1076-0101
Title:	Higher Education Grant Program Application and Annual Report – 25 CFR 40 (Form BIA-6237)
Purpose of the Collection:	BIA uses this information to determine applicant eligibility for grants in post-secondary institutions.
How Reduction Achieved:	BIA reduced the amount of information required from individual Indian applicants.
Change in Burden:	-111,750 hours
Agency:	Veterans Affairs
OMB Control No.:	2900-0001.
Title:	Veteran's Application for Compensation and/or Pension, VA Form 21-526.
Purpose of the Collection:	This form is used as an original application for veterans to apply for compensation and/or pension benefits.
How Reduction was Achieved:	The form was modified to incorporate plain English principles, thereby improving the quality of applications and the respondent burden.
Change in Burden:	-197,500 hours
Agency:	Department of Health and Human Services
OMB Control No.:	0938-0511
Title:	Skilled Nursing Facility Prospective Payment Cost Report
Purpose of the Collection:	This collection was developed to gather data to determine the proper rates of payment for hospices.
How Reduction Achieved:	This form will be combined with another form, thereby reducing burden.
Change in Burden:	-139,410 hours
Agency:	Department of Commerce
OMB Control No.:	0607-0151
Title:	Boundary & Annexation Survey (BAS)
Purpose of the Collection:	This survey is used to collect and maintain information about the boundaries, names, and governmental status of counties and equivalent entities, minor civil divisions, municipalities, Federally recognized American Indian reservations, off-reservation trust lands, and Alaska native Regional Corporations.
How Reduction Achieved:	The substantial burden reduction that will occur in the 2001 BAS is reflective of the change in the BAS universe and our efforts to minimize the amount of information collected. In the two previous BAS surveys (1999 and 2000) Census surveyed 39,347 entities. In 2001 Census will survey approximately 12,000 entities. In order to reduce the burden on those 12,000 entities, it will not send a full set of maps to every participant. Additionally, respondent burden will be reduced by not having to review maps that have previously been approved and have not had additional changes.
Change in Burden:	-81,855 hours

Using Information Technology

Agency:	Department of Defense
OMB Control No.:	0704-0400
Title:	Central Contractor Registration (CCR)
Purpose of Collection:	The CCR system is a central repository of data pertinent to the acquisition and payment processes. The centralization of this data eliminates the duplicative information that was submitted by vendors on the Standard Form 129 and other forms to many locations.
How Reduction Achieved:	The burden reduction was achieved through improvements of on-line data elements to increase the ease of use.
Change in Burden:	-150,000 hours
Agency:	Department of Transportation
OMB Control No.:	2125-0519
Title:	Developing and Recording Costs for Utility Adjustment
Purpose of the Collection:	This information collection allows for reimbursement to State Transportation Departments for their costs to relocate utility facilities necessitated by the construction of Federal-aid highway projects.
How Reduction Achieved:	This reduction resulted from an increased use of electronic recording and transfer of data.
Change in Burden:	-108,000 hours
Agency:	Department of Transportation
OMB Control No.:	2125-0522
Title:	Utility Use and Occupancy Agreements
Purpose of the Collection:	This information collection is required to assure Federal-aid highway projects are being properly maintained and to establish the authority and responsibility of the Federal Highway Administrator to prescribe policies and procedures for the use, occupancy and maintenance of the rights-of-way of Federal-aid projects.
How Reduction Achieved:	Burden reduction is attributable to an increased use of electronic recording and transfer of data.
Change in Burden:	-138,000 hours
Agency:	Department of Transportation
OMB Control No.:	2130-0005
Title:	Hours of Service Regulations
Purpose of the Collection:	This information collection is used to ensure that railroads comply with the hours of service laws and that the railroad workers do not work excessive hours and thereby jeopardize railroad safety.
How Reduction Achieved:	Railroads will be equipped to keep their hours of service records electronically.
Change in Burden:	-1,891,186 hours
Agency:	Department of Agriculture
OMB Control No.:	0551-0035
Title:	Foreign Donations of Agricultural Commodities
Purpose of the Collection:	Reports submitted by cooperating sponsors are used by the Foreign Agriculture Service (FAS) to document the transparent flow of commodities and generated currencies from the initial receivable stage to final distribution or expenditure.

Information is necessary to satisfy statutory requirements and to assure that public resources are being properly used.

How Reduction Achieved: FAS has encouraged, and respondents have taken advantage of, the use of the Internet to conduct business. Electronic interaction has reduced the time it takes respondents to provide information.

Change in Burden: -10,267 hours

Agency: **Department of Agriculture**

OMB Control No.: 0584-0124

Title: Food Stamp Program Identification Cards

Purpose of the Collection:: The Food and Nutrition Service's (FNS) regulations require State agencies to issue photo identification (ID) cards to all households participating in the Food Stamp Program. Information collected to issue the photo ID cards and to maintain records on their issuance.

How Reduction Achieved: As FNS continues to work toward full implementation of Electronic Benefits Transfer (EBT), fewer photo ID cards will be necessary.

Change in Burden: -32,184 hours

Statutory Reductions

Agency: **Environmental Protection Agency**

OMB Control No.: 2050-0144

Title: Risk Management Program Requirements and Petitions to Modify the List of Regulated Substances under Section 112(r) of the Clean Air Act

Purpose of the Collection: Under Section 112(r) of the Clean Air Act, as amended, sources must register, document risk management programs, and submit risk management plans to EPA. The Agency will use this information in making the decision to grant or deny a petition.

How Reduction Achieved: The Chemical Safety Information, Site Security and Fuels Regulatory Relief Act (P.L. 106-40), removed from coverage under the Clean Air Act section 112(r) flammable substances when used as fuel or held for sale as a fuel at a retail facility. About 32,900 sources were exempted, thereby reducing burden. Also, implementing agencies also have a lower burden, since there was a reduction in regulated entities.

Change in Burden: -63,200 hours

Statute Title and P.L. #: Chemical Safety Information, Site Security and Fuels Regulatory Relief Act, P.L. 106-40

Other

Agency: **Department of Agriculture**

OMB Control No.: 0560-0129

Title: Loan Deficiency Payments

Purpose of the Collection:: Information is collected by the Farm Service Agency (FSA) in order to determine eligibility for making loan deficiency payments (LDP). Additional information is necessary once a loan is made to ensure compliance with the program's provisions.

How Reduction Achieved: Program procedures were amended to provide more flexibility for producers when completing applications for loan deficiency payments. Also, the burden was further reduced on producers when the agency eliminated the requirement that producers

	provide production evidence up front before being granted the payment. Now, production evidence is required only for the subset of producers subject to a spot check.
Change in Burden:	-750,000 hours
Agency:	National Aeronautics and Space Administration
OMB Control No.:	2700-0049
Title:	Financial Monitoring and Control (Grants)
Purpose of the Collection:	The information is used to ensure proper accounting of Federal funds provided under grants and cooperative agreements with institutions of higher education and other non-profit organizations.
How Reduction Achieved:	Burden reduction is attributable to the use of improved electronic reporting systems and other efficiencies in grant processing.
Change in Burden:	-10,065 hours
Agency:	National Aeronautics and Space Administration
OMB Control No.:	2700-0088
Title:	NASA Acquisition Process, Reports Required for Contracts with an Estimated Value Less than \$500,000.
Purpose of the Collection:	NASA uses this information to monitor compliance for contracts in support of NASA's mission and in response to contractual requirements.
How Reduction Achieved:	<ol style="list-style-type: none"> 1. NASA's Consolidated Contracting Initiative created a process where NASA Centers can make use of existing contracts at other Centers and at other agencies. The reporting requirements for utilizing an existing contract replaces the need for a new contractor to furnish a new set of reports for the contract, thus reducing the overall burden on contractors. 2. NASA's increased use of Performance-Based contracts has also resulted in a greater use of fixed-price contracts, thus reducing further the number and complexity of reports required.
Change in Burden:	-484,068 hours

FY 2001 Increases

Statutory Increases

Agency:	Environmental Protection Agency
OMB Control No.:	2050-0172
Title:	Distribution of Off-Site Consequence Analysis Information under Section 112(r) of the Clean Air Act
Purpose of the Collection:	This information collection implements regulations on the distribution of off-site consequence analysis information to the public (Clean Air Act section 112(r)(H)(ii)).
Why Increase Occurred:	This is a new collection. EPA and DOJ are required to collect information on the public (name, address, signatures and certification) before they can give the off-site consequence analysis information to the public. Also, the state and local agencies are encouraged to provide off-site consequence analysis information to the public.
Change in Burden:	+99,518 hours
Statute Title and P.L. #:	<u>Chemical Safety Information, Site Security and Fuels Regulatory Relief Act</u> , P.L. 106-40

Agency:	Environmental Protection Agency
OMB Control No.:	2040-NEW
Title:	Long Term 1 Enhanced Surface Water Treatment Rule (LT1ESWTR), Filter Backwash Rule (FBR), Groundwater Rule (GWR), Radon Rule, Arsenic Rule, and the Operator Certification and Capacity Development Guidelines.
Purpose of the Collection:	Information will be collected from public water systems (PWS) to ensure compliance with drinking water standards; provide Public Right to Know data to notify the public when PWS are out of compliance with the standards; and report to consumers the overall quality of their drinking water supplies. Information will be collected from States so that EPA can assess whether the States' operator certification and capacity development programs are consistent with the promulgated guidelines.
Why Increase Occurred:	The radon and GWR are new regulations required by the SDWA Amendments of 1996. The arsenic rule, also required by the 1996 SDWA amendments, will lower the existing arsenic standard. The LT1ESWTR and FBR regulations strengthen protection from pathogens such as <i>Cryptosporidium</i> .
Change in Burden:	+2,004,902 hours
Statute Title and P.L. #:	<u>Safe Drinking Water Act</u> , P.L. 104-182
Agency:	Federal Deposit Insurance Commission
OMB Control No.:	3064-0140
Title:	Insurance Sales Consumer Protections
Purpose of the Collection:	Section 305 of the Gramm-Leach-Bliley Act requires the Office of the Comptroller of the Currency, Board of Governors of the Federal Reserve System, Federal Deposit Insurance Corporation, and Office of Thrift Supervision to prescribe joint consumer protection regulations that apply to retail sales practices, solicitations, advertising, and offers of any insurance product by a depository institution or on behalf of the institution. Section 305 requires those performing such activities to disclose certain information to consumers and to obtain consumer acknowledgments.
Why Increase Occurred:	This is a new collection required by the Gramm-Leach-Bliley Act.
Change in Burden:	+76,667 hours
Statute Title and P.L. #:	<u>Gramm-Leach-Bliley Act</u> , P.L. 106-102
Agency:	Federal Communication Commission
OMB Control No.:	3060-0937
Title:	Establishment of a Class A Television Service, MM Docket No. 00-10
Purpose of the Collection:	The Commission adopted a Report and Order in MM Docket No. 00-10 on March 28, 2000 to establish a new Class A television service. The information collections contained within this Report and Order will ensure that the integrity of the TV spectrum is not compromised. It will also ensure that unacceptable interference will not be caused to existing radio services and that statutory requirements are met. These rules will ensure that the stations are operated in the public interest.
Why Increase Occurred:	This information collection resulted from the requirements of the CBPA.
Change in Burden:	+396,251 hours
Statute Title and P.L. #:	<u>The Community Broadcasters Protection Act of 1999</u> , P.L. 106-113, 113 Stat. Appendix I at pp. 1501A-594 B 1501A-598 (1999)
Agency:	Federal Communication Commission
OMB Control No.:	3060-0954
Title:	Third Notice of Proposed Rulemaking (NPRM) and NPRM Regarding Implementation of the 911 Act

Purpose of the Collection:	The Commission sought comment on the appropriate means for providing reasonable transition periods to allow wireline and wireless carriers the necessary time to convert to the use of 911 as the universal emergency assistance number throughout the United States. The establishment of transition periods will serve the public interest by providing wireline and wireless carriers the necessary time to implement the modifications to their networks to achieve universal usage of 911. The number of entities involved is approximately 200,000 because it includes telecommunications carriers, public safety and/or government entities.
Why Increase Occurred:	This information collection resulted from the requirements of the 911 Act.
Change in Burden:	+10,982,470 hours
Statute Title and P.L. #:	<u>The Wireless Communications and Public Safety Act of 1999</u> , P.L. 106-81, 113 Stat. 1286 (1999)
Agency:	Department of Defense
OMB Control No.:	0704-0415
Title:	Application for Department of Defense Common Access Card
Purpose of Collection:	The information collected will be used to: verify eligibility for the DoD Common Access Card (CAC) for individuals either employed by or associated with the Department; control access to facilities and systems; and provide population demographic reports and mobilization dependent support. Respondents are individuals not pre-enrolled in the Defense Enrollment Eligibility Reporting System (DEERS), e.g., contractor personnel and eligible foreign nationals.
Change in Burden:	Established a new Department of Defense form, DD Form 1172-2, to verify eligibility for the DoD Common Access Card (CAC). Part of a larger initiative to enhance physical and information security to enable security services at multiple levels of assurance.
Change in Burden:	+100,000 hours
Statute Title and P.L. #:	P.L. 106-65, Section 373, <u>National Defense Authorization Act for Fiscal Year 2000</u> .
Agency:	Small Business Administration
OMB Control No.:	3245-NEW
Title:	Office of Financial Assistance-Program for Investment in Microloans Act (PRIME)
Purpose of the Program:	The PRIME grant program will provides training and technical assistance to disadvantaged micro entrepreneurs and conducts research and development of the best practices for training and technical assistance. In order to pursue the purposes of PRIME Act, the Office of Financial Assistance is proposing to issue three Program Announcements. These announcements will solicit competitive responses from the "qualified organizations" to accomplish the legislative mandate.
Why Increase Occurred:	This is a new program.
Change in Burden:	+40,000 hours
Statute Title and P.L. #:	Title VII of the <u>Gramm-Leach-Bliley Act</u> , P.L. 106-102
Agency:	Federal Emergency Management Agency
OMB Control No.:	3067-NEW
Title:	Fire Grant Program
Purpose of the Collection:	The collection of information will be used by fire service organizations to request Federal grant assistance.
Why Increased Occurred:	Congress provided \$100 million dollars to the Federal Emergency Management Agency in FY 2001 for a new grants program that will be used to provide assistance to fire departments and fire prevention organizations for the purpose of protecting

the public and firefighting personnel against fire and fire-related hazards. Fire service organizations will submit applications for funds that may be used to: train firefighting personnel; establish wellness and fitness programs for firefighting personnel; buy firefighting vehicles, including fire trucks buy firefighting equipment, including equipment for communications and monitoring; buy personal protective equipment; and fund fire prevention programs.

Change in Burden:

+80,000 hours

Statute Title and P.L. #:

Firefighter Investment and Response Enhancement Act (Floyd D. Spence National Defense Authorization Act, FY 2001) P.L. 106-398

Agency:**Social Security Administration****OMB Control No.:**

0960-NEW

Title:

Benefits Planning, Assistance and Outreach (BPAO) Projects

Purpose of the Collection:

The projects will collect data pertaining to BPAO activities. The purpose of collecting this data is to determine the number of people receiving BPAO services so that SSA can evaluate the program, and to ensure that those dollars appropriated for BPAO services are being spent on SSA beneficiaries.

Why Increase Occurred:

Public Law 106-170, the Ticket to Work and Work Incentives Improvement Act of 1999, stated that the Commissioner of SSA shall establish a community-based work incentives planning and assistance program for the purpose of disseminating accurate information to disabled beneficiaries on work incentives programs and issues related to such programs. In response, SSA will award cooperative agreements to organizations that will develop community-based benefits planning, assistance, and outreach projects in every State and United States territory.

Change in Burden:

+125,000 hours

Statute Title and P.L. #:

Ticket to Work and Work Incentives Improvement Act of 1999, P.L. 106-170

Agency:**Social Security Administration****OMB Control No.**

0960-NEW

Title:

The Ticket to Work and Self-Sufficiency Program

Purpose of the Collection:

The purpose of this program is to increase the number of service providers who give assistance to Social Security disability beneficiaries and Supplemental Security Income (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:

+199,233 hours

Statute Title and P.L. #:

Ticket to Work and Work Incentives Improvement Act of 1999, P.L. 106-170

Agency:**Department of Transportation****OMB Control No.:**

2120-NEW

Title:

Certification of Screening Companies

Purpose of the Collection:

This information collection certifies companies providing security screening, and improves the training and testing of security screeners through development of uniform performance standards for security screening.

Why Increase Occurred:

A new regulation is being proposed.

Change in Burden:

+173,577 hours

Statute Title and P.L.#:

Federal Aviation Reauthorization Act of 1996, P.L. 104-264

Agency:	Department of Transportation
OMB Control No.:	2126-0001
Title:	Driver's Record of Duty Status
Purpose of the Collection:	This information collection certifies that the drivers of commercial motor vehicles are in compliance with the Federal hours of service regulations
Why Increase Occurred:	The Motor Carrier Safety Improvement Act of 1999 directed the agency to regulate a new segment of the economy (motor coach).
Change in Burden:	+137,250 hours
Statute Title and P.L.#:	<u>Motor Carrier Safety Act of 1999</u> , P.L. 106-159
Agency:	Department of Transportation
OMB Control No.:	2126-0003
Title:	Inspection, Repair and Maintenance
Purpose of the Collection:	This information collection provides evidence of compliance with Federal regulation requiring motor carriers to ensure that their employees maintain and operate the carriers' commercial motor vehicle in a safe manner.
Why Increase Occurred:	The Motor Carrier Safety Improvement Act of 1999 requires that motor carriers operating commercial motor vehicle designed or used to transport between 9 and 15 be subject to the same requirement imposed upon motor coach operations.
Change in Burden:	+213,767 hours
Statute Title and P.L.#:	<u>Motor Carrier Safety Act of 1999</u> , P.L. 106-159
Agency:	Department of Labor
OMB Control No.:	1210-NEW
Title:	Disclosures to Participants and Beneficiaries of ERISA Group Health Plans under the Women's Health and Cancer Rights Act (WHCRA)
Purpose of the Collection:	Under WHCRA, group health plans and health insurance issuers must generally provide coverage for reconstructive surgery if an individual who is receiving benefits in connection with a mastectomy elects breast reconstruction. WHCRA includes notice and disclosure provisions, which are expected to be implemented during FY 2001 by regulations published jointly by the Departments of Labor and Health and Human Services. The notice and disclosure provisions are intended to make plan participants aware of the new protections for mastectomy patients.
Why Increase Occurred:	The regulation will include information collection provisions consistent with the statute.
Change in Burden:	+355,588 hours
Statute Title and P.L. #:	<u>Women's Health and Cancer Right Act of 1998</u> , P.L. 105-277
Agency:	Department of Agriculture
OMB Control No.:	0581-0191
Title:	The National Organic Program
Purpose of the Collection::	Producers and handlers of organically produced agricultural products must apply for certification to accredited USDA agents who will document adherence to the standards as verified by on-site inspectors. This collection is also necessary for certifying agents to obtain accreditation by sending documents to USDA that demonstrate compliance with regulations as verified by on-site reviews.
Why Increase Occurred:	The Agriculture Marketing Service (AMS) is implementing a new program that will help standardize the industry producing organic products.
Change in Burden:	+547,438 hours
Statute Title and P.L. #:	<u>Organic Foods Production Act of 1990</u> , P.L. 101-624

Agency:	Department of Agriculture
OMB Control No.:	0581-NEW
Title:	Lamb Promotion and Research Act of 1985
Purpose of the Collection:	The Agricultural Marketing Service (AMS) will establish an industry-funded promotion, research, and information program for lamb and lamb products. Information will be collected from industry organizations in order to administer the marketing program.
Why Increase Occurred:	This is a new program established by AMS in response to legislation.
Change in Burden:	+62,493 hours
Statute Title and P.L. #:	<u>Commodity Promotion, Research and Information Act of 1996</u> , P.L. 104-127
Agency:	Department of Agriculture
OMB Control No.:	0584-0006
Title:	National School Lunch Program
Purpose of the Collection:	This information collection is necessary in order to determine the number of meals served by school food authorities to children under the National School Lunch Program.
Why Increase Occurred:	The burden associated with this program increased due to legislation which directed the Food and Nutrition Service (FNS) to incorporate a reimbursement for after-school snacks in the National School Lunch Program. This new requirement increased the amount of information that school food authorities and State agencies had to report in order to receive reimbursement.
Change in Burden:	+437,708 hours
Statute Title and P.L. #:	<u>William F. Goodling Child Nutrition Reauthorization Act of 1998</u> , P.L. 105-336
Agency:	Department of Agriculture
OMB Control No.:	0584-0055
Title:	Child and Adult Care Food Program
Purpose of the Collection:	The information collected helps the Food and Nutrition Service (FNS) ensure that participating institutions comply with the regulations and policies of the Child and Adult Care Food Program.
Why Increase Occurred:	Legislation directed FNS to make changes to existing regulations to improve program operations and the monitory of the Child and Adult Care Food Program at State and sponsor levels.
Change in Burden:	+515,171 hours
Statute Title and P.L. #:	<u>Healthy Meals for Healthy American Act of 1994</u> , P.L. 103-448; <u>Personal Responsibility and Work Reconciliation Act of 1996</u> , P.L. 104-193; <u>William F. Goodling Child Nutrition Reauthorization Act of 1998</u> , P.L. 105-336
Agency:	Department of Treasury
OMB Control No.:	1557-0220
Title:	Consumer Protections for Depository Institution Sales of Insurance
Purpose of the Collection:	The Gramm-Leach-Bliley Act requires depository institutions to disclose certain information to consumers that they will use to understand the risks of insurance products or annuities and some of their rights. The agency will use the information to determine that institutions and covered persons are complying with the requirements.
Why Increase Occurred:	The Gramm-Leach-Bliley Act required the OCC to prescribe consumer protection regulations that apply to retail sales practices, solicitations, advertising, and offers of

	any insurance product by a depository institution or by others performing these activities at an office of the institution or on behalf of the institution.
Change in Burden:	+19,490 hours
Statute Title and P.L.#:	<u>Gramm-Leach-Bliley Act</u> , P.L. 106-102
Agency:	Department of Treasury
OMB Control No.:	1557-0222
Title:	Fair Credit Reporting Regulations
Purpose of the Collection:	Consumers will use the notice information to determine whether they want personal information disclosed to companies in the institutions corporate family, and to advise the institution of their wishes regarding disclosure of their personal information. Institutions will use the information to determine the wishes of their consumers and to act appropriately.
Why Increase Occurred:	The Gramm-Leach-Bliley Act requires the agency to prescribe regulations as necessary to carry out the purposes of the Fair Credit Reporting Act. The rule implements the provisions of the Fair Credit Reporting Act that permit institutions to communicate consumer information to their affiliates without being considered consumer reporting agencies under that statute.
Change in Burden:	+7,855,921 hours
Statute Title and P.L.#:	<u>Gramm-Leach-Bliley Act</u> P.L. 106-102
Agency:	Department of Treasury
OMB Control No.:	1550-NEW
Title:	Fair Credit
Purpose of the Collection:	This information is used to implement a statutory directive to permit savings associations and their affiliates to share customer information.
Why Increase Occurred:	The Gramm-Leach-Bliley Act requires OTS to implement new statutory provisions addressing disclosure by savings associations to customers of policies concerning sharing of customer information with affiliates.
Change in Burden:	+4,164,867 hours
Statute Title and P.L. #:	<u>Gramm-Leach-Bliley Act</u> , P.L. 106-102
Agency:	Department of Treasury
OMB Control No.:	1550-0106
Title:	Consumer Protection in Sales of Insurance
Purpose of the Collection:	To require savings associations and other persons selling, soliciting, advertising, or offering an insurance product or annuity to a consumer at an office of a savings association, or on behalf of a savings association, to disclose information required by statute.
Why Increase Occurred:	The Gramm-Leach-Bliley Act requires OTS to implement new statutory provisions addressing advertisements and consumer disclosures made in connection with the sale, soliciting, advertising, or offering of insurance products.
Change in Burden:	+47,286 hours
Statute Title and P.L. #:	<u>Gramm-Leach-Bliley Act</u> , P.L. 106-102
Agency:	Federal Acquisition Regulation System
OMB Control No.:	9000-0006
Title:	Subcontracting Plans/Subcontracting Report for Individual 52,219-9
Purpose of the Collection:	Public Law 95-507 requires that contracts over specified thresholds contain a subcontracting plan with goals for subcontracting with small and small

	disadvantaged firms. The SF-294 is used to monitor the contractor's performance against the goals in its plan.
Why increase occurred:	The FAR is being revised to comply with legislation concerning veterans and service-disabled veterans. These FAR changes implement sections 501, 502, and 604(d) of the Veterans Entrepreneurship and Small Business Development Act of 1999 (Pub.L.106-50). Section 501 of Title V of the Act adds veteran-owned small business concerns (VOSBs) subcontracting plan requirements. This addition will require that contractors that have subcontracting plans develop a goal for subcontracts to be awarded to VOSBs and report on the progress against those goals.
Change in Burden:	+98,552 hours
Statute Title and P.L. #:	<u>Veterans Entrepreneurship and Small Business Development Act of 1999, P.L. 106-50</u>
<u>Other</u>	
Agency:	Department of the Interior
OMB Control No.:	1004-0194 (replaces 1004-0176)
Title:	Surface Management – 43 CFR Subpart 3809
Purpose of the Collection:	To support proposed regulations at 43 CFR Subpart 3809 to prevent the unnecessary and undue degradation of public lands. The regulations establish procedures and standards to ensure that operators and mining claimants meet their responsibilities while exploring, mining, and reclaiming locatable minerals on public lands.
Why Increase Occurred:	This burden increase is attributable to increased environmental protection regulatory requirements.
Change in Burden:	+180,724 hours
Agency:	Environmental Protection Agency
OMB Control No.:	2070-0093
Title:	Toxic Chemical Release Reporting, Recordkeeping, Supplier Notification, and Petitions under Section 313 of the Emergency Planning and Community Right-to-Know Act (EPCRA) - Lead Rule
Purpose of the Collection:	Certain facilities manufacturing, processing, or otherwise using any of over 600 listed toxic chemicals and chemical categories in excess of applicable threshold quantities must report on their environmental releases and transfers of and waste management activities for such chemicals annually. Facilities must also provide information on the quantities of the toxic chemicals in waste streams and the efforts made to reduce or eliminate those quantities.
Why Increase Occurred:	EPA expects to finalize a rule that will lower the reporting thresholds for lead and lead compounds. Lowering reporting thresholds for chemicals increases the amount of publicly available information on the quantities of these chemicals released or otherwise managed as waste.
Change in Burden:	+1,161,894 hours
Agency:	Department of Health and Human Services
OMB Control No.:	0910-0073
Title:	Current Good Manufacturing Practice (CGMP) Quality Systems (QS)
Purpose of the Collection:	Manufacturers must ensure that medical devices meet design specifications and that design specifications are effectively transferred from research and development to production. This collection assists FDA inspections of manufacturer compliance

	with quality system requirements encompassing design, production, installation, and servicing processes.
Why Increase Occurred:	FDA revised previous requirements of the Current Good Manufacturing Practice (CGMP) Quality Systems (QS).
Change in Burden:	+3,903,169 hours
Agency:	Department of State
OMB Control No.:	1405-0126
Title:	Choice of Address and Agent for Immigrant Visa Applicants
Purpose of the Collection:	This provides immigrant visa applicants the opportunity to identify an agent or stable address for the Department to send communications. This helps prevent incidents lost or unforwardable mail to an applicant, saving the applicant and U.S. Government time and expense
Why Increase Occurred:	This is a new initiative to save the time and expense of corresponding with immigrant visa applicants.
Change in Burden:	+175,000 hours
Agency:	Department of Housing and Urban Development
OMB Control No.:	2577-0229
Title:	Resident Opportunities and Self-Sufficiency (ROSS) Grants to Support Housing Apprenticeship Activities in the Construction Trades and Public Housing Operations.
Purpose of Collection:	The ROSS Program links public housing residents with supportive services, resident empowerment activities, and assistance in becoming economically self-sufficient. The Public Housing Apprentice Program will award grants to eligible housing authorities to support employment and training opportunities for residents living in public housing through apprenticeship activities and ensure bonafide employment opportunities trades.
Why Increase Occurred:	This is an application for grant funds for a new program.
Change in Burden:	+24,000 hours
Agency:	Department of Housing and Urban Development
OMB Control No.:	2502-0369
Title:	Uniform Physical Standards and Physical Inspection Requirements
Purpose of Collection:	HUD has established a process for assessment of HUD-insured and assisted properties to assure that they meet physical condition standards and undergo an annual physical inspection.
Why Increase Occurred:	HUD issued a final rule that contains information collection requirements relating to assessing compliance with physical condition standards. The rule established uniform physical inspection protocols allowing HUD to determine compliance with the uniform conditions standards.
Change in Burden:	+123,900 hours
Agency:	Department of Housing and Urban Development
OMB Control No.:	2577-NEW
Title:	Public Housing Assessment System Memorandum of Agreement (MOA) and Improvement Plan
Purpose of Collection:	A Public Housing Agency (PHA) which is designated "troubled" or "substandard" as a result of a management assessment conducted by HUD must enter into a memorandum of agreement with HUD to outline planned improvements. Similarly, a

	PHA which is a “standard performer,” but receives a low management assessment score is required to submit an Improvement Plan.
Why Increase Occurred:	This is a new requirement.
Change in Burden:	+34,026 hours
Agency:	Social Security Administration
OMB Control No.:	0960-0604
Title:	Symptoms Report, SSA-3370
Purpose of the Collection:	Sections 232(d)(5)(A) and 1631(e)(1) of the Social Security Act, as amended, provide that claimants have to furnish such medical and other evidence to prove that they are disabled. The information collected through these forms is used by SSA to obtain the types of data specified in the regulation and provides SSA with a means to record information about the claimant’s allegations and symptoms. Adult claimants are measured on how symptoms affect their ability to function in a work setting, while a child is assessed on how the symptoms limit their ability to function. This information is used by the State Disability Determination Services adjudicators, and Administrative Law Judges to assess the effects of symptoms on functionality for determining disability under the Social Security Act.
Why Increase Occurred:	SSA projects national implementation in Fiscal Year 2001 of form SSA-3370 that was initially tested in limited areas. This information is currently collected using State forms. When the Federal forms are implemented nationally, the State Disability Determination Services will discontinue use of the State forms and there will be an increase in the number of respondents using the Federal forms. Also, the Federal forms will ask for additional information so that fewer recontacts to obtain missing information are needed.
Change in Burden:	+583,333 hours
Agency:	Department of Commerce
OMB Control No.:	0607-NEW
Title:	2002 Economic Census of Retail Trade, Accommodations & Food Services
Purpose of the Collection:	The economic census 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. Further, the census provides sampling frames and benchmarks for current surveys of business which track short-term economic trends, serve as economic indicators, and contribute critical source data for current estimates of the gross domestic product. The economic census will produce basic statistics by kind of business for number of establishments, receipts/revenue, payroll, and employment. It also will yield a variety of subject statistics, including sources of receipts or revenue, receipts by class of customer, and other industry-specific measures, such as exported services or personnel by occupation.
Why Increase Occurred:	This new collection is part of the quinquennial economic censuses required under Title 13 of the United States Code. The burden hours will be newly imposed during FY 2001.
Change in Burden:	+1,630,000 hours
Agency:	Department of Commerce
OMB Control No.:	0607-NEW
Title:	2002 Economic Census of Utilities, Transportation & Warehousing, Finance

Purpose of the Collection:	The economic census 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. Further, the census provides sampling frames and benchmarks for current surveys of business which track short-term economic trends, serve as economic indicators, and contribute critical source data for current estimates of the gross domestic product. The economic census will produce basic statistics by kind of business for number of establishments, receipts/revenue, payroll, and employment. It also will yield a variety of subject statistics, including sources of receipts or revenue, receipts by class of customer, and other industry-specific measures, such as exported services or personnel by occupation.
Why Increase Occurred:	This new collection is part of the quinquennial economic censuses required under Title 13 of the United States Code. The burden hours will be newly imposed during FY 2001.
Change in Burden:	+1,360,000 hours
Agency:	Department of Energy
OMB Control No.:	1905-NEW
Title:	EIA-910, Monthly Natural Gas Marketer Survey
Purpose of the Collection:	EIA's coverage of natural gas prices is declining in states with active customer choice programs as customers choose to purchase gas from marketers rather than their local distribution companies. This survey will collect information used by EIA to improve natural gas price estimates. The proposed survey will collect state-level monthly data for both the residential and commercial sectors. The data will be collected in states with active customer choice programs for natural gas.
How Increase Occurred:	This is a new collection.
Change in Burden:	+16,000 hours
Agency:	Department of Labor
OMB Control No.:	1205-NEW
Title:	O*NET Data Collection Program
Purpose of the Collection:	The O*NET Data Collection Program is a new survey that will begin in February/March 2001. It is planned as a continuing activity. The purpose of the survey is to maintain a current database on the detailed characteristics of occupations. Over 200 occupational specific attributes for 974 occupations as well as thousands of task statements will be updated over the three years. In 2001, information will be collected for about 300 occupations. While this survey is new, a number of steps were taking to reduce the anticipated burden based on the experience of a pretest survey in 1999/2000. The number of questionnaires were reduced from 5 to 4, resulting in a 20% reduction.
Why Increase Occurred:	This is a new collection.
Change in Burden:	+23,305 hours
Agency:	Department of Labor
OMB Control No.:	1210-0039
Title:	Summary Plan Description under ERI SA
Purpose of the Collection:	Statutory provisions and related regulations provide plan administrators with guidance on information required to be furnished to participants and beneficiaries of employee benefit plans so that they may be informed about the provisions of the plan and protected in their rights under the plan.

Why Increase Occurred:	In November of 1997, the President’s Advisory Commission on Consumer Protection and Quality in the Health Care Industry issued its report and recommendations entitled “A Consumer Bill of Rights and Responsibilities” to the President. In February of 1998, the President directed the Secretary of Labor to implement those recommendations which fell within the Department’s regulatory authority. Accordingly, on September 9, 1998 (63 FR 48372), PWBA published a proposal which would implement the Commission’s information disclosure recommendations by amending the existing regulation concerning the required contents of Summary Plan Descriptions under ERISA. Final rules are expected to be published in FY2001.
Change in Burden:	+1,017,280 hours
Agency:	Department of Labor
OMB Control No.:	1215-0194
Title:	The NCPDP Universal Pharmacy Billing Form (Form 79-1A)
Purpose of the Collection:	The NCPDP is the standard billing form used by pharmacies throughout the country to request reimbursement for prescription drugs. It is used by the Office of Workers' Compensation Programs to process pharmaceutical bills for FECA and Black Lung beneficiaries.
Why Increase Occurred:	The number of burden hours for the form is reported as a program increase because bills formerly submitted on nonstandard formats are now on a standard format. Although the number of burden hours for this form has increased, the submittal of prescription drug bills on nonconforming formats has essentially been eliminated. Standardizing the bill format has enabled OWCP to accept electronic billings from pharmacies, allowed for implementation of a cost saving prescription drug maxima allowable schedule, and provided the elements necessary to automate review of the drug's relatedness to the injured worker's accepted condition.
Change in Burden:	+15,668 hours
Agency:	Department of Labor
OMB Control No.:	1218-NEW
Title:	Occupational Exposure to Tuberculosis
Purpose of the Collection:	This information will be used to prevent or minimize occupational exposure to Tuberculosis.
Why Increase Occurred:	The increase will occur as the result of publishing a final rule on Tuberculosis.
Change in Burden:	+7,098,011 hours
Agency:	Department of Labor
OMB Control No.:	1219-NEW
Title:	Hazard Communication
Purpose of the Collection:	Mine operators use labels or other forms of warning necessary to inform miners of all hazards to which they are exposed, relevant symptoms and emergency treatment, and proper conditions of safety use or exposure.
Why Increase Occurred:	Publication of Final Rule which requires recordkeeping about chemicals to which miners may be exposed.
Change in Burden:	+511,721 hours
Agency:	Department of Education
OMB Control No.:	1840-0762
Title:	Annual Performance Report for the Upward Bound Programs

Purpose of the Collection:	The reports are used to evaluate the performance of grantees and to assess a grantee's prior experience at the end of each budget period.
Why Increase Occurred:	This report form has been revised to separate the three programs formerly combined in a single performance report. This form covers only the Upward Bound programs.
Change in Burden:	+13,500 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 the 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:	New lines were added to the Foreign Taxes section of Schedules K and K-1 of Form 1120S. This change was requested by Chief Counsel to improve reporting and compliance with respect to foreign partnership interests. A new line was added to Schedule D to report capital gain distributions. Five Code references and one form attachment were added in the instructions for Form 1120S.
Change in Burden:	+11,275,350 hours
Agency:	Department of Treasury
OMB Control No.:	1545-0123
Title:	Form 1120 and Schedules, U.S. Corporation Income Tax Return
Purpose of the Collection:	Form 1120 is used by corporations to compute their taxable income and tax liability
Why Increase Occurred:	Schedule N, Foreign Operations of U.S. Corporations, is a new schedule that will be completed by corporations that have assets or business operations in a foreign country or a U.S. possession. The purpose of the new schedule is to capture international tax and pass through entity information. On Schedule K, three questions were deleted and are part of new Schedule N. A new line was added to Schedule D to report capital gain distributions. Changes were made throughout the instructions, including the addition of 13 Code references and one form attachment.
Change in Burden:	+3,891,413 hours

Appendix A. Information Collection Budget Tables

In FY 2000, citizens spent an estimated 7.4 billion hours providing federal agencies the information needed to fulfill agency responsibilities. This appendix describes in aggregate terms how that number changed from FY 1999 and what the agencies expect to happen during 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 tables A.1 and A.2 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 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.

Information Collection Costs

In addition to hours, agencies are required to report any other costs that the public bears to provide information. Such costs may include the cost of mailing forms, the cost of computer systems necessary to collect or submit required information, and the fees that must accompany certain forms.

The 1995 PRA added such costs to the statutory definition of information collection burden. Because these costs are a relatively recent addition to agencies’ PRA accounting responsibilities, the agencies are still refining their estimation methods, which vary from agency to agency. The estimates of aggregate costs, provided in table A.3, should be viewed in this context.

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 tax filers reporting capital gains because of more people are participating in a strong stock market. 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 all of the change between one fiscal year total and the next. The tables in this appendix list program changes and adjustments for each agency for FY 2000 and expected for FY 2001.

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. For the purposes of this ICB, OMB instructed agencies to consider only statutes passed after January 1, 1996 as “recent.”
- **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 B.

OMB distinguishes between these three kinds of program changes through the preparation of the ICB and with the input of the agencies. In the tables in this report, however, only Changes due to New Statutes and Changes due to Agency Action are listed. The Changes due to Lapse of OMB Approval are not listed because they do not reflect changes to the time spent by the public on Federal information collections but rather agency failure to maintain OMB approval of an ongoing collection as requires by the PRA. Again, these lapses are captured in Appendix B.

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 Tables

Table A.1 starts with the FY 1999 Totals, as printed in the FY 2000 Information Collection Budget of the United States Government.

The second column is “FY 2000 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. (Note: reduction in hours are noted in the tables with parenthesis.) The third column is FY 2000 Program Changes expressed as a percentage of the FY 1999 Total Hours Needed.

The fourth and sixth columns, “FY 2000 Changes Due to Agency Action” and “FY 2000 Changes Due to New Statutes,” distinguish the cause for any noted changes. Any differences between the “FY 2000 Program Changes” and the sum of the “Agency Action” and “New Statutes” columns of “FY 2000 Changes Due to Agency Action” and “FY 2000 Changes Due to New Statutes” are due to lapses of OMB approval, which are detailed in Table B.1 in Appendix B.

The fifth and seventh column present “FY 2000 Changes Due to Agency Action” and “FY 2000 Changes Due to New Statutes” as a percentage of the total information collection hours in FY 2000. These percentages are calculated by dividing the “Agency Action” or “New Statutes” hours, respectively, by the total information collection hours currently being implemented. The current total hours are the FY 1999 total as a base, added to the hours due to lapses of OMB Approval (see Appendix B). This calculation is a more accurate measure of agency activity with respect to information collection.

The eighth column is “FY 2000 Adjustments,” as carried in the OMB computer tracking system and determined in consultation with the agencies. The sum of this column and the “FY 2000 Program Changes” is the difference between the FY 2000 Total and the FY 1999 Total. The ninth column presents FY 2000 Adjustments as a percentage of the FY 1999 Total.

The tenth column gives the “FY 2000 Total Hours Needed,” the sum of the hours needed for all collections approved by OMB on October 1, 2000.

Table A.2 is similar to Table A.1, except that describes anticipated changes, rather than those that have already taken place. Table A.2 starts from the FY 2000 Totals, as printed in Table A.1.

The second column, “FY 2001 Expected Program Changes,” includes all anticipated program changes due to agency actions, new statutes, and possible lapses of OMB approvals. The columns “FY 2001 Expected Changes Due to Agency Action” and “FY 2001 Expected Changes Due to New Statutes” distinguish the types of program changes expected.

The eighth column, “FY 2001 Expected Adjustments,” is determined in consultation with the agencies. The sum of this column, “FY 2001 Expected Program Changes,” and “FY 2000 Total Hours Needed” yields “FY 2001 Expected Total Hours Needed.” These are the total hours that the agencies and OMB expect will be needed for all approved information collections in effect on October 1, 2001.

Table A.1: FY 2000 Information Collection Totals
(millions of hours)

	FY 1999 Total Hours Needed	FY 2000 Program Changes		FY 2000 Changes Due to Agency Action		FY 2000 Changes Due to New Statutes		FY 2000 Adjustments		FY 2000 Total Hours Needed
Government Total	7,183.82	188.00	2.6%	88.69	1.2%	73.14	1.0%	(10.09)	-0.1%	7,361.72
Government Total, excluding Treasury	1,274.75	64.72	5.1%	17.09	1.3%	21.46	1.6%	(134.54)	-10.6%	1,204.92
Departments										
Agriculture	67.68	6.03	8.9%	0.79	1.1%	0.13	0.2%	1.48	2.2%	75.19
Commerce	14.32	24.13	168.5%	23.78	165.8%	0.34	2.3%	0.12	0.8%	38.57
nonperiodic	7.21	0.66	9.2%	0.31	4.2%	0.34	4.7%	0.12	1.6%	7.99
periodic	7.11	23.47	330.2%	23.47	330.2%	0.00	0.0%	0.00	0.0%	30.58
Defense	111.73	(0.45)	-0.4%	0.30	0.3%	0.04	0.0%	(17.65)	-15.8%	93.62
Education	42.07	(0.16)	-0.4%	(0.56)	-1.3%	0.41	1.0%	0.06	0.2%	41.98
Energy	4.48	(1.39)	-30.9%	0.06	1.9%	0.00	0.0%	(0.17)	-3.9%	2.92
Health and Human Services	164.35	11.71	7.1%	1.59	1.0%	10.35	6.3%	(2.35)	-1.4%	173.71
Housing and Urban Development	19.75	(6.92)	-35.1%	(0.26)	-2.0%	0.00	0.0%	(0.36)	-1.8%	12.46
Interior	4.36	1.54	35.3%	0.53	9.9%	0.05	1.0%	(0.27)	-6.1%	5.64
Justice	36.59	0.39	1.1%	0.56	1.6%	0.32	0.9%	(0.17)	-0.5%	36.82
Labor	195.95	2.16	1.1%	(0.42)	-0.2%	2.01	1.0%	(16.52)	-8.4%	181.59
State	28.85	0.32	1.1%	0.20	0.7%	0.01	0.0%	0.02	0.1%	29.19
Transportation	140.00	28.31	20.2%	(0.05)	0.0%	0.05	0.0%	(50.67)	-36.2%	117.65
Treasury	5,909.07	123.28	2.1%	71.60	1.2%	51.68	0.9%	124.45	2.1%	6,156.80
Veterans Affairs	5.27	1.02	19.3%	(0.21)	-3.6%	0.77	13.5%	(0.31)	-5.8%	5.98
Agencies										
EPA	118.91	2.88	2.4%	1.94	1.6%	0.95	0.8%	6.95	5.8%	128.75
FAR	23.42	(0.11)	-0.5%	(0.11)	-0.5%	(0.00)	0.0%	0.00	0.0%	23.30
FCC	32.49	(5.05)	-15.6%	(5.63)	-17.3%	0.50	1.5%	1.58	4.9%	29.01
FDIC	7.97	0.30	3.7%	0.01	0.1%	0.29	3.6%	0.01	0.1%	8.27
FEMA	4.97	0.16	3.3%	0.02	0.5%	0.47	10.1%	0.01	0.1%	5.14
FERC	3.98	(1.79)	-45.0%	(1.64)	-42.9%	0.00	0.0%	1.51	37.9%	3.70
FTC	126.56	(0.87)	-0.7%	(4.91)	-3.9%	4.03	3.2%	(51.93)	-41.0%	73.76
NASA	7.34	0.20	2.7%	0.20	2.7%	0.00	0.0%	(0.35)	-4.8%	7.19
NSF	4.74	0.00	0.0%	0.01	0.1%	0.00	0.0%	0.01	0.3%	4.75
NRC	9.51	0.05	0.5%	0.05	0.5%	0.00	0.0%	(0.04)	-0.4%	9.52
SEC	76.56	1.00	1.3%	0.26	0.3%	0.74	1.0%	(5.79)	-7.6%	71.78
SBA	1.67	0.48	28.7%	0.01	0.4%	0.00	0.0%	0.03	1.9%	2.18
SSA	21.22	0.80	3.8%	0.59	2.7%	0.02	0.1%	0.26	1.2%	22.27

* Government Total does not include hours needed by Federal agencies subject to the Paperwork Reduction Act but not subject to OMB Bulletin 00-05. These agencies needed approximately 18.3 million hours in FY 2000.

Table A.2: FY 2001 Information Collection Totals
(millions of hours)

	FY 2000 Total Hours Needed	FY 2001 Expected Program Changes		FY 2001 Expected Changes Due to Agency Action		FY 2001 Expected Changes Due to New Statutes		FY 2001 Expected Adjustments		FY 2001 Expected Total Hours Needed
Government Total	7,361.72	78.50	1.1%	17.56	0.2%	34.67	0.5%	4.20	0.1%	7,444.42
Government Total, excluding Treasury	1,204.92	57.21	4.7%	9.04	0.7%	21.90	1.8%	8.28	0.7%	1,270.41
Departments										
Agriculture	75.19	14.99	19.9%	2.50	2.9%	1.59	1.8%	4.64	6.2%	94.83
Commerce	38.57	(21.94)	-56.9%	(21.96)	-57.0%	0.02	0.1%	0.73	1.9%	17.35
nonperiodic	7.99	0.55	6.9%	0.53	6.7%	0.02	0.3%	0.73	9.1%	9.27
periodic	30.58	(22.50)	-73.6%	(22.50)	-73.6%	0.00	0.0%	0.00	0.0%	8.08
Defense	93.62	0.44	0.5%	(0.24)	-0.3%	0.10	0.1%	(1.34)	-1.4%	92.72
Education	41.98	(0.60)	-1.4%	(0.62)	-1.5%	0.03	0.1%	(0.30)	-0.7%	41.08
Energy	2.92	1.02	34.9%	(0.06)	-1.4%	0.00	0.0%	(0.05)	-1.6%	3.89
Health and Human Services	173.71	26.50	15.3%	23.97	13.7%	0.84	0.5%	2.94	1.7%	203.15
Housing and Urban Development	12.46	6.11	49.0%	(0.04)	-0.2%	0.02	0.1%	0.00	0.0%	18.57
Interior	5.64	1.81	32.2%	(0.21)	-2.8%	0.00	0.0%	0.36	6.4%	7.81
Justice	36.82	0.35	0.9%	0.28	0.8%	0.00	0.0%	0.39	1.1%	37.55
Labor	181.59	6.88	3.8%	6.33	3.5%	0.53	0.3%	1.59	0.9%	190.06
State	29.19	0.18	0.6%	0.18	0.6%	0.00	0.0%	0.00	0.0%	29.36
Transportation	117.65	0.48	0.4%	(1.86)	-1.6%	2.34	2.0%	0.07	0.1%	118.19
Treasury	6,156.80	21.29	0.3%	8.52	0.1%	12.77	0.2%	(4.09)	-0.1%	6,174.01
Veterans Affairs	5.98	0.34	5.6%	(0.16)	-2.5%	0.03	0.4%	(0.12)	-2.0%	6.20
Agencies										
EPA	128.75	5.76	4.5%	1.04	0.8%	4.73	3.7%	0.28	0.2%	134.79
FAR	23.30	1.12	4.8%	0.93	4.0%	0.20	0.8%	0.00	0.0%	24.42
FCC	29.01	9.61	33.1%	(1.38)	-4.8%	10.99	37.9%	(0.08)	-0.3%	38.55
FDIC	8.27	2.11	25.5%	2.04	24.6%	0.08	0.9%	(0.27)	-3.3%	10.11
FEMA	5.14	1.55	30.1%	0.01	0.1%	0.08	1.2%	0.00	0.0%	6.69
FERC	3.70	(0.22)	-6.0%	(0.41)	-10.5%	0.00	0.0%	0.00	0.0%	3.48
FTC	73.76	0.03	0.0%	0.03	0.0%	0.00	0.0%	(1.06)	-1.4%	72.74
NASA	7.19	(1.27)	-17.7%	(1.27)	-17.7%	0.00	0.0%	0.00	0.0%	5.92
NSF	4.75	0.00	0.0%	0.00	0.0%	0.00	0.0%	0.00	0.0%	4.75
NRC	9.52	(0.94)	-9.9%	(0.94)	-9.9%	0.00	0.0%	(0.55)	-5.8%	8.03
SEC	71.78	(0.30)	-0.4%	(0.30)	-0.4%	0.00	0.0%	0.32	0.4%	71.80
SBA	2.18	0.63	29.1%	(0.14)	-4.9%	0.05	1.8%	0.00	0.0%	2.82
SSA	22.27	2.57	11.5%	1.34	5.8%	0.28	1.2%	0.72	3.2%	25.56

Table A.3: Information Collection Totals
(millions of dollars)

	FY 2000 Estimated Total Cost Burden	FY 2001 Expected Total Cost Burden
Government Total	\$ 88,545.0	\$ 62,766.3
Government Total, excluding Treasury	\$ 88,327.2	\$ 62,548.5
Departments		
Agriculture	\$ -	\$ -
Commerce	\$ 804.3	\$ 825.0
Defense	\$ 7.2	\$ 0.5
Education	\$ 180.3	\$ 119.7
Energy	\$ 3.1	\$ 3.1
Health and Human Services	\$ 14,592.2	\$ 14,590.5
Housing and Urban Development	\$ 258.7	\$ 258.7
Interior	\$ 67.5	\$ 67.4
Justice	\$ 1,093.9	\$ 5,809.2
Labor	\$ 2,602.6	\$ 3,934.7
State	\$ 339.3	\$ 339.3
Transportation	\$ 1,039.6	\$ 1,125.0
Treasury	\$ 217.8	\$ 217.8
Veterans Affairs	\$ 19.1	\$ 19.1
Agencies		
EPA	\$ 8,117.7	\$ 8,886.0
FAR	\$ 33,460.1	\$ -
FCC	\$ 822.9	\$ 1,487.8
FDIC	\$ -	\$ -
FEMA	\$ 25.9	\$ 30.5
FERC	\$ 205.7	\$ 235.0
FTC	\$ 26.6	\$ 26.7
NASA	\$ 12,814.9	\$ 12,694.4
NSF	\$ 0.4	\$ 0.4
NRC	\$ 2.9	\$ 2.9
SEC	\$ 11,765.4	\$ 11,782.1
SBA	\$ 64.9	\$ 298.4
SSA	\$ 12.2	\$ 12.2

Appendix B. Paperwork Reduction Act Compliance

Section 5(C) of OMB Bulletin No. 00-05 (August 4, 2000) asked each agency to document its compliance with the information collection provisions of the PRA. Appendix B of OMB Bulletin No. 00-05 indicated that OMB is required to report to Congress all violations of the PRA and its implementing regulations.

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. These lists document 487 violations of the Paperwork Reduction Act, only 191 of which remain unresolved as of February 5, 2001 (the cut-off date for preparing these lists). This is a substantial improvement over the number of violations identified in the FY 2000 ICB.

The first list, "FY 2000 Lapses in OMB Approval, Resolved as of February 5, 2001," identifies by agency (and agency division) those ongoing collections of information for which OMB approval had expired. The Departments of Agriculture, Housing and Urban Development, Justice and Veterans Affairs all have a significant number of entries on this table, 63, 38, 32, and 29, respectively. These high numbers reflect significant progress during the last year resolving previously identified problems.

The second list, "FY 2000 Lapses in OMB Approval, Unresolved as of February 5, 2001," identifies ongoing agency use of an expired information collection. Agencies with a large number of entries include the Departments of Agriculture and Housing and Urban Development, with 26 and 61, respectively.

The third list, "FY 2000 Violations: Collections without OMB approval or modified without OMB approval," identifies 90 agency uses of an information collection (or substantive or material modification thereof)⁹ without having first obtained OMB approval under the PRA.

⁹ "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 B.1: FY 2000 Lapses in OMB Approval
Resolved as of February 5, 2001**

OMB Control Number	Collection Title	Date of Expiration	Date of Reinstatement	Date of Discontinuation
<i>Department of Agriculture</i>				
Animal and Plant Health Inspection Service				
0579-0010	National Agricultural Pest Information System	8/31/2000	2/1/2001	
0579-0040	Importation of Animal & Poultry, Animal/Poultry Products, Certain Animal Embryos, Semen, and Zoological Animals	10/31/1999	4/10/2000	
0579-0054	Federal Plant Pest and Noxious Weeds Regulations	2/29/2000	6/21/2000	
0579-0137	Pseudorabies in Swine; Payment of Indemnity	10/31/1999	1/8/2000	
0579-0141	Poultry Imports and Export	1/31/2000	8/28/2000	
Farm Service Agency				
0560-0006	Peanut Quota Regulations for the 1996-2002 Crops	8/31/1997	1/18/2000	
0560-0025	Farm Reconstitutions	10/31/1997	3/15/2000	
0560-0040	Regulations for Cooperative Marketing Associations-- 7 CFR Part 1425	5/31/2000	1/18/2001	
0560-0074	Cotton Loan Program	1/31/1998	10/1/1999	
0560-0120	Warehouse Regulations Under USWA and Standards for Approval of Warehouses	10/31/1999	3/15/2000	
0560-0134	Marketing Assessments — Sugar — 7 CFR Part 1435	6/30/1997		11/18/1999
0560-0151	End-Use Certificate Program	11/30/1999	6/2/2000	
0560-0157	Insured Farm Ownership Loan Policies, Procedures, and Authorizations	6/30/2000	1/18/2001	
0560-0162	Operating Loans; Policies, Procedures, and Authorizations- 7CFR Part 1941	6/30/2000	2/2/2001	
0560-0165	Agricultural Loan Mediation Program	3/31/1998	2/1/2001	
0560-0175	Noninsured Crop Disaster Assistance Program	5/31/1998	9/28/2000	
0560-0179	Livestock Indemnity Program	1/31/1998	11/12/1999	
Food and Nutrition Service				
0584-0064	FS Application Process	1/13/1999	9/1/2000	
0584-0081	State Coupon Issuance and Participation Estimates-- Form FCS 388	2/29/2000	11/17/2000	
0584-0083	Operating Guidelines, Forms and Waivers	12/31/1998	5/3/2000	
0584-0385	Report of the Emergency Food Assistance Program Administrative	1/31/2000	4/10/2000	
Food Safety and Inspection Service				
0583-0090	Ante-Mortem and Post-Mortem Inspection	11/30/1997	3/15/2000	
0583-0094	Exportation, Transportation, and Importation of Meat	12/31/1997	1/31/2000	
Foreign Agricultural Service				
0551-0024	Buyer Alert	11/30/1997	3/4/2000	

OMB Control Number	Collection Title	Date of Expiration	Date of Reinstatement	Date of Discontinuation
Forest Service				
0596-0010	Forest Industries Data Collection System	12/31/1998	6/1/2000	
0596-0012	Financial Statement and Verification of Financial Information	11/30/1999		9/29/2000
0596-0015	Airplane Pilot Qualifications and Approval Record, Helicopter Pilot Qualifications and Approval Record, Airplane Data Record, and Helicopter Data Record	12/31/1998	5/24/2000	
0596-0016	Application for Permit, Non-Federal Commercial Use of Roads Restricted by Order	9/30/1998	7/21/2000	
0596-0019	Visitor Permit and Visitor Registration Card	1/31/2000	11/8/2000	
0596-0084	Youth Conservation Corps Application and Medical History	10/31/1997	9/25/2000	
0596-0086	Timber Sale Operating Plans	8/31/2000	1/26/2001	
0596-0089	Application for Prospecting Permit	8/31/2000	11/14/2000	
0596-0099	Application for the Senior Community Service Employment Program	11/30/1999	12/8/2000	
0596-0105	Land Ownership Adjustments, Land Exchanges	8/31/1998	6/19/2000	
0596-0106	Recreation Fee Permit Envelope	8/31/1998	4/13/2000	
0596-0128	Recreational Participation and Environmental Activity Survey	2/29/1996	10/19/1999	
0596-0129	The Day Use Study	9/30/1996	10/18/1999	
National Resources Conservation Service				
0578-0007	Agricultural and Urban Drainage Surveys	6/30/1997	5/3/2000	
0578-0013	Long-Term Contracting Conservation Plan of Operations	8/31/1998	6/25/2000	
0578-0018	Application for Payment	9/30/1998	10/30/2000	
Rural Housing Service				
0575-0166	Single-Family Housing	9/30/1999		11/19/1999
Rural Utilities Service				
0572-0001	Prospective Large Power Service	8/31/1999	3/15/2000	
0572-0002	Accounting Requirements for Electric Borrowers	9/30/1997		3/15/2000
0572-0003	Accounting Requirements for RUS Telephone Borrowers	10/31/1998	3/15/2000	
0572-0012	Manual for Preservation of Borrower's Records, Electric	10/31/1997		3/15/2000
0572-0020	Request for Approval to Sell Capital Assets	6/30/1996	4/25/2000	
0572-0023	Advance and Disbursement of Funds - Telephone Loan Program	8/31/1997	5/11/2000	
0572-0025	Review Rating Summary	2/28/1999	4/25/2000	
0572-0031	Financial and Statistical Report for Telephone Borrowers	9/30/1998	4/25/2000	
0572-0041	Request for Release of Lien and/or Approval of Sale	5/31/1996	8/14/2000	
0572-0079	Preloan Procedures & Requirements for Telephone Borrowers	12/31/1996	9/28/2000	
0572-0088	RUS Loan Prepayments and Related Reporting Burdens	12/31/1998	8/14/2000	
0572-0089	Wholesale Contracts for the Purchase & Sale of Electric Power	10/31/1997	1/31/2001	
0572-0095	RUS Policy on Audits of Electric and Telephone Borrowers	9/30/1998	4/22/2000	
0572-0096	Distance Learning and Telemedicine Loan and Grant Program	8/31/1999	8/28/2000	

OMB Control Number	Collection Title	Date of Expiration	Date of Reinstatement	Date of Discontinuation
0572-0097	Deferments of REA Loan Payments for RD Projects	8/31/1997	5/11/2000	
0572-0098	Borrower Investments, Telecommunications Loan Program	12/31/1998	4/22/2000	
0572-0099	Seismic Safety of New Building Construction	8/31/1999	4/22/2000	
0572-0100	Lien Accommodations and Subordinates	5/31/1996	4/22/2000	
0572-0104	State Telecommunications Modernization Plan	1/31/1998	8/22/2000	
0572-0107	Electric System Construction Policies and Procedures	11/30/1997	4/22/2000	
0572-0112	Technical Assistance and Training Grants	9/30/1997	5/11/2000	
0572-0113	Technical Assistance and Training Grants, Addendum I	12/31/1996		5/11/2000

Department of Commerce

International Trade Administration

0625-0200	Antidumping and Countervailing Duties Procedures for Initiation of Downstream Product Monitoring	9/30/1998	11/26/1999	
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Minority Business Development Agency

0640-0007	Narrative Reporting Require.	11/30/1998	11/26/1999	
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National Oceanic and Atmospheric Administration

0648-0204	Southwest Region Permit Family of Forms	7/31/2000	9/6/2000	
0648-0206	Alaska Region Permit Family of Forms	5/31/2000	9/6/2000	
0648-0214	Southwest Region Logbook Family of Forms	5/31/2000	9/6/2000	
0648-0292	Reporting Requirements for Commercial Fisheries Authorization Under Section 118 of the Marine Mammal Protection Act	12/31/1999	8/9/2000	
0648-0293	Application for Commercial Fisheries Authorization Under Section 118 of the Marine Mammal Protection Act	12/31/1999	9/10/2000	
0648-0314	Designation of Fisheries Mgmt Council Members and Application for Reinstatement of State Authority	9/20/1999	5/3/2000	
0648-0401	American Fisheries Act Recordkeeping and Reporting	7/31/2000	12/5/2000	

Patent and Trademark Office

0651-0012	Admittance to Practice and Roster of Registered Patent Attorneys and Agents Admitted to Practice Before the PTO	8/31/1999	12/7/1999	
0651-0016	Rules for Patent Maintenance Fees	7/31/1999	12/7/1999	

Department of Defense

Department of the Army

0702-0064	International Military Student Information	12/31/1990	12/1/1999	
0702-0073	Army ROTC 4-Year Scholarship Application	8/31/1996	12/1/1999	

Department of the Navy

0703-0020	Enlistee Financial Statement	8/31/2000	8/31/2000	
0703-0029	Application for Commission or Warrant Rank, USN or USNR	9/30/1999	12/1/1999	
0703-0036	Candidate Application Procedures for the United States Naval Academy	1/31/1993	2/9/2000	

OMB Control Number	Collection Title	Date of Expiration	Date of Reinstatement	Date of Discontinuation
Departmental and Others				
0704-0030	Disposition of Remains; Reimbursable Basis Request for Payment of Funeral and/or Interment Expenses	8/31/1994	12/1/1999	
0704-0377	Industrial Capabilities Questionnaire	6/30/1998	4/30/2000	
Office of the Assistant Secretary for Health Affairs				
0720-0001	Health Insurance Claim Form	4/30/2000	8/21/2000	
0720-0005	Professional Qualifications, Medical and Peer Reviewers	11/30/1999	8/21/2000	
0720-0008	TRICARE Enrollment Application Form	9/30/1998	11/23/1999	
<i>Department of Education</i>				
Office of Educational Research and Improvement				
1850-0734	Designation of Exemplary and Promising Programs	7/31/1999	12/30/1999	
Office of Vocational and Adult Education				
1830-0027	Adult Education Financial and Performance Report	12/31/1993	1/12/2000	
1830-0503	Performance Report state-Administered Vocational Technical Education Programs	1/31/1997	2/3/2000	
<i>Department of Energy</i>				
Office of Administration				
1910-0300	Environment, Safety, and Health	8/31/2000	2/2/2001	
1910-0500	Financial Management	8/31/2000	2/2/2001	
1910-1400	Compliance Statement: Energy/Water Conservation Standards for Appliances	8/31/2000	2/2/2001	
1910-5102	Reporting and Recordkeeping Requirements for Make-or-Buy Plans	8/31/2000	2/2/2001	
1910-5103	Reporting and Recordkeeping Requirements for Safety Management System	8/31/2000	2/2/2001	
<i>Department of Health and Human Services</i>				
Administration for Children and Families				
0970-0034	Refugee and Entrant Unaccompanied Minor Placement Report Refugee and Entrant Unaccompanied Minor Progress Report	6/30/1999	11/4/1999	
0970-0060	Low Income Energy Assistance Program (LIHEAP) Household Report	6/30/2000	10/2/2000	
0970-0123	Runaway and Homeless Youth Management Information System (MIS)	12/31/1994	10/5/1999	
0970-0140	Head Start Fellows Program	7/31/1999	10/21/1999	
0970-0181	Child Support Enforcement Program Financial Report, Child Support Enforcement Program Quarterly Report of	8/31/1999	12/16/1999	
Centers for Disease Control and Prevention				
0920-0004	National Disease Surveillance Program II - Disease Summaries	10/31/1996	3/28/2000	
0920-0009	National Disease Surveillance Program — I. Case Reports	11/30/1996	2/4/2000	
Health Care Financing Administration				
0938-0279	Medicare Uniform Institutional Provider Bill	10/31/1995	5/23/2000	

OMB Control Number	Collection Title	Date of Expiration	Date of Reinstatement	Date of Discontinuation
0938-0448	End Stage Renal Disease Death Notification	8/31/1997	4/14/2000	
0938-0763	The Adjusted Community Rate Proposal (ACRP) M+C Plan Benefit Package	9/30/1999	3/13/2000	
Office of Family Assistance				
0992-0005	Automatic Data Processing Equipment and Services, Conditions Subpart F	9/30/1999	3/28/2000	
<i>Department of Housing and Urban Development</i>				
Office of Community Planning and Development				
2506-0133	Housing Opportunities for Persons with AIDS (HOPWA) Program	7/31/2000	11/7/2000	
Office of Fair Housing and Equal Opportunity				
2529-0033	Fair Housing Initiatives Program Application Kit	5/31/2000	10/27/2000	
Office of Housing				
2502-0001	Personal Financial and Credit Statement	9/30/1998	11/1/1999	
2502-0005	Title II Approval of Lender Eligibility Requirements	6/30/1996	5/25/2000	
2502-0012	Rental Schedule, Low Rent Housing	3/31/2000	11/20/2000	
2502-0041	Mortgage Default Status Report on Multifamily Housing Projects	1/31/2000	1/4/2001	
2502-0058	Supplement to Subscription Agreement for Cooperative Housing Applications Under Section 213 and 221 (D)(3)	11/30/1996	1/17/2001	
2502-0086	Monthly Report of Excess Income	10/31/1999	9/19/2000	
2502-0108	Monthly Reports for Establishing Net Income	11/30/1999	1/18/2001	
2502-0182	Housing Owners Certification and Application for Housing Assistance Payment Schedule of Tenant Assistance Payments Due	2/29/2000	11/20/2000	
2502-0210	Certification of Need for Health Facility	11/30/1994	2/26/2001	
2502-0233	Request and Payment for Labels, Manufactured Home Monthly Production Report, Refunds Due Manufacturer, Adjustment Report and List or Damaged Label Report	7/31/1999	5/25/2000	
2502-0235	Reporting Requirements Associated with 24 CFR 203.508 and 235.1001 - Providing Information	7/31/1997	8/17/2000	
2502-0275	Application for Transfer for Physical Assets (TPAs)	6/30/1997	4/5/2000	
2502-0324	Budget-Based Rent Increase	9/30/1998	4/5/2000	
2502-0328	Title I Property Improvement and Manufactured Home Loan Programs — 24 CFR Part 201	7/31/1999	4/25/2000	
2502-0349	Certification for Adjustments for Damage and Neglect	9/30/1997	6/1/2000	
2502-0369	MF Physical Inspection Reporting Requirements	6/30/2000	1/4/2001	
2502-0412	Leased and Sale of HUD-Acquired Single Family Properties for the Homeless	7/31/1999	1/4/2001	
2502-0416	Request for Termination of Multifamily Insurance	5/31/1998	11/18/1999	
2502-0419	Mortgagee's Application for Insurance Benefits, Multifamily Mortgage	3/31/1999	2/22/2001	
2502-0420	Multifamily Coinsurance Claims Package 223(f)	10/31/1999	1/5/2001	

OMB Control Number	Collection Title	Date of Expiration	Date of Reinstatement	Date of Discontinuation
2502-0423	Single Family Premium Collection Subsystem Upfront	4/30/2000	1/17/2001	
2502-0427	Mortgagee's Application for Partial Settlement Multifamily Mortgage	11/30/1999	2/22/2001	
2502-0447	Service Coordinators in Section 8, 202, 221, and 236 Housing and Projects	6/30/1997	6/1/2000	
2502-0486	Single Family Acquired Asset Management Systems (SAMS)	11/30/1999	12/18/2000	
2502-0505	Comprehensive Needs Assessment (CNA)	8/31/1997	11/20/2000	
2502-0533	Multifamily Housing Mortgage and Housing Assistance Restructuring Program (Mark-to-Market) Regulations	3/28/1999	8/2/2000	
2502-0535	NOFA for Secondary Market for Non-Conforming Loans to Loan Wealth Borrowers Demonstration Program	8/31/1999	5/18/2000	
Office of Public and Indian Housing				
2577-0024	Life-Cycle Cost Analysis of Utility Combinations in Public Housing	3/31/2000	11/20/2000	
2577-0027	Public Housing Construction Report	10/31/1996	5/4/2000	
2577-0083	Multifamily Tenant Characteristics Family Report	9/13/2000	9/30/2000	
2577-0087	Tenant Participation & Tenant Opportunities in Public Housing (TOP)-- 24CFR964	5/31/2000	9/13/2000	
2577-0094	General Condition of the Contract for Construction	2/29/2000	11/20/2000	
2577-0133	Public Housing Drug Elimination Program-- Technical Assistance Consultant Application	6/30/2000	2/22/2001	
2577-0166	Public and Indian Housing LOCCS Voice Response System (LOCCS/FRS) Payment Vouchers	6/30/2000	2/23/2001	
2577-0229	Resident Opportunities Self Sufficiency (ROSS) Program/Application, Evaluation, Assessment	10/31/1999	11/13/2000	
Office of the Secretary				
2501-0014	Restrictions on Assistance to Noncitizens — FR-2383	10/31/1998	12/5/2000	
<i>Department of Interior</i>				
Bureau of Indian Affairs				
1076-0020	Direct Loan Guaranty Program Applications - 25 CFR 103	7/31/1995	11/21/2000	
1076-0128	Employer and Personal reference Inquiry Form	6/30/1994		9/30/2000
1076-0136	Indian Self-Determination and Education Assistance Act Programs	6/30/1999	9/18/2000	
Bureau of Land Management				
1004-0114	Recordation of Location Notices and Annual Filings for Mining Claims	9/30/1999	12/22/1999	
Office for Equal Opportunity				
1091-0001	DOI Applicant Background Survey	6/30/1999	1/20/2000	
<i>Department of Justice</i>				
Federal Bureau of Investigation				
1110-0022	Cost Recovery Regulation, Communication Assistance for Law Enforcement Act of 1994	9/30/1998	1/7/2000	

OMB Control Number	Collection Title	Date of Expiration	Date of Reinstatement	Date of Discontinuation
Immigration and Naturalization Service				
1115-0007	Request for Verification of Naturalization	12/31/1998	10/15/1999	
1115-0009	Application for Naturalization, N-400	1/31/2000	3/30/2000	
1115-0011	Request for Information from Selective Service	12/31/1998	10/15/1999	
1115-0014	Application to Preserve Residence for Naturalization	6/30/2000	8/24/2000	
1115-0032	Application for Advance Permission to Return to Unrelinquished Domicile, I-191	2/29/2000	6/22/2000	
1115-0048	Application for Waiver of Ground of Excludability, I-601	2/29/2000	6/28/2000	
1115-0053	Application to Register Permanent Residence or Adjust Status, I-485 and I-485A	3/31/2000	6/22/2000	
1115-0054	Petition for Alien Relative, I-130	12/31/1999	5/1/2000	
1115-0057	Registration for Classification as a Refugee	7/31/1999	10/15/1999	
1115-0070	Petition for Approval of School for Attendance of Nonimmigrant Students	9/30/1998	10/7/1999	
1115-0086	Application for Asylum and Withholding of Removal, I-589 and I-589S	1/31/2000	4/24/2000	
1115-0090	Petition for Approval of School for Attendance by Nonimmigrant Students	12/31/1999	5/1/2000	
1115-0093	Application to Extend/Change Nonimmigrant Status, I-539	4/30/2000	7/5/2000	
1115-0104	Health and Human Services Statistical Data for Refugee/Asylee	5/31/1998	1/29/2001	
1115-0118	Affidavit of Financial Support and Intent to Petition for Legal Custody of Amerasian	9/30/1998	10/7/1999	
1115-0128	Intracompany Transferee Certificate of Eligibility	1/31/1998	10/19/1999	
1115-0130	Change of Address Card	12/31/1998	10/15/1999	
1115-0154	Certificate of Satisfactory Pursuit	9/30/1998	10/7/1999	
1115-0155	Application to Adjust Status from Temporary to Permanent Resident	9/30/1998	10/7/1999	
1115-0166	Application for Voluntary Departure Under the Family Unity Program	10/31/1997	11/30/1999	
1115-0174	Automated Alternative Inspections, I-823	2/29/2000	8/23/2000	
1115-0191	Report of Complaint, I-847	4/30/2000	9/5/2000	
1115-0196	Interagency Alien Witness and Informant Record	9/30/1998	10/19/1999	
1115-0220	Liberian Deferred Enforce Departure (DED) Supplement to Form I-765	3/31/2000	6/22/2000	
Legal Activities				
1105-0064	Appeal Fee Waiver Request	9/30/1998		4/30/2000
Office of Justice Programs				
1121-0147	2000 Census of State and Federal Adult Correctional Facilities	3/31/1996	4/10/2000	
1121-0196	Local Law Enforcement Block Grants Program Application	11/30/1997	10/13/1999	
1121-0219	Juvenile Residential Facility Census	7/31/2000	9/28/2000	
1121-0223	Crime Mapping Survey	2/29/2000	3/28/2000	

OMB Control Number	Collection Title	Date of Expiration	Date of Reinstatement	Date of Discontinuation
1121-0233	Certification of Compliance with Eligibility Requirements of Grants to Combat Violent Crimes Against Women on Campuses	8/31/1999	10/15/1999	
1121-0234	Requirements: Data Collection Application for the Juvenile Accountability Incentive Block Grant Program	9/30/1999	4/25/2000	

Department of Labor

Employment and Training Administration

1205-0015	Application for Alien Employment Certification	6/30/1999	11/22/1999	
1205-0025	Job Corps Data Sheet	6/30/1996	9/12/2000	
1205-0035	Job Corps Placement and Assistance	9/30/1998	2/5/2001	
1205-0040	Senior Community Service Employment Program	10/31/1996	8/8/2000	
1205-0134	Forms for Agricultural Recruitment System of Services to Migratory Workers	7/31/1999	12/10/1999	
1205-0219	Job Corps Standard RFP Information Gathering	9/30/1997	4/3/2000	
1205-0310	Labor Condition Application and Requirements for Employers Using Non-immigrants on H1B Visas in Specialty Occupations and as Fashion Models	3/31/1999	4/24/2000	
1205-0385	Welfare to Work Formula/Competitive Quarterly Status Report	6/30/2000	8/16/2000	
1205-0385	Welfare to Work Formula/Competitive Quarterly Status Report	6/30/1999	12/28/1999	

Mine Safety and Health Administration

1219-0037	Noise Data Report Form and Calibration Records (30 CFR 70.506, 70.507, 70.508, 70.509, 71.801, 71.803 and 71.804)	9/30/1998	10/4/1999	9/30/2000
1219-0073	Record of Mine Closure	8/31/1998	10/18/1999	

Pension and Welfare Benefits Administration

1205-0030	Job Corps Allotments	1/31/2000	2/12/2001	
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Department of State

1405-0008	Department of State-Foreign Service Officer Written Examination Registration	11/30/1999	4/21/2000	
1405-0033	Overseas Schools-Grant Status Report	6/30/1999	4/28/2000	
1405-0076	Application for Assistance under The Hague Convention for International Child Abductions (DSP-105)	8/31/1995	11/12/1999	
1405-0095	Shrimp Exporter's Declaration	9/30/1999	12/5/2000	
1405-0098	Supplemental Registration For The Diversity Immigrant Visa (DSP-122)	3/31/1997	11/26/1999	
1405-0100	Application for A, G, NATO Visa, Form DS-1648	5/31/1997	11/12/1999	
1405-0104	United States Department of State Request for Customs Clearance of Merchandise	1/31/1999	1/18/2001	
1405-0113	Medical Exam of Applicants for US Visas	5/31/2000	1/18/2001	

Department of the Treasury

1505-0123	Survey of Foreign Portfolio Investment in the United States	3/30/1997	10/4/1999	
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OMB Control Number	Collection Title	Date of Expiration	Date of Reinstatement	Date of Discontinuation
Bureau of the Mint				
1520-0002	Claim for Amounts Due in the Case of Deceased Owner of Mutilated Currency	9/30/1999	12/3/1999	
Office of Thrift Supervision				
1550-0061	Outside Borrowings	3/31/2000	4/13/2000	
1550-0072	Mutual Holding Company	7/31/2000	10/31/2000	
1550-0081	Release of Non-Public Information	10/31/1999	1/21/2000	
<i>Department of Transportation</i>				
Federal Highway Administration				
2125-0196	Time Records	10/31/1998		10/31/1999
<i>Department of Veterans Affairs</i>				
2900-0003	Application for Burial Benefits	5/31/1998	11/1/1999	
2900-0005	Application for Dependency and Indemnity Compensation by Parent(s) (Including Accrued Benefits and Death Compensation When Applicable)	1/31/1998	4/10/2000	
2900-0006	Application for Accrued Amounts of Veteran's Benefits Payable to Surviving Spouse, Child or Dependent Parents	4/30/1998	2/9/2000	
2900-0013	Application for United States Flag for Burial Purposes, VA Form 2008	9/30/1998	6/27/2000	
2900-0017	Fiduciary Account Book, VA Form 21-4718, and Fiduciary Account, VA Form 21-4706	9/30/1998	10/3/2000	
2900-0028	Application for Service Representatives for Placement on Mailing List, VA Form 3215	9/30/1998	11/2/1999	
2900-0034	Trainee Request for Leave - Chapter 31, Title 39, U.S.C., VA Form 28-1905h	6/30/1997	10/19/2000	
2900-0042	Statement of Accredited Representative in Appealed Case, VA Form 646	4/30/2000	10/27/2000	
2900-0049	Request for Approval of School Attendance, VA Forms 21-674 and 21-674c	9/30/1998	11/2/1999	
2900-0061	Request for Supplies, VA Form 1905m	9/30/1998	11/2/1999	
2900-0090	Application for Voluntary Service, VA Form 10-7055	7/31/1997	11/15/2000	
2900-0180	Compliance Report of Proprietary Institutions, VA Form 27-4274	1/31/2000	8/23/2000	
2900-0205	Application for Employment and Appraisal of Applicant for Title 38 Position	6/30/1998	2/9/2000	
2900-0208	Architect-Engineer Fee Proposal, VA Form 8-6	9/30/1998	2/28/2000	
2900-0227	Customer Feedback Surveys, VA Forms 10-1465D-H, J, and 10-5387	9/30/1998	6/26/2000	
2900-0265	Application for Counseling, VA Form 28-8832	9/30/1998	10/19/2000	
2900-0319	Fiduciary Agreement, VA Form 27-4703	8/31/1998	10/19/2000	
2900-0368	Monthly Statement of Wage Paid To Trainee, 38 U.S.C. Chapter 31, VA Form 28-1917	8/31/1997	2/9/2000	
2900-0394	Certification of School Attendance-- REPS, VA Form 21-8926	6/30/2000	12/5/2000	

OMB Control Number	Collection Title	Date of Expiration	Date of Reinstatement	Date of Discontinuation
2900-0400	Complaints 38 CFR 18.55452, Notice of Subrecipient 38 CFR 18.532	7/31/1998		11/17/2000
2900-0445	VAAR Subpart 819.70, Veteran-Owned and Operated Small Business (Exceptions to Standard Forms 18 and 129)	4/30/2000	10/3/2000	
2900-0459	Property Management Consolidated Invoice, VA Form 26-8974	9/30/1999	11/20/2000	
2900-0524	VA Police Officer Pre-Employment Screening Checklist, VA Form 0120	7/30/2000	10/27/2000	
2900-0548	Generic Clearance for Board of Veterans' Appeals Customer	8/31/2000		11/17/2000
2900-0562	Survey of Health Promotion and Preventative Medicine Services, VA Form 10-21000 (NR)	9/30/1999		11/17/2000
2900-0563	Army Chemical Corps Vietnam Health Study	3/31/1998	4/4/2000	
2900-0565	State Application for Interment Allowance Under 38 U.S.C., Chapter 23, VA Form 21-530a	1/31/2000	8/9/2000	
2900-0574	Loan Guaranty: VA Guaranteed Loans on the Automatic Basis, Requirements, and Elimination of Late Reporting Waivers, VA Forms 26-8736 and 26-8736A	8/31/2000		11/17/2000
2900-0598	National Health Survey of Gulf War Era Veterans and their Families Phase III Physical Examinations	9/30/1998		11/17/2000

Environmental Protection Agency

Office of Prevention, Pesticides and Toxic Substances

2070-0040	Application for Experimental Use Permit (EUP) to Ship and Use a Pesticide for Experimental Purposes Only	5/31/2000	6/23/2000	
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Federal Communications Commission

3060-0515	Miscellaneous Common Carrier and Record Carrier Annual Letter	11/30/1998	10/8/1999	
3060-0636	Equipment Authorization, Declaration of compliance, Amendment of Parts 2 and 15	9/30/1998	10/8/1999	
3060-0655	Requests for Waivers of Regulatory Fees Predicated on Allegations of Financial Hardship, MD Docket No. 94-19	9/30/1998	10/8/1999	

Federal Emergency Management Agency

3067-0021	Claims for National Flood Insurance Program (NFIP)	3/31/2000	12/7/2000	
3067-0024	General Admissions Application and National Fire Academy Roster	3/31/2000	7/12/2000	
3067-0113	The Declaration Process	10/31/1997	11/4/1999	
3067-0125	Request for Loan Information Verification	6/30/1998	9/6/2000	
3067-0163	Individual and Family Grant Program	12/31/1999	7/16/2000	
3067-0206	FEMA Grant Administration Forms	3/31/2000	2/22/2001	
3067-0208	Administrative Plan for the Hazard Mitigation Grant Program	9/30/1996	12/5/2000	
3067-0212	Hazard Mitigation Planning	9/30/1996	9/6/2000	
3067-0219	Approval and Coordination of Requirements to Use the NETC for Extracurricular Training Activities	3/31/2000	12/5/2000	
3067-0222	Request for Site Inspection, Landowners Authorization/Ingress/Egress Agreement	12/31/1996	4/24/2000	

OMB Control Number	Collection Title	Date of Expiration	Date of Reinstatement	Date of Discontinuation
3067-0235	Residential Basement Floodproofing Certificate	6/30/1998	1/4/2000	
3067-0267	FEMA Federal Insurance Administration: Cover America II Project	2/29/2000	8/3/2000	
<i>Federal Energy Regulatory Commission</i>				
1902-0024	Monthly Report of Cost and Quality of Fuels for Electric	7/31/2000	1/23/2001	
1902-0084	Gas Pipeline Rates: Refund Report Requirements	7/31/2000	2/15/2001	
1902-0144	Emergency Natural Gas Sale, Transportation, and Exchange	7/30/2000	2/15/2001	
<i>Small Business Administration</i>				
3245-0016	Application for Business Loans	6/30/1999	3/1/2000	
3245-0024	ProNet	12/31/1998	10/19/1999	
3245-0074	Annual Report Guide	11/30/1997	12/6/2000	
3245-0096	Nomination for the Small Business Contractor of the Year	2/28/1999	10/4/1999	
3245-0101	Application for Small Business Size Determination	9/30/1999	3/4/2000	
3245-0123	Management Training Report	9/30/1999		4/21/2000
3245-0141	Prime Contracts Program Quarterly Report	5/31/1999	10/15/1999	
3245-0169	SBDC Program and Financial Report	9/30/1999	9/28/2000	
3245-0190	Supplemental Guaranty Agreement, Preferred Lenders Program	3/31/1997		9/30/2000
3245-0212	Secondary Market Disclosure and Assignment of Guaranteed Interest	6/30/1996	2/16/2000	
3245-0311	Office of Women's Business Ownership Year-End Follow-Up Survey	8/31/1999		9/30/2000
3245-0313	Small Business and Agriculture Regulatory Enforcement Form	6/30/2000	12/7/2000	

**Table B.2: FY 2000 Lapses in OMB Approval
Unresolved as of February 5, 2001**

OMB Control Number	Collection Title	Date of Expiration
<i>Department of Agriculture</i>		
Animal and Plant Health Inspection Service		
0579-0121	Karnal Bunt	7/31/2000
0579-0126	Compensation for Wheat Seed and Straw in the 1995-1996 Crop Season	7/31/2000
Farm Service Agency		
0560-0004	Report of Acreage	6/30/1997
0560-0026	Application for Payment of Amounts Due Persons Who Have Died, Disappeared, or Have Been Declared Incompetent	8/31/2000
0560-0058	Tobacco Marketing Quota and Price Support Programs	9/30/1997
0560-0087	General Regulations Governing Commodity Loans for 1996 and Subsequent Crops-- 7 CFR part 1421	3/31/2000
0560-0092	Forms for Participation in Price Support and Production Adjustment Programs	10/31/1998
Food and Nutrition Service		
0584-0062	Annual Report NET Program	6/30/1999
0584-0336	Disaster Food Stamp Program	1/31/2000
Food Safety and Inspection Service		
0583-0092	Official Marking Devices, Labeling, and Packaging Material	12/31/1997
0583-0103	Pathogen Reduction, Hazard Analysis and Critical Control Point (HACCP) Systems	2/28/1999
0583-0116	"Certified Organic By" Labeling on Meat and Poultry Products	12/31/1999
Forest Service		
0596-0009	Fuelwood and Post Assessment	7/31/2000
0596-0017	Collection and Analysis of Timber Purchasers' Cost and Sales Data	12/31/1998
0596-0025	State and Private forestry Accomplishment Report	10/31/1999
0596-0080	Volunteer Application for Natural Resource Agencies	1/31/1998
0596-0081	Disposal of Mineral Materials	8/31/2000
0596-0087	Commercial Use of "Woodsy Owl" Symbol	10/31/1999
0596-0139	Research for Improving Public Involvement	8/31/1999
0596-0141	Small Business Timber Sale Set-Aside Program: Appeal Procedures on Recomputation of Shares	8/31/2000
0596-0149	Public Information Survey for the Recreation Fee Demonstration Program at Sedona, Arizona, on the Coconino National Forest and the Pacific Northwest Region	3/31/2000
National Resources Conservation Service		
0578-0024	Volunteer Program - Earth Team	12/31/1998

OMB Control Number	Collection Title	Date of Expiration
Office of the Chief Information Officer		
0503-0005	Millennium Green Projects Registration	8/31/2000
Rural Utilities Service		
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
0572-0109	WWD Loans and Grants	1/31/1998
<i>Department of Commerce</i>		
National Oceanic and Atmospheric Administration		
0648-0178	Marine Mammal Stranding Reports	1/31/2000
0648-0329	Foreign Fishing Vessels Operating in Internal Waters	5/31/2000
0648-0330	At-Sea Scale Certification Program	9/30/2000
<i>Department of Defense</i>		
Office of the Assistant Secretary for Health Affairs		
0720-0013	Health Insurance Claim Form HCFA-1450	6/30/2000
<i>Department of Education</i>		
Office of Postsecondary Education		
1840-0700	Cancellation and Deferment Request Forms for the Federal Direct Student Loan	2/28/1998
Office of Special Education and Rehabilitative Services		
1820-0577	Report of Program Settings Early Intervention Services	12/31/1997
Office of Vocational and Adult Education		
1830-0510	Adult Education General Reporting Requirements	10/31/1994
<i>Department of Energy</i>		
Office of Administration		
1910-1600	Real Property	9/30/2000
<i>Department of Health and Human Services</i>		
Administration for Children and Families		
0970-0129	Collection of Child Welfare Data Under Voluntary Cooperative	1/31/1999
0970-0145	Temporary Assistance to Needy Families (TANF) State Plan	3/31/1997
Departmental Management		
0990-0162	State Medicaid Fraud Control Units Annual Report	3/31/1999
Health Care Financing Administration		
0938-0042	Request for Medicare Payment-- Ambulance	10/31/2000
0938-0227	Medical Review of Outpatient Therapy	12/31/1997
0938-0258	Physical Therapist in Independent Practice Request	5/31/1999
0938-0366	Intermediate Care Facilities for the Mentally Retarded	10/31/1996

OMB Control Number	Collection Title	Date of Expiration
0938-0372	ESRD Beneficiary Selection and Supporting Regulations	11/30/2000
0938-0475	Hospice Core Service: Nursing Information Collection	6/30/1999
0938-0564	Information Collection Requirements in BPD 302-F, Medicare Secondary Payer	3/31/1996
Health Resources and Services Administration		
0915-0028	Scholarship Program for Students of Exceptional Financial Need and Program of Financial Assistance for Disadvantaged Health Professions Students: Regulatory Requirements	9/30/1999
Office of Human Development Services		
0980-0193	Small Business Innovation Research Program Phase Proposal; Cover Sheet Abstract of Research Plan	8/31/1998
<i>Department of Housing and Urban Development</i>		
Government National Mortgage Association		
2503-0018	Prospectus	10/31/1999
Office of Community Planning and Development		
2506-0020	HUD-Administered Small Cities Program Application for CDBG Funds & Performance Assessment Report	1/31/2000
2506-0121	Relocation and Real Property Acquisition Recordkeeping	8/31/1997
2506-0123	Section 108 Loan Guarantee Program	12/31/1996
2506-0152	Proposed rule: Residential Anti-Displacement and Relocation	8/31/1997
2506-0160	Consolidated Plan Community Revitalization Strategies, State CDBG Program-- FR-4081	12/31/1999
2506-0161	Consolidated Plan, Section 108 Loan Guarantee	1/31/2000
2506-0163	Program Income Requirements & Miscellaneous Amendments States CDBG Program	5/31/2000
Office of Fair Housing and Equal Opportunity		
2529-0034	Nondiscrimination Based Upon Handicap in Federally Assisted Programs and Activities of the Department of HUD	3/31/1997
Office of Housing		
2502-0017	Title I Approval of Lender Eligibility Requirements	11/30/1994
2502-0029	Application for M/F Housing Project	9/30/1997
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
2502-0059	Request for Credit Approval of Substitute Mortgage	7/31/2000
2502-0060	Monthly Delinquent Loan Report	8/31/2000
2502-0094	Assistance Payment Contract - Notice of (1) Termination, (2) Suspension, or (3) Reinstatement	9/30/1998
2502-0121	Mortgagee Questionnaire	12/31/1999
2502-0178	Management Reviews of Multifamily Projects	1/31/2000
2502-0189	Compliance Inspection Report, Mortgagee's Assurance Completion	7/31/1998
2502-0301	Deed-in-Lieu of Foreclosure	4/30/1998

OMB Control Number	Collection Title	Date of Expiration
2502-0302	Local Appeals to Single-family Mortgage Limits	2/29/2000
2502-0306	Conveyance (Acquisition) Disposition/SF Property Disposition Officer/Teacher Next Door	1/31/2000
2502-0314	Loan Servicing of All Three Coinsurance Programs: Section 223(f), Section 221(d), and Section 232	9/30/1998
2502-0342	Pet Ownership in Assisted Rental Housing for the Elderly or Handicapped	3/31/2000
2502-0372	Preferences for Admission to Assisted Housing	1/31/1997
2502-0392	Actions to Reduce Losses in FHA Programs — FR 2491	9/30/1999
2502-0407	Section 8 Housing Assistance Payments Program, Additional Assistance Program for Projects with HUD-Held Mortgages — 24 CFR Part 886, Subpart A, HAP Contract	7/31/1999
2502-0409	Section 8 Housing Assistance Payment (HAP) Contract, Part II	9/30/1999
2502-0417	Reconciliation of Insurance Charges from the Title I Monthly Statement	9/30/1998
2502-0421	Risk-Based Annual Premiums: Monthly Remittance Summary	9/30/1998
2502-0422	Mortgage Record Change	7/31/1999
2502-0424	Pre-authorization Debit	4/30/1996
2502-0439	Report on Section 8 Program Utilization	6/30/2000
2502-0446	Procedures for Appealing Section 8 Rent Adjustments	6/30/2000
2502-0458	Disclosure of Probable Transfer of Loan Servicing	11/30/1997
2502-0460	Reporting Requirements for the Auction of Section 221(g)(4) Multifamily Mortgages	9/30/1998
2502-0470	Application Submissions Requirements, Conditional Commitment Through Final Closing, Section 202 Housing for the Elderly, Section 811 Housing for Persons with Disabilities	12/31/1996
2502-0492	Flexible Subsidy Program	10/31/1999
2502-0494	HUD Conditional Commitment/Direct Endorsement Statement of Appraised Value	7/31/1999
2502-0501	Initial Escrow Account Statement, Annual Escrow Account Statement	6/30/2000
2502-0513	HUD Condominium ““ Spot Loan”” Checklist and Warranty	5/31/1997
2502-0515	Mark-to-Market/Portfolio Reengineering Demonstration Program Guidelines Proposal Submission Requirements & Procedures	2/29/2000
2502-0518	Sec. 242 Hospital/Application for Project Mortgage Insurance	1/31/2000
2502-0529	Title I Electronic Data Collection	7/31/1999
Office of Public and Indian Housing		
2577-0039	Public & Indian Housing, Contract Administration	7/31/2000
2577-0045	Insurance Information-- Form 5460	9/30/2000
2577-0064	Electricity, Gas, Water, and Sewage Disposal Data	10/31/1996
2577-0067	Insurance Information	7/31/2000
2577-0125	Performance Funding System; Energy Conservation Savings	8/31/1997
2577-0186	Financial Standards for Housing Authority-- Owned Insurance	7/31/2000
2577-0192	Requirements for Designations of Public Housing Projects: The Housing	8/31/2000

OMB Control Number	Collection Title	Date of Expiration
	Opportunity Program Extension Act of 1996	
2577-0195	Section 8 Certificates and Vouchers	7/31/1997
2577-0211	Economic Development and Supportive Services Program: Application Funding Requirements	6/30/2000
2577-0212	Public and Indian Housing Performance Funding System: Incentives	12/31/1999
2577-0213	Report of Tenants Accounts Receivable, Indian	3/31/1997
2577-0216	PH/Section 8 Moving to Work Demo Request to Qual.	3/31/1997
2577-0220	Admission To and Continued Occupancy of Public Housing, Policies on Applicant Admission, Verification, Communication, Screening, Waiting Lists	6/30/2000
Office of the General Counsel		
2510-0006	Legal Instructions Concerning Applications for Full Insurance Benefits, Assignment of Multifamily Mortgage to the Secretary	12/31/1996
2510-0009	Information Report to Owners and Managers of all HUD Assisted Housing in the Boston Metropolitan Statistical Area	7/31/1997
2510-0010	Guide for Opinion of Counsel to the Mortgage	3/31/1997
Office of the Secretary		
2501-0009	Record of Employee Interview	1/31/2000
<i>Department of Interior</i>		
Bureau of Indian Affairs		
1076-0094	Law and Order on Indian Reservations	3/31/1995
1076-0101	Higher Education Grant Program Application	5/31/1998
1076-0106	Higher Education Annual Report-- 25 CFR 40, Subchapter E	1/31/2000
1076-0108	Indian School Equalization Program Student Membership Form	7/31/1993
1076-0114	Application for Admission to two Indian colleges, Forms BIA-6222 and BIA-6223	1/31/1994
National Park Service		
1024-0018	National Register of Historic Places Registration Form	5/31/1999
1024-0021	Application for a Public Gathering Permit	7/31/1998
1024-0038	Procedures for State, Tribal, and Local Government Historic Preservation Programs-- 36 CFR 61	8/31/2000
1024-0111	Listing of Outlaw Treachery (LOOT)	7/31/1998
<i>Department of Justice</i>		
General Administration		
1103-0061	COPS Grant Status Survey	9/30/2000
1103-0065	COPS Problem-Solving Management Survey	8/31/2000
Immigration and Naturalization Service		
1115-0011	Request for Information from Selective Service Files	7/31/2000
1115-0018	Application for Certificate of Citizenship, N-600	8/31/2000
1115-0152	Application for Citizenship Certificate on Behalf of an Adopted Child	8/31/2000

OMB Control Number	Collection Title	Date of Expiration
1115-0201	Joint Employment Verification Pilot	3/31/1998
<i>Office of Justice Programs</i>		
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
1121-0214	BJA-Byrne Formula Grant Program Annual Institutionalization Eligibility Requirement of the Violence Against Women Act	10/31/1997
1121-0217	State Identification Systems Formula Grant Program Application Kit	9/30/1999
1121-0227	Use of Force in the Arrest of Persons with Impaired Judgement	3/31/1998
<i>Department of Labor</i>		
<i>Employment and Training Administration</i>		
1205-0026	Job Corps Statement from the Court	8/31/1995
1205-0031	Job Corps Request for Readmission	6/30/1996
1205-0243	JTPA Service Delivery Area Reorganization Plan Appeal	8/31/1997
1205-0398	Workforce Investment Act Planning Guidance	8/31/1999
<i>Department of State</i>		
1405-0046	Marine Note of Protest	9/30/1986
1405-0052	Seaman Action Certificate, Form FS-0463	10/31/1988
1405-0068	Medical History & Examination for Foreign Service Dependent (DS-1622 & DS-1843)	10/31/1994
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 U.S. 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)	4/30/2000
47-R0178	Statement of Non-Receipt of Passport	9/1/1978
<i>Department of Veterans Affairs</i>		
2900-0018	a. Application for Accreditation as Service Organization Representative, VA Form 21 b. Appointment of Individual as Claimant's Representative, VA Form 22a	9/30/1999
2900-0092	Counseling Record-- Personal Information VA Form 28-1902	1/30/2000
2900-0117	Inquiry Concerning Applicant for Employment, VA FL 5-127	1/31/1997
2900-0176	Monthly Record of Training and Wages, VA Form 20-1905c	2/29/2000
2900-0554	Homeless Provider Grant and Per Diem Program, VA Form 10-0361	3/31/2000
2900-0559	State Cemetary Data, VA Form 40-0241	9/30/2000
2900-0568	Submission of School Catalog to the State Approving Agency	4/30/2000
2900-0572	Application for Spina Bifida Benefits, VA Form 21-0304	7/31/2000

OMB Control Number	Collection Title	Date of Expiration
2900-0573	Application for Extension of Eligibility Period under Survivors' and Dependents' Educational Assistance (Title 38 CFR 21.3047)	7/31/2000
2900-0575	Certification as to the Completion Time of a Correspondence Course	9/30/2000
2900-0576	Affirmation of Enrollment Agreement	9/30/2000
<i>Federal Emergency Management Agency</i>		
3067-0161	National Fire Incident Reporting System (NFIRS)	6/30/1998
3067-0181	Survey of Contractor Responsibility	11/30/1996
3067-0207	Hazard Mitigation Grant Program Application	9/30/1996
3067-0229	Mortgage Portfolio Protection Program	6/30/1998
<i>Federal Energy Regulatory Commission</i>		
1902-0140	Annual Electric Control and Planning Area Report	5/31/2000
1902-0153	Gas Pipeline Rates: Rate Change Formal	7/31/2000
1902-0163	Customer Satisfaction Survey	3/31/2000
<i>Small Business Administration</i>		
3245-0015	8(a) Business Development Application Forms	5/31/2000
3245-0071	Application for 503/504 Loan	6/30/1998
3245-0073	Application for CDC	11/30/1996
3245-0077	Small Business Lending Companies Reporting and Recordkeeping Requirements	3/31/2000
3245-0080	Statement of Personal History	6/30/1996
3245-0108	Small Business Development Counseling Record	8/31/2000
3245-0132	Lender Transcript	5/31/2000
3245-0185	Secondary Participation Guaranty and Certification Statement	8/31/2000
3245-0188	Personal Financial Statement	3/31/2000
3245-0189	Business Loan Reconsideration Request	3/31/2000
3245-0191	Reporting and Recordkeeping for Lenders -- 13 CFR 120.220, 120.512	3/31/2000
3245-0203	Contract Progress Report	3/31/2000
3245-0205	8(a) Annual Update	1/31/1997
3245-0270	Semi-Annual Report on Services in Connection With Obtaining Federal 8(a) Contracts	4/30/1997
3245-0307	Surety Guarantee Graduation Questionnaire	9/30/1998
3245-0314	Voluntary Customer Surveys	9/30/2000

**Table B.3: FY 2000 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>			
Department-Wide			
--	--	Forms posted to the Internet without OMB approval.	The Office of the Chief Information Officer discovered that many organizations were offering printable versions of their program forms on the Internet without OMB's approval. OCIO is working aggressively with the agencies and OMB to obtain the proper approvals. Additionally, as new collections and renewals of existing collections are submitted, agencies are ensuring that they specifically ask for approval to post forms to the Internet.
Farm Service Agency			
--	FFAS-12, Electronic Funds Transfer Hardship Waiver Request	Unapproved collection.	In conjunction with implementation of the Freedom to E-File Act, the Farm Service Agency (FSA) was working to obtain OMB approval to post program forms on the Internet. In reviewing this form, it was discovered that no OMB approval had ever been obtained. FSA staff is currently working on two new submissions which will resolve the outstanding violations.

OMB Control Number	Collection Title	Description of Violation	How Discovered and Remedied
--	CCC-361, Undertaking of Indemnity Replacement of Negotiable Instrument of the Commodity Credit Corporation	Unapproved collection.	In conjunction with implementation of the Freedom to E-File Act, the Farm Service Agency (FSA) was working to obtain OMB approval to post program forms on the Internet. In reviewing this form, it was discovered that no OMB approval had ever been obtained. FSA staff is currently working on two new submissions which will resolve the outstanding violations.
0560-0174	Environmental Quality Incentive Program (EQIP)	Unapproved collection.	In renewing the EQIP information collection, FSA requested approval for two new forms which had been previously developed and implemented by two states without OMB approval.
0560-0192	1999 National Customer Service Survey for Customers of USDA Service Centers	Failure to provide the prescribed annual report.	On June 9, 1999, OMB granted the USDA Service Center Initiative a generic approval to collect customer satisfaction information. The terms of clearance dictated that in conjunction with the generic approval, the agency must report annually on the collection activities conducted. The agency did not prepare the report in a timely manner; however, a report was submitted to OMB on October 31, 2000.
Food Safety Inspection Service			
-	Hotline Survey of Consumption Practices	Unapproved collection.	Discovered by OMB during the review of a FSIS regulation. In discussing the basis for certain policy decisions, FSIS program staff referenced a survey of food safety hotline callers regarding their hot dog consumption habits. OMB asked the agency what the OMB control number was for the referenced survey. The agency indicated that they had not obtained one. The collection was not repeated.

OMB Control Number	Collection Title	Description of Violation	How Discovered and Remedied
Food and Nutrition Service			
0584-0506	Grants to Improve Access	Unapproved collection.	In December 2000, FSP informed OMB that grants were being awarded prior to OMB approval for the grant applications. Grant application and reporting requirements have been submitted to OMB for review.
<i>Department of Commerce</i>			
Department-Wide			
--	Internet Customer Surveys	Unapproved collection of customer satisfaction data on the Home Pages.	The form was discovered during a review of the Home Pages. The surveys were discontinued, and better guidance on the OMB clearance requirements was disseminated.
National Oceanic and Atmospheric Administration			
0648-0387	International Dolphin Conservation Program	Requirements associated with an approved information collection had not been cleared.	During the renewal of the existing approved requirements, the unapproved ones were discovered, and OMB approval was obtained for all requirements.
<i>Department of Education</i>			
Office of Vocational and Adult Education			
1830-0543	Mapping Federal Funding to High Schools	Approval was not obtained for the pretest.	Discovered upon submission of the main study for OMB approval. Approval was obtained 10/19/00.

OMB Control Number	Collection Title	Description of Violation	How Discovered and Remedied
<i>Department of Health and Human Services</i>			
Health Resources and Services Administration			
0915-0028	Scholarship Program for Students of Exceptional Financial Need and Program of Financial Assistance for Disadvantaged Students: Regulatory Requirements	HRSA expected that the program was being discontinued. However, it later learned that the program was not abolished and the forms remained in use without approval	The program office notified the HRSA clearance office of the violation in November, 2000. HRSA will seek OMB approval.
0915-0149	Scholarships for Disadvantaged Students—Application	Unapproved on-line data collection.	HRSA clearance office became aware of the violation. Approval was obtained from OMB on 11/29/00.
0915-0245	The Ryan White CARE Act Client Demonstration Project Reporting System	Unapproved collection.	HRSA clearance office became aware of the violation. Approval was obtained from OMB on 7/10/00.
--	Healthy Start Data Reporting Requirements	Unapproved collection	Clearance office became aware of violation. The clearance package will be submitted to OMB.
Administration for Children and Families			
0970-0145	Temporary Assistance to Needy Families (TANF) State Plan	Emergency approval expired, without a reinstatement.	Clearance office discovered this in the TANF Policy Announcement. The Program Office has been notified.
<i>Department of the Interior</i>			
Office of Surface Mining Reclamation and Enforcement			
1029-0059	Budget Information, Financial Reporting and Performance/ Program Narrative Forms	Unapproved collection.	OSM discovered forms in use while reviewing a related information collection. Approved by OMB on 12/21/99.

OMB Control Number	Collection Title	Description of Violation	How Discovered and Remedied
1029-0119	Abandoned Mine Land Contractor Information Form	Unapproved collection.	OSM discovered while conducting a programmatic review for information collection activities. Approved by OMB on 12/27/00.
1029-0120	Technical Training Program Course Nomination and Payment for Travel and Per Diem Forms	Unapproved collection.	OSM discovered forms in use while reviewing a related information collection. Approved by OMB on 1/8/01.
Bureau of Indian Affairs			
1076-0152	Tribal Revenue Allocation Plans – 25 CFR 290	Unapproved collection.	Discovered by BIA during rulemaking. Approved by OMB on 3/2/00.
1076-0153	Request for Certificate of Degree of Indian or Alaska Native Blood – 25 CFR Part 70	Unapproved collection.	BIA discovered that offices were using unapproved forms. A committee of tribes and BIA employees created a single form that was approved by OMB on 6/19/00.
1076-0154	Funds Held in Trust for Tribes and Individuals – 25 CFR 115	Unapproved collection.	Discovered by DOI during rulemaking on improved management of trust accounts for Indians. Approved by OMB on 10/30/00.
1076-0155	Leases and Permits – 25 CFR 162	Unapproved collection.	Discovered by BIA during rulemaking. Approved by OMB on 9/7/00.
1076-0156	Probate of Indian Estates, Except for Members of the Five Civilized Tribes -- 25 CFR 15	Unapproved collection.	BIA discovered this violation during rulemaking. Approved by OMB on 9/7/00.
1076-0157	Grazing Permits – 25 CFR 166	Unapproved collection.	Discovered by BIA during rulemaking. Approved by OMB on 9/11/00.
--	Acquisition of Title to Land in Trust – 25 CFR 151	Unapproved collection.	Discovered by BIA during rulemaking. Submitted to OMB for approval on 12/29/00.
--	Indian Preference in Employment	Unapproved collection.	Discovered by BIA during rulemaking.

OMB Control Number	Collection Title	Description of Violation	How Discovered and Remedied
<i>Department of Labor</i>			
Employment and Training Administration			
1205-0414	MIS Requirements for Youth Opportunity Grants	Pretest was conducted without OMB approval.	Discovered upon submission of the full clearance package. Approved by OMB 10/17/00.
1205-0416	Disability Employment and Incentives Grant Program	Unapproved collection.	Approved by OMB on 10/24/00.
1205-0417	One Stop Labor Market Information Grant Program	Unapproved collection.	Approved by OMB on 11/14/00.
1205-0418	One Stop Occupational Employment Statistics Survey Plan and Progress Reports	Unapproved collection.	Approved by OMB on 11/14/00.
1205-0420	WIA MIS and Reporting Systems	Pilot test was conducted without OMB approval.	Discovered upon submission of the full clearance package. Still unresolved.
<i>Department of Transportation</i>			
Office of Inspector General			
	Consumer Complaint Forms	OIG placed these forms on the web page without OMB's approval.	OMB discovered the violation through a review of DOT's forms. OIG removed these forms from the Internet and discontinued their use.
Federal Motor Carrier Safety Administration (formerly within the Federal Highway Administration)			
2126-0001	Driver's Record of Duty Status (RODS)	Failed to report a segment of FMCSA regulated population.	Violation was discovered by FMCSA during preparation of the Hours of Service Notice of Proposed Rulemaking. OMB approval was obtained by increasing the number of respondents, burden hours, and burden costs.

OMB Control Number	Collection Title	Description of Violation	How Discovered and Remedied
2126-0004	Driver Qualification Files	Failed to report a segment of FMCSA regulated population.	Violation was discovered by FMCSA during preparation of the Hours of Service Notice of Proposed Rulemaking. OMB approval was obtained by increasing the number of respondents, burden hours, and burden costs.
Maritime Administration			
--	Evaluation of the Military Sealift Program (MSP) and the Voluntary Intermodal Sealift Agreement (VISA)	Maritime Administration requested public comments through a solicitation in a Federal Register notice without OMB clearance.	Agency program officials discovered the violation through an internal review. Maritime Administration withdrew their submission and discontinued the information collection activities.
<i>Environmental Protection Agency</i>			
Office of Air and Radiation			
2060-0377	Pulp and Paper NESHAP	EPA was supposed to update the burden hours and costs at the final rule stage to reflect the full burden of the ICR. The final rule was promulgated on 4/15/98, but EPA did not update the burden at that time.	Not yet resolved.
--	Sunwise Program on-line registration form	Unapproved collection.	EPA will revise the Sunwise program package to include the registration form.

OMB Control Number	Collection Title	Description of Violation	How Discovered and Remedied
<i>Federal Deposit Insurance Corporation</i>			
--	Banknet Survey	Unapproved collection.	Discovered during a review of GPEA implementation. This was a one-time collection and will not be repeated.
<i>Federal Emergency Management Agency</i>			
3067-0161	National Fire Incident Reporting System	Unapproved collection.	OMB disapproved collection with explanation of additional information necessary in the "Terms of Clearance."
--	Federal Hotel and Motel Fire Safety Declaration Form	Unapproved collection.	This information has been collected and published in the GSA Federal Travel Directory for several years. The violation was identified when FEMA resumed the compilation of data on the national list of public accommodations that are compliant with the Act.
--	Format for Identifying Exemplary Practices in Emergency Management	Unapproved collection.	Form is one of two forms in the publications titled "Partnerships in Preparedness, A Compendium of Exemplary Practices in Emergency Management Volumes I, II, III, IV. Forms found during review of Volume IV, which was sent to FEMA's Printing, Publications, and Graphics Branch for printing. The program specialist is preparing the OMB clearance package. It will be submitted for emergency approval.
--	Reader Survey Form	Unapproved collection.	Form is one of two forms in the publications titled "Partnerships in Preparedness, A Compendium of Exemplary Practices in Emergency Management Volumes I, II, III, IV. Forms found during review of Volume IV, which was sent to FEMA's Printing, Publications, and Graphics Branch for printing. The program specialist discontinued the collection in December of 1999.

OMB Control Number	Collection Title	Description of Violation	How Discovered and Remedied
-	Project Impact Commitment Form	Unapproved collection.	Still unresolved.
<i>Social Security Administration</i>			
0960-0622	Request for Reconsideration Form SSA-561	Unapproved collection.	SSA discovered the form was being used without OMB approval during a review of forms in connection with planning the implementation of the Government Paperwork Elimination Act. OMB approved the information collection on 9/12/00.
--	Request for Parking Assignment for Medical Reasons, Form SSA 3192	Unapproved collection.	SSA discovered the form was being used without OMB approval from an agency employee. SSA began the clearance process in November, 2000.
--	Authorization for Source to Release Information to the Social Security Administration, SSA-827, SSA-827-OP1, SSA-827-OP2	Unapproved collection.	SSA discovered the form was being used without OMB approval during a review of forms in connection with planning the implementation of the Government Paperwork Elimination Act.
--	SSI Facility Information and Determination Form, SSA-8045	Unapproved collection.	SSA discovered the form was being used without OMB approval during a review of forms in connection with planning the implementation of the Government Paperwork Elimination Act. SSA will begin the OMB clearance process in November 2000.
--	Transmittal of Controlled Title II/XVI Referral to VR, SSA-1407-UR	Unapproved collection.	SSA discovered the form was being used without OMB approval during a review of forms in connection with planning the implementation of the Government Paperwork Elimination Act. After evaluating use of the form, SSA determined it was no longer needed and discontinued its use in September 2000.

About OIRA

The Paperwork Reduction Act of 1980 (P.L. 96-511) and its successor, the Paperwork Reduction Act of 1995 (P.L. 104-13), established the Office of Information and Regulatory Affairs (OIRA) in the Office of Management and Budget to oversee agency information resources management, information collection, and use of information technology. Under this authority, OIRA develops policies and guidelines to promote the management, dissemination, privacy, and security of government information and coordinates Federal statistical policies and resources. OIRA is also responsible for the review of agency rulemaking activity under Executive Order 12866. The Administrator of OIRA is appointed by the President and confirmed by the Senate.

Principal contributors to this report were David Rostker, Jefferson B. Hill, Alexander T. Hunt, Nathan Knuffman, and Lauren Wittenberg. If you have questions about any of the information collections discussed in this report, the Records Management Center is open to the public by appointment. Call, write, or fax to arrange an appointment:

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Please include the OMB Control Numbers of the collections about which you inquire.