

Managing Information Collection

Information Collection Budget of the United States Government



FISCAL YEAR 2004

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

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FY 2004 Information Collection Budget

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Executive Summary

The Paperwork Reduction Act (PRA) requires OMB to report to Congress on the paperwork burden imposed on the public by the Federal government and efforts to reduce this burden. In FY 2003 there was a 1.5 percent decrease in burden compared to last year's burden total – from 8.2 billion hours in FY 2002 to approximately 8.1 billion hours in FY 2003. The majority of this decrease, approximately 158 million hours, is simply a product of agency re-estimates or factors outside the agency's control. In addition, important national information needs resulted in increases in burden; much of this increase, approximately 111 million hours, is attributable to the implementation of new statutory requirements. While agencies responded to these statutory requirements, agencies still worked diligently to reduce the paperwork burden on the public. Overall in FY 2003, agencies took actions that produce a net reduction in burden of a significant 54 million hours.

In addition to an accounting of burden hours for the 2003 fiscal year, this report highlights the following issues:

The relationship of paperwork burden to statutory changes and other factors outside agency control. In FY 2003, Federal agencies reported a net decrease in burden hours of about 54 million hours due to activities under their control (changes that were not adjustments due to change in respondent population or re-estimates of burden, or were not statutory changes).

Achieving zero violations under the PRA. During FY 2003, the agencies and OMB resolved 220 violations. Just 18 violations were not yet reinstated as of April 12, 2004, and for all of these agencies had published a 60-day *Federal Register* Notice, the first step in obtaining OMB approval to reinstate the collection. Of these 18 not yet reinstated, 11 are at OMB awaiting approval. The number of violations has steadily decreased since FY 1998 when there were 333 outstanding violations. FY 2003's violations are a 71 percent reduction over the 62 outstanding violations reported in FY 2002.

IRS efforts to reduce the paperwork burden it imposes. Burden from the IRS accounts for nearly 80 percent of all burden. In FY 2003, the IRS decreased burden by 58 million hours. As a result, burden was reduced for approximately 40 million taxpayers using select filing forms, and for 2.6 million small businesses filing corporate income tax returns.

The impact of E-Government initiatives on paperwork burden. E-Gov initiatives allow for increased automation of activities, making regulatory compliance information easily available and therefore fostering the opportunity for citizens and businesses to more readily interact with their Government. Existing E-Gov initiatives include: *Regulations.gov*, which allows the public to participate in the regulatory process and thereby provide insight to possible areas for burden reduction; and *Business Gateway*,

which provides small business owners with a single access point to government services and information designed to assist them to start, run, and grow their business.

Reducing burden for Small Businesses and assisting with PRA compliance. The Small Business Paperwork Relief Act of 2002 addresses the burden imposed upon small businesses by Federal regulatory and paperwork requirements. The Act requires each Federal agency to establish one point of contact to act as liaison between the agency and small businesses. Furthermore, the Act requires OMB to publish, on an annual basis, and in consultation with the Small Business Administration, a list of compliance assistance resources available to small businesses.

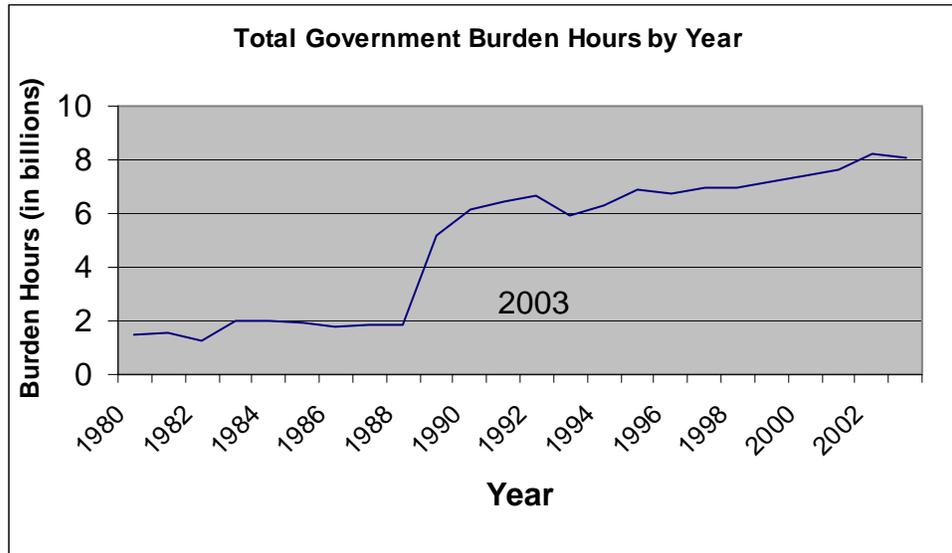
Agency initiatives to reduce paperwork burden. This ICB includes a description of specific agency initiatives to reduce burden. OMB has monitored agencies' information collection improvement efforts encouraged them to develop specific initiatives in this area. This report highlights dozens of burden reduction initiatives that agencies have undertaken or planned.

Chapter I. The Paperwork Burden Story

The Paperwork Reduction Act (PRA) (44 U.S.C. § 3514) requires the Director of the Office of Management and Budget (OMB) to report to Congress on the major information collection activities and burden reduction accomplishments of Federal agencies. The Information Collection Budget (ICB) is OMB's annual report to Congress in compliance with its responsibilities under the Act. The report covers government progress in making information collection more efficient and effective and reducing the information collection burden on the public. The ICB provides a mechanism for measuring and managing the burdens of the Federal information collections imposed on individuals, businesses, and State, local, and tribal governments.

Based on agency estimates of paperwork burden¹, the public spent about 8.1 billion hours responding to or complying with information requirements (see Figure 1 below). This represents a 1.5 percent decrease compared to last year's burden total of 8.2 billion hours. While the majority of this decrease, approximately 158 million hours, is simply a product of agency re-estimates or factors outside the agency's control, agency actions also reduced burden by approximately 54 million hours. These declines in burden were offset by an increase in burden of about 111 million hours from the implementation of new statutes passed by Congress (See Appendix A, Table A1).

Figure 1.



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

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

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

fiscal year.

New Statutory Changes

Much of the increase in burden in the past year, approximately 111 million hours, can be attributed to the implementation of statutes passed by Congress. Several laws were passed in recent years to address the increased threat of terror, homeland security, and public health. These laws have an impact on the paperwork, reporting and record-keeping required of the affected individuals and industries, imposed by such agencies as the Department of Homeland Security, Social Security Administration, the Department of Health and Human Services, Department of Transportation, the Environmental Protection Agency, and the Department of Education (See Figure 2).

Figure 2.

Increase in FY 2003* Burden to Implement Laws:		
Statute	Summary	Increase for Agencies
<i>P.L. 104-191 -- The Health Insurance Portability and Accountability Act of 1996</i>	Continued phase-in of programs to ensure adequate insurance, and privacy.	4 million hours Social Security Administration Department of Health and Human Services
<i>P.L. 107-355 -- Pipeline Safety and Improvement Act of 2002</i>	Improved safety and security of the nation's pipelines.	3 million hours Department of Transportation
<i>P.L. 107-188 -- Public Health Security and Bio-terrorism Preparedness and Response Act of 2002</i>	Established several programs related to health, safety, and security.	2.7 million hours Environmental Protection Agency Department of Health and Human Services
<i>P.L. 107-110 -- No Child Left Behind Act of 2002.</i>	Increased accountability for schools, educators, students and the public.	2.7 million hours Department of Education
<i>P.L. 106-159 -- Motor Carrier Safety Improvement Act of 1999</i>	Improved highway safety.	1.23 million hours Department of Transportation
<i>P.L. 107-296 -- Homeland Security Act of 2002</i>	To insure the safety and security of the American public.	637,000 hours Department of Homeland Security Department of Justice

* Significant increases in burden resulting from statutes have also been implemented or are projected for FY 2004. See Appendix B.

A large portion of statutory paperwork burden results from laws that have an impact on the Department of the Treasury. Activities such as implementation of the Jobs and Growth Tax Relief Reconciliation Act of 2003 and the Job Creation and Worker Assistance Act of 2002 added over 95 million hours to the paperwork burden that Treasury programs imposed on the public in FY 2003. The affects on the burden imposed by the Internal Revenue Service related to new laws and other efforts are explained in more depth in Chapter III.

Changes Beyond Agency Control

"Adjustments" in burden result from a change in the population affected by the collection or by the agency providing a more accurate estimate of the time required to respond. Situations and events resulting in an adjustment are outside of the agencies' control.

Changes in the population that must respond to an information collection for a particular program may result from economic growth, demographic trends, or natural disasters. These changes in population in turn affect the aggregate burden estimates of information collection. For example, the population affected by, eligible for, or regulated under a particular regulation or program may fluctuate with changes in income, as opposed to an effort by Congress or the agency to change policy in a way that materially affects the burden. Heightened interest in a program due to publicity, an industry decline, or a regional drought or pest infestation can also increase or decrease the number of reports or applications received by an agency from one fiscal year to the next. A change in respondent population is also common where the paperwork burden of a new program is re-estimated after the initial three-year OMB approval and is based on the agency's actual experience in running that program.

Re-estimates of the burden imposed by a collection are considered "adjustments," since they do not reflect any substantive change in the collection of information itself. For example, the Federal Acquisition Regulation Council (FARC) adjusted the burden rate for collecting proposals of final indirect costs rates and supporting cost data. FARC received comments from contractors that the annual burden, which was estimated to average one hour per response, was grossly underestimated. Contractors suggested that they were required to devote approximately two person years (2080 hours) to provide what was ascribed to the Government accounting requirement. During FY 2003, Federal agencies reported that these changes beyond agency control or adjustments were responsible for a decrease of 158 million hours. Consequently, approximately half of the total decrease in burden from FY 2002 to FY 2003 resulted from either re-estimates or factors outside the control of the agency.

Besides changes in the affected population or re-estimates of response times, adjustments may result from OMB review and approval of the collection required to implement some programs being precluded by law. For example, Congress exempted 8.7 million hours of burden from the PRA for USDA's commodity and conservation programs authorized in Title 1 and Title 2 of the Farm Security and Rural Investment Act of 2002 (P.L. 107-171). Since the collections continue but cannot be accounted for by OMB, the reduction is reflected in OMB records as an adjustment to the agency's burden.

Technical Changes

When an agency allows OMB approval of a collection of information to lapse, but

the agency, nevertheless, continues to collect this information, this is a violation of the Paperwork Reduction Act. When such a violation occurs, it is accounted for as a decrease in burden. When the collection is reinstated it is accounted for as an increase in burden, even though the actual burden on the public was not affected. These two actions cancel each other out in the ICB accounting system, except in the case where a violation is reinstated at a lower or higher figure after a new analysis is performed in connection with the reinstatement. For example, the expiration of a Department of Defense collection resulted in a reduction in 52 million burden hours. When that collection was reinstated, the affected population had changed, resulting in it being reinstated at 26 million hours – a net reduction of 26 million hours. OMB continues to work with Federal agencies to eliminate lapses in OMB approval of ongoing collections of information. This is a high priority for OMB, and while continued vigilance is necessary, agencies have made significant improvements in reducing violations in FY 2003 (see Chapter II and Appendix C).

Changes within Agency Control

If we consider burden under the agencies' control – that is, neither adjustments as discussed above, nor specifically required statutory changes – Federal agencies reported a net decrease in the burden of about 54 million hours.² While aggregate or summary figures often disguise or overlook them, there were several agency efforts to reduce burden in FY 2003 (See Chapter VI and Appendix B). For example:

- The Department of Health and Human Services significantly reduced public burden through a number of deliberate measures during FY 2003. For example, the Medicare Provider Cost Report Reimbursement Questionnaire allows providers to list rather than submit a number of documents including leases, actuarial reports, and contractual arrangements, resulting in a burden reduction of over 400,000 hours per year. Medicare further reduced the public burden by over 3,000,000 hours with the Skilled Nursing Facility Resident Assessment by reducing the time required to prepare, encode and transmit data required to be submitted to determine the appropriate payment rate for facilities.
- The Department of Education reduced annual burden on colleges for the National College Alcohol, Drug and Violence Survey by combining questions, streamlining the format and reducing the number of colleges required to respond, resulting in an over 400,000 hour annual reduction in burden.
- The Federal Acquisition Regulations no longer use Standard Form 129, Solicitation Mailing List Application, for prospective contractors to provide information to maintain a list of firms interested in selling to the Government.

² Program changes also include changes due to timing of the collection over multi-year cycles. For example, approximately 1.3 million hours of increased USDA FY 2003 burden and 5.77 million hours of increased Department of Commerce FY 2003 burden is due to the timing of surveys conducted by the National Agriculture Statistics Service and the Bureau of the Census coinciding with this report.

The SF-129 was phased out in favor of other methods, such as online registration, or a consolidated form, reducing burden by an estimated 464,000 hours per year.

- The Environmental Protection Agency amended its Land Disposal Restrictions to specify dates when particular groups of hazardous wastes are prohibited from land disposal and eliminating a separate waste determination that will reduce average annual burden by 872,370 hours.
- The Federal Energy Regulatory Commission amended its requirements under its application for a license to operate hydroelectric projects by integrating a license applicant's pre-filing consultation with the Commission's scoping provisions under the National Environmental Policy Act. This will reduce burden on the affected firms by 1.35 million hours annually.
- The Department of Health and Human Services reduced the burden on attending physicians by 1.58 million hours per year under its Home Health Services Under Hospital Insurance program. Attending physicians will no longer have to fill out Form 485 to authorize the home health services for a patient.
- The Federal Energy Regulatory Commission reduced burden on natural gas pipeline operators by 612,000 hours annually by adopting standardized business practices and improved standards that provide additional flexibility.

However, the majority of agencies increased their burden. For those deliberate actions that affected burden within their discretion, Federal agencies often imposed new burden through regulation that sought to protect and serve the public. Agencies and OMB constantly review new regulatory functions and initiatives with an eye toward streamlining the requirements that will be imposed on the affected public, whether they affect small business, schools, hospitals, or individuals. Nevertheless, many initiatives involve paperwork and reporting requirements that are necessary to provide the public with a variety of benefits. For example, the following list includes new or expanded collections of information that imposed substantial paperwork burden in FY 2003:

- *DOT -- Hazardous Materials Security Plans.* To reduce the possibility that a hazardous materials shipment will be used as a weapon of opportunity by terrorists, DOT now requires shippers and carriers of certain highly hazardous materials to develop and implement security plans. This added 1.2 million hours a year to the burden of affected firms.
- *EPA -- Storm Water Permit Program.* This collection is necessary for EPA to enforce compliance with storm water discharge requirements for small construction sites and small municipal storm sewer systems. EPA's Phase II rule requirements became effective in 2003, and are estimated to increase the burden on the affected public by 4.9 million hours annually.

- *FTC -- Telemarketing Sales.* To provide consumers and donors with information necessary for informed decisions and to determine compliance with consumer protection laws, FTC amended regulations regarding emerging areas of fraud and abuse, and expanded the coverage of these rules to include charitable solicitations. This added 1.3 million hours of burden on telemarketing firms.
- *HHS -- Head Start National Reporting System (HSNRS) on Child Outcomes.* An outcomes-based accountability system was mandated in the President's *Good Start, Grow Smart* early childhood initiative. Because of the need to assess the progress made by every Head Start preschool child, 1.3 million hours per year was added to the burden of this program.
- *FDA -- Abbreviated New Drug Applications (ANDA).* FDA added 500,000 hours to this annual burden by revising the regulations for the effective date of approval for certain abbreviated new drug applications (ANDA) and certain applications submitted under the FDCA. The burden increased with clarification of the patents to be listed so applicants list only those patents which are appropriate.
- *FDA -- Nutrition Labeling.* FDA issued regulations that require food labels to provide information on the amounts of fat and certain fatty acids, and other nutrition information that must be on the label of the food product. FDA also added regulations governing the labeling of dietary supplements. These actions will increase burden on affected firms by 615,200 hours per year.
- *USDA -- E. coli Contamination in Beef Products.* USDA published a rule that requires establishments to reassess their programs that ensure that beef contamination with *E. coli* 0157:H7 does not occur. This will increase burden on establishments that receive beef products for grinding by 392,100 hours annually.
- *Department of Homeland Security -- United States Coast Guard Advance Notice of Arrival.* To ensure public safety and security and minimize disruptions to the flow of commerce, the Coast Guard changed notification requirements for vessels bound for or departing U.S. ports. This added 135,000 hours of burden per year to operators of those vessels.
- *SEC -- Disclosure of Fund Holdings.* The Securities and Exchange Commission increased reporting requirements for investment funds to improve disclosure to investors about fund investments. A fund must file its complete portfolio schedule as of the end of its first and third fiscal quarters with the Commission on the new Form, increasing the burden on them by 197,000 hours annually.

Chapter II. Achieving Zero PRA Violations

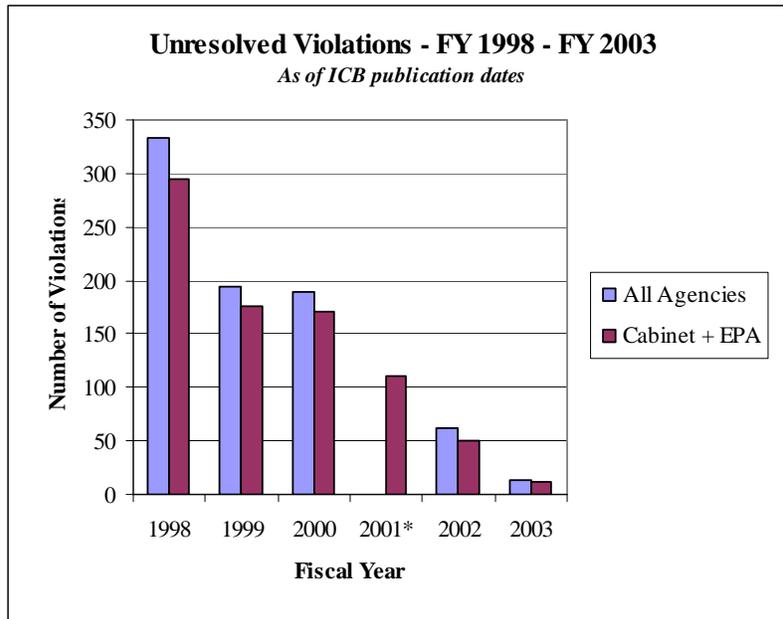
The PRA requires that agencies obtain OMB approval for all collections of information. OMB's approval can extend up to a maximum of three years. Thus, if an agency wishes to continue to collect the information beyond three years, the agency must go through the PRA process to ask OMB to renew its approval. If an agency does not obtain a renewal of OMB's approval, but nevertheless continues to collect the information, this collection of information without current OMB approval constitutes a violation of the PRA.

In the late 1990's, agencies frequently allowed violations of the PRA to occur by allowing OMB's approval of a continuing collection to lapse without the approval being renewed timely. In the fall of 2001, OMB emphasized to the agencies the critical importance of full compliance with the PRA and, in particular, in avoiding lapses in OMB approval for continuing collections. In last year's ICB, OIRA demonstrated that the number of violations was steadily decreasing between FY 2001 and FY 2003, with just 62 violations outstanding. For FY 2003, OMB worked with agencies to not only reduce the number of violations that occurred in FY 2003, but also to resolve some lingering violations from previous Fiscal Years. As of April 12, 2004, there were just 18 violations remaining on record from FY 2003 and prior Fiscal Years – this is a 71 percent decrease from the FY 2002 ICB. Appendix C lists, as of April 12, 2004, all collections that were in violation and brought into compliance, and those 18 that continue to be violations.

Continuing to Reduce Violations in FY 2003

OMB has devoted a great deal of effort toward eliminating violations. At the time of agencies' ICB submissions to OMB, there had been 238 violations during FY 2003, including several outstanding from previous years. Of these 238 violations on record in FY 2003 (primarily lapsed approvals), 220 have been fully reinstated, and 18 are in the process of being reinstated. These 19 are either undergoing a 60-day Federal Register notice for public comment (the first step in obtaining authority to collect information under the PRA) or are currently at OMB under the 30-day mandatory review period awaiting approval. In comparison, last year OMB had 62 violations remaining at the time of publication of the ICB. This year's number has decreased by 71 percent. Furthermore, OMB has gone from having 325 violations outstanding in FY 1998, to having 18 outstanding in FY 2003 (see Figure 2.1).

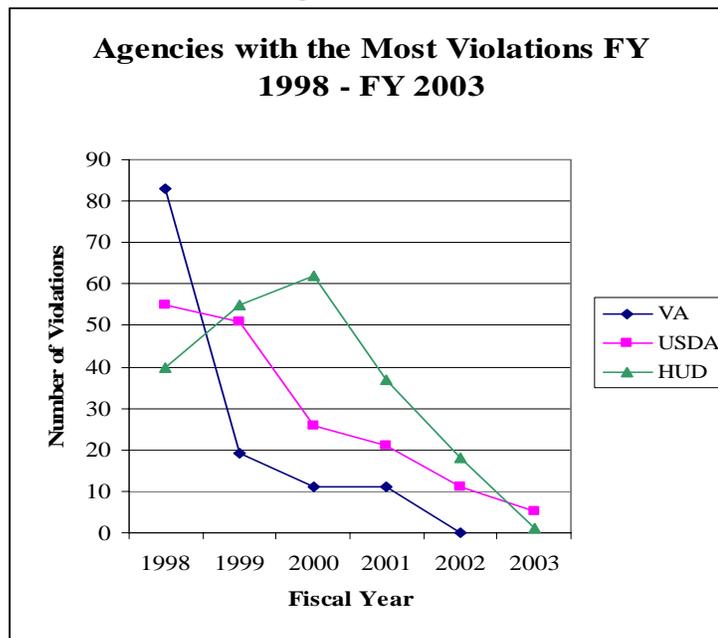
Figure 2.1



* Only Cabinet agencies and EPA were addressed in the report for FY 2001.

Additionally, for those agencies that accounted, on average, for 58 percent of the total violations recorded from FY 1998 to FY 2002, tremendous gains have been made in violation reduction (see Figure 2.2). Agencies such as the Departments of Veterans Affairs, Agriculture, and Housing and Urban Development collectively have almost no outstanding violations from FY 2003 or prior years:

Figure 2.2



Although having any violations at all is a major concern to OMB, the number of violations as a percentage of the total active collections is just 0.2 percent. Furthermore, this number has decreased by 71 percent from FY 2002:

FY	Number of Violations	Total Active Collections as of end of FY	Violations as a Percent of Total Active Collections
2002	62	7,952	0.8%
2003	18	8,137	0.2%

OMB Efforts to Eliminate Violations

As part of standard procedures to ensure PRA compliance, each month OMB sends an inventory to each agency which lists all of the collections that will expire in the next 180 days. This provides the agency with ample time to prepare a 60-day *Federal Register* Notice, incorporate any public comments from the Notice into the collection, submit the collection to OMB for a 30-day review period, and receive clearance for the collection.

We believe that the elimination of unresolved violations stems directly from our heightened efforts throughout the last two and a half years. In addition to the routine efforts to inform agency staff, OMB has taken some additional measures to eliminate violations, including:

- May 8, 2003 memorandum to agencies: The OIRA Administrator sent a memorandum to CIOs of all agencies asking for a sustained focus on ensuring that agencies have effective procedures in place to avoid future violations. The memorandum reminded CIOs to review their agency’s procedures for avoiding future violations. Furthermore, this memorandum urged CIOs to review the status of collections in their PRA inventory.
- FY 2003 ICB Bulletin: In last year’s ICB bulletin (describing the agency requirements for submission of ICB documents), OMB asked agencies to provide a list of violations that occurred in the past fiscal year, and to update previously reported violations, as was required in prior ICB bulletins. In addition, OMB required that agencies provide us with a *Federal Register* publication citation and publication date for the initial 60-day *Federal Register* notices requesting public comment in their ICB submission. To date, all reported violations have at least a 60-day notice published, and many are at OMB pending approval.
- November 8, 2002 memorandum to agencies: The OIRA Administrator sent a memorandum to the CIOs of the agencies detailing their progress toward our goal of eliminating PRA violations; OMB’s General Counsel also shared that memorandum with the agencies’ General Counsels and Solicitors. Additionally, a list of collections that had expired in the past month (plus those collections that would be expiring in the upcoming 150 days) was attached. This report was identical to the report that agency staff receive monthly to assist them in their PRA review planning. OMB

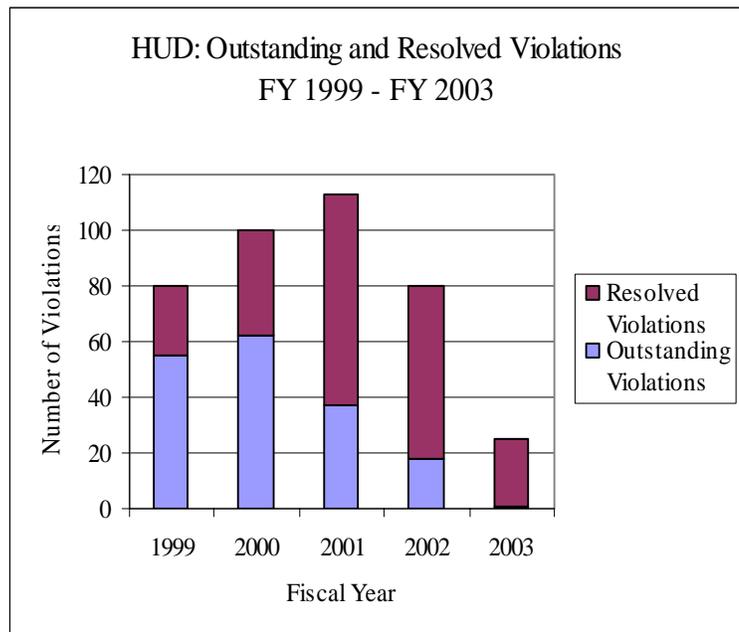
asked the CIOs to examine each of the expired and expiring collections and to determine if there were any systemic problems in the agency's procedures for PRA compliance, and establish schedules for publishing *Federal Register* notices to reinstate collections in violation.

- **June 6, 2002 memorandum to agencies:** The OIRA Administrator sent a memorandum following up a previous memorandum to the CIOs and GCs of the agencies, asking them for an update on the violations reported in the previous year's ICB, as well as the status of any new violations that had occurred since October 1, 2001. The memorandum also asked them to again provide a detailed description of their procedures for avoiding future violations.

Violation Reduction Success: Department of Housing and Urban Development (HUD)

In the last five years, from FY 1999 to FY 2003, HUD has made tremendous gains in reducing and ultimately eliminating its number of PRA violations. This success is due in part to OMB's attention to HUD's violations – in August 2002, the OIRA Administrator met with HUD's CIO and General Counsel to create an action plan for ensuring PRA compliance, and in December 2002 OMB sent a letter to HUD identifying outstanding violations.

To move towards eliminating all violations in FY 2003, HUD continued efforts to look back on all of their information collections from the past 20 years to determine continued compliance with the PRA. In FY 1999, HUD had resolved 25 violations, but still had a remaining 55 outstanding violations. In the following years, HUD increased the number of resolved violations, simultaneously decreasing the amount of violations remaining. As of April 12, 2004, HUD resolved all remaining violations incurred prior to the end of FY 2003 (before September 30, 2003) with the exception of one outstanding violation, which is currently awaiting OMB approval under the 30-day review period.



Looking Ahead: Reaching Zero Violations

OMB will continue to notify agencies about upcoming expirations of approval, as well as continue to work with agencies to bring into compliance those collections that may, in the future, be used without approval. Although the 18 outstanding violations

comprise only 0.2% of the total number (8,137) of active reports as of the end of FY 2003, compliance with the PRA is an essential part of monitoring public burden from information collections.

OMB will continue its vigilance in ensuring that the occurrence of violations is minimal, and that any violations that do occur are expeditiously resolved. OMB will work closely with the agencies to keep the zero tolerance initiative strong.

Chapter III. Paperwork Burden and the Internal Revenue Service

Information collected as part of the tax system is the largest component of paperwork burden imposed by the Federal government. Internal Revenue Service (IRS) paperwork is currently estimated to total approximately 6.5 billion hours. This paperwork burden associated with the Internal Revenue Code towers over the entire paperwork burden for the rest of the Federal government, constituting some 80 percent of all paperwork. Currently, and historically, IRS paperwork burden is very concentrated, with ten of the approximately 800 IRS forms accounting for approximately 80 percent of all IRS burden. The basic tax return -- the Form 1040 and its associated schedules -- accounts for 1.6 billion hours, or 24 percent of all IRS burden.

Tax paperwork, though frequently a cause of frustration and complaint among citizens and businesses, is a direct result of our system of taxation and is essential to the proper funding and functioning of our Federal government. While the tax system may be objectionable in many respects, it is the product of choices -- and compromises -- made by elected representatives and enacted into law.

Over the past decade taxpayer burden has grown substantially. This growth of over 30 percent must be viewed in the context of the economic expansion during much of that period. More individuals entering the tax rolls, business creation, and growing financial markets all raise the volume of taxable economic transactions. In addition, this activity occurred during a period of increasing complexity of the Internal Revenue Code.

OMB is interested in identifying opportunities for IRS burden reduction. During the past year OMB, in conjunction with a public meeting for small business chaired by the Small Business Administration, requested specific examples of opportunities to reduce IRS burden. Additionally, OMB asked the public, in the context of a draft report on costs and benefits of Federal regulation, to recommend specific IRS paperwork requirements that can and should be reduced to lessen burden on small business.

The IRS devotes considerable resources to development of forms that minimize taxpayer burden. IRS has succeeded in limiting paperwork burden through its own internal rigorous forms development process. Forms development within IRS utilizes the expertise of numerous specialists as well as, when appropriate, public focus groups. Perhaps more so than any other Federal agency, the IRS utilizes focus groups to gather information on how to make improvements in how it collects taxpayer information. Of its 800 forms, schedules, and instructions, some 450 are reviewed each year. New forms are initiated and existing forms are revised to reflect one or several events that may converge, including tax law changes; input from taxpayers, tax professionals, and IRS employees; recommendations from internal audit staff and the General Accounting Office; and OMB review under the Paperwork Reduction Act. OMB formally reviews and acts upon requests for paperwork approval only after they have gone through this comprehensive IRS and Treasury process. OMB, through a sentinel effect, and through reviewing many recurrent submissions from IRS over a twenty year period, has contributed to curbing excess IRS paperwork.

As described in last year's Information Collection Budget, in recognition of the importance of reducing paperwork, IRS has created the Office of Taxpayer Burden Reduction and staffed it with 7 employees. The office seeks to achieve significant burden reduction for taxpayers by developing proposals that foster burden reduction; by coordinating and championing burden reduction efforts throughout the IRS; and by working with others in IRS, Congress, States, other Federal agencies, and the small business community to develop, coordinate and implement meaningful burden reduction goals.

IRS has underway an effort to more accurately measure paperwork burden. Its current methodology – although vastly more sophisticated than that used by most Federal agencies – has recognized shortcomings. The current methodology is based on survey data almost 20 years old and measures only certain types of taxpayer compliance burdens. It has limited ability to predict changes in compliance burden resulting from changes in tax policy or tax system administration.

During FY 2003, several IRS paperwork reduction initiatives significantly affected 2002 tax year filings. Beginning with 2002 tax returns, the threshold for filing Form 1040 Schedule B was raised to \$1,500 (from the previous level of \$400) of interest or dividend income. This change in the threshold for reporting details of this income resulted in a decrease of over 15 million burden hours; however, other necessary changes to the form somewhat offset the overall burden decrease so that the net change was 12.7 million burden hours. A corresponding change, but having a relatively small impact in burden hour change was made for Form 1040A filers. As a consequence of these changes, the number of individual taxpayers required to file this detailed information, itemizing names of those who paid them along with each amount, was greatly reduced. This change affected more than 40 million taxpayers and contributed substantially to IRS burden reduction in 2003. However, it should be noted, the change in reporting did not affect the requirement to report total interest and dividend income so that taxpayers still must compute and report the total figures by adding the detailed numbers. Unlike many other situations faced by IRS, it could make this change administratively without seeking a statutory change to the tax code.

Similarly, IRS implemented for the 2002 tax year an increased threshold affecting small businesses who file corporate income tax returns. Companies with less than \$250,000 of gross receipts and less than \$250,000 in assets no longer have to report certain information. The forms affected are Form 1120, Schedule L (Part III of Form 1120-A) which provides the beginning and end of year balance sheets based on the corporation's books; Schedule M-1 (Part IV of Form 1120-A) which provides reconciliation of income or loss in accounting records with income or loss on the tax return; and Schedule M-2 which reflects unappropriated retained earnings. For larger companies these schedules are necessary tools in the examination of corporate returns but for most small businesses they have limited application. The changes are estimated to affect 2.6 million small businesses and were computed to reduce burden by 33.7 million hours for Form 1120 and 3.4 million hours for Form 1120-A.

In addition to those changes affecting Form 1120 and 1120-A, IRS made similar changes affecting “S Corporations.” These corporations generally have a small number of stockholders and are taxed under Subchapter S of the IRS Code. Under the burden reduction initiative, the Form 1120S, used by S corporations to figure their tax liability and report their income and other tax-related information, had burden reduction of 14.3 million hours. This was achieved because corporations with total receipts and assets of less than \$250,000 are no longer required to complete Schedules L and M-1.

Decreases in IRS burden in FY 2003 due to agency efforts:	
Effort:	Reduction:
Reduction in dollar thresholds and changes made in Form 1120 for the U. S. Corporation Income.	33,756,031 hours
Lowering the thresholds for submission and the schedules required with the 2002 – Form 1120 and Schedules Tax Return for an S Corporation, 2002 Form 1120S and Schedules.	14,262,930 hours
Increase the threshold for filing Schedule B (Form 1040) to \$1,500.	12,776,046 hours
Reduction in dollar thresholds relating to components of Form 1120-A, short form for corporations.	3,378,388 hours

Although IRS-initiated decreases in FY 2003 were substantial, they were more than offset by statutorily mandated changes that produced an increase of approximately 94 million burden hours for the IRS. The Jobs and Growth Tax Relief Reconciliation Act of 2003 resulted in changes to a number of tax forms. Net burden changes for those forms exceeded 38 million hours. Major provisions of that statute affected the tax treatment of dividends and capital gains. These changes required changes to forms requiring additional lines, revised detailed instructions, modifications to and creation of worksheets. They affected not only forms used by individual taxpayers but the content of reporting required by payers of dividends as well as reports from brokers to report proceeds from transactions. These changes driven by the complexity of the tax code have received much public attention.

Other statutorily-driven burden increases include Form 8882, Credit for Employer-Provided Child Care Facilities and Services. The form is used by child care providers who acquire, construct, rehabilitate or expand property which is to be used as qualified child care facilities. This credit, resulting from the Economic Growth and Tax Relief Reconciliation Act of 2001, applies to costs incurred as operating expenses. The burden associated with implementing this credit is 9.7 million burden hours. The 2000 Community Renewal Act caused a number of changes throughout forms, schedules and instructions affecting partnerships, corporations and non-corporate taxpayers required to report losses required from passive activities, splitting capital contributed into categories of cash and property, and other changes associated with computing tax liability and income.

Examples of Large Increases in IRS Burden in FY 2003 Caused by New Laws:	
Statute:	Increase:
The Jobs and Growth Tax Relief Reconciliation Act of 2003 (P.L. 108-27)	38 million hours
The 2000 Community Renewal Act (P.L. 106-554)	15 million hours
Economic Growth and Tax Relief Reconciliation Act of 2001 (P.L. 107-16)	9.7 million hours

Chapter IV. Electronic Government

In FY 2003, Federal agencies reduced the burden on beneficiaries and regulated entities through the continued and growing use of information technology (IT) and the Internet. As part of the institutionalization of the President's Management Agenda, and the continuing support of citizen-centric service delivery, President Bush signed the E-Government Act of 2002 (Public Law 107-347, 44 U.S.C. Chapter 36) into law on December 17, 2002. E-Government alternatives for individuals, businesses, and other government agencies together with new operational processes and technologies have improved the effectiveness, efficiency, and quality of government services.

This Act is a significant step forward in the way Federal agencies should consider using information technology (IT) to transform agency business into a more citizen-oriented and user-friendly process. The Act codifies and expands OMB's leadership role by establishing the Office of Electronic Government headed by a Presidentially-appointed Administrator. The Administrator provides overall leadership and direction to the Executive Branch on electronic government and is responsible for overseeing the implementation of IT throughout the Federal government and the cross agency E-Government initiatives.

The E-Government Initiatives

The Act endorses and requires agencies to support many cross-agency E-Government initiatives. These cross agency initiatives consolidate duplicative services and operations, save taxpayer money and time, and allow for easier interaction with Government agencies. The President's E-Government Initiatives were selected on the basis of the value they would bring to citizens, while generating cost savings and improving the effectiveness of government. We are continuing to focus on improving government responsiveness and reducing the government's burden on the public. Milestones and goals of each of the President's E-Government Initiatives can be found at:

http://www.whitehouse.gov/omb/budget/fy2005/pdf/ap_cd_rom/9_2.pdf

The initiatives reflect the Administration's E-Government Strategy, which focuses on four citizen-centered groups to achieve results by simplifying and unifying redundant work processes and IT. They include:

- GovBenefits.gov provides a single point of access for citizens to locate and determine potential eligibility for government benefits and services. GovBenefits.gov currently provides on-line access to 419 citizen-focused federal benefit programs and 48 state level benefit programs including Food Stamps, Medicaid, Temporary Assistance for Needy Families and State Children's Health Insurance Programs. Through its free, easy-to-use on-line screening tool, GovBenefits.gov reduces the amount of time citizens spend trying to identify and find relevant information about government benefit programs and services that match their specific needs. Prior to GovBenefits.gov, a centralized portal, it was

estimated that the average minimum time spent to find benefits and eligibility information was 60 minutes. The average time spent to find benefits and eligibility information using GovBenefits.gov is estimated to be only 15 minutes, representing a 45 minute time savings per person per inquiry.

- IRS Free File provides a single point of access to free on-line preparation and electronic tax filing services. Through this initiative a significant number of tax payers are able to prepare and submit their tax returns over the internet at no cost, eliminating the need to purchase tax software to submit tax returns and eliminating the need to pay postage costs for mailing returns to the IRS. Calculations are performed automatically decreasing taxpayer burden in the preparation of tax forms. At least 60% of all Americans were eligible to use IRS Free File during the 2003 filing season through a partnership agreement between the IRS and the Free File Alliance. During the 2003 tax season, 2.8 million taxpayers filed on-line at www.irs.gov, representing 23.5% of all returns filed electronically with the IRS. For the 2004 tax season the Free File program is on pace to eclipse last years numbers by an estimated 24%. In addition, more than 8.3 million computer users visited the Free File content area as of April 15, 2003, making it the most visited page on the heavily used IRS web site.
- The Business Gateway will be the single access point to all the government services and information needed to start, run and grow a business. The objective of the Business Gateway is to provide a “one-stop” service network that greatly simplifies and streamlines the relationship between government and businesses. The Gateway will provide businesses with the tools to find information, comply with government laws and regulations, and receive assistance much more rapidly than they can today. Reducing citizen and business burden and automating internal processes to reduce costs and burden are also key elements of this Business Gateway. In Fiscal Year 2003, the Office of Management and Budget estimated that it took businesses approximately 4.4 billion hours and \$160 billion dollars to collect and submit data to the Federal government. The Business Gateway will reduce this paperwork burden to save businesses at least \$16 billion annually. As an example, the Business Gateway is working on two heavily regulated industry verticals, surface coal mining and trucking, to harmonize data requirements across agencies and make it easier to reduce the burden on companies in those verticals.
- Launched in January 2003, Regulations.gov allows the public to search, view, and comment on hundreds of proposed federal regulations from approximately 160 federal agencies. The initiative has increased citizen and business access to their government and will provide better visibility into regulatory agencies. The next phase of E-Rulemaking, which is to create a government-wide e-docket system, will not only provide centralized access to much of the federal government’s regulatory material, but is estimated to save \$94 million over three years by consolidating redundant docket systems across agencies and reducing duplicative spending for these systems.

- The objective of the Expanding Electronic Tax Products for Businesses initiative is to reduce the tax-reporting burden on businesses while improving the efficiency and effectiveness of government operations. One example of this is that new business owners can now apply for and receive an Employer Identification Number (EIN) on-line. Before this was available, people had to fill out and mail a paper version of the EIN form, waiting up to two weeks to receive their EIN from the IRS. With the on-line EIN application, they can receive their EIN immediately. Since the service was launched in April, 2003, the IRS has received over 900,000 on-line applications for EINs and saved businesses over 400,000 hours in filling out the forms.
- The International Trade Process Streamlining initiative answers the business community's request to unify and consolidate government-sponsored export assistance programs and market information into an agency-neutral information portal. The initiative accomplishes this by providing a central source of information for the business community of federal export promotion and export financing programs through Export.gov. By making the process easier, clearer, and more available, more small and medium-sized (SME) businesses will choose to export their products, and current U.S. exporters will increase their markets to include additional countries. If results facilitated by this initiative could see a modest ½ percent increase in the level of SME exports (\$1.1 billion), this would result in a significant growth in export-related employment.
- Grants.gov has more than \$360 billion in annual grants from 26 federal agencies available on-line for grantees to find and apply for. This initiative creates a single, on-line storefront for all federal grant customers to access grant information. The storefront consolidates much of the grants information currently available on-line and will eliminate many of the paper-based processes that serve as hurdles to organizations attempting to find grant opportunities as well as apply for grants. By simplifying grants processes, standardizing data, and unifying the mechanisms for interaction with grant-making agencies, Grants.gov will transform the grant process for the federal government and grant recipients. For recipients, common applications and management processes will minimize the burden of the application process. Time spent looking up procedures and filling out redundant information can then be used on the actual grant-related work. For grant administrators, electronic processing of applications will facilitate the review process, and enable agencies to make awards more efficiently.

Implementation of the Government Paperwork Elimination Act

Making government transactions available on the Internet is one way the government can reduce the paperwork burden on the public. Automating paper transactions makes government more accessible to the public, and therefore increases the public's ability to comply with regulations. Before the E-Government Act, the primary legislative driver for E-Government was the Government Paperwork Elimination Act

(GPEA) of 1998, 44 U.S.C. § 3504. GPEA requires agencies to provide for electronic submission of information, including electronic signature and proper security. GPEA required agencies by October 21, 2003, to provide for the (1) option of electronic maintenance, submission, or disclosure of information, when practicable as a substitute for paper; and (2) use and acceptance of electronic signatures, when practicable. GPEA states that electronic records and their related electronic signatures are not to be denied legal effect, validity, or enforceability merely because they are in electronic form.

Since September of 2000, OMB has been tracking agency compliance with GPEA. Agencies have been aggressively working to meet the GPEA deadline, focusing on those transactions that will provide the greatest benefit to citizens. During the first two years of the Act's implementation, 1,800 transactions could be conducted electronically. As of December 2003, around 4,000 government transactions could be conducted electronically. This represents 56% of the approximately 7,000 potential transactions meeting the GPEA deadline to provide an electronic option (see Table 1).

Table 1: Summary of Federal Government Compliance

	Percentage	Number of Transactions
Transactions Compliant as of October 21, 2003	56%	4,040
Transactions Compliant after October 21, 2003*	12%	898
Transactions that will not be Completed	32%	2,249
Total Transactions Reported		7,187

*Agencies provided an expected date of completion of 2004 and beyond.

While OMB would like the percentage of electronic transactions to be higher, it is important to understand that all transactions are not suitable to be conducted on the Internet at this time. OMB will continue to enforce compliance as agency's information collections are reviewed. Furthermore, the data above on GPEA implementation do not provide the complete picture of government-wide compliance. Additionally:

- GPEA provides agencies the flexibility to determine whether or not a transaction is practicable. For example, there are some paper transactions that are not suitable to do on the web (e.g. customs form filled out on airplane).
- Compliance data include data on both transactions (e.g. forms submitted to the government) and information dissemination activities (e.g. posting of publications on a government website).

The following are more examples of how the implementation of GPEA has reduced burden on citizens and businesses:

- The Department of Defense implemented electronic collection of the information required from contractors for its Acquisition Management Systems and Data Requirements Control List. This list is used in contracts for supplies, services, hardware, and software. Automation has resulted in an estimated decrease of over 26 million hours per year for the affected firms.

- The Department of Defense enabled electronic transmittal of the information required for its Acquisition Process Solicitation Requirements. This information supports contractor solicitations for Department of Defense contracts. Electronic transmittal and reduced information requirements has reduced the burden on participating contractors by over 14 million hours per year.
- The Department of Labor implemented electronic reporting for its Standard Job Corps Request for Proposal and its Job Corps Application. These collections are used for screening applications for the Job Corps program, and to review proposals to operate a Job Corps center. Burden was reduced on the affected entities and individuals by estimated 51,446 hours per year.
- The Department of Transportation established a “Do It Yourself Page” located at www.diy.dot.gov, eliminating the need for paper forms, reducing filing time and common errors often associated with paper filing. One may conduct their business with DOT whenever they want. In addition, the on-line forms have built-in error messages that will help individuals complete the forms correctly the first time. Many of the delays encountered by DOT customers are a result of errors. Finally, it helps the Department avoid mistakes that may cost you time. If one uses DIY to pay for goods and services, your check or application/form cannot be lost as employees move paper from desk to desk. DIY also eliminates the need for clerks to enter your information into program databases.

For more detail on examples of reductions in burden in FY 2003 and FY 2004 resulting from the use of information technology generally see Appendix B.

Summary

Expanding electronic government is a key component of the Administration’s Strategy to improve the quality and delivery of government services. Through increasing automation of activities and making regulatory compliance information easily available electronically, citizens and businesses will have the opportunity to more readily and efficiently interact with their Government.

Chapter V. Small Business Burden Reduction

The Small Business Paperwork Relief Act of 2002 (SBPRA) is one of a series of laws, enacted in recent years, whose purpose is to address the burden imposed upon small businesses by Federal regulatory and paperwork requirements. Under SBPRA, Federal agencies have developed information to help the small business community better comply with paperwork requirements, while minimizing burden. This chapter describes implementation of this Act and how such implementation will reduce the paperwork burden imposed on small businesses by the Federal government.

The Act requires OMB to publish on an annual basis and, in consultation with the Small Business Administration, a list of compliance assistance resources available to small businesses. The Act also requires each Federal agency to establish, no later than June 28, 2003, one point of contact to act as liaison between the agency and small businesses. OMB, working in conjunction with Federal agencies and the Small Business Administration, has incorporated the list of points of contact into the list of compliance assistance resources. Such a consolidation makes it easier for small businesses to find compliance information. The list of compliance assistance materials and agency points of contact, can be found on the OMB website:

<http://www.whitehouse.gov/omb/inforeg/infocoll.html#sbpra>

The Act also requires OMB to convene and chair an interagency task force, which must issue two reports addressing five specific issues. In the first report, which was delivered to Congress on June 26, 2003, the Task Force identified opportunities for improved consolidation or coordination of information dissemination efforts and recommended a number of steps to encourage similar access to the broader base of Federal information.

Under the Act, each agency is to submit an initial regulatory enforcement report to Congress by December 31, 2003, and a final report to Congress by December 31, 2004. Each report is to include information on civil enforcement actions against small business. Such information is being used by Congress to assess Federal enforcement actions against small business.

Finally, the Act requires agencies to make efforts to further reduce the information collection burden for small businesses with fewer than 25 employees. OMB believes that agencies are undertaking efforts to further reduce the paperwork burden on very small businesses, but documentation of these efforts is unavailable. Therefore, for the purposes of this annual Information Collection Budget, OMB requested from agencies information on initiatives to reduce paperwork burden for small business concerns. The following are examples of planned or ongoing agency initiatives that are expected to reduce the paperwork burden on a substantial number of small businesses:

- *Department of Agriculture: Program System Contracts (ProTracts).* USDA plans to implement a web-enabled application for environmental programs' cost-

share contracts. Almost all of the participants in cost-share contracts are classified as small businesses. The system will allow USDA customers to go on-line to complete and submit a program contract application. This online capability will significantly reduce the paperwork burden for small businesses and other conservation stakeholders. Experience in seven pilot States indicates an approximately 25% time reduction for USDA clients using ProTracts over manual contracts. This time savings will increase as USDA simplifies contracting processes and fully implements electronic signatures.

- *Department of Agriculture: Centralized Cotton Redemption (CCR).* USDA has developed a web-based, Centralized Cotton Redemption (CCR) process that operates within the Cotton Online Processing System (COPS). When fully implemented CCR will significantly streamline cotton loan repayments and reduce burden by allowing cotton producers' designated agents to repay loans without having to physically deliver funds and copies of required documents to multiple USDA offices. CCR will reduce burden on small businesses and citizens by eliminating all mailings, centralizing redemptions at one electronic location, and speeding the release of loan collateral.
- *Department of Agriculture: Forest Service Permit Program.* The USDA Forest Service is implementing a web-enabled electronic government system to fully process permits for use of U.S. forest system lands and facilities. The agency will be able to readily analyze and measure improved program delivery in an electronic customer-centered environment. Small businesses that need Forest Service permits in pursuit of their trade may now apply online. Burden is also reduced because the initiative will provide an expected decrease in customer data entry time (25%), internal processing time (33%), and customer search time (50%). During fiscal year 2004, FS will work to develop a demonstration of a simple permit process. Permits will be available electronically in fiscal year 2005.
- *Department of Commerce: Export Control Automated Support System (ECASS) and Simplified Network Application Process (SNAP) - Bureau of Industry and Security.* ECASS, which processes export license applications and tracks export enforcement investigations, has been upgraded to permit electronic data entry for applications and commodity classification requests. Exporters, including many small businesses, may file their license applications electronically. Also, ECASS2000+ improve query capabilities and increase the control of BIS's export licensing and export enforcement core business processes. As the effort evolves, it will reduce public burden, reduce redundant requirements, and coordinate Export Enforcement, Export Administration, and Office of Administration by automating labor intensive manual processes and workflow. Also, a re-designed Simplified Network Application Process or SNAP+ module will support submission of BIS work. BIS implemented a Beta-version of the proposed SNAP+ system in November of 2003.

- *Department Of Defense: Defense Federal Acquisition Regulation Supplement.* The requirements for contract solicitations are Defense's second largest information collection. Many Defense Department contracts are targeted to and awarded to small businesses. Many contractors are small businesses. This burden is to apply for benefits and for contracts to provide goods and services under the Defense Federal Acquisition Regulation Supplement (DFARS), a supplement to the Federal Acquisition Regulation. Higher burden for collection of information increased costs and delays, so DoD has a strong incentive to reduce the paperwork burden. This initiative was completed December 2002 and is estimated to reduce annual burden by over 14 million hours.
- *Small Business Administration: Integration of PRO-Net and Central Contractor Registration (CCR) Systems.* SBA partnered with the Department of Defense (DOD), the Office of Management and Budget (OMB), and the General Services Administration (GSA) to establish a single vendor registration point for small businesses to do business with Federal, State, and local governments, and prime contractors, and the acquisition community for small business procurement preference programs. CCR electronically shares the data with Federal agencies to facilitate paperless procurement and payment through EFT. On December 31, 2003, CCR assumed all of PRO Net's search capabilities and functions, and small businesses no longer have to manually register in both PRO Net and CCR. This initiative eliminated the need for small businesses to enter the same information into many different databases, when they wish to do business with the government.
- *Small Business Administration: Disaster Assistance Credit Modernization System (DCMS).* SBA proposes to create a fully integrated, "Paperless Electronic Loan Application and Loan Process." This new system will be open, with the ability to share data and information agency wide. This will eliminate disaster loan application paperwork, physical files, and resulting delays in processing. Implementation of DCMS is scheduled for summer 2004.
- *Department Of The Treasury: Form 941 Annualization.* Internal Revenue Service Form 941, Employer's Quarterly Federal Tax Return, is required of employers to report wages paid, tips employees have reported, Federal income tax withheld, Social Security and Medicare taxes, etc. The Internal Revenue Service has begun a project to identify situations when this filing could be made annually for certain taxpayers. A large number of small businesses file this form, and this effort will greatly reduce their burden. This effort will involve detailed work within Treasury and with the Social Security Administration. January 2006 is the target date for offering this filing option to employers whose quarterly deposit amounts are under a dollar level to be determined.

"Business Gateway"

The SBPRA Interagency Task Force found that the presidential e-government initiatives, such as the Business Gateway initiative (formerly the Business Compliance One-Stop Initiative), represent the best opportunity for reducing the paperwork burden on small business. The purpose of this initiative is to help small business better understand existing paperwork requirements and make it easier for businesses to comply with such requirements.

Business Gateway will provide a single web point of access for relevant regulatory information on all Federal forms, and harmonize industry-specific information collection requirements. Since the first Task Force report was released, the Business Gateway initiative has taken shape. Business Gateway will build a Federal cross-agency infrastructure to (1) provide useful regulatory information in one place, (2) eliminate redundant data collection, and (3) provide electronically fill-able, file-able, and sign-able forms. These three elements of the Business Gateway mission, successfully achieved, will result in an integrated Web-based solution that provides a “one-stop” access point for Federal regulatory and information collection requirements affecting small businesses, enables them to find, fill out and sign the required forms, and ensures that information they provide that is common to multiple Federal information collection requirements is gathered only once and used multiple times to ensure data integrity and consistency throughout the compliance process.

The implementation of the Business Gateway business portal will occur in multiple phases. In Phase I, the business portal will, in fact, be a “metasite” rather than a true portal, simply offering an aggregation of links to Federal Web sites selected for content and services relevant to small businesses. The metasite model will have a home page with a specific user interface, or “look and feel,” but selecting a link will deliver the user to another Web site altogether. Also during this phase, the Business Gateway program office will develop an information architecture to provide a roadmap for business content to be included under the business portal.

In Phase II, the Web site will shift from a metasite to a true portal, utilizing a common look and feel for all offered content and services, even though it will access information from different agencies and technology platforms. The software tools used to develop and maintain the portal will give small businesses the option of a standard or custom depending on their needs.

In Phase III, the Business Gateway Program Office will fully integrate small business content and services into a common technology platform, with common tools to create, manage, publish, and integrate content. Federal agencies will still own the content and services, and the processes associated with them, but this fact will be transparent to small business users, who will have access to a common portal. User customization features will be fully available so that small businesses can tailor the portal to meet their unique needs.

Phase I is expected to be completed by September 2004. The timeline for subsequent phases are to be determined.

Chapter VI. Agency Initiatives to Reduce Burden

In the past two years, the ICB has focused on meaningful agency efforts at reducing paperwork burden on the public and improving the efficiency of information collection activities. Similarly to the ICB of prior years, the FY 2004 ICB includes a description of specific agency initiatives.

As Chapter V indicates, and in accordance with the PRA, there has been and continues to be a special focus by OMB on making sure that agencies consider the burdens that their proposed paperwork requirements would impose on small businesses. Agencies are monitored to ensure they do not impose paperwork burdens on small businesses above what the agency demonstrates is necessary to carry out the program. The following ongoing and planned agency initiatives are expected to significantly reduce the paperwork burden on a large number of small businesses:

REDUCTION INITIATIVES WITH AN IMPACT ON SMALL BUSINESSES:

As mentioned in the earlier chapters, OMB reviews all requests for paperwork burden approval to make sure their impact, not matter who is affected, is in balance with the information's purpose. Nonetheless, as Chapter V indicates, there has been and continues to be a special focus by OMB on making sure that agencies are mindful of how their actions can affect the costs for small businesses to comply with their requirements, and make sure those requirements are commensurate with the regulatory action or benefit. The following ongoing and planned agency initiatives are expected to significantly reduce burden on a large number small businesses:

DEPARTMENT OF AGRICULTURE:

Program System Contracts (ProTracts). USDA plans to implement a web-enabled application for environmental programs' cost-share contracts. Program Systems Contracts (ProTracts) is a web-enabled application that eliminates several paperwork steps and streamlines the program application and cost-sharing agreements for conservation programs. ProTracts became operational nationally for the Environmental Quality Incentives Program (EQIP), the Wildlife Habitat Incentives Program (WHIP), and the Agricultural Management Assistance (AMA) program in October 2003. Cost-share contracts are geo-referenced for rapid and flexible reporting and location purposes. ProTracts has the functionality and potential to be integrated with other agencies' automated processes. Almost all of the participants in cost-share contracts are classified as small businesses. The system will allow USDA customers to go on-line to complete and submit a program contract application. This online capability will significantly reduce the paperwork burden for small businesses and other conservation stakeholders. Experience in seven pilot States, indicates USDA clients using ProTracts can complete the required paperwork in 75 percent of the time required to complete a manual contracts. This timesaving will increase as USDA simplifies contracting processes and fully implements electronic signatures.

Centralized Cotton Redemption (CCR). USDA has developed a web-based, Centralized Cotton Redemption (CCR) process that operates within the Cotton Online Processing System (COPS). The producer designates an agent and notifies that agent that the loan is approved for electronic repayment. To redeem a loan electronically, the merchant enters the COPS system and identifies bales for repayment and the requested repayment date. When a merchant redeems bales for which they are the approved agent of the producer, CCC sends an electronic invoice to the merchant based on the merchant's redemption request. Upon verification of receipt of payment by CCC, which is done by electronic funds transfer, the cotton will be released by CCC to the merchant. This is a paperless process that eliminates significant paper-based costs to over 100 domestic cotton buyers. Currently, merchants have to send paper documents (evidence of their authorization, a bale list, and payment) by mail or parcel delivery to the individual FSA county offices where the producer initially placed the cotton under loan. Thus, CCR reduces the burden on small businesses and citizens by eliminating all mailings, centralizes redemptions at one electronic location, and speeds release of loan collateral.

Forest Service Permit Program. The USDA Forest Service is implementing a web-enabled electronic government system to fully process permits for use of U.S. forest system lands and facilities. The agency will be able to readily analyze and measure improved program delivery in an electronic customer-centered environment. Small businesses that need Forest Service permits in pursuit of their trade may now apply online. The system is not yet functional, but experience with other automation initiatives indicates that the time savings for affected parties to apply for and receive permits will be reduced considerably. During fiscal year 2004, the Forest Service will work to develop a demonstration of a simple permit process. Permits will be available electronically in fiscal year 2005.

DEPARTMENT OF COMMERCE:

Export Control Automated Support System (ECASS) and Simplified Network Application Process (SNAP) - Bureau of Industry and Security (BIS). ECASS, which processes export license applications and tracks export enforcement investigations, has been upgraded to permit electronic data entry for applications and commodity classification requests. Exporters, including many small businesses, may file their license applications electronically. BIS will allow for exceptions for certain hardship cases (such as small businesses in areas where there is limited public Internet access) and accept paper/hardcopy as an option under certain circumstances. The measure will reduce redundant support documentation requirements, and increase in the percentage of work items submitted electronically. To date, two exporting firms have registered their organizations and are providing not only live data to process, but invaluable feedback on the system's functionality. Also, ECASS2000+ improve query capabilities and increase the control of BIS's export licensing and export enforcement core business processes. As the effort evolves, it will reduce public burden, reduce redundant requirements, and coordinate Export Enforcement, Export Administration, and Office of Administration by automating labor intensive manual processes and workflow. Also, a re-designed Simplified Network Application Process or SNAP+ module will support submission of

BIS work. BIS implemented a Beta-version of the proposed SNAP+ system in November of 2003.

DEPARTMENT OF DEFENSE:

Reduce Burden in the Defense Federal Acquisition Regulation Supplement. This is the Department's second largest information collection, encompassing 24 million hours or 26 percent of the Department's total burden. Burden is imposed through applications for benefits/contracts, including the acquisition of goods and services under the Defense Federal Acquisition Regulation Supplement (DFARS), a supplement to the government-wide procurement requirement under the Federal Acquisition Regulation System. Many Defense Department contracts are targeted to and awarded to small businesses. This initiative was completed December 2002 and reduced burden by an estimated 14 million hours annually.

SMALL BUSINESS ADMINISTRATION:

Integration of PRO-Net and Central Contractor Registration (CCR) Systems. SBA partnered with the Department of Defense (DOD), the Office of Management and Budget (OMB), and the General Services Administration (GSA) to establish a single vendor registration point for small businesses to do business with Federal, State, and local governments, and prime contractors, and the acquisition community for small business procurement preference programs. CCR electronically shares the data with Federal agencies to facilitate paperless procurement and payment through EFT. On December 31, 2003, CCR assumed all of PRO Net's search capabilities and functions, and small businesses no longer have to manually register in both PRO Net and CCR. This initiative eliminated the need for small businesses to enter the same information into many different databases, when they wish to do business with the government.

Disaster Assistance Credit Modernization System (DCMS). SBA proposes to create a fully integrated, "Paperless Electronic Loan Application and Loan Process." This new system will be open, with the ability to share data and information agency wide. This will eliminate disaster loan application paperwork, physical files, and resulting delays in processing. Implementation of DCMS is scheduled for summer 2004.

PREVIOUS AND ONGOING INITIATIVES:

In addition to its regular reviews of agencies' paperwork burden, OMB has asked agencies to explore all areas of their operations to identify those areas where the information that is necessary for Federal programs can be collected more efficiently (i.e., with less paperwork burden imposed on the public, or at a lower cost to the taxpayer, or with a greater benefit to the taxpayer in terms of program performance). As part of their submission for the FY 2004 ICB, agencies were asked to provide updates on the current status of initiatives that were begun in previous fiscal years. Summaries of a number of the reports received from agencies in this area are as follows:

DEPARTMENT OF AGRICULTURE:

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

DEPARTMENT OF COMMERCE:

Bureau of the Census, Automated Export System (AES): AES automates Shipper's Export Declaration (SED) and Outbound Carrier Manifests. Exporters can file their SED electronically to CBP or through Census' Internet via AESDirect. AES is mandatory for the Commerce Control List (CCL) and United States Munitions List (USML) as of October 18, 2003. As of October 20, 2003 AES is mandatory for exports of rough diamonds subject to export control. Full mandatory AES will be effective upon publication of regulations in late 2004.

National Institute of Standards and Technology, Advanced Technology Program, Electronic Submission System. ATP provides shared-cost funding to industry to accelerate the development of technologies that promise significant benefits for the nation. ATP has fully implemented an electronic proposal submission process over the Internet via ATP's Electronic Submission System (ESS) (<http://ess.atp.nist.gov/>). ATP initiated the development of the ESS in the spring of 2000 and began pilot implementation of the system at the end of September 2001. As a result of this pilot, ATP implemented changes to improve usability of the ESS. Upon completion of the enhancements, ATP successfully went "live" in April 2002. During FY 2002, ATP received 1075 proposals, 25% of which were submitted electronically. Small businesses submit most ATP proposals. Their use of the ATP ESS, rather than submitting traditional paper copies, has provided significant cost savings to these proposers. It also has provided improved accuracy of submitted materials, ease of use, accurate receipt notification, and reduced submission time. Use of ATP ESS has provided significant cost savings to these proposers, improved accuracy of submitted materials, and reduced submission time. Additional ATP ESS features, such as interfacing with other NIST, databases are planned.

DEPARTMENT OF DEFENSE:

Reduce burden imposed by the Military Health System. DoD has converted to electronic submission for requests for medical payments, and health insurance claims to reduce paperwork and provide better service using Department of Health and Human Services standards for health care claims. By promoting the greater use of electronic transactions and the elimination of inefficient paper forms, the electronic formats are expected to

provide a significant savings to the health care industry overall. All health care providers will be able to use the electronic format to bill for their services, and all health plans will require these standard electronic claims, referral authorizations, and other transactions. Although the actual burden reduction cannot be estimated at this time, the goal of this initiative is to improve program performance by enhancing efficiency of the information collections. The Military Health System (MHS)/TRICARE implemented electronic claims on October 15, 2003. TRICARE now accepts electronic claims from all providers who can use the new format. Also, all new contracts will require submission of electronic claims reducing paperwork further.

DEPARTMENT OF EDUCATION:

Common Data Definitions. Education is working to develop a language with common data definitions to enhance communication between the department and its partners. The effort started with analysis of approved collections under the Paperwork Reduction Act. The department identified 27 data elements used in those collections that met the criteria for “consensus” status. Also, the Performance-Based Data Management Initiative (PBDMI) has accelerated this effort, allowing for prepopulated data fields for simplified customer and staff use. Completion of the department’s data architecture in FY 2004 will further enhance the effort to develop a comprehensive data dictionary.

FEDERAL COMMUNICATIONS COMMISSION:

International Bureau Filing System (IBFS). The FCC has begun enhancements to IBFS, implementing satellite licensing reforms and making the system more user-friendly. The IBFS will be renamed MyIBFS and development will occur in multiple phases. The new system, when completed, will offer users an interactive, customizable filing experience, beginning with satellite earth and space station applications. Ultimately, all satellite and international telecommunications filings will be converted into the MyIBFS construct. In addition to the customer-centric design, MyIBFS is being designed to incorporate current rules and requirements into the filing process. Customers will have access to the most recent applicable rules and calculations related to their filings and provide instant feedback on whether the proposed system is compliant before an application is filed. The end result will be more accurate filings and up to a 50 percent reduction in filing burden and processing time for applicants. Mandatory electronic filing of applications will decrease the paperwork burden on the public by at least 50 percent.

DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT:

B2B Specification. HUD transacts business with its single-family business partners through an interactive, internet-based, automated system. To improve the quality of information and reduce the burden of providing that information, HUD developed specifications to support integration of often-used business functions of existing loan processing systems used by mortgage lenders’ and HUD program offices. This Business To Business (B2B) specification system was developed to: eliminate duplicate data entry;

minimize validation edits; provide for easier retrieval, display, and reports extracts; standardize tag names; allow for flexible coding; and save time and resources. HUD began this initiative last year, and the system is now completely implemented.

GinnieNet: Mortgage Backed Securities Reporting Process. Ginnie Mae is authorized by the National Housing Act to guarantee the timely payment of principal and interest on securities which are based on or backed by a pool composed of mortgages insured by HUD, or guaranteed by the Department of Veterans Affairs or the Rural Housing Service. HUD plans to review the current reporting processes involved with the management of this mortgage-backed securities program to clarify and consolidate the reporting requirements and increase automation of those processes through the web-based system, GinnieNet. HUD intends to complete this project by June 2004.

Public and Indian Housing Information Center. The Office of Public and Indian Housing's Information Center is a current eGovernment application allowing participating business partners to collect and process information electronically. Enhancements last year allowed for seven OMB approved information collections to be conducted in an automated system, thereby reducing burden. HUD anticipates that the initiative will continue to reduce burden for participating collections, as has been demonstrated by one collection which had a 3.6% reduction in burden (170,000 hours) after being incorporated into the initiative. HUD expects that additional system enhancements during FY 2004 will automate the processing of four more information collections; automation of eight more collections is expected in FY 2005.

DEPARTMENT OF THE INTERIOR:

E-Well Permit and Report System Pilot: Minerals Management Service Offshore Minerals Management (OMM) program is streamlining the conduct of well drilling, completion, and work over operations on the Outer Continental Shelf (OCS). Significant cycle time improvements and tracking capability will result from the electronic submission of required permit information. Currently, paper forms are submitted by mail at various times throughout the process. This necessitates that a certain degree of redundant well header information be reported to accurately associate the reported data with the appropriate well/drilling activity. Numerous man-hours will be eliminated from the current process, where time is spent re-keying this information into OMM's corporate database, verifying and correcting data, as well as searching for attachments with required documentation. Higher quality data submissions will result from the incorporation of more clearly defined OMM business rules and data exchange standards. Additionally, management and stakeholder access to the data supporting OMM's program will improve with real-time access to well permit and report information and with standard formats for the exchange of data. The ability to submit all reports as electronic attachments will be completed by April 2004. Industry training, testing, and roll-out will be completed summer of 2004.

Cross-Program Electronic Permits Initiative. Over the last few years, four U.S. Fish and Wildlife Service programs— International Affairs (Management Authority), Migratory

Birds, Endangered Species, and Law Enforcement— have been engaged in evaluating the permit process and preparing to implement electronic technology for the permitting process, including allowing permits to be available for digital signatures. The FWS developed over 60 permit application forms in an effort to reduce the paperwork burden to the public and provide application forms specific to proposed activities. The FWS implements several wildlife laws and treaties, and a species may be listed under more than one law or treaty. Requirements and allowed activities may differ under laws and treaties for the same species. The four FWS permit programs developed and launched a permits web portal in May 2003. This site gives an overview of permits within the FWS and outlines steps on how to obtain a permit. All permit applications and report forms are available as fillable forms on the FWS permits web page. The electronic submission of application forms and processing fees is expected to be operational by the end of Fiscal Year 2004.

eDecs. The U.S. Fish and Wildlife Service's (FWS) Office of Law Enforcement allows submission of electronic declarations and fee payments for import or export of fish and wildlife. Electronic submission began in June 2002, and electronic fee payment (which was enabled by a successful partnership between the FWS and the Department of the Treasury) began in April 2003. Because the system is on the Internet, many filers no longer have to be in the same location as the shipment they are trying to import or export. This remote filing ability greatly reduces the burden on small businesses and, in particular, on researchers returning to the United States, who may file their entry and begin the review process while they are still abroad. The *eDecs* will reduce annual burden hours on the public and decrease the time needed to process forms. Nearly one-third of those required to fill out Form 3-177 and pay associated fees already use *eDecs*, and this percentage is expected to increase.

E-Filing and the Treasury Department's Pay.gov. Office of Surface Mining's Electronic Filing System (E-Filing) web site makes it easier for coal companies to report coal production and file their quarterly Coal Reclamation Fee Report (OSM-1). Companies schedule their payments using the E-Filing system and Pay.gov, a system developed by Treasury for Government-wide use. This initiative will reduce burden on industry, and make it easier and more cost-effective for companies to pay fees on-line. Also, E-Filing and Pay.gov save companies the cost of wire-transfer fees. Also, the E-filing system calculates a lower fee using the more advantageous technical moisture equation, if the company has moisture adjustments. Currently, 42% of permits report using E-Filing, up from 29% a year ago, and 31% of the fees collected are collected through E-Filing and Pay.gov, an increase from 18%.

Surface Mining Act Technical Assistance. The Office of Surface Mining provides State regulators with scientific and engineering software supported by OSM, in partnership with the States and Tribes, to reduce man-hours to review technical information in the permitting and operations stages of coal mining under the Surface Mining Act. Computers at State, tribal, and OSM offices provide access to the licensed servers via the Internet and OSM's Wide Area Network. An average 115 customers used OSM-

sponsored software each day in 2003. In 2003, personnel provided 7 software updates to the 44 customer sites to keep the software tools up to date.

DEPARTMENT OF ENERGY:

Electronic Reporting Option for Electric Power Companies. This initiative was undertaken by the Energy Information Administration (EIA) to implement an electronic reporting option that respondents could use to complete electric power forms directly on EIA's website. The electronic reporting option improves the efficiency of agency information collections. It is designed to provide an internet reporting option on all EIA electric power surveys. While the original initiative was completed in FY 2002, EIA continued its efforts in 2003 to increase participation level for this reporting option.

E-Forms Gateway. The E-Forms Gateway falls under the Business Gateway Initiative sponsored by the Small Business Administration (SBA). It will provide a single point of entry for the public to access government forms. DOE is actively involved in making its Paperwork Reduction Act (PRA) Government-to-Business (G2B) and Government-to-Citizens (G2C) available through E-Forms Gateway. Improved performance and efficiency will reduce DOE paperwork burden on the public, and assist in monitoring DOE forms for PRA compliance.

FEDERAL DEPOSIT INSURANCE CORPORATION:

FDICconnect. FDIC has established *FDICconnect*, a secure electronic channel for insured institutions to conduct e-business with the agency. *FDICconnect* allows e-business transactions with an access code in a central system with a registered ID number and password. The Summary of Deposits was made available via *FDICconnect* for the June 30, 2003, and over 1300 institutions using *FDICconnect*. *FDICconnect* is used by institutions regulated by all four agencies (FDIC, Federal Reserve, Office of the Comptroller of the Currency and Office of Thrift Supervision) to submit the filings, which are in turn made available to the public on the FDIC's web site. Plans for 2004 include a generic file exchange transaction, and a consumer complaints transaction.

DEPARTMENT OF STATE:

Munitions Licensing Program: Development of Electronic Submission Options. The State Department's Directorate of Defense Trade Controls (DDTC) controls the export and temporary import of defense articles and defense services covered by the U.S. Munitions List. To ease the burden on manufacturers and importers, State has developed or is developing electronic submission options for all information, as allowed by law. This saves a significant amount of time for the Department, and respondents are able to submit their responses instantaneously and receive confirmation of receipt by DDTC. In 2003, a pilot made one collection fully available electronically, and electronic submission of four other collections was released. Additional reductions and efficiency will be achieved in FY 2004 by revising Forms DS-4028 and DS-4029 to encourage electronic submission of technical assistance and manufacturing licensing agreements instead.

Also, two of collections that did not have electronic submission options in FY 2002/FY 2003 are now available for download from the Internet. Electronic submission online is in the design phase and should be completed in FY 2004.

Student and Exchange Visitor Information System (SEVIS). SEVIS allows exchange visitor program sponsors to monitor, and report on the status of international students and exchange visitors in the U.S. SEVIS enables (1) schools and program sponsors to transmit information electronically to the Departments of Homeland Security and State and (2) enables the submission of designation applications online. SEVIS centralized program management responsibilities of program sponsors. This has provided significant time-savings for program sponsors and the Department's program office, and made records more accurate. Program sponsors now receive automatic email confirmation. Since January 2003, the Department has achieved a 100% shift of program sponsors from non-electronic submissions to SEVIS. In 2003, two updates to SEVIS were released for greater functionality and efficiency. Only some third-party disclosure provisions are not incorporated into SEVIS. Additional electronic reporting capability is being developed for three annual reports required by 22 CFR Part 62. Implementation of these reports is anticipated in 2004.

DEPARTMENT OF TRANSPORTATION:

OE/AAA Automation. The Federal Aviation Administration (FAA) annually conducts more than 50,000 aeronautical studies. Such studies are conducted when FAA is notified of any proposed construction or alteration around public use airports that is higher than 200 feet above sea level. Such notification is required by law. The new obstruction evaluation/airport airspace analysis (OE/AAA) is a web-based application that is accessed through the FAA's intranet via the user's workstation browser. The program converts all of the Legacy telecommunication software functions, databases, and calculators (Part 77) and presents the information in the user-friendly environment of the FAA Internet. With deployment OE/AAA to all nine regions, paper transactions have been dramatically reduced. The OE/AAA system has reduced the normal 30-day timeframe associated with an aeronautical study to half that time. FAA is now working on adding the second part of the process to the system, FAA form 7460-2, Notice of Actual Construction or Alteration.

Integrated Airman Certification and Rating Application (IACRA). The FAA developed a computer-based program that automates the airman certification process. The program standardizes and streamlines the airman certification process for all persons responsible for airman certification. In addition, the final program will provide an interface between ACRA and multiple FAA databases for a comprehensive and integrated process. IACRA is currently available in the FAA's Southern and Southwest Regions and will be expanded to other regions during 2004. FAA will add automated certification mechanics, parachute riggers, sport pilots, flight instructors, and FAA approved schools during 2004 and 2005.

Hours of Service Regulations. This initiative pertains to the conversion of the Hours of Duty records where railroads account for the time covered employees spend on the job from a paper to an electronic format. To date, both time and cost burdens have been substantially reduced. Records are kept for 100,000 railroad employees covered by this Act – 90,000 train and engine employees, and 10,000 dispatchers and signalmen. Consequently, a total of 27,375,000 records are generated each year. In the past, these records were kept on paper, and incurred a substantial hourly burden as well as significant paper, maintenance, and retrieval costs for railroads. The conversion from a paper to an electronic format reduced the burden on railroads by 772,666 hours. For example, Union Pacific alone is now keeping some 10-11 million records electronically that it was formerly keeping on paper. The three other railroads – CSX, NS, and FEC – also keeping these records electronically are experiencing cost savings as well, albeit on a smaller scale. The Federal Railroad Administration (FRA) estimates that an additional 5.5 million records will be generated and kept electronically, instead of on paper, over the next two years.

Railroad Locomotive Safety Standards and Event Recorders. This Federal Railroad Administration (FRA) initiative pertains to requests for waivers by the Burlington Northern Santa Fe Railroad (BNSF) and the Union Pacific Railroad (UP) to keep the daily locomotive inspections records in an electronic format. An estimated 2,860,000 records are generated each year. Since approximately 20 percent of these paper records are now kept electronically, burden has been reduced by an estimated 19,067 hours. The burden hours was significantly reduced by converting the required previously filled-out on paper, to an electronic format. Also, FRA inspectors are able to perform audits of daily locomotive inspection records, more quickly and thoroughly because they now have ready access to these records. As more paper records are converted to electronic, there is greater potential to reduce the overall burden and expense incurred by railroads to create, retrieve, and maintain paper records.

ENVIRONMENTAL PROTECTION AGENCY:

RCRA Burden Reduction Initiative. The Environmental Protection Agency plans to significantly reduce the paperwork burden imposed under the Resource Conservation and Recovery Act (RCRA). For example, the rule establishes higher chemical use thresholds for small businesses (facilities below these thresholds would not have to report). EPA wants to ensure that only the information actually needed to run the RCRA program is collected. EPA estimates that the initiative will reduce burden by 929,000 hours and save \$120 million annually. A proposed rule was published in 2002, and public comment was solicited on new burden reduction items in 2003. EPA plans to issue a final rule in June 2004.

TRI-ME. The Environmental Protection Agency has developed software to improve the quality of information in the Toxics Release Inventory. The goal of TRI-ME (TRI Made Easy) is to reduce burden on facilities reporting to TRI and improve data quality without diminishing data collection. Examples of burden reduction under TRI-ME are: Allowing higher chemical use thresholds for small businesses (facilities below these thresholds

would not have to report to TRI); modifying the eligibility requirements of the Form A Certification Statement (an existing alternative to the standard Form R for TRI reporting for those companies with no more than 500 pounds of toxic chemical release and other waste management amounts) to expand its use; creating a new form allowing facilities meeting certain criteria to certify to no significant change in toxic chemical release and other waste management reporting in the current year; allowing facilities to use ranges of amounts to report on pollution prevention activities instead of providing specific amounts; and enhancing the program's Toxics Release Inventory - Made Easy (*TRI-ME*) software, a user-friendly expert system that guides facilities through the reporting requirements. Software was made available to reporting facilities in March 2004. The next step is to transition to a new contract, maintaining technical support for software users (TRI Software Support Hotline), and developing the RY2004 software.

FEDERAL ENERGY REGULATORY COMMISSION:

Electronic Filing Of Documents. FERC allows parties to Commission proceedings to serve documents upon each other electronically. Also, FERC permits submissions via the Internet of a few documents used in FERC proceedings. This will reduce the burden and expenses associated with paper filings and assist the public by making information available in a faster and more efficient manner. Also, electronic filing allows FERC to eliminate obsolete or duplicative service lists and reduces mailing and copying costs. FERC's previous rules required fourteen copies of submissions. Now, many documents can be filed electronically. FERC has expanded the number of documents that it will accept electronically, has developed an electronic legal service list of participants for each FERC proceeding, implemented electronic document delivery by FERC to participants, provides interested parties electronic notice of FERC issuances, and allows interested parties to receive electronic information about specific FERC proceedings and topics.

Hydroelectric License Regulations. The Federal Power Act requires that hydropower licensees have a comprehensive plan for affected waterways; the project must be beneficial for all public uses, and include provisions for the protection of fish and wildlife. To consider fish and wildlife, recreation, and environmental concerns requires consultation with agencies such as the Departments of Agriculture, Interior, or Commerce, plus certification from a State that discharge will comply with water quality standards. Statutes like the Endangered Species Act, Coastal Zone Management Act, and the National Historic Preservation Act may require actions as well. On July 23, 2003 FERC implemented the new licensing process coupling the pre-application consultation with the environmental review process. FERC also hired a tribal liaison for working with FERC and interested Indian tribes at the beginning of the licensing process. The integrated process is now the default licensing process although an applicant may use the traditional process or alternative licensing procedures.

FEDERAL TRADE COMMISSION:

Burden Reduction in Investigations. The FTC in conjunction with the Antitrust Division of the Department of Justice plans to reduce the burden in document production requests for additional information under Hart-Scott-Rodino Act (HSR) premerger notifications (“second requests”). The FTC amended its rules of practice to incorporate new procedures. Measures adopted include a process for seeking modifications or clarifications of second requests, and expedited senior-level internal review of disagreements between merging parties and agency staff; streamlined internal procedures to eliminate unnecessary burdens and undue delays; and guidelines that encourage staff to work with the parties to reduce the scope of searches required for the document production.

DEPARTMENT OF HEALTH AND HUMAN SERVICES:

Streamline Information Collection to Improve Program Performance. CDC. The CDC/ATSDR initiative centers around a formal request that each OMB contact within all of CDC/ATSDR Centers, Institutes, and Offices (C/I/Os) review packages in a manner that will take into account each of the following principles: 1) streamlining of forms and procedures; 2) collaborating within and outside CDC/ATSDR; 3) meeting Government Paperwork Elimination Act (GPEA) requirements; and 4) using the latest technology available. Three data collections became GPEA compliant in FY 2001; four data collections became compliant in FY 2002; and two more data collections were GPEA compliant in FY 2003.

NATIONAL SCIENCE FOUNDATION:

Electronic Information Collection. During FY 2003 the use of electronic information collection resulted in significant burden reduction for NSF. Of 39 active NSF information collections under the Paperwork Reduction Act, only one (Survey of Industrial Research and Development) continues to require a paper element (while offering an electronic option).

NUCLEAR REGULATORY COMMISSION:

Reporting Requirements For Power Reactor Licensees. NRC continues to review reporting requirements for power reactor licensees to determine what is unnecessary. The initiative began in FY 2002 will eliminate redundant reports, informational reports where information is available from inspection, and reports of questionable value. This will reduce the burden on licensees to report. The first rule change is expected in FY 2005.

Risk-Informing Regulations: NRC continues risk-informed regulation in nuclear regulatory activities, to incorporate probabilistic risk assessment into regulatory decisions. Information collection requirements will be focused in areas of significant risk, while decreasing burden on low risk areas. This will conserve agency resources, and reduce unnecessary burden on reactor licensees. NRC has completed risk-informed regulatory activities, including the maintenance rule, in-service inspection, in-service

testing, event notification, hydrogen control requirements, and several risk-informed technical specification initiatives, to significantly reduce licensee burden. NRC is working on risk-informed changes to Special Treatment Requirements, Emergency Core Cooling System (ECCS) Acceptance Criteria, Fire Protection, and numerous other technical specification initiatives.

Consolidated Decommissioning Guidance. The Office of Nuclear Material Safety and Safeguards updated its decommissioning guidance documents, decommissioning technical assistance requests, decommissioning licensing conditions, and decommissioning generic communications issued over the past several years. This guidance takes a risk-informed, performance-based approach to the information needed to support an application for decommissioning a materials license. Consolidated decommissioning guidance allows information submitted by licensees to be reviewed in a more timely, efficient, and consistent manner. The three volumes were completed in 2003.

Consolidation Of Licensing Requirements. NRC developed a new materials licensing process to reduce the regulatory burden. NRC issued twenty electronically searchable guidance documents with all the information needed for license applications, amendments, and renewal applications, and to prepare for NRC inspections. This initiative ensures public safety, reduces government burden for licenses, issues licenses more quickly, and implements user-oriented information technology. This reduces burden by clearly defining submission requirements, and allowing licensees to submit statements that they have met certain program requirements, rather than submit it for NRC determination. In October 2002, staff issued the final guide which provides program-specific information on medical use licenses. NRC plans to issue revised guidance in April 2004.

DEPARTMENT OF VETERANS AFFAIRS:

Veterans Online Applications (VONAPP). VA has developed an Internet site from which applicants can view, print and submit various VA benefits application forms. This allows veterans worldwide to access VA information through its home page. Claimants may securely file for compensation or pension, vocational rehabilitation, and education benefits with no need for paper forms. VONAPP allows applicants to begin the claims adjudication process with VBA via the Internet. Creative use of the help function assists applicants to input correct information thereby reducing the time needed for VBA clarification of collected data. This will improve the efficiency of VA's workflow process.

NEW INITIATIVES:

Agencies were asked to provide OMB examples of burden reduction initiatives that they have planned for FY 2004 and beyond. Summaries of a number of initiatives being planned by agencies are as follows:

DEPARTMENT OF COMMERCE:

Economic Development Communications and Operations Management System (EDCOMS)/NOAA Grants On-line Collaboration, Economic Development Administration (EDA). EDCOMS, in conjunction with the NOAA grants On-line project, will automate select components of EDA's investment (grant) management cycle, including specific data collection and reporting processes. EDCOMS will provide access to EDA's pre-application and application forms on-line, automate select pre-approval and post-approval processes, and comply with the requirements of the Federal Grants.Gov Storefront. Automation of application submission, review and approval processes will conform and comply with the future requirements specified in the federal Grants.Gov Storefront. This will reduce costs to distribute forms, improve consistency and accuracy of information, and result in the more efficient and timely processing and management of the investment (grant) application and post-approval process. EDA anticipates that it will begin using the Grants.gov storefront for submission of core grant application information in FY 2004. The new portal provides a higher quality of information regarding investment programs, investment guidelines economic development resources, as well as recent speeches, economic development research studies, and news on current and upcoming events.

DEPARTMENT OF THE INTERIOR:

Single Source Coal Reporting. The Office of Surface Mining, the Mining Safety and Health Administration, the IRS, and the State of Pennsylvania evaluated the feasibility of combining selected Federal and State forms related to tonnage, fees and/or accident information at mining sites into a single mineral industry reporting system. A streamlined system for reporting will reduce the reporting burden on the coal industry, and improve the efficiency of agency data collection. The partner agencies estimate that single-source coal reporting will save industry \$460,000 per year in burden reduction. The ultimate product will be a Single Source Reporting e-Form that is nationally available. This form will capture the data required by multiple State and Federal agencies, share that data among member agencies, and reduce the burden on reporters to a single form.

DEPARTMENT OF JUSTICE:

Public Key Initiative (PKI). The Drug Enforcement Administration (DEA) has initiated efforts to conduct pilot projects for Public Key Initiatives that will test and evaluate systems and identify and resolve technical issues. The use of PKI will reduce paper usage, speed transaction times, lower costs, and introduce security measures to the process. These security measures include message confidentiality, originator

authentication, content and record integrity, and non-repudiation of involvement by parties to a transaction.

ENVIRONMENTAL PROTECTION AGENCY:

Toxics Release Inventory (TRI) Burden Reduction. In November 2003, EPA solicited comments from stakeholders on options for reducing burden associated with facility reporting to the Toxics Release Inventory (TRI). The suggestions and requests for comment on the options are on the TRI website (<http://www.epa.gov/tri/>). The objective is to maintain data quality, reduce the amount of information and time required of facilities to comply with TRI, and relieve certain facilities, such as small businesses, of the reporting requirements altogether. The comment period closed on February 4, 2004. A proposed rule on burden reduction is expected to be published in early 2005.

FEDERAL DEPOSIT INSURANCE CORPORATION:

Central Data Repository. – FDIC in conjunction with its Federal Financial Institutions Examination Council (FFIEC), the Federal Reserve and the Office of the Comptroller of the Currency plans a new Internet-based Central Data Repository (CDR) for regulatory reports. This new system will ease the data collection from respondents and release of data to users, enhance the agencies' ability to quickly incorporate new business requirements into the reporting processes, and enhance reported data integrity, accuracy, and consistency. First, CDR will modernize the Consolidated Reports of Condition and Income ("Call Reports"). CDR will collect and distribute data via the Internet and validate information prior to acceptance of Call Reports, significantly reducing the FDIC's processing time while enhancing the quality of incoming data.

FEDERAL ENERGY REGULATORY COMMISSION:

Standards For Business Practices Of Natural Gas Pipelines. FERC adopted consensus standards of the North American Energy standards Board for the business and communication practices of interstate pipelines to improve the pipeline grid. This will streamline the way pipelines and their customers/shippers receive and send important information. Standardizing business practices will improve the efficiency of the gas market and how the gas industry conducts business across the interstate pipeline grid. These standards provide additional flexibility to shippers, and improve current standards in the areas of capacity release scheduling, title transfer tracking, imbalance netting and trading, and the standards for conducting business over the Internet. FERC expects to reduce burden imposed on natural gas pipelines by over 600,000 hours. On April 21, 2003 pipelines were required to file tariff sheets to reflect the changes in the standards by May 1, 2003 to go into effect July 1, 2003.

DEPARTMENT OF HEALTH AND HUMAN SERVICES:

Medical Product Surveillance System (MedSuN). FDA. MedSuN is a pilot program to implement a portion of the Food, Drug and Cosmetic Act that pertains to mandatory user

facility medical device adverse event reporting. In MedSun, the contractor for the project makes the initial phone calls to the reporting facilities when they send in reports. The contractor attempts to make the report as complete as possible so the analysts can spend less time in follow-up and more time on report analysis. For the reporting facilities, reporting time should be reduced by 15 minutes using the web-based system (currently used paper form is estimated at 1 hr). Ease in submitting the information will be vastly improved, and the need to mail paper copies is eliminated. Also the ease in obtaining any needed help in filling out the form or in understanding the regulation will be greatly facilitated, thereby making reporting adverse events about medical devices simpler and easier. In February 2002 FDA began the full pilot with 25 sites and by the end of FY 2002 had reached its goal of enrolling 80 sites. FDA has begun more formally evaluating the burden reduction for both FDA and the facilities. FDA has achieved its recruitment goals each year, and expects to reach a total of 240 facilities in FY 2004, with a final goal of 250 facilities in FY 2005. By the end of FY 2003, FDA had a total of 180 sites recruited. FDA anticipates that it will expand the pilot to 240 sites in FY 2004, and will reach its final goal of 250 sites in FY 2005. Since FDA will only be able to recruit 250 sites and spread across the continental U.S. by the end of FY 2005, FDA plans on staying in the pilot phase for several more years.

Electronic Collection Signatures. CMS. In 2002 the Centers for Medicare and Medicaid Services (CMS) identified 10 collections, representing six million annual responses, which could be significantly reduced by use of electronic collection and signatures. In particular, CMS has begun streamlining the claim/bill redetermination and appeals processes into one seamless process of claim/bill redetermination and adjudication. One of the benefits of this new process is the ability of the beneficiary or their representative to submit an electronic e-mail or phone call to their respective carrier/intermediary to initiate the redetermination or appeals process. As a result, several regulatory requirements necessitating the submission of multiple hard copy forms will be eliminated, electronic reporting achieved, and reporting burden reduced for approximately 5,740,000 individual annual reporting responses from beneficiaries each year.

eRA. NIH. The eRA (Electronic Research Administration), an initiative of the National Institutes of Health, is a comprehensive redesign of the entire administrative process of application, initial peer review, secondary Council review, award and post award operations from a paper to an electronic medium. NIH is composed of 28 major components of which 26 make extramural awards. This will affect research institutions, for-profit and nonprofit organizations; governments; individual scientists and clinical investigators. In FY 2003, NIH integrated the proposed eRA initiative with the NIH IMPAC II system for all applications, review activities, awards and post award reporting and administration. Instructions and application forms are now available on the NIH web site and new revisions in FY 2004 will add new electronic capabilities to the application process. Full implementation is expected for the initial application and review submission dates in 2005.

Submission Harmony and Reliable E-business (SHARE) - FDA. The FDA Submission Harmony and Reliable E-business (SHARE) project will provide for electronic submission for the FDA while upgrading the present FDA Gateway initiative. A key aspect of this project is to replace Center-specific submission with modern technology that allows submission of AERS Reports, eCTD base applications and pdf based submissions, using industry standard protocols. Also, reporting for the two largest FDA burden packages is currently in the process of being streamlined and converted to electronic reporting under the National Electronic Disease Surveillance System (NEDSS). When completed, NEDSS will electronically integrate and link together a wide variety of surveillance activities and will facilitate more accurate and timely reporting of disease information to CDC and state and local health departments. Having this reportable data available electronically will provide the public with access to the health system “real-time” updates of surveillance activities. The first Increment of Operating Capacity for the Gateway should be operational by December 2004.

DEPARTMENT OF LABOR:

ES-202 Program: Multiple Worksite Report (MWR) and Report of Federal Employment and Wages (RFEW). Using the Electronic Data Interchange Center, approximately 200 businesses and Federal agencies avoided filing 7,186 paper reports for the second quarter, 2003, or a projected 28,744 total paper reports for the year. This results in an annual burden hour reduction of approximately 10,635 hours for these firms.

Current Employment Statistics (CES) Survey. DOL plans to continue to update how the CES is collected. CES uses Touchtone Data Entry (TDE) for about one-third of its sample. This makes reporting easier for the respondent. In addition, CES provides reporting options using Computer Assisted Telephone Interviewing (CATI), Electronic Data Interchange (EDI), and fax. CES uses EDI to collect data from 87 large firms, representing 4.8 million employees and 87,000 establishment locations. EDI significantly reduces reporting burden for these large firms. CES has developed facsimile transmission forms to lessen reporting burden on large/mid-size multi-unit firms by allowing them to report information for all of their establishments on one form each month. In many instances, cross-State reporting also is consolidated. About 36,000 reports are received via fax each month. CES is continuing to research and pioneer data collection using the Internet. CES currently has about 1,600 firms reporting via the Internet. We expect that reporting via the Internet will grow considerably as more respondents gain Internet access and familiarity. Our Internet research efforts focus on testing technology that maximizes data security while minimizing respondent burden. In June 2003, CES completed its transition from a quota-based sample design to a probability sample design. This has reduced the total number of establishments being contacted and thus reduced respondent burden. CES currently collects data from approximately 271,000 reporting units representing approximately 400,000 individual worksites.

Standards Improvement for General Industry, Marine Terminals, and Construction Standards (Phase II). OSHA plans to revise a number of health provisions in its

standards for general industry, shipyard employment, and construction that are outdated, duplicative, unnecessary, or inconsistent. The Agency expects to publish a final in the second quarter FY 2004.

Review of Certification Requirements. OSHA's certification records requirements are included in standards that are based on National Consensus Standards (NCS). These standards were adopted by the Agency by statutory requirements in the Occupational Safety and Health Act. The original standards included recordkeeping requirements to document various activities such as safety inspections of equipment. OSHA plans to update the standards to ensure that the most current safety and health practices are reflected in its requirements and address the utility and consistency of standards. The agency will review where certification records can be modified without jeopardizing the safety and health of workers, and the applicability of the construction safety records to similar requirements contained in OSHA's general industry standards.

E-Grants. DOL's E-Grants will allow more efficient and effective grant application and management. E-Grants will eliminate redundant or disparate data collection requirements and improve efficiency, simplify the grant application procedures through standardized processes and data definitions, and improve services to constituents. Currently, the DOL cannot quantify measurable outcomes associated with the implementation of E-Grants, but expects quantifiable results to become more definable with full implementation.

Mine Safety and Health Administration - Single Source Coal Reporting (SSCR). Every coal producer must report similar data multiple times to multiple agencies. SSCR is an initiative to streamline the coal reporting process by consolidating, automating, and simplifying the data reporting requirements of the multiple agencies. SSCR will reduce the reporting burden on industry by eliminating the time required to complete and file duplicate forms to multiple agencies, reducing the time to gather information by requesting less information, reducing the time to complete forms by providing user-friendly online forms and the ability to upload multiple forms in batch, and eliminating postage by allowing electronic filing.

U.S. NUCLEAR REGULATORY COMMISSION:

Project Safesource. NRC plans to allow materials licensees to apply for licenses, amend licenses, and make other license-related transactions on-line. Materials licensees will benefit from burden reductions associated with an electronic interface that will allow the licensee to provide information to the NRC. The on-line system will validate the input to ensure quality and avoid delays due to application deficiencies. Drop-down menus will ensure valid data and save the licensee time. Also, licensees may inquire on-line about the status of an application, and updates may be accomplished on-line, eliminating some correspondence and delays. Acquisition of software is anticipated in FY 2004, with implementation estimated by the end of FY 2006.

DEPARTMENT OF STATE:

E-Government Coordinator. The E-Government Coordinator position centralizes Government Paperwork Elimination Act (GPEA) and E-Government strategic management to ensure compliance with GPEA, and assure that the Department is offering a completely electronic option for respondents. This will reduce burden and enhance the accuracy of data. Of 75 approved collections, State seeks burden reductions through information technology and by simplifying and streamlining forms. Forty-seven information collections feature an electronic submission option. Additional electronic refashioning took place on 19 other collections in FY 2003. An electronic option for all 19 transactions is predicted, and work continues on the 9 non-electronic collections for full compliance with GPEA, pending revision of regulations.

Bar Codes on Visa Forms. The State Department plans to automate entry of visa application data into consular systems. All visa forms can be downloaded from the Internet. But the Department is working to use bar code technology for data when a visa form is filled out online through a 2-D barcode printed onto the form. When the applicant presents the form, the consular officer scans the barcode to download data into the consular database, reducing time and cost burden to both the applicant and the Department. Form DS-156, *Nonimmigrant Visa Application*, is the first form for which this technology has been implemented. Almost five percent of all DS-156 forms are now being submitted electronically. Although the electronic DS-156 is currently only available in English and Spanish, the use of the online version by some posts overseas is much higher. For instance: Milan (98%), Osaka/Kobe (77%), Johannesburg (33%), Tashkent (21%), and London (53%). Form DS-156 is being translated into 14 additional languages to be released in 2004. Also, the barcode version of Form DS-1648, *Application for A, G, or NATO Visa*, should be released in a few months, and the State Department plans to use this technology for several other visa forms soon.

DEPARTMENT OF TRANSPORTATION:

Unified Registration System-Information Collections. The Federal Motor Carrier Safety Administration (FMCSA) expects to issue a proposed rule during CY 2004 to implement a provision of the Interstate Commerce Commission Termination Act of 1995 requiring the creation of a single, on-line Federal system for issuing DOT numbers, licensing and registration, and financial responsibility. This initiative will consolidate many of the collections that cover motor carrier identification and registration, insurance, and for-hire motor carrier licensing, which will enhance the efficiency of information collections and reduce paperwork burden on the public. Completion of this process will take several years, because certain statutory changes are necessary. A proposal will be made to obtain authority for those changes either directly from the Congress or as part of the reauthorization process.

DEPARTMENT OF THE TREASURY:

Form 941 Annualization. Internal Revenue Service Form 941, Employer's Quarterly Federal Tax Return, is required of employers to report wages paid, tips employees have

reported, Federal income tax withheld, Social Security and Medicare taxes, etc. The Internal Revenue Service has begun a project to identify situations when this filing could be made annually for certain taxpayers. A large number of small businesses file this form, and this effort will greatly reduce their burden. This effort will involve detailed work within Treasury and with the Social Security Administration. January 2006 is the target date for offering this filing option to employers whose quarterly deposit amounts are under a dollar level to be determined.

New TreasuryDirect. The Bureau of Public Debt has made a strategic commitment to concentrate on providing additional electronic alternatives for information collection activities through the web-enabled new TreasuryDirect. TreasuryDirect provides a convenient one-stop menu for Bureau of Public Debt retail securities services and has links for wholesale securities services and institutional customer functions. During 2004 additional retail products will be added including linked accounts for minors and payroll deductions and conversion of paper savings bonds to book-entry. A long-term goal for new TreasuryDirect is for it to hold 50% of Treasury's retail debt by FY 2011.

DEPARTMENT OF VETERANS AFFAIRS:

Enrollment Certification. The VA Education Service proposes to replace VACERT with a web-based program called E-CERT (Electronic Certification). E-CERT will allow respondents to submit enrollment certification information electronically. Currently, VA receives 50% of enrollment certifications electronically via VACERT. VA estimates that because E-CERT is on the Internet it will allow additional small schools and businesses to submit enrollments electronically. This will increase the electronic submissions by an additional 5%.

Claim for Disability Benefits and Application for Loan/Cash. The VA Insurance Service proposes to offer veterans the option to submit application forms electronically. Veterans will have the option to submit a paper version or an electronic version of the information collection forms. VA estimates that 25% of veterans will submit information electronically, reducing burden hours from 14,175 hours to 10,631 hours per year.

Application for Service Disabled Veterans Insurance. The VA Insurance Service proposes to offer veterans the option to submit the Application for Service Disabled Veterans Insurance form electronically. Currently, the insured can only submit this information by completing the paper version of this information collection. This form is used to designate a beneficiary and select an optional settlement to be used when the insurance matures by death. The VA anticipates that 20% of the number respondents will complete the forms electronically.

Application for Designation of Beneficiaries. The VA Insurance Service proposes to offer veterans the option to view the Application for Designation of Beneficiaries form electronically. The VA anticipates 20% of the number respondents will complete the form on-line. Insurance Service must continue to offer the form in a paper version. The electronic form will be available March 2004.

FEDERAL TRADE COMMISSION:

Electronic Premerger Filing. The FTC is working with DOJ in developing an electronic system for filing Hart-Scott-Rodino Act (HSR) premerger notifications. E-filing will reduce filing burdens for businesses and government and create a valuable database of information on merger transactions to inform future policy deliberations. The FTC expects this system to be operational in FY 2004.

NATIONAL AERONAUTICS AND SPACE ADMINISTRATION:

E-Forms on the Federal Business Gateway. NASA will reduce burden by using the E-Forms catalog under the Federal Business Gateway initiative. Through Business Gateway, NASA will increase electronic forms available to respondents, including those that were previously judged impracticable for electronic use due to small numbers of respondents or for other reasons. As part of a review of Agency collections using the E-Forms catalog, NASA will consider how electronic versions of all instruments could be shifted from a paper-based system.

SOCIAL SECURITY ADMINISTRATION:

Third Party Internet Adult Disability Report. Claimants filing for disability benefits complete disability report forms in addition to an application form. Those forms document medical, vocational and educational information, as well as work history. SSA and Disability Determination Service representatives use the information in the analytic and review processes of the Agency. SSA has developed software to enable adult members of the public to provide needed information online. The reports are combined in an internet collection. Third parties who assist individuals filing for benefits have expressed concern that completing the current internet version of the disability reports does not meet their needs since it was designed for the one-time user who is not familiar with SSA programs. While the design of the application has not yet been determined, SSA estimates that it has the potential to reduce individual reporting burden by at least 30 minutes compared to the current form i3368 used by the general public. Furthermore, when SSA receives well-completed disability reports electronically that can be propagated into SSA's mainframe system, it eliminates the need to re-contact users for additional information. This also saves time at the front end for claims representatives and has the potential to reduce the amount of time needed to gather information to send to the State disability determination units. SSA is undertaking a project to develop a "Third Party i3368." It will be designed for the user who completes the report frequently. The "Third Party i3368" is scheduled for release in the summer of 2004.

Appendix A. Information Collection Budget Tables

In FY 2003, citizens spent an estimated 8.1 billion hours providing Federal agencies the information needed to fulfill agency responsibilities. This appendix describes in aggregate terms how that number changed from FY 2002. It also further explains 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 to provide the requested information. The estimated hours needed include the time spent reading and understanding the information collection itself and any instructions, as well as time spent compiling, recording, reviewing, and submitting the information.

Changes in the Hours Needed

The total hours needed to complete an agency’s information collections can change from year to year for a variety of reasons. OMB, through a computer system that tracks the information collections it reviews and approves, categorizes hour changes as resulting from either “program changes” or “adjustments.” The distinction between these two categories is the presence or absence of agency action. As discussed in Chapter I, 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 factors beyond agency control, such as an increased number of applicants because of greater needs. OMB tracks approved information collections over time using this distinction in why hours change. The sum of the changes in these two categories accounts for the change between one fiscal year total and the next. Tables A.1 and A.2 in this appendix list program changes and adjustments for each agency for FY 2003 and those expected for FY 2004.

Program Changes

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

- **Changes due to New Statutes.** These include the creation of new collections or the material revision or elimination of existing collections that an agency must undertake because a recent statute requires the action.
- **Changes due to Agency Action.** These include the creation of new collections or the material revision or elimination of existing collections that an agency

undertakes without a specific and recent statutory mandate. This type of transaction includes changes due to new or revised policies and collections that are authorized but not explicitly required by statute.

- **Changes due to Lapse of OMB Approval**. This kind of transaction occurs when an agency allows OMB approval for a collection to expire even though the agency continues to conduct or sponsor the collection. The figures include the hours for the collection removed from the computer tracking system upon expiration as well as the hours added upon reinstatement. These lapses are reported in Appendix D.

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

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

Explanation of the Tables

The table starts with the FY 2002 Totals, as printed in the FY 2002 Information Collection Budget of the United States Government.

Columns 2 through 5 are “Program Changes,” as carried in the OMB computer tracking system and determined in consultation with the agencies. This includes all program changes due to agency actions, due to new statutes, due to lapses of OMB approvals, and a total.

- Due to Agency Action,” represents the program changes associated with new or revised collections not explicitly required by statute. Due to New Statute are program changes associated with collections required by statute.
- Due to Lapse in OMB Approval,” represents the program change burden associated with collections that an agency allowed to expire even though the agency continues to collect the information. This column is the net of subtractions due to expirations and additions due to reinstatements.

Column 6 is “Adjustments,” as carried in the OMB computer tracking system and determined in consultation with the agencies. The sum of this column and the “FY 2003 Program Changes” is the difference between the FY 2003 Total and the

FY 2002 Total. Column 8 is FY 2003 change in burden as a percentage of the FY 2002 Total.

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

Please note the following regarding Tables A1 and A2:

1. The Department of Homeland Security (DHS) was created on January 24, 2003, and some DHS functions and the related collections were transferred from other agencies. The agencies that were affected by the transition include Agriculture, Justice, Transportation, Treasury, and FEMA. The changes in burden of the specific affected agencies caused by a transfer of an agency function to or from agencies as result of the formation of DHS were treated as adjustments.
2. A large portion of the Commerce Department's program changes in FY 2003 and FY 2004 is due to the periodic nature of their information collections for the Census Bureau.
3. The Department of Agriculture (USDA) had an adjustment of 8.7 million hours of burden because the USDA's commodity and conservation programs authorized in Title 1 and Title 2 of the Farm Security and Rural Investment Act of 2002, (P.L. 107-171), were exempted from compliance with the Paperwork Reduction Act in that law.

Table A.1: FY 2003 Burden Hours (in millions)

Column Number: 1 2 3 4 5 6 7 8

Program Changes

	FY 2002 ICB Total Hours Needed	Due to Agency Action	Due to New Statutes	Due to Lapses in OMB Approval	Total Program Changes	FY 2003 Adjustments	FY 2003 Total Hours Needed	% chg. from '02
TOTAL	8,223.17	-54.35	111.29	-15.41	41.53	-158.16	8,098.77	-1.5%
Agriculture	88.59	2.12	0.71	10.24	13.07	-10.00	91.66	3.5%
Commerce	11.65	4.53	0.01	0.01	4.54	0.98	17.17	47.4%
Defense	92.36	-12.76	0.00	-29.86	-42.62	0.01	49.75	-46.1%
Education	38.44	0.95	2.75	-0.39	3.31	-1.27	40.48	5.3%
Energy	3.76	-0.39	0.06	-0.02	-0.35	-0.02	3.39	-9.9%
HHS	224.83	-5.31	4.12	3.68	2.49	26.44	253.75	12.9%
Homeland Security		0.93	-0.45	1.94	2.42	75.23	77.66	
HUD	21.93	0.30	0.01	0.64	0.96	2.81	25.70	17.2%
Interior	7.66	0.00	0.03	0.01	0.04	-0.24	7.46	-2.6%
Justice	46.60	-0.06	-1.47	-0.09	-1.61	-29.66	15.33	-67.1%
Labor	189.22	-0.11	0.20	0.00	0.09	-29.76	159.55	-15.7%
State	29.23	0.23	0.00	0.04	0.27	-0.06	29.44	0.7%
Transportation	244.73	3.71	4.09	-1.36	6.45	-2.04	249.14	1.8%
Treasury	6,750.43	-58.17	95.05	0.00	36.87	-197.55	6,589.76	-2.4%
EPA	140.47	7.39	2.65	0.00	10.05	-3.27	147.24	4.8%
Veterans Affairs	7.31	-0.07	0.09	0.00	0.02	0.00	7.33	0.2%
FAR	24.49	-0.79	0.00	0.00	-0.79	6.94	30.64	25.1%
FCC	26.80	1.06	0.08	-0.22	0.92	-1.12	26.60	-0.8%
FDIC	9.87	0.03	0.00	0.00	0.03	0.06	9.97	1.0%
FERC	4.38	0.02	0.00	-0.02	0.00	0.03	4.41	0.8%
FTC	69.66	0.74	0.51	0.00	1.25	-4.00	66.91	-4.0%
NASA	5.95	-0.19	0.00	0.00	-0.19	0.00	5.76	-3.1%
NSF	4.46	0.13	0.00	0.00	0.13	0.03	4.63	3.7%
NRC	8.34	0.04	0.00	0.00	0.04	0.53	8.91	6.9%
SEC	136.58	0.65	0.86	0.00	1.51	7.17	145.26	6.4%
SBA	2.77	0.00	0.00	-0.01	-0.01	-0.01	2.75	-0.9%
Social Security Admin.	24.89	0.67	1.97	0.00	2.64	0.60	28.14	13.1%

Note: Approximately 1.3 million hours of increased USDA burden and 5.77 million hours of increased Commerce burden classified as "Due to Agency Action" is due to cyclical surveys done by the Bureau of the Census and the National Agricultural Statistical Service.

Table A.2: Expected FY 2004 Burden Hours (in millions)

Column Number: 1 2 3 4 5 6 7 8

Expected Program Changes

	FY 2003 Total Hours Needed	Due to Agency Action	Due to New Statutes	Due to Lapses in OMB Approval	Total Program Changes	FY 2004 Expected Adjustments	FY 2004 Expected Total Hours Needed	% chg. from '03
Total	8,098.77	21.00	24.71	3.06	48.77	-5.27	8,142.59	0.5%
Agriculture	91.66	3.09	0.05	0.00	3.14	-5.27	89.40	-2.3%
Commerce	17.17	-5.44	0.11	0.01	-5.32	-0.05	11.80	-31.3%
Defense	49.75	-0.32	0.00	0.00	-0.32	-2.56	46.87	-5.8%
Education	40.48	0.58	0.00	0.00	0.58	0.02	41.07	1.5%
Energy	3.39	0.06	0.00	0.00	0.06	-0.05	3.40	0.3%
HHS	253.75	8.74	12.74	1.77	23.26	-0.90	276.11	8.8%
Homeland Security	77.66	3.57	-0.20	0.00	6.74	3.21	84.25	8.5%
HUD	25.70	-0.20	0.46	0.02	0.29	0.17	26.16	1.8%
Interior	7.46	0.20	0.01	0.00	0.21	-0.20	7.47	0.1%
Justice	15.33	0.13	0.00	0.00	0.13	-1.81	13.64	-11.0%
Labor	159.55	1.61	-0.03	0.00	1.59	3.89	165.02	3.4%
State	29.44	4.74	0.00	0.00	4.74	-3.14	31.04	5.4%
Transportation	249.14	0.17	3.73	1.10	4.99	0.12	254.25	2.1%
Treasury	6,589.76	0.00	0.01	0.00	0.02	0.00	6,590.35	0.0%
EPA	147.24	-0.49	2.72	0.00	2.23	-0.26	149.22	1.3%
Veterans Affairs	7.33	-0.29	0.01	0.00	-0.29	-1.29	5.75	-21.5%
FAR	30.64	0.00	0.00	0.00	0.00	0.00	30.64	0.0%
FCC	26.60	0.76	0.00	0.00	0.76	-0.46	26.89	1.1%
FDIC	9.97	-2.05	0.00	0.00	-2.05	0.00	7.92	-20.6%
FERC	4.41	0.17	0.00	0.11	0.27	0.54	5.20	18.5%
FTC	66.91	0.00	0.90	0.00	0.90	0.00	67.81	1.3%
NASA	5.76	0.01	0.02	0.00	0.03	-0.15	5.64	-2.1%
NSF	4.63	1.20	0.00	0.00	1.20	1.21	6.99	52.7%
NRC	8.91	-0.02	0.00	0.00	-0.02	0.54	9.43	5.8%
SEC	145.26	1.81	4.16	0.00	5.98	0.26	151.51	4.3%
SBA	2.75	0.02	0.00	0.00	0.02	0.00	2.77	0.9%
Social Security Admin.	28.14	2.96	0.01	0.05	3.01	0.91	32.01	14.0%

Table A3. Information Collection Costs Totals (in millions of dollars)

	FY 2003 Estimated Costs Burden	FY 2004 Total Expected Costs Burden
Total	\$54,416.3	\$56,696.15
Agency:		
Agriculture	\$85.98	\$85.98
Commerce	\$995.51	\$1,610.89
Defense	\$0.92	\$0.92
Education	\$631.06	\$524.93
Energy	\$1.81	\$2.26
HHS	\$1,375.23	\$1,220.46
DHS	\$2,872.51	\$4,035.92
HUD	\$19.68	\$19.68
Interior	\$25.30	\$21.10
Justice	\$299.30	\$289.49
Labor	\$1,863.86	\$2,069.85
State	\$1,485.87	\$1,584.76
DOT	\$1,038.24	\$1,040.04
Treasury	\$5,229.61	\$5,230.60
EPA	\$1,644.85	\$1,508.34
VA	\$0.07	\$0.07
FAR	\$20,818.40	\$20,818.40
FCC	\$840.56	\$833.63
FDIC	\$0.00	\$0.00
FERC	\$111.02	\$150.73
FTC	\$40.20	\$68.40
NASA	\$12.00	\$1.01
NSF	\$0.00	\$0.00
NRC	\$.22	\$.43
SEC	\$7,624.41	\$8,145.42
SBA	\$11.85	\$11.85
SSA	\$7,388.50	\$7,421.00

Appendix B: Significant Paperwork Reductions and Increases — FY 2003 & 2004

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

This appendix highlights the significant improvements agencies have made, where there have been significant burden increases, and significant changes expected in FY 2004. This appendix details agency accomplishments in improving how information is collected and reducing burden and provides ideas as to what can be done to reduce paperwork. It also identifies examples where changes in legislation or Administration policies may result in an increase in burden in order to achieve the benefits of the law or new program.

FY 2003 Reductions in Burden:

FY 2003 Burden Reduction from Cutting Redundancy:

Agency:	Department of Agriculture
OMB Control Number:	0572-0003
Title:	Accounting Requirements for RUS Electric and Telecommunications Borrowers.
Purpose of the Collection:	This collection sets forth basic requirements for maintaining accounting records on an accrual basis.
How Reduction Achieved:	Requirements for borrowers to follow specific recordkeeping retention requirements were removed because the recordkeeping requirements of FERC or State and local bodies are adequate for the agency's purpose.
Change in Burden:	-13,156 hours.
Agency:	Department of Commerce
OMB Control Number:	0651-0031
Title:	Patent Processing (Updating).
Purpose of the Collection:	To collect information necessary for USPTO processing of a patent application.
How Reduction Achieved:	Applicants must now use the Electronic Filing System (EFS) instead of submitting paper copies to USPTO. EFS was fully operable in 2003.
Change in Burden:	-20,470 hours.
Agency:	Department of Commerce
OMB Control Number:	0607-0444
Title:	2002 Company Organization Survey (COS).
Purpose of the Collection:	To update and maintain a Business Register and supply critical information on the composition structure, and characteristics of multi-establishment enterprises.
How Reduction Achieved:	The Census Bureau conducted the 2002 COS in conjunction with the 2002 Economic Censuses and coordinated these collections so as to minimize respondent burden. The reduction results from the data being collected as part of the 2002 Economic Census, rather than through a separate COS.
Change in Burden:	-48,745 hours.
Agency:	Department of Homeland Security
OMB Control Number:	1653-0010
Title:	Applications – Alternative Inspection Services and FAST Commercial Driver Application; Forms I-823 and I-823F.
Purpose of the Collection:	Used by CBP to determine eligibility for automated inspection programs and to secure those elements necessary to confirm enrollment at the time of application for admission to the United States.
How Reduction Achieved:	The enrollment period for the Automated Inspection Services programs (PORTPASS) was changed from an every year to an every other year process.
Change in Burden:	-291,500 hours.
Agency:	Department of Housing and Urban Development
OMB Control Number:	2507-0003
Title:	Tenant Assessment Subsystem (TASS) Tenant Disclosure of Income.
Purpose of the Collection:	This form was used to identify potential income discrepancies in reported income from tenants who receive subsidized housing in this program.
How Decrease Achieved:	HUD determined that information collected from another collection, (2577-0083), could be used to satisfy these requirements.
Change in Burden:	-37,500 hours.

Agency: Department of the Treasury
OMB Control Number: 1545-0085
Title: 2002 Form 1040A and Schedules, U.S. Individual Income Return.
Purpose of the Collection: This form is used by individual taxpayers to report their taxable income and calculate their correct liability.
How Reduction Achieved: Two worksheets were deleted, Line 26, "Tax Computation Worksheet."
Changes of increases and decreases of lines, Code references, and the size of worksheets were made throughout Form 1040A, instructions, and schedules.
Change in Burden: -5,189,602 hours.

Agency: Department of Transportation
OMB Control Number: 2125-0590
Title: Customer Satisfaction Surveys.
Purpose of Collection: To determine customer satisfaction with the services and products of FHWA, to evaluate strategic plan deployment, customers' needs, service delivery and processes, and to initiate improvement.
How Reduction Achieved: The information collected from State departments of transportation and metropolitan planning organizations was consolidated to reduce redundancy.
Change in Burden: -10,678 hours.

Agency: Department of Health and Human Services
OMB Control Number: 0938-0301
Title: Medicare Provider Cost Report Reimbursement Questionnaire.
Purpose of the Collection: To assist the provider in preparing an acceptable cost report and to minimize subsequent contact between the provider and its intermediary. CMS provides the basic data elements with related worksheet computations to develop the hospital and physician component cost so that Medicare costs are properly allocated between the Part A and the Part B trust funds.
How Reduction Achieved: HHS eliminated one exhibit that all providers were required to complete and reduced the number of exhibits some providers were required to complete by three.
Change in Burden: -441,815 hours.

Agency: National Aeronautics and Space Administration
OMB Control No: 2700-0098
Title: Security Requirements for Unclassified Information Technology Resources.
Purpose of Collection: For NASA contractors and subcontractors to comply with NASA security directives.
How Reduction Achieved: NASA no longer requires identical reporting for each contract for a contractor to demonstrate IT security compliance.
Change in Burden: -188,000 hours.

Agency: Department of Veterans Affairs
OMB Control Number: 2900-0609
Title: Survey of Veteran Enrollees' Health and Reliance Upon VA.
Purpose of the Collection: To provide information on morbidity and reliance for accurate projections of VA's ability to serve veterans seeking VA services.
How Reduction Achieved: This survey was combined another to eliminate and streamline the data collected.
Change in Burden: -84,820 hours.

FY 2003 Burden Reductions from Using Information Technology:

Agency: Department of Defense
OMB Control Number: 0704-0188

Title: Acquisition Management Systems and Data Requirements Control List (AMSDL).

Purpose of Collection: Used in contracts for supplies, services, hardware, and software, necessary to support design, testing, manufacture, training, and the operation and maintenance of procured items.

How Reduction Achieved: New business processes and improved policies reduced information requirements. Enabling electronic transmittal of required information further reduced the burden on contractors.

Change in Burden: -26,368,848 hours.

Agency: **Department of Defense**

OMB Control Number: 0704-0187

Title: Information Collection in Support of the DoD Acquisition Process (Solicitation Requirements).

Purpose of Collection: An offeror must submit to DoD a variety of procurement-related information in response to DoD solicitations.

How Reduction Achieved: As a result of business process re-engineering and improved acquisition policies, information requirements were reduced. Enabling electronic transmittal of required information further reduced the burden on contractors.

Change in Burden: -14,115,462 hours.

Agency: **Department of Energy**

OMB Control Number: 1910-0400

Title: Financial Assistance.

Purpose of the Collection: To manage the process of seeking, awarding, administering, and closing financial assistance instruments.

How Reduction Achieved: Elimination of 19 items that are no longer required to be collected.

Change in Burden: -249,129 hours.

Agency: **Federal Acquisition Regulations**

OMB Control Number: 9000-0150

Title: Small Disadvantaged Business Procurement Credit Programs.

Purpose of Collection: To implement Department of Justice (DOJ) reforms of affirmative action in Federal procurement

How Reduction Achieved: Contractors' may provide information electronically via the E-Government Integrated Acquisition Environment initiative.

Change in burden: - 114,902 hours.

Agency: **Department of Labor**

OMB Control Number: 1205-0219

Title: Standard Job Corps Request for Proposal and Related Contractor Information Gathering.

Purpose of the Collection: The Standard Request for Proposals for the Operation of Job Corps centers provides the Government's expectations to potential contractors for the development of proposals to operate Job Corps centers. Information collection activities required of Job Corps center contractors serve to ensure proper operation of the Job Corps program.

How Reduction Achieved: Implementation of electronic reporting.

Change in Burden: -22,579 hours.

Agency: **Department of Labor**

OMB Control Number: 1205-0025

Title: Job Corps Application Data.

Purpose of the Collection: The information is used to obtain information for screening and enrollment purposes in order to determine eligibility for the Job Corps program.

How Reduction Achieved: The implementation of electronic reporting

Change in Burden: -28,887 hours.

FY 2003 Burden Reductions from Changing Regulations:

Agency: Environmental Protection Agency
OMB Control Number: 2060-0433
Title: NESHAP for Secondary Aluminum Production.
Purpose of the Collection: Information is collected from certain aluminum producers to document their compliance with pollution control regulations.
How Reduction Achieved: Regulations were amended to exclude aluminum die casting facilities, aluminum foundries, and aluminum extrusion facilities from reporting requirements.
Change in Burden: -27,803 hours.

Agency: Environmental Protection Agency
OMB Control Number: 2060-0258
Title: Acid Rain Program under Title IV of the CAA of 1990
Purpose of the Collection: To implement the Acid Rain Program, reduce pollutants that cause acid rain establish a cap and trade program for environmental results. Respondents include electric utilities, industrial sources, and other persons.
How Reduction Achieved: Reduced time for quarterly reports because of improved automated tools and program maturity.
Change in Burden: -37,203 hours.

Agency: Federal Acquisition Regulations
OMB Control Number: 9000-0002
Title: Solicitation Mailing List Application.
Purpose of Collection: Standard Form 129, Solicitation Mailing List Application, is used by all Federal agencies 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: The SF-129 was phased out of use. The FAR final rulemaking 2001-032 removed the requirement for contracting offices to establish and maintain manual solicitation mailing lists, thus eliminating the need for use of the SF 129.
Change in Burden: -464,000 hours.

Agency: Federal Communications Commission
OMB Control Number: 3060-0212
Title: Section 73.2080, Equal Employment Opportunities.
Purpose of the Collection: To prepare a station's EEO Program Report (FCC Form 396) submitted with the license renewal application, and the annual EEO public file report. Without this information collection, licensees may not comply with the EEO rule.
How Reduction Achieved: MM Docket No. 98-204 made stations with less than 5 employees exempt from the EEO program requirements.
Change in Burden: -73,588 hours.

Agency: Federal Communications Commission
OMB Control Number: 3060-0233
Title: Part 36 – Separations.
Purpose of the Collection: In order to determine areas that are entitled to an expense adjustment, and wire centers that are entitled to high-cost universal service support, each incumbent local exchange carrier must provide certain data to the National Exchange Carrier Association (NECA) annually and/or quarterly. Local telephone companies who want to participate in the Federal universal service support program must make certain informational showings to demonstrate eligibility.
How Reduction Achieved: Non-rural carriers have been required to file all the information pursuant to Section 36.611 quarterly. The *Fourteenth Report and Order* (CC Docket 96-45)

modified that requirement to require non-rural carriers only to file loop counts quarterly.

Change in Burden: -31,000 hours.

Agency: **Federal Communications Commission**
OMB Control Number: 3060-0349
Title: Cable Equal Employment Opportunity Requirements.
Purpose of the Collection: To comply with the Cable Communications Policy Act of 1984. The data are used by a Multi-channel Video Program Distributors (MVPD) in the preparation of the unit's Annual EEO Program Report (FCC Form 396-C) filed with the Commission and the annual EEO public file report.
How Reduction Achieved: MM Docket No. 98-204 made stations with less than 5 employees exempt from the EEO program requirements.

Change in Burden: -38,430 hours.

Agency: **Department of Labor**
OMB Control Number: 1218-0092
Title: Lead in General Industry.
Purpose of the Collection: To protect employees from the adverse health effects associated with exposure to lead in general industry.
How Reduction Achieved: OSHA proposed to revise standards for general industry, shipyard employment, and construction to allow employers the option of either posting their employee exposure-monitoring results, or to individually inform each employee of their results.

Change in Burden: -51,401 hours.

Agency: **Nuclear Regulatory Commission**
OMB Control Number: 3150-0171
Title: Quality Management Program and Misadministrations.
Purpose of the Collection: To ensure that byproduct material or radiation from byproduct material is administered as directed by an authorized user physician, and to discover misadministrations and review corrective actions.
How Reduction Achieved: NRC revised 10 CFR Part 35, "Medical Use of Byproduct Material," to incorporate requirements, eliminate prescriptive requirements, and quality management programs.

Change in Burden: -34,743 hours.

Agency: **Department of Transportation**
OMB Control Number: 2120-0010 and 2120-0682
Title: Repair Station Certification.
Purpose of Collection: To approve repair station certification. Applicants submit FAA Form 8310-3, and, if the application is satisfactory, and requirements are met, an air agency certificate and repair station operations specifications with appropriate ratings and limitations is issued.
How Reduction Achieved: The FAA revised the regulation on repair station certification and replaced the existing collection.

Change in Burden: -34,408 hours.

Agency: **Department of the Treasury**
OMB Control Number: 1545-1466
Title: 2002 Third-Party Disclosure Requirements in IRS Regulations.
Purpose of the Collection: Third-party disclosure requirements.
How Reduction Achieved: Regulation sections were discontinued because the provisions no longer exist or are reflected in forms.

Change in Burden: -1,041,645 hours.

Agency: Department of the Treasury
OMB Control Number: 1545-0074
Title: U.S. Individual Income Tax Return, 2002 Form 1040.
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: Treasury decided to increase the threshold for filing Schedule B (Form 1040) to \$1,500. Also, additional text was added to the instructions for "Rollover of Gain from Empowerment Zone Assets" adding 1 "write-in" and 1 Code reference.
Change in Burden: -12,776,046 hours.

Agency: Department of the Treasury
OMB Control Number: 1545-0123
Title: U. S. Corporation Income Tax Return, 2002 Form 1120 and Schedules.
Purpose of the Collection: Form 1120 is used by corporations to compute their taxable income and tax liability.
How Reduction Achieved: Corporations with total receipts and assets of less than \$250,000 are no longer required to complete Schedules L, M-1 and M-2. Code references were deleted and added throughout the form and instructions. Also, changes were made throughout Form 1120, schedules, and instructions by adding lines, and adding 1 form attachment.
Change in Burden: -33,756,031 hours.

Agency: Department of the Treasury
OMB Control Number: 1545-0890
Title: U.S. Corporation Short-Form Income Tax Return, 2002 Form 1120-A.
Purpose of the Collection: Form 1120-A gives the IRS information necessary to determine whether the corporation has correctly computed its income tax liability.
How Reduction Achieved: Corporations with total receipts and assets of less than \$250,000 are no longer required to complete Parts III and IV. Code references were added and deleted throughout the form and instructions. Also, lines were deleted and added, and a form attachment deleted.
Change in Burden: -3,378,388 hours.

Agency: Department of the Treasury
OMB Control Number: 1545-0130
Title: U.S. Income Tax Return for an S Corporation, 2002 Form 1120S and Schedules.
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.
How Reduction Achieved: Under the IRS Burden Reduction Initiative, corporations with total receipts and assets of less than \$250,000 are no longer required to complete Schedules L and M-1.
Change in Burden: -14,262,930 hours.

FY 2003 Burden Reductions from Changing Forms:

Agency: Department of Defense
OMB Control Number: 0704-0250
Title: Defense Federal Acquisition Regulation Supplement (DFARS) Part 242, Contract Administration, Related Clauses in DFARS 252, and Related Forms in DFARS 253--DD Forms 375 and 375-C
Purpose of Collection: Contractors are required to support reviews and submit production progress reports.
How Reduction Achieved: Burden was reduced by eliminating mandatory use of forms.

Change in Burden: -51,150 hours.

Agency: **Department of Education**
OMB Control Number: 1810-0626 (currently 1865-0006)
Title: National College Alcohol, Drug and Violence Survey.
Purpose of the Collection: To obtain national statistics on alcohol and other drug use and violence among students at institutions of higher education.
How Reduction Achieved: Survey items were streamlined and sample size was reduced.
Change in Burden: -403,500 hours.

Agency: **Department of Education**
OMB Control Number: 1850-0582
Title: Integrated Postsecondary Education Data System (IPEDS), Web-Based Collection System.
Purpose of the Collection: This is a web-based data collection system of surveys designed to collect basic data from postsecondary institutions in the United States.
How Reduction Achieved: Survey items were streamlined and changes were made to forms used. As a result, the time respondents spent on answering the surveys was reduced.
Change in Burden: -19,556 hours.

Agency: **Department of Health and Human Services**
OMB Control Number: 0938-0739
Title: Skilled Nursing Facility Resident Assessment MDS Data.
Purpose of the Collection: Skilled nursing facilities (SNFs) are required to submit resident assessment data in order to administer the appropriate payment rate methodology. The burden associated with this is the SNF staff time required to complete the Minimum Data Set (MDS), SNF staff time to encode, and SNF staff time spent in transmitting the data.
How Reduction Achieved: A new resident assessment tool takes half the time to use as the old one.
Change in Burden: -3,055,847 hours.

FY 2003 Burden Reductions from Miscellaneous Actions:

Agency: **Department of Agriculture**
OMB Control Number: 0584-0500
Title: Electronic Benefit Transfer (EBT), Statement of Auditing Standards.
Purpose of Collection: Provide for annual review and audit of EBT systems. Audit must follow the American Institute of Certified Public Accountants Statement of Auditing set In SAS 70.
How Reduction Achieved: States were allowed and encouraged to share already existing SAS 70 examination: Reports. As a result the original estimate of 69 annual examination was minimized, with the annual number of SAS reports averaging six (6). The 10,999 burden hours reduction resulted from the elimination of the entire information collection requirement, as there were only six respondents; therefore, this is a program change as States were allowed to share already existing SAS 70 examinations Reports in lieu of performing an independent audit.
Change in Burden: -10,999 hours.

Agency: **Department of Education**
OMB Control Number: 1845-0023
Title: Federal Perkins Loan Program Regulations.
Purpose of the Collection: To determine eligibility to receive program benefits and to prevent fraud and abuse of program funds.

How Reduction Achieved: The information required to be submitted by Perkins Loan Program Regulations was reduced.
Change in Burden: -18,489 hours.

Agency: **Department of Housing and Urban Development**
OMB Control Number: 2502-0369
Title: Uniform Physical Standards & Physical Inspection Requirements.
Purpose of the Collection: Ensures that program participants carry out their legal obligations to maintain HUD properties in a condition that is decent, safe, sanitary, and in good repair.

How Decrease Achieved: HUD eliminated the requirement for owners to submit corrective action plans.
Change in Burden: -117,120 hours.

Agency: **Department of Labor**
OMB Control Number: 1220-0025
Title: International Price Program (IPP) U.S. Export Price Indexes.
Purpose of the Collection: The International Price Program produces Import Price Indexes and Export Price Indexes containing data on changes in the prices of nonmilitary goods and services traded between the U.S. and the rest of the world.

How Reduction Achieved: Burden decreased due to an effort to request re-pricing information from respondents only in certain months.
Change in Burden: -10,767 hours.

Agency: **Department of Transportation**
OMB Control Number: 2126-0001
Title: Driver's Records of Duty Status.
Purpose of Collection: To determine compliance with the maximum driving and duty time limitation prescribed by the FMCSA's hours of service rules.
How Reduction Achieved: The final rule, "Hours of Service of Drivers: Driver Rest and Sleep for Safe Operations" reduced the number of drivers subject to this information collection by 48,000.
Change in Burden: -1,824,000 hours.

FY 2003 Burden Reductions from a Statutory Change:

Agency: **Department of Agriculture**
OMB Control Number: 0584-0339
Title: Food Stamp Employment and Training (E&T) Program Activity Report.
Purpose of Collection: To report on Employment and Training activities by State Agencies for information used in program planning and management.
How Reduction Achieved: The Farm Security and Rural Investment Act of 2002 (FSRIA) eliminated requirements that affected the: (1) number of work registration exemptions; (2) numbers of volunteers participating in E&T; (3) number of filled and offered Able Bodied Adults Without Dependents (ABAWD) workfare slots and education/training slots in waived geographic areas and in un-waived geographic areas; (4) the amount of 100 percent Federal E&T funds spend on ABAWD workfare slots on ABAWD education/training slots.

Change in Burden: -51,069 hours.
Statute Title and Public Law: The Farm Security and Rural Investment Act of 2002 (FSRIA), P.L. 107-171.

Agency: **Department of Agriculture**
OMB Control Number: 0584-0446
Title: Federal Collection Methods for FSP Recipient Claims.
Purpose of the Collection: To collect claims that are due to the Federal government

How Reduction Achieved: Delinquent claims must be referred to TOP. Once the claim is initially referred for TOP, the same claim no longer needs to be referred again in subsequent years. A policy change by Department of Treasury was precipitated by the change in law.

Change in Burden: -15,680 hours.

Statute Title and Public Law: Debt Collection Improvement Act of 1996, P.L. 104-134.

Agency: **Department of Agriculture**

OMB Control Number: 0584-0124

Title: Food Stamp Program Identification Cards.

Purpose of the Collection: Regulatory or compliance; program evaluation.

How Reduction Achieved: EBT issuance of food stamps will be nationwide by October 1, 2004. Therefore, State agencies will no longer be required to issue photo ID cards to clients after this time.

Change in Burden: -19,779 hours.

Statute Title and Public Law: Public Law 104-193, Personal Responsibility and Work Opportunity Act of 1996.

Agency: **Department of Homeland Security**

OMB Control Number: 1615-0012

Title: Petition for Alien Relative; Form I-130.

Purpose of the Collection: Used by the CIS to determine eligibility for benefits sought for relatives of United States citizens and lawful permanent residents.

How Reduction Achieved: The decrease in the number of respondents and associated burden hours for this collection is attributed to changes in the regulations, affecting unlawful presence and the more strict interpretation of the grounds of inadmissibility.

Change in Burden: -161,662 hours.

Statute Title and Public Law: Illegal Immigration Reform and Immigrant Responsibility Act of 1996 (IIRIRA); P.L. 104-208.

Agency: **Department of Homeland Security**

OMB Control Number: 1651-0076

Title: Modernization Act Recordkeeping Requirements.

Purpose of Collection: To substantiate the correctness of information regarding import entry documentation.

How Reduction Achieved: The NAFTA Implementation Act, P.L. 103-182, significantly reduced Modernization Act Recordkeeping Requirements by reducing the number of companies that were eligible for the Drawback Program, a program that required extensive recordkeeping. The law reduced the number of respondents that were required to keep records.

Change in Burden: -2,165,690 hours.

Statute Title and Public Law: NAFTA Implementation Act, P.L. 103-182.

Agency: **Department of the Interior**

OMB Control Number: 1004-0025

Title: Mineral Surveys, Mineral Patent Applications, Adverse Claims, Protests, & Contests (43 CFR 3660 & 3870).

Purpose of the Collection: To determine if a mineral patent applicant is entitled to receive a land patent pursuant to the General Mining Law of 1872.

How Reduction Achieved: The Appropriations Act of 1995 suspended acceptance and processing of mineral patent applications until further monies were appropriated. In FY 2003, the Bureau of Land Management modified its information collection burden estimate based on the continued Congressional moratorium on funding of this program.

Change in Burden: -12,123 hours.

Statute name and Public Law: Appropriations Acts.

Agency: Department of Housing and Urban Development
OMB Control Number: 2502-0476
Title: Low-Income Housing Drug Elimination Grant Program.
Purpose of the Collection: Grant application and reporting requirements.
How Decrease Achieved: This program is no longer funded. Reporting information is still collected from residual grantees.
Change in Burden: -53,400 hours.
Statute name and Public Law: Appropriations Acts.

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Change in Burden: -53,400 hours
Statute name and Public Law: Appropriations Acts.

FY 2003 Increases in Burden:

FY 2003 Burden Increases Caused by Statutes:

Agency: Department of Agriculture
OMB Control Number: 0551-0039
Title: McGovern-Dole International Food for Education and Child Nutrition Program.
Purpose of Collection: The Farm Security and Rural Investment Act of 2002 requires reporting on food aid programs, including this new program. The information is used to evaluate the effectiveness of food assistance programs, determine whether the sponsor has complied with the agreement, and to assess the programs.
Why Increase Occurred: This is a new information collection. There are 14 collections required by the Farm Security and Rural Investment Act of 2002.
Change in Burden: 11,607 hours.
Statute Title and Public Law: The Farm Security and Rural Investment Act of 2002, P.L. 107-171.

Agency: Department of Agriculture
OMB Control Number: 0572-0130
Title: 7 CFR 1738, Rural Broadband Loan and Loan Guarantee Program.
Purpose of the Collection: To determine eligibility for the Rural Broadband Loan and Loan Guarantee Program
Why Increase Occurred: New loan program required by legislation.
Change in Burden: 29,544 hours.
Statute Title and Public Law: The Farm Security and Rural Investment Act of 2002, P.L. 107-171.

Agency: Department of Agriculture
OMB Control Number: 0579-0213
Title: Select Agent Registration.
Purpose of the Collection: To register persons using select agents and to determine whether they have a lawful purpose to possess, use, or transfer agents or toxins.
Why Increase Occurred: This is a new collection – This is a new collection to improve the ability of the United States to prevent, prepare for, and respond to bio-terrorism and other public health emergencies.

Change in Burden: 25,460 hours.
Statute Title and Public Law: Public Health Security and Bioterrorism Preparedness and Response Act of 2002, P.L. 107-481.

Agency: **Department of Agriculture**
OMB Control Number: 0581-0212
Title: Interim Voluntary Country of Origin Labeling of Beef, Lamb, Pork, Fish, Perishable Agricultural Commodities, and Peanuts Under the Authority of the Agricultural Marketing Act (Act) of 1946.

Purpose of the Collection: USDA must ensure that entities participating in the voluntary program have sufficient records to verify Country of Origin claims.

Why Increase Occurred: New legislation required implementation of a voluntary program.

Change in Burden: 59,355 hours.

Statute Title and Public Law: The Farm Security and Rural Investment Act of 2002, P.L. 107-171.

Agency: **Department of Agriculture**

OMB Control Number: 0596-0168

Title: Forest Land Enhancement Program.

Purpose of the Collection: The purpose of the collection is to provide data for the report to Congress on the program required by the Farm Security and Rural Investment Act of 2002.

Why Increase Occurred: New program. FLEP combines two existing programs and will give money to States for technical assistance to private forest land. States must submit a State priority plan for approval and an annual report of all the activities and practices funded through FLEP.

Change in Burden: 54,747 hours.

Statute Title and Public Law: The Farm Security and Rural Investment Act of 2002, P.L. 107-171.

Agency: **Department of Agriculture**

OMB Control Number: 0584-0064

Title: Food Stamp Forms: Applications, Periodic Reporting, Notices.

Purpose of the Collection: To apply for and receive food stamp benefits. To assure recipients are eligible and receive the correct amount of food stamp benefits.

Why Increase Occurred: Changes are required in a number of Public Laws that shift responsibility for collections, directly or indirectly reduce burden for some of the collections, and add new collection items.

Change in Burden: 604,832 hours.

Statute Title and Public Law: The Personal Responsibility and Work Opportunity Reconciliation Act (PRWORA), P.L. 104-193. The Omnibus Consolidated Appropriations Act (OCA), P.L. 104-208. The Balanced Budget Act (BBA), P.L. 105-33. The Agricultural Research, Extension, and Education Reform Act of 1998 (AREERA), P.L. 105-185.

Agency: **Department of Education**

OMB Control Number: 1810-0581

Title: State Educational Agency, Local Educational Agency, and School Data collection and Reporting under the Elementary and Secondary Education Act (ESEA).

Purpose of the Collection: To obtain and disseminate information about the ESEA Title I program for disadvantaged students, reauthorized in 2002 as the No Child Left Behind Act, and to document the progress of the Title I program, inform parents and the public, and provide services to at-risk students and their teachers.

Why Increase Occurred: Estimates reflect changes in Title I, Part A requirements under the No Child Left Behind Act and incorporate previous burden for July 1995 Title I regulations which expired.

Change in Burden: 2,586,428 hours.

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

Agency: Department of Education
OMB Control Number: 1810-0576
Title: Consolidated State Application.
Purpose of the Collection: To review funding to States under Elementary and Secondary Education Act (ESEA) programs, assess progress States make, and monitor the use of program funds.
Why Increase Occurred: The additional hours are due to statutory requirements in Title I.
Change in Burden: 10,360 hours.
Statute Title and Public Law: No Child Left Behind Act, P.L. 107-110.

Agency: Environmental Protection Agency
OMB Control Number: 2040-0253
Title: Drinking Water Security and Safety.
Purpose of the Collection: To prepare or revise an emergency response plan based on the results of community water system assessments.
Why Increase Occurred: A new program was required by the Public Health Security and Bio-terrorism Preparedness and Response Act of 2002, regarding drinking water security and safety.
Change in Burden: 2,652,392 hours.
Statute Title and Public Law: Public Health Security and Bio-terrorism Preparedness and Response Act of 2002, P.L. 107-188.

Agency: Environmental Protection Agency
OMB Control Number: 2060-0003
Title: Prevention of Significant Deterioration Non-Attainment Area New Source Review.
Purpose of the Collection: Regulatory compliance with the Clean Air Act.
Why Increase Occurred: The New Source Review program was codified.
Change in burden: 163,374 hours.
Statute Title and Public Law: Clean Air Act.

Agency: Federal Communications Commission
OMB Control Number: 3060-0519
Title: Regulations for the Telephone Consumer Protection Act (TCPA) of 1991, CG Docket No. 02-278.
Purpose of the Collection: The Do-Not-Call Implementation Act required the Commission to adopt new rules to provide consumers options for avoiding telephone solicitations. The FCC established a national do-not-call registry to supplement the current company-specific do-not-call rules. The FCC also adopted a new provision to permit consumers to provide permission to call to specific companies by an express written agreement. The TCPA exempts non-profit organizations, companies with whom consumers have an established business relationship, and calls to persons with whom the telemarketer has a personal relationship.
Why Increase Occurred: The Commission added an option for subscribers to register with a national do-not-call list, recordkeeping requirements in connection with a national do-not-call registry, and requirements for telemarketers to comply with TCPA rules.
Change in Burden: 75,000 hours.
Statute Title and Public Law: Do-Not-Call Implementation Act, P.L. 108-10.

Agency: Federal Communications Commission
OMB Control Number: 3060-0715
Title: Telecommunications Carriers' Use of Customer Proprietary Network Information (CPNI) and Other Customer Information.
Purpose of the Collection: The Telecommunications Act of 1996 permits carriers to access CPNI, without customer approval, under certain conditions. CPNI may require either opt-in or

opt-out customer approval, depending upon the entity using the CPNI and the purpose for which it is used.

Why Increase Occurred: The increase in burden is attributed to requirements added by section 222 of the Telecommunications Act of 1996 implemented by the Third Report and Order and Third Further Notice of Proposed Rulemaking (CC Docket No. 96-115).

Change in Burden: 59,192 hours.

Statute Title and Public Law: Telecommunications Act of 1996, Public Law 104-104.

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

OMB Control Number: 0920-0556

Title: Assisted Reproductive Technology (ART) Program Reporting System.

Purpose of the Collection: The ART program reporting system has been designed in collaboration with the Society for Assisted Reproductive Technology (SART) to comply with the requirements of the FCSRTCA. The reporting system includes all ART cycles initiated by any of the approximately 400 ART programs in the United States, and covers the pregnancy outcome of each cycle, as well as a number of data items deemed important to explain variability in success rates across clinics and across individuals.

Why Increase Occurred: Legislation requires the collection of new data.

Change in Burden: 56,067 hours.

Statute Title and Public Law: Fertility Clinic Success Rate Technology and Certification Act of 1992 [FCSRTCA], P.L. 102-493.

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

OMB Control Number: 0920-0576

Title: Possession, Use, and Transfer of Select Agents and Toxins.

Purpose of the Collection: CDC was delegated the responsibility of registering entities that possess, use, or transfer select agents or toxins. In performance of its responsibility, CDC has modified a previously approved OMB data collection to include registration of entities; transfer of select agents and toxins; clinical and diagnostic laboratory report form; notification of theft, loss, or release; and application for exemption.

Why Increase Occurred: The legislation requires the collection of new data.

Change in Burden: 30,777 hours.

Statute Title and Public Law: Public Health Security and Bioterrorism Preparedness and Response Act of 2002, P.L. 107-188.

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

OMB Control Number: 0938-0883

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

Purpose of the Collection: 45 CFR part 160 and 164 lay out the requirements regarding the privacy and utilization of patient medical records.

Why Increase Occurred: The Health Insurance Portability and Accountability Act of 1996 has certain requirements giving individuals rights concerning their personal medical information, such as disclosing to the individual information concerning how personal information will be used.

Change in Burden: 2,210,715 hours.

Statute Title and Public Law: The Health Insurance Portability and Accountability Act of 1996, P.L.104-191.

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

OMB Control Number: 0938-0786

Title: External Quality Review of Medicaid MCOs.

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

Why Increase Occurred: The collection burden increased by the time for a State to complete protocols required by recent regulations.

Change in Burden: 518,909 hours.

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

Agency: **Department of Homeland Security**
OMB Control Number: 1625-0077 [Formerly 2115-0622]
Title: Security Plans for Ports, Vessels, Facilities, and Outer Continental Shelf Facilities and Other Security-Related Requirements.

Purpose of the Collection: To ensure public safety and security and minimize disruptions to the flow of commerce, the Coast Guard issued new security planning requirements for ports, vessels and facilities. The requirements establish security measures commensurate with the level and degree of risk within the marine transportation system. The regulations affect all users, workers, and property in and adjacent to U.S. navigable waters and waters subject to the jurisdiction of the United States.

Why Increase Occurred: Implementing new statutory requirements.

Change in Burden: 1,871,647 hours.

Statute Title and Public Law: Maritime Transportation Security Act of 2002, P.L. 107-295.

Agency: **Department of Homeland Security**
OMB Control Number: 1652-0011
Title: Federal Flight Deck Officer Program.

Purpose of the Collection: To evaluate pilots applying for entry into the Federal Flight Deck Officer (FFDO) Program and to manage pilots already admitted into the program. Comprehensive applications are submitted to TSA via the Internet so that prospective pilots may be screened for entry into the program. Approved FFDO's must report prescribed incidents to TSA Aviation Operations for records for safety, and security purposes.

Why Increase Occurred: FFDO is a new program to arm pilots. DHS developed an application process which is largely automated and web-based for applicants to submit information.

Change in Burden: 10,000 hours.

Statute Title and Public Law: Arming Pilots Against Terrorism Act, P.L. 107-296.

Agency: **Department of the Interior**
OMB Control Number: 1076-0161
Title: 25 CFR 170, Indian Reservation Roads.

Purpose of Collection: To obtain information to determine how Bureau of Indian Affairs will allocate funds to various tribal governments under the new Indian Reservation Roads program.

Why Increase Occurred: Implementation of new legislation.

Change in Burden: 31,470 hours.

Statute Title and Public Law: Transportation Equity Act for the 21st Century, P.L. 105-178.

Agency: **Department of Justice**
OMB Control Number: 1140-0030
Title: Importation, Receipt, Storage, and Disposition by Licensed Explosives Manufacturers, Importers, Dealers, and Users.

Purpose of the Collection: To record daily activities in the importation, manufacture, receipt, storage, and disposition of explosive materials, show where and to whom explosives materials are sent.

Why Increase Occurred: The Safe Explosives Act created a “limited permit” for explosive materials shipped or received within a State on no more than 6 separate occasions during a one-year period. DOJ revised 27 CFR section 555.125 to impose the same requirements for holders of limited permits as for holders of user permits.

Change in Burden: 504,816 hours.

Statute Title and Public Law: Homeland Security Act of 2002, P.L. 107-296.

Agency: **Department of Justice**

OMB Control Number: 1140-0070

Title: Application for Explosives License or Permit.

Purpose of the Collection: To make sure applicants for a permit for explosives are responsible persons or companies and not prohibited from shipping, transporting, receiving, or possessing explosives.

Why Increase Occurred: The Safe Explosives Act (Title XI of the Homeland Security Act), increased requirements for shipping, transporting, receiving, or possessing explosive materials. More persons are now required to complete this application.

Change in Burden: 14,188 hours.

Statute Title and Public Law: Homeland Security Act of 2002, P.L. 107-296.

Agency: **Department of Justice**

OMB Control Number: 1140-0074

Title: List of Responsible Persons.

Purpose of the Collection: Organizations and entities applying for manufacturing, importing, dealing, or purchasing explosive materials must submit a list of responsible persons to ATF.

Why Increase Occurred: Implementation of the Safe Explosives Act.

Change in Burden: 100,000 hours.

Statute Title and Public Law: Safe Explosives Act, Title XI, Subtitle C, P.L. 107-296.

Agency: **Department of Justice**

OMB Control Number: 1140-0075

Title: Transactions Among Licensees/Permittees, Limited.

Purpose of the Collection: Required for licenses and permits to distribute explosive materials, and regulate distribution of explosive materials with limited permits.

How Increased Achieved: Implementation of the Safe Explosives Act.

Change in Burden: 25,000 hours.

Statute Title and Public Law: Homeland Security Act of 2002, P.L. 107-296.

Agency: **Department of Justice**

OMB Control Number: 1140-0078

Title: Limited Permittee Transaction Report.

Purpose of the Collection: To ensure that records are available for tracing explosive materials when necessary and to ensure that limited permittees do not exceed their maximum allotment of receipts of explosive materials.

Why Increase Occurred: Implementation of the Safe Explosives Act.

Change in Burden: 12,000 hours.

Statute Title and Public Law: Homeland Security Act of 2002, P.L. 107-296.

Agency: **Department of Justice**

OMB Control Number: 1140-0079

Title: Transactions Among Licensee/Permittees and Transactions Among Licensees and Holders of Usage Permits.

Purpose of the Collection: To obtain the identity of the explosive purchasers and explosive storage locations. An explosive purchaser must provide a statement of intended use for the explosives.

How Increased Achieved: Implementation of the Safe Explosives Act.

Change in Burden: 25,000 hours.

Statute Title and Public Law: Homeland Security Act of 2002, P.L. 107-296.

Agency: **Department of Labor**
OMB Control Number: 1205-0190
Title: Customer Survey and TAA Customer Survey.
Purpose of the Collection: To determine eligibility for petitioning workers for transitional adjustment assistance (TAA) under the Trade Act of 1974.
Why Increase Occurred: Increase due to the consolidation of both the TAA and NAFTA-TAA programs and the expected increase in the number of petitions to be filed as a result of implementing the new program effective November 4, 2002.
Change in Burden: 11,677 hours.
Statute Title and Public Law: The Trade Act of 2002, P.L. 107-210.

Agency: **Department of Labor**
OMB Control Number: 1205-0440
Title: Reporting for Temporary Extended Unemployment Compensation Program for Displaced Airline Workers.
Purpose of the Collection: To determine eligibility for certain displaced airline industry or related workers for unemployment compensation.
Why Increase Occurred: To implement the Temporary Extended Unemployment Compensation Program for Displaced Airline Workers Act, new reporting requirements were developed for States to obtain information from employers to determine eligibility for additional Federal benefits under the new Act. The program and burden has now expired.
Change in Burden: 30,000 hours.
Statute Title and Public Law: Temporary Extended Unemployment Compensation Program for Displaced Airline Workers Act, P.L. 108-11.

Agency: **Department of Labor**
OMB Control Number: 1210-0122
Title: Notice of Blackout Period Under ERISA.
Purpose of the Collection: To make individual account plan participants aware of matters that may affect their rights under their pension plans.
Why Increase Occurred: The Sarbanes-Oxley Act of 2002 requires written notice to participants and beneficiaries of individual account pension plans in advance of any “blackout period” during which their rights to direct or diversify investments or obtain a loan or distribution from the plan is temporarily suspended.
Change in Burden: 166,129 hours.
Statute Title and Public Law: The Sarbanes-Oxley Act of 2002, P.L. 107-204.

Agency: **Securities and Exchange Commission.**
OMB Control Number: 3235-0060
Title: Form 8-K.
Purpose of the Collection: Sections 13(a) and 15(d) of the Exchange Act require reports about business condition and important events.
Why Increase Occurred: The Sarbanes-Oxley Act of 2002. The requirements for the use of the Form 8-K and the information on the form were expanded to provide the public with additional information about corporate activities.
Change in Burden: 143,500 hours.
Statute Title and Public Law: Sarbanes-Oxley Act of 2002, P.L. 107-204.

Agency: **Securities and Exchange Commission**
OMB Control Number: 3235-0063
Title: Form 10-K, Annual Report.
Purpose of the Collection: Sections 13(a) and 15(d) of the Exchange Act require reports about business condition and important events.

Why Increase Occurred: The Sarbanes-Oxley Act of 2002 increased the requirements for use of the Form 10-K and the Form was expanded for additional information about corporate activities.

Change in Burden: 210,897 hours.

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

Agency: **Securities and Exchange Commission**

OMB Control Number: 3235-0070

Title: Form 10-Q, Quarterly Report.

Purpose of the Collection: Sections 13(a) and 15(d) of the Exchange Act require reports about business condition and important events.

Why Increase Occurred: The Sarbanes-Oxley Act of 2002 expanded use of the Form 10-Q for more information about corporate activities.

Change in Burden: 153,720 hours.

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

Agency: **Securities and Exchange Commission**

OMB Control Number: 3235-0416

Title: Form 10-QSB, Quarterly Report for Small Business.

Purpose of the Collection: Sections 13(a) and 15(d) of the Exchange Act require reports about business condition and important events.

Why Increase Occurred: The Sarbanes-Oxley Act of 2002 expanded use of Form 10-QSB for additional information about corporate activities.

Change in Burden: 63,303 hours.

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

Agency: **Securities and Exchange Commission**

OMB Control Number: 3235-0420

Title: Form 10-KSB, Annual Report for Small Business.

Purpose of the Collection: Sections 13(a) and 15(d) of the Exchange Act require reports about business condition and important events. A small business issuer may file its annual report on Form 10-KSB.

Why Increase Occurred: The Sarbanes-Oxley Act of 2002 expanded use of the Form 10-KSB for additional information.

Change in Burden: 61,331 hours.

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

Agency: **Securities and Exchange Commission**

OMB Control Number: 3235-0570

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

Purpose of the Collection: To verify that a company's financial statements and other financial information fairly represent the financial condition, results of operations of the investment company and the effectiveness of disclosure controls and procedures. SEC will provide this information to the public.

Why Increase Occurred: The Sarbanes-Oxley Act of 2002 increased use of the Form 10-KSB to provide the public with additional information about corporate activities.

Change in Burden: 115,466 hours.

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

Agency: **Securities and Exchange Commission**

OMB Control Number: 3235-0576

Title: Regulation G, Disclosure of non-GAAP financial measures.

Purpose of the Collection: Regulation G requires registrants, when they publicly disclose material information that includes non-GAAP (Generally Accepted Accounting

Practices) financial measures to provide a reconciliation to comparable GAAP figures.

Why Increase Occurred: The Commission issued a new Regulation G to add the requirements of the Sarbanes-Oxley Act of 2002.

Change in Burden: 42,000 hours.

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

Agency: **Social Security Administration**

OMB Control Number: 0960-0229

Title: Application for Supplemental Security Income (SSI)/ SSA-8000-BK.

Purpose of Collection: To determine whether claimants meet requirements for SSI eligibility and to determine the amount of such benefits.

Why Increase Occurred: Questions were added due to several law and policy changes.

Change in Burden: 169,360 hours.

Statute Title and Public Law: The Personal Responsibility and Work Opportunity Reconciliation Act of 1996 (P.L. 104-193); The Balanced Budget Act of 1997 (P.L. 105-33); The Foster Care Independence Act of 1999 (P.L. 106-169); The Ticket to Work and Work Incentives Improvement Act of 1999 (P.L. 106-170); The Contract with America Advancement Act of 1996 (P. L. 104-121); and Increased Widow's and Widower's Insurance Benefits (P.L. 92-603)

Agency: **Social Security Administration**

OMB Control Number: 0960-0623

Title: Authorization to Disclose Information to the Social Security Administration/SSA-827.

Purpose of the Collection: For authorization from disability claimants to release medical, educational, and other types of information to SSA and to State agencies for disability determinations.

Why Increase Occurred: Significantly expanded language on the front and back of the form results in increased time to read the form to meet additional informed-consent requirements of the Health Insurance Portability and Accountability Act of 1996.

Change in Burden: 1,798,409 hours.

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

Agency: **Department of Transportation**

OMB Control Number: 2126-0011

Title: Commercial Driver Licensing (CDL) and Testing Standards.

Purpose of Collection: To ensure that drivers of commercial motor vehicles are properly licensed in accordance with all applicable Federal requirements.

Why Increase Occurred: DOT required States to enter into the CDL Information System (CDLIS) the applicant's U.S. citizenship status.

Change in Burden: 17,250 hours.

Statute Title and Public Law: The Uniting and Strengthening America by Providing Appropriate Tools Required to Intercept and Obstruct Terrorism (USA PATRIOT) Act of 2001, P.L. 107-56.

Agency: **Department of Transportation**

OMB Control Number: 2126-0025

Title: Transportation of Household Goods; Consumer Protection.

Purpose of Collection: To help consumers understand their rights and responsibilities to ensure carriers are forthright in their business deals with consumers.

Why Increase Occurred: FMCSA issued an interim final rule on the transportation of household goods that added new requirements for carriers to provide written estimates for non-

binding estimates (already required for binding estimates) and requirements regarding burdens associated with an arbitration program summary and an inventory. In addition to this burden change, the burden hours associated with previous Interstate Commerce Commission regulations are included in this information collection.

Change in Burden: 1,232,000 hours.
Statute Title and Public Law: Motor Carrier Safety Improvement Act of 1999, P.L. 106-159.

Agency: Department of the Treasury
OMB Control Number: 1545-0074
Title: 2003 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.
Why Increase Occurred: IRS added and deleted lines, worksheets, Code references in the form, instructions, and schedules to implement new Code sections created by the Jobs and Growth Tax Relief Reconciliation Act of 2003. For example, line 9b was added for qualified dividends to reflect new Code section 1(h)(11). Line 13b is added for Post May 5 capital gain distribution to reflect Code sections 1(h)(1)(B) and 1(h)(1)(C). This will result in a program change increase of 15,974,817 hours. However, IRS made other changes to Form 1040, instructions and schedules. The new number of filers for Form 1040-V should have been placed in the adjustment column instead of the program column, resulting in a program change decrease of 210,549 hours. Several other changes were made that reduced burden 9,875,098 hours.

Change in Burden: 6,099,719 hours.
Statute Title and Public Law: The Jobs and Growth Tax Relief Reconciliation Act of 2003, P.L. 108-27.

Agency: Department of the Treasury
OMB Control Number: 1545-0085
Title: 2003 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 liability.
Why Increase Occurred: IRS added and deleted lines, worksheets, and Code references to implement new Code sections created by the Jobs and Growth Tax Relief Reconciliation Act of 2003. For example, Line 9b was added for qualified dividends to reflect new code section 1(h)(11). Line 10b was added for Post-May 5 capital gain distributions to reflect Code sections 1(h)(1)(b) and 1(h)(1)(C). This will increase burden by 12,167,960 hours. Also, IRS changed Form 1040A and its schedules and revised the instructions, including a worksheet from Publication 596. This will decrease burden 2,040,632 hours.

Change in Burden: 10,127,328 hours.
Statute Title and Public Law: The Jobs and Growth Tax Relief Reconciliation Act of 2003, P.L. 108-27.

Agency: Department of the Treasury
OMB Control Number: 1545-0099
Title: 2002 Form 1065, Schedules, and Instructions, U.S. Return of Partnership Income.
Purpose of the Collection: Form 1065 is used by IRS to verify correct reporting of partnership items and for general statistics. The information is used by partners to determine the income, loss, credits, etc., to report on their tax returns.
Why Increase Occurred: Implementation of the Community Renewal Act. Changes occurred for 2002 throughout the form, schedules, and instructions by adding 2 lines, 7 Code references, and 1 form attachment, and the deletion of 3 Code references. This will increase burden 9,136,615 hours. Also, on Schedule M-2, the line "Capital Contributed" is now split into "Cash" and "Property." This will increase burden 666,824 hours.

Change in Burden: 9,803,439 hours.
Statute Title and Public Law: 2000 Community Renewal Act, P.L. 106-554.

Agency: **Department of the Treasury**
OMB Control Number: 1545-0110
Title: 2003 Form 1099-DIV, Dividends and Distributions.
Purpose of the Collection: Form 1099-DIV is used by the Service to insure that dividends are properly reported as required by Code section 6042 and the liquidation distributions are correctly reported as required by Code section 6043, and to determine whether payees are correctly reporting their income.
Why Increase Occurred: Changes made by the Jobs and Growth Tax Relief Reconciliation Act of 2003 required redesign of Form 1099-DIV for 2003.

Change in Burden: 7,385,039 hours.
Statute Title and Public Law: The Jobs and Growth Tax Relief Reconciliation Act of 2003, P.L. 108-27.

Agency: **Department of the Treasury**
OMB Control Number: 1545-0130
Title: 2002 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: The 2000 Community Renewal Act Changes required adding five Code references, one form attachment, deleting one Code reference to Form 1120S instructions, adding one Code reference and deleting four Code references to Form 1120 (Schedule D). This will cause a burden increase of 5,035,690 hours. Also, Part III-Capital Gains Tax (Schedule D) is deleted because it is no longer relevant and one line is added to Form 1120S (Schedule B). This will result in a program change decrease of 585,430 hours.

Change in Burden: 4,450,260 hours.
Statute Title and Public Law: 2000 Community Renewal Act, P.L. 106-554.

Agency: **Department of the Treasury**
OMB Control Number: 1545-0130
Title: 2003 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: Revisions were made as a result of the Jobs and Growth Tax Relief Reconciliation Act of 2003. For example, Schedule D and K-1, added column (g) for post-May 5 gain or (loss). A net of 12 lines and 1 Code reference were added for Schedule D and, a total of 4 lines were added and 2 lines deleted for Schedule K-1.

Change in Burden: 7,383,900 hours.
Statute Title and Public Law: The Jobs and Growth Tax Relief Reconciliation Act of 2003, P.L. 108-27.

Agency: **Department of the Treasury**
OMB Control Number: 1545-0142
Title: 2003 Form 2220, Underpayment of Estimated Tax by Corporations.
Purpose of the Collection: Form 2220 is used by corporations to determine whether they are subject to the penalty for underpayment of estimated tax and, if so, the amount of the penalty. The IRS uses Form 2220 to determine if the penalty was correctly computed.

Why Increase Occurred: Changes made by the Jobs and Growth Tax Relief Reconciliation Act of 2003 (P.L. 108-27) that were effective after December 31, 2002, required redesign of Form 2220 for 2003.

Change in Burden: 5,625,865 hours.

Statute Title and Public Law: The Jobs and Growth Relief Reconciliation Act of 2003, P.L. 108-27.

Agency: **Department of the Treasury**
OMB Control Number: 1545-0715
Title: 2003 Form 1099-B, Proceeds From Broker and Barter Exchange Transactions.
Purpose of the Collection: Form 1099-B is used by brokers and barter exchanges to report proceeds from transactions to the Internal Revenue Service.

Why Increase Occurred: Changes made by the Jobs and Growth Tax Relief Reconciliation Act of 2003 (P.L. 108-27) that were effective after December 31, 2002, required redesign of Form 1099-B for 2003. The tax rates on net capital gains were reduced to 15%, 5% for some individuals, for transactions after May 5, 2003. The redesign was to allow Post-May 5, 2003, reporting of amounts realized, or treated as realized and the aggregate profit and loss for 2003, for regulated futures contracts.

Change in Burden: 7,056,713 hours.

Statute Title and Public Law: The Jobs and Growth Tax Relief Reconciliation Act of 2003, P.L.108 27.

Agency: **Department of the Treasury**
OMB Control Number: 1545-1008
Title: 2002 Form 8582, Passive Activity Loss Limitations.
Purpose of the Collection: Form 8582 is used by non-corporate taxpayers to figure the amount of any passive activity loss (PAL) for the current tax year and the total losses allowed from passive activities.

Why Increase Occurred: Implementation of the Community Renewal Tax Relief Act and the Job Creation and Worker Assistance Act of 2002, made changes to Form 8582. Ten lines, 1 Code reference, 1 legal record, and 3 general records were added to the burden computation.

Change in Burden: 2,100,924 hours.

Statute Title and Public Law: Community Renewal Tax Relief Act of 2000, P.L. 106-554. Job Creation and Worker Assistance Act of 2002, P.L. 107-147.

Agency: **Department of the Treasury**
OMB Control Number: 1545-1809
Title: 2002 Form 8882, Credit for Employer-Provided Child Care Facilities and Services.
Purpose of the Collection: Form 8882 is used by child care providers who acquire, construct, rehabilitate or expand property which is to be used as a qualified child care facility. The credit applies to cost incurred as operating expenses.

Why Increase Occurred: This was a new form for tax year 2002.

Change in Burden: 9,680,000 hours.

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

Agency: **Department of the Treasury**
OMB Control Number: 1545-1823
Title: 2003 e-Services Registration TIN Matching - Application and Screens for TIN Matching Interactive.

Purpose of the Collection: E-services is a system which permits the Internal Revenue Service to electronically communicate with third party users to support electronic filing and resolve tax administration issues.

Why Increase Occurred: This is a new product.

Change in Burden: 3,590,000 hours.

Statute Title and Public Law: Restructuring and Reform Act of 1998, P.L. 105-206.

Agency: Department of Veterans Affairs
OMB Control Number: 2900-0554
Title: Homeless Providers Grant and Per Diem Program, VAF 10-0361 Series.
Purpose of the Collection: To determine eligibility for a grants and per diem payments, and obtain information to ensure applicants will conduct the program for the purposes for which a grant and/or per diem award was made.
Why Increase Occurred: P.L. 107-95 established a grant and per diem program for the homeless.
Change in Burden: 10,840 hours.
Statute Title and Public Law: Homeless Veterans Comprehensive Assistance Act of 2001, P.L. 107-95

Agency: Department of Veterans Affairs
OMB Control Number: 2900-0630
Title: Regulation on Application for Fisher Houses and Other Temporary Lodging.
Purpose of the Collection: To determine if a veteran undergoing extensive treatment may have temporary lodging during their care.
Why Increase Occurred: VA is mandated to establish a program for providing temporary lodging under section 221(a) of the Veterans Benefits and Health Care Act of 2000.
Change in Burden: 83,333 hours.
Statute Title and Public Law: Veterans Benefits and Health Care Act of 2000, P.L. 106-419.

FY 2003 Burden Increases from Changing Regulations:

Agency: Department of Agriculture
OMB Control Number: 0579-0203
Title: Importation of Clementines from Spain.
Purpose of the Collection: To ensures that Spanish clementines are grown in accordance with the Medfly management program and that pre treatment and post-treatment requirements are met.
Why Increase Occurred: Regulations were amended to add requirements for Spanish clementines. The new requirements were necessary to address potential plant pests that could harm U.S. agriculture.
Change in Burden: 113,200 hours.

Agency: Department of Agriculture
OMB Control Number: 0579-0221
Title: Phytosanitary Certificates for Imported Articles to Prevent Introduction of Potato Brown Root.
Purpose of the Collection: To ensures that imported articles are either free of *Ralstonia solanacearum* rate 3 biovar 2 or that *Ralstonia solanacearum* rate 3 biovar 2 is not present in the region in which the articles were produced.
Why Increase Occurred: This is new program intended to mitigate the risk of introducing *Ralstonia solanacearum* rate 3 biovar 2, a bacteria that could harm U.S. Agriculture.
Change in Burden: 83,200 hours.

Agency: Department of Agriculture
OMB Control Number: 0579-0223
Title: Animal Welfare; Medical Records.
Purpose of the Collection: This information is collected and maintained by all licenses and registrants under the jurisdiction of the AWA. This agency uses this information to ensure that the animals are receiving proper medical care as mandated by the AWA.
Why Increase Occurred: In order to assess adequate veterinary care under the Animal Welfare Act, the agency required research facilities, dealers, and exhibitors to maintain medical records as part of their veterinary care program.

Change in Burden: 459,605 hours.

Agency: **Department of Agriculture**
OMB Control Number: 0579-0224
Title: Tuberculosis Testing for Imported Cattle.
Purpose of the Collection: Import permits are required to ensure that imported cattle are free of tuberculosis.
Why Increase Occurred: The agency imposed additional measures on imported cattle to protect against the spread of Tuberculosis in the U.S.
Change in Burden: 15,000 hours.

Agency: **Department of Agriculture**
OMB Control Number: 0583-0124
Title: E. coli Contamination in Beef Products.
Purpose of the Collection: To collect information on manufacturers compliance with regulations to protect beef products contamination from E. coli.
Why Increase Occurred: USDA published a rule that requires establishments to reassess their HACCP plans or prerequisite programs to ensure that beef contamination with E. coli 0157:H7 does not occur. Establishments that receive beef products for grinding must also provide the Agency information about the meat supplier when requested.
Change in Burden: 392,100 hours.

Agency: **Department of Agriculture**
OMB Control Number: 0584-0055
Title: Child and Adult Care Food Program.
Purpose of the Collection: To determine eligibility provide benefits to eligible participants.
Why Increase Occurred: To improve program operations at the State Agency and Institution levels. The change is a result of the proposed rule titled “Child and Adult Care Food Program: Improving Management and Program Integrity in the Child and Adult Care Food Program.” Discretionary changes in the rule will improve the program and, where feasible, streamline requirements for States and CACFP institutions.
Change in Burden: 16,992 hours.

Agency: **Department of Energy**
OMB Control Number: 1910-5122
Title: Human Reliability Program.
Purpose of the Collection: Requirements for occupying or continuing to occupy a Human Reliability Program position.
Why Increase Occurred: New collection.
Change in Burden: 54,000 hours.

Agency: **Department of Energy**
OMB Control Number: 1910-0300
Title: Environment Safety and Health.
Purpose of the Collection: To ensure that Departmental environment, safety and health resources and requirements are managed efficiently and effectively.
Why Increase Occurred: New collection as a result of the Safety Bases Requirements of Subpart B of 10 CFR Part 830.
Change in Burden: 64,425 hours.

Agency: **Federal Communications Commission**
OMB Control Number: 3060-0519

Title: Rules and Regulations Implementing the Telephone Consumer Protection Act (TCPA) of 1991, Notice of Proposed Rulemaking, CG Docket No. 02-278 and CC Docket No. 92-90.

Purpose of the Collection: The Commission sought comment on (1) the rules on auto-dialers, prerecorded or artificial voice messages, and telephone facsimile machines for unsolicited advertisements, (2) new rules for new technology, such as predictive dialers, answering machine detection, and other telemarketing practices, (3) requiring telemarketers to transmit or not block their caller ID, (4) fax broadcasters and the effectiveness of company specific do-not-call lists, and (5) the establishment of a national do-not-call list.

Why Increase Occurred: Burdens for company-specific do-not-call requirements, and requirements for common carriers to inform subscribers of the option to register with a national do-not-call list.

Change in Burden: 717,600 hours.

Agency: **Federal Communications Commission**
OMB Control Number: 3060-1025
Title: Section 101.1440 Multi-channel Video Distribution and Data Services (MVDDS) Protection of Direct Broadcast Satellites.

Purpose of the Collection: To determine the location of all DBS customers of record and obtain a signed written agreement from the customers of record agreeing to their Direct Broadcast Satellites system receiving MVDDS signal in excess of the appropriate Equivalent Power Flux Density (EPFD) limits.

Why Increase Occurred: This rule section was added to ensure MVDDS licensees' compliance with the Commission's Interference Rules.

Change in Burden: 14,160 hours.

Agency: **Federal Communications Commission**
OMB Control Number: 3060-1031
Title: Commission Rules to Ensure Compatibility with Enhanced 911 Emergency Calling Systems – Petition for Richardson, Texas, Order on Reconsideration

Purpose of the Collection: The information in a request for waiver of the E911 Phase II requirements is used to assist the Commission in judging whether the request has merit.

Why Increase Occurred: The Order is due to petitions for reconsideration of a previous Order which responded to a petition from the city of Richardson, Texas.

Change in Burden: 13,960 hours.

Agency: **Federal Communications Commission**
OMB Control Number: 3060-1032
Title: Commercial Availability of Navigation Devices and Compatibility Between Cable Systems and Consumer Electronic Equipment, CS Docket 97-80 and PP Docket No. 00-67.

Purpose of the Collection: To inform consumers whether and to what extent digital television receivers or other digital consumer electronics devices are compatible with digital cable systems.

Why Increase Occurred: New Collection for a proposed labeling regime and consumer disclosure requirements applicable to consumer electronics manufacturers.

Change in Burden: 36,667 hours.

Agency: **Federal Communications Commission**
OMB Control Number: 3060-1039
Title: Nationwide Programmatic Agreement Regarding the Section 106 National Preservation Act – Review Process.

Purpose of the Collection: The data is used by Commission staff, State Historic Preservation Officers, Tribal Historic Preservation Officers and the Advisory Council of Historic

Preservation to ascertain whether a proposed action may affect historic properties.

Why Increase Occurred: New collection.

Change in Burden: 73,800 hours.

Agency: **Federal Communications Commission**

OMB Control Number: 3060-1044

Title: Review of the Section 251 Unbundling Obligations of Incumbent Local Exchange Carriers, CC Docket No. 01-228, 96-98, 98-147, Report and Order and Order on Remand and Further Notice of Proposed Rulemaking.

Purpose of the Collection: To promote competition. Building entire new telephone networks, would be prohibitively expensive for new entrants. The Telecommunications Act of 1996 requires incumbent local exchange carriers to share certain elements of their local telephone networks, providing them to other carriers at reasonable prices on an unbundled basis.

Why Increase Occurred: The Commission adopted new rules for the availability “unbundled network elements” (UNEs) to competitive local exchange carriers from incumbent local exchange carriers, amended its standard for which network elements must be provided on an unbundled basis, and established eligibility criteria for combinations of unbundled network elements.

Change in Burden: 74,120 hours.

Agency: **Federal Trade Commission**

OMB Control Number: 3084-0097

Title: Telemarketing Sales Rule

Purpose of the Collection: To provide consumers or prospective donors with information necessary to make informed decisions and aid in determining compliance.

Why Increase Occurred: The Commission has amended the Rule to protect consumers further regarding emerging areas of fraud and abuse. Also, provisions were modified to expand their coverage to include charitable solicitations.

Change in Burden: 1,324,589 hours.

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

OMB Control Number: 0910-0513

Title: Applications for FDA Approval to Market a New Drug: Patent Listing Requirements and Application of 30-month Stays on Approval of Abbreviated New Drug Applications Certifying That a Patent Claiming a Drug Is Invalid or Will Not Be Infringed.

Purpose of the Collection: To amend FDA’s patent listing requirements for new drug applications (NDAs) and to clarify the types of patents that must and must not be listed and revise the declaration that NDA applicants must provide regarding their patents to help ensure that NDA applicants list only appropriate patents. This will also revise the regulations regarding the effective date of approval for certain abbreviated new drug applications (ANDA) and certain applications submitted under the FDCA.

Why Increase Occurred: New program.

Change in Burden: 499,805 hours.

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

OMB Control Number: 0910-0515

Title: Food Labeling: Trans Fatty Acids in Nutrition Labeling.

Purpose of the Collection: To be used by the consumer to assist him/her in constructing a diet consistent with dietary guidelines for limiting saturated fat intake.

Why Increase Occurred: FDA issued regulations that require the label to provide information on the amounts of fat and certain fatty acids in the food product. Similarly, FDA has issued regulations that specify the nutrition information that must be on the

label or labeling of dietary supplements. FDA is further requiring that the amount of *trans* fatty acids present in a food, including dietary supplements, be declared on the label and in labeling.
615,200 hours.

Change in Burden:

Agency: **Social Security Administration**
OMB Control Number: 0960-0671
Title: Video Teleconferencing Appearances before Administrative Law Judges, 404 Subpart J & 416 Subpart N.
Purpose of the Collection: To collect information for hearings before administrative law judges (ALJ's) via video teleconferencing (VTC).
Why Increase Occurred: The agency revised regulations to provide improve the hearing process. In addition, the form HA-504 was cleared with the regulation.
Change in Burden: 228,001 hours.

Agency: **Department of the Treasury**
OMB Control Number: 1545-1819
Title: REG-116041-01, Information Reporting and Backup Withholding for Payment Card Transactions.
Purpose of the Collection: The regulations provide that backup withholding does not apply to payment card transactions if the reportable payments are made through a Qualified Payment Card Agent (QPCA) and the payee is a qualified payee. Under the regulations, a QPCA must notify a cardholder/payor of any merchant/payees that are not qualified payees.
Why Increase Occurred: Amendments to the Employment Tax Regulations at 26 CFR part 31.
Change in Burden: 11,750,000 hours.

FY 2003 Burden Increases from Miscellaneous Causes:

Agency: **Department of Commerce**
OMB Control Number: 0648-0474
Title: Alaska Seabird Avoidance Program.
Purpose of the Collection: To reduce the bycatch of short-tailed albatrosses and other seabird species, in the hook and line fisheries for groundfish sablefish and Pacific halibut fisheries in waters off Alaska.
Why Increase Occurred: A biological opinion from the U.S. Fish and Wildlife Service, issued under the Endangered Species Act, required NOAA to take steps to minimize the possibility of endangered short-tailed albatrosses being accidentally taken in this fishery.
Change in Burden: 16,000 hours.

Agency: **Department of Commerce**
OMB Control Number: 0651-0032
Title: Initial Patent Applications.
Purpose of the Collection: To ensure that a patent application meets the necessary criteria, as outlined in the patent statute and regulations.
Why Increase Occurred: USPTO deployed the Electronic Filing System (EFS), so applications can be submitted electronically or on paper.
Change in Burden: 42,672 hours.

Agency: **Department of Commerce**
OMB Control Number: 0651-0035
Title: Representative and Address Provisions.
Purpose of the Collection: To determine who is authorized to take action in an application or patent and to send correspondence to the correct address

Why Increase Occurred: The USPTO added the Customer Number Upload Spreadsheet to allow a request in spreadsheet format to designate the correspondence address, fee address, or power of attorney information for a list of patents or applications by using a Customer Number. The USPTO also deleted form PTO/SB/84 Instruction Authorization Form, as the USPTO policy no longer applies.

Change in Burden: 13,849 hours.

Agency: **Department of Education**
OMB Control Number: 1830-0554
Title: Applications for Grants Under the Community Technology Centers Program.
Purpose of the Collection: To apply for and receive grants in this program.
Why Increase Occurred: The application package has been revised to incorporate a number of changes, including changes to the priorities for receiving funding. The revised application states more clearly what is expected of applicants in order to receive funds.

Change in Burden: 66,000 hours.

Agency: **Department of Education**
OMB Control Number: 1845-0068
Title: Federal Direct PLUS Loan Application and Master Promissory Note (PLUS MPN), and Endorser Addendum.
Purpose of the Collection: To apply for and agree to repay a Federal Direct PLUS Loan, or where an endorser agrees to repay the loan if the borrower does not repay it.

Why Increase Occurred: This was a new collection.

Change in Burden: 112,500 hours.

Agency: **Department of Education**
OMB Control Number: 1845-0076
Title: Federal Student Aid (FSA) Students Portal.
Purpose of the Collection: To make the college application process more efficient, faster, and accurate, by using automated and electronic procedures for financial aid and college applications, and provide a database for demographic information that will help FSA target the distribution of financial aid materials to specific groups of students and/or parents.

Why Increase Occurred: This new collection was added as a feature to the department's website. The system will result in increased efficiency and accuracy; however, as this is a new collection, new hours were required for its implementation.

Change in Burden: 200,000 hours.

Agency: **Environmental Protection Agency**
OMB Control Number: 2040-0211
Title: NPDES Storm Water Program Phase II.
Purpose of the Collection: To evaluate storm water discharges from small construction sites and small municipal separate storm sewer systems to ensure compliance with applicable permit requirements.

Why Increase Occurred: Several Phase II rule requirements were phased in and became effective in 2003.

Change in Burden: 4,901,984 hours.

Agency: **Environmental Protection Agency**
OMB Control Number: 2040-0250
Title: Concentrated Animal Feeding Operations.
Purpose of the Collection: To obtain information to enable NPDES permitting authorities develop required permits with appropriate limitations and conditions that will protect human health and the environment.

Why Increase Occurred: EPA expanded the scope of NPDES and ELG regulations for Concentrated Animal Feeding Operations (CAFO's) by regulating land application of manure, litter and wastewater generated at these facilities. The regulations expanded facilities covered to include dry chicken manure and immature animal operations, and require facilities defined as a CAFO to apply for an NPDES permit.

Change in Burden: 1,890,000 hours.

Agency: **Environmental Protection Agency**
OMB Control Number: 2040-0251
Title: 2003 Drinking Water Infrastructure Needs Survey.
Purpose of the Collection: To conduct a survey to estimate the capital investment needs for drinking water systems to: 1) estimate the cost of providing safe drinking water to consumers over a 20-year period, and 2) allocate Drinking Water State Revolving Fund monies among the States.

Why Increase Occurred: New program.

Change in Burden: 14,809 hours.

Agency: **Environmental Protection Agency**
OMB Control Number: 2050-0171
Title: NESHAP: Hazardous Waste Combustors
Purpose of the Collection: To enforce hazardous air pollutants standards.
Why Increase Occurred: EPA consolidated several rules and regulated facilities had to upgrade their pollution control devices, install monitoring equipment, and conduct monitoring and recordkeeping activities to ensure compliance.

Change in Burden: 80,264 hours.

Agency: **Environmental Protection Agency**
OMB Control Number: 2060-0088
Title: Consolidated Emissions Reporting.
Purpose of the Collection: To coordinate State emission inventory reporting requirements, and submitting of emissions data to EPA, to collect uniform and complete national, regional, and local inventory of air quality planning and attainment.
Why Increase Occurred: The burden estimate was adjusted as suggested by States and a new requirement was added for State and local respondents.

Change in Burden: 101,403 hours.

Agency: **Environmental Protection Agency**
OMB Control Number: 2060-0421
Title: Regional Haze Regulations.
Purpose of the Collection: To obtain reports from source owners within nine Western States on haze levels in accordance with recent regional haze rule revisions.
Why Increase Occurred: The rule changes provide for a specific program for States to develop and submit implementation plans to EPA, for sources to report SO2 emissions to States, and for States to review the emissions reports.

Change in burden: 11,688 hours.

Agency: **Environmental Protection Agency**
OMB Control Number: 2060-0460
Title: Information Requirements for Marine Diesel Engines.
Purpose of the Collection: Rule Compliance.
Why Increase Occurred: EPA added new emission standards for new non-road engines.
Change in Burden: 32,271 hours.

Agency: **Environmental Protection Agency**
OMB Control Number: 2060-0505

Title: National Emission Standards for Hazardous Air Pollutants: Municipal Solid Waste Landfills.

Purpose of the Collection: Compliance with regulations governing air pollutants in solid waste landfills.

Why Increase Occurred: This is a new program.

Change in Burden: 39,360 hours.

Agency: **Environmental Protection Agency**

OMB Control Number: 2060-0505

Title: National Emission Standards for Hazardous Air Pollutants: Municipal Solid Waste Landfills.

Purpose of the Collection: Rule Compliance.

Why Increase Occurred: New Rule.

Change in Burden: 39,360 hours.

Agency: **Environmental Protection Agency**

OMB Control Number: 2060-0509

Title: NESHAP for Reinforced Plastic Composites Production

Purpose of the Collection: Rule Compliance.

Why Increase Occurred: New Regulation.

Change in Burden: 13,785 hours.

Agency: **Environmental Protection Agency**

OMB Control Number: 2060-0511

Title: NESHAP for Paper and Other Web Coating

Purpose of the Collection: Rule Compliance.

Why Increase Occurred: New Regulation.

Change in Burden: 41,462 hours.

Agency: **Environmental Protection Agency**

OMB Control Number: 2060-0518

Title: National Emission Standards for Hazardous Air Pollutants: Metal Furniture Manufacturing (Surface Coating)

Purpose of the Collection: Compliance with regulations governing air pollutants from surface coatings used in metal furniture manufacturing.

Why Increase Occurred: This is a new program.

Change in Burden: 45,672 hours.

Agency: **Environmental Protection Agency**

OMB Control Number: 2060-0522

Title: National Emission Standards for Hazardous Air Pollutants: Printing, Coating, and Dyeing of Fabrics.

Purpose of the Collection: Compliance with regulations governing air pollutants from facilities involved with printing, coating, and dyeing of fabrics.

Why Increase Occurred: This is a new program requirement.

Change in Burden: 29,491 hours.

Agency: **Environmental Protection Agency**

OMB Control Number: 2060-0529

Title: National Emission Standards for Hazardous Air Pollutants: Hydrochloric Acid Production Industry.

Purpose of the Collection: Compliance with regulations.

Why Increase Occurred: This is a new rule governing the hydrochloric acid industry.

Change in Burden: 50,052 hours.

Agency: **Environmental Protection Agency**

OMB Control Number: 2060-0104

Title: Motor Vehicle Emission Standards and Emission Credits Provisions (Highway Motorcycles and Recreational Vehicles).

Purpose of the Collection: This information is necessary to ensure compliance with emission standards.

Why Increase Occurred: Changes to reporting requirements for highway motorcycles and new standards, testing, and reporting requirements for recreational vehicles.

Change in Burden: 26,669 hours.

Agency: **Environmental Protection Agency**

OMB Control Number: 2070-0162

Title: Toxic Substances Control Act (TSCA) Inventory.

Purpose of the Collection: To compile and maintain a listing of chemical substances manufactured, imported and processed for commercial purposes in the United States.

Why Increase Occurred: EPA amended its regulations to require reporting of certain exposure and use data to enable EPA to screen chemicals based on the potential for risk in order to protect human health and the environment.

Change in Burden: 413,557 hours.

Agency: **Environmental Protection Agency**

OMB Control Number: 2070-0165

Title: Voluntary Children's Chemical Evaluation Program (VCCEP).

Purpose of the Collection: To obtain information on health effects, exposure, risk, and additional data to evaluate the safety of chemicals to which children have a high likelihood of exposure, to support a risk management or regulatory action with respect to a given chemical.

Why Increase Occurred: This is a new information collection requirement as part of establishing a pilot for a new voluntary compliance program within the Office of Pollution Prevention and Toxics.

Change in Burden: 154,332 hours.

Agency: **Environmental Protection Agency**

OMB Control Number: 2070-0166

Title: Hospitals for a Healthy Environment (H2E) Program.

Purpose of the Collection: To gauge progress of facilities in the Hospitals for a Healthy Environment program and the success of the program; identify effective pollution prevention/waste reduction strategies to share with others; identify areas where additional technical assistance or information would be useful for participants; measure environmental outcomes of actions taken by facilities; and evaluate opportunities for improving the Program.

Why Increase Occurred: This is a new information voluntary program to recognize health care facilities and organizations that agree to meet prevention and reduction goals for mercury waste, reducing the overall volume of waste, and identifying pollution prevention opportunities.

Change in Burden: 10,110 hours.

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

OMB Control Number: 0925-0522

Title: The Sister Study: Environmental and Genetic Risks Factors for Breast Cancer.

Purpose of the Collection: To develop scientific bases for establishing risk and causation for breast cancer among American women.

Why Increase Occurred: National Institute of Environmental Health Sciences is researching causes and prevention of breast cancer.

Change in Burden: 63,438 hours.

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

OMB Control Number: 0938- 0679

Title: Durable Medicare Equipment Regional Carrier, Certificate of Medical Necessity and Supporting Documentation Requirements.
Purpose of the Collection: To ensure that services furnished by certain Medicare suppliers are medically necessary.
Why Increase Occurred: We added HHS's right to obtain supporting documentation for the certificates, as necessary, to ensure proper payment.
Change in Burden: 170,000 hours.

Agency: **Department of Health and Human Services**
OMB Control Number: 0970-0249
Title: Full Implementation of Head Start National Reporting System (HSNRS) on Child Outcomes.
Purpose of the Collection: An outcomes based accountability system was mandated in the President's *Good Start, Grow Smart* early childhood initiative to ensure assessment of the progress made by every Head Start preschool child.
Why Increase Occurred: Because of the need to conduct an assessment.
Change in Burden: 1,276,659 hours.

Agency: **Department of Homeland Security**
OMB Control Number: 1652-0013
Title: Aviation Security Customer Satisfaction Performance Measurement Passenger Survey.
Purpose of the Collection: To assess the TSA aviation security program in providing customer service while providing security.
Why Increase Occurred: TSA, a new agency, had no baseline for evaluation of customer satisfaction. By leading to improvement, this collection will reduce the burden of waiting in screening lines in the future.
Change in Burden: 35,167 hours.

Agency: **Department of the Interior**
OMB Control Number: 1010-0152
Title: Notice to Lessees and Operators (NTL)—Damage Caused by Hurricane Lili.
Purpose of the Collection: To assess the structural integrity of the platforms that may have been damaged by Hurricane Lili to determine if any of them pose a threat to continued safe operations or to the environment.
Why Increase Occurred: As a result, of Hurricane Lili in the Gulf of Mexico, MMS received reports of damage to Outer Continental Shelf (OCS) platforms. The NTL will provide MMS with information to identify problems and corrective action. The survey was completed.
Change in Burden: 36,960 hours.

Agency: **Department of the Interior**
OMB Control Number: 1018-0119
Title: Policy for Evaluation of Conservation Efforts When Making Listing Decisions.
Purpose of the Collection: To ensure that conservation efforts are meeting their intended goal of protecting imperiled wildlife or plants. This collection should decrease the number of listed endangered or threatened species of wildlife and plants.
Why Increase Occurred: This is a new program to collect conservation plans, and reports of conservation efforts.
Change in Burden: 16,600 hours.

Agency: **Department of the Interior**
OMB Control Number: 1029-0040
Title: Requirements for Permits for Special Categories of Mining - 30 CFR 785.
Purpose of the Collection: Required by sections 507, 508, 510, 515, 701 and 711 of the Surface Mining Control and Reclamation Act, for applicants for special types of mining

activities to provide descriptions, maps, plans and data of the proposed activity. Used to determine if applicants meet performance standards for the type of mining activity.

Why Increase Occurred: More thorough permit reviews in West Virginia and other Appalachian States as a result of a Consent Decree in a suit by West Virginia Conservation groups (Bragg v. Robertson). West Virginia refined the Approximate Original Contour Guidance Document to add significant evaluation and documentation for a permit applicant.

Change in Burden: 26,724 hours.

Agency: **Department of Labor**
OMB Control Number: 1205-0339
Title: Business Confidential Data Request and NAFTA Transitional Adjustment Assistance Confidential Data Request.

Purpose of the Collection: To determine whether imports have contributed to workers separations making them eligible for NAFTA Adjustment Assistance.

Why Increase Occurred: Implementation of a revised form with additional questions.
Change in Burden: 14,350 hours.

Agency: **Department of Labor**
OMB Control Number: 1205-0417
Title: PY 2002 Workforce Information Grant Plan and Annual Performance Report Gathering.

Purpose of the Collection: To assess customer satisfaction with State workforce information for an annual performance report, and as a condition for Workforce Information Core Products and Services reimbursable grants.

Why Increase Occurred: The increase results from adding a grant plan narrative, performance reports, customer satisfaction assessment and summary of findings to the requirements.
Change in Burden: 44,064 hours.

Agency: **Department of Labor**
OMB Control Number: 1218-0176
Title: Recording and Reporting Occupational Injuries and Illnesses.

Purpose of the Collection: To ensure uniformity of the safety and health data utilized by OSHA and the Bureau of Labor Statistics.

Why Increase Occurred: OSHA revised the criteria for recording occupational hearing loss, to increase protection against occupational hearing loss.
Change in Burden: 31,663 hours.

Agency: **Department of Labor**
OMB Control Number: 1218-0244
Title: OSHA Strategic Partnership Program for Worker Safety and Health.

Purpose of the Collection: To increase OSHA's impact on worker safety and health while maximizing OSHA's resources. An OSHA Strategic partnership helps workplace safety and beyond what is achievable through traditional enforcement methods and/or focus on individual sites.

Why Increase Occurred: The Agency increased the number of partnerships that will be participating in this program.
Change in Burden: 34,394 hours.

Agency: **Securities and Exchange Commission**
OMB Control Number: 3235-0278
Title: Rule 204.-2 under the Investment Advisers Act of 1940
Purpose of the Collection: The Commission uses the information required by rule 204.-2 in its examination and oversight program.

Why Increase Occurred: The Commission amended rule 204.-2 to require registered investment advisers that vote client proxies to maintain records of their policies and procedures required under rule 206(4)-6, copies or records of each proxy statement received with respect to the securities of clients for whom the adviser exercises voting authorities, a record of each vote cast, a record of all communications received and all internal documents created that were material to the adviser's decision on the vote, and a record of each client request for proxy voting information and the adviser's response.

Change in Burden: 124,060 hours.

Agency: **Securities and Exchange Commission**

OMB Control Number: 3235-0571

Title: Rule 206(4)-6 under the Investment Advisers Act of 1940.

Purpose of the Collection: Advisory clients use the information required by rule 206(4)-6 to assess investment advisers' proxy voting policies and procedures and to monitor an adviser's performance of its proxy voting activities.

Why Increase Occurred: The Commission adopted new rule 206(4)-6 to require investment advisers who vote client proxies to adopt policies and procedures to proxies are voted in the interest of the client and to disclose to clients information about those procedures and policies.

Change in Burden: 103,590 hours.

Agency: **Securities and Exchange Commission**

OMB Control Number: 3235-0578

Title: Form N-Q under the Investment Company Act of 1940 and the Securities Act of 1933, Quarterly Schedule of Portfolio Holdings of Registered Management Investment Companies.

Purpose of the Collection: To monitor the operations of registered investment companies so that the Commission can use inspection and document review resources effectively.

Why Increase Occurred: The Commission established a new Form N-Q to improve periodic disclosure provided by registered management investment companies ("funds") to their investors about fund investments. A fund will file its complete portfolio schedule as of the end of its first and third fiscal quarters with the Commission on the new Form.

Change in Burden: 197,000 hours.

Agency: **Securities and Exchange Commission**

OMB Control Number: 3235-0582

Title: Form N-PX under the Investment Company Act of 1940, Annual Report of Proxy Voting Record.

Purpose of the Collection: Required by the Investment Company Act of 1940 to provide investors with information to evaluate an investment in the fund.

Why Increase Occurred: The Commission adopted new Form N-PX.

Change in Burden: 74,880 hours.

Agency: **Department of Transportation**

OMB Control Number: 2120-0684

Title: Fractional Aircraft Ownership Programs.

Purpose of Collection: To allow the FAA to ensure that fractional ownership program aircraft operations maintain a high level of safety and allocate responsibility and authority for safety of flight operations for purposes of compliance with regulations.

Why Increase Occurred: This is a new information collection.

Change in Burden: 38,128 hours.

Agency: **Department of Transportation**

OMB Control Number: 2126-0001
Title: Driver’s Records of Duty Status.
Purpose of Collection: To determine compliance with the maximum driving and duty time limitation prescribed by the Federal Motor Carrier Safety Administration’s hours of service rules.
Why Increase Occurred: A final rule, titled “Safety Requirements for Operators of Small Passenger-Carrying Commercial Motor Vehicles Used in Interstate Commerce,” will add 22,000 drivers to the driver’s record of duty status requirements.
Change in Burden: 836,000 hours.

Agency: **Department of Transportation**
OMB Control Number: 2126-0003
Title: Inspection, Repair, and Maintenance.
Purpose of Collection: To ensure that motor carriers have adequate records to document the inspection, repair, and maintenance of their commercial motor vehicles, and to ensure adequate measures are taken to keep their commercial motor vehicles in safe and proper operating condition at all times.
Why Increase Occurred: A final rule “Safety Requirements for Operators of Small Passenger-Carrying Commercial Motor Vehicles Used in Interstate Commerce,” added 18,430 vehicles to the inspection, repair, and maintenance requirements of this information collection.
Change in Burden: 238,976 hours.

Agency: **Department of Transportation**
OMB Control Number: 2126-0011
Title: Commercial Driver Licensing and Testing Standards.
Purpose of Collection: To ensure that drivers of commercial motor vehicles are properly licensed in accordance with all applicable Federal requirements.
Why Increase Occurred: The final rule “CDL Standards, Requirements, and Penalties, CDL License Program Improvements and Noncommercial Motor Vehicle Violations” added burden to completing a CDL application.
Change in Burden: 88,069 hours.

Agency: **Department of Transportation**
OMB Control Number: 2137-0612
Title: “Hazardous Materials Security Plans.”
Purpose of Collection: Security plans will enable shippers and carriers to reduce the possibility that a hazardous materials shipment will be used as a weapon of opportunity by terrorists.
Why Increase Occurred: Docket HM-232, NPRM, “Security Requirements for Offerors and Transporters of Hazardous Materials” was published on May 2, 2002, proposing to require shippers and carriers of certain highly hazardous materials to develop and implement security plans.
Change in Burden: 1,207,500 hours.

Agency: **Department of the Treasury**
OMB Control Number: 1545-0029
Title: Employer’s Quarterly Federal Tax Return, 2003 Forms 941, 941-P and 941-SS.
Purpose of the Collection: Form 941 is used by employers to report payments made to employees subject to income and social security/Medicare taxes and the amounts of these taxes. Form 941-PR is used by employers in Puerto Rico to report social security and Medicare taxes only. Form 941-SS is used by employers in the U.S. possessions to report social security and Medicare taxes only.

Why Increase Occurred: Changes were made by IRS. A “Change to Note” was added to page 1 of the instructions, and the tax was revised under “Third Party Designee” on page 4 highlighting the enhanced third-party designee’s authority.

Change in Burden: 5,566,131 hours.

Agency: **Department of the Treasury**
OMB Control Number: 1545-0074
Title: U.S. Individual Income Tax Return, 2002 Form 1040 and Schedules.
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: Editorial changes were made to the Form 1040 instructions and Schedule E instructions. Two Code references were added, but checkboxes were deleted on line 6 of the new 2001 Capital Gain Tax Worksheet, Schedule J, to reduce taxpayer confusion.
Change in Burden: 8,269,155 hours.

Agency: **Nuclear Regulatory Commission**
OMB Control Number: 3150-0003
Title: NRC Forms 741 and 741A, Nuclear Material Transaction Report and Continuation Sheet.
Purpose of the Collection: To analyze the data and fulfill reporting responsibilities to International Atomic Energy Agency, NRC must record inventory changes, and transfers or receipts of certain nuclear material.
Why Increase Occurred: The form was revised to capture all information needed in accordance with the international agreements with the IAEA and new form instructions added.
Change in Burden: 18,438 hours

Agency: **Department of Veterans Affairs**
OMB Control Number: 2900-0091
Title: Application for Health Benefits, VA-10-10EZ, and addendum.
Purpose of the Collection: A form was added to collect race and ethnicity.
Why Increase Occurred: VA previously collected race and ethnicity using observation (clinical notes) and 1977 categories. The change in the method of collection was necessary to implement new OMB guidelines.
Change in Burden: 41,667 hours.

Agency: **Department of Veterans Affairs**
OMB Control Number: 2900-0570
Title: Generic Veterans Health Administration Customer Satisfaction Surveys.
Purpose of the Collection: To measure the efficacy of process improvement interventions for areas of poor performance and measure performance in the specific areas of the medical facility.
Why Increase Occurred: Emphasis on quality improvement and the ease with which respondents and administrators of surveys can use the PULSE hand held collection devices.
Change in Burden: 33,548 hours.

Agency: **Department of Veterans Affairs**
OMB Control Number: 2900-0642
Title: USAA/Hartford Insurance Refund Claim Request, VAF 10-0406.
Purpose of the Collection: To collect information from veterans insured by USAA and Hartford who paid VA co-payments for their VA care from January 1, 1995, through December 31, 2001, in order to determine their eligibility for a refund.
Why Increase Occurred: Litigation challenging VA’s right to collect pursuant to its authority in 38 U.S.C. § 1729, under health insurance plans issued to veterans insured by United Services Automobile Association (USAA), and Hartford Life Insurance

Company has been settled. Eligible veterans may file a claim for a refund to be paid on a first-come, first-served basis until the funds are exhausted.
Change in Burden: 12,000 hours.

Agency: **Department of Veterans Affairs**
OMB Control Number: 2900-0646
Title: Medication Prescribed by Non-VA Physicians.
Purpose of the Collection: To determine eligibility for medication to veterans enrolled in the VA health care system during the period of time the enrollee is awaiting a scheduled appointment with a VA health care provider.
Why Increase Occurred: To ease the financial burden on enrolled veterans currently waiting lengthy periods of time for a primary care visit, VA will provide veterans with medications prior to their initial primary care visits at VA if these veterans present valid prescriptions from their non-VA physicians.
Change in Burden: 33,316 hours.

Agency: **Social Security Administration**
OMB Control Number: 0960-0145
Title: Statement for Determining Continuing Eligibility for Supplemental Security Income (SSI) Payment/ SSA-8202-BK & SSA-8202-OCR-SM (Optical Character Recognition-Self Mailer).
Purpose of Collection: To determine whether SSI recipients have met and continue to meet SSI eligibility requirements, and whether they have been and are receiving the correct payment amount.
Why Increase Occurred: As a result of a court settlement, a form was revised and expanded.
Change in Burden: 15,333 hours.

Agency: **Social Security Administration**
OMB Control Number: 0960-0416
Title: Statement for Determining Continuing Eligibility for Supplemental Security Income Payments/ SSA-8203-BK.
Purpose of Collection: Used in high-error probability (HEP) redetermination cases to ascertain whether SSI recipients have met and continue to meet all statutory and regulatory requirements for SSI eligibility, and whether they have been and are still receiving the correct payment amount.
Why Increase Occurred: A question was revised and increased the time required to answer the question.
Change in Burden: 15,333 hours.

Agency: **Social Security Administration**
OMB Control Number: 0960-0526
Title: Voluntary Customer Surveys in Accordance with Executive Order 12862.
Purpose of Collection: Under Executive Order 12862, the Social Security Administration conducts ongoing customer satisfaction surveys to determine whether services offered are what the general public want and expect. In addition, SSA measures customer satisfaction with existing service.
Why Increase Occurred: The survey plan is for many new survey activities which cause the additional burden hours.
Change in Burden: 22,238 hours.

Agency: **Social Security Administration**
OMB Control Number: 0960-0643
Title: Statement for Determining Continuing Eligibility for Supplemental Security Income (SSI) Payments-Adults; Statement for Determining Continuing Eligibility for SSI payments – Child/ SSA-3988 and SSA-3989.
Purpose of the Collection: SSA is conducting a test using forms SSA-3988-TEST and SSA-3989-TEST to determine the feasibility of using new mail-in redetermination forms which SSI

Why Increase Occurred:	recipients will complete and return without an SSA representative's direct involvement. SSA conducted the redetermination test in several phases. This phase expanded the sample size from the original 20,000 in phase I to 55,000 for Phase II, which led to an increase in public reporting burden.
Change in Burden:	11,666 hours.
Agency:	Social Security Administration
OMB Control Number:	0960-0669
Title:	Employee Verification Service (EVS).
Purpose of the Collection:	To verify the name and Social Security Number of an employee at the time of hire.
Why Increase Occurred:	This is the initial clearance of EVS.
Change in Burden:	83,333 hours.

FY 2004 Significant Burden Reductions

FY 2004 Burden Reductions from Cutting Redundancy:

Agency: Department of Health and Human Services
OMB Control Number: 0920-NEW
Title: National Healthcare Safety Network.
Purpose of the collection: To coordinate information and resources among stakeholders, and to protect patients and healthcare personnel by promoting healthcare safety. Data will be used to determine the magnitude of healthcare-associated adverse events and trends among patients and healthcare personnel with similar risks or exposures. Data will be gathered on antibiotic resistance to describe the epidemiology of antibiotic resistance and to understand the role of anti-microbial therapy to this growing problem.
How Reduction Achieved: Three surveillance systems:

- The National Nosocomial Infections Surveillance (NNIS) system;
- National Surveillance System for Health Care Workers;
- National Surveillance System for Health Care Workers

were expanded and consolidated into one system.
Change in Burden: -49,759 hours.

Agency: Department of Veterans Affairs
OMB Control Number: 2900-0091
Title: Application and Renewal for Health Benefits.
Purpose of the Collection: To determine eligibility for cost-free health care, priority for enrollment in the VA healthcare system, long-term care, mileage reimbursement and prescription co-payment exemption and enroll veterans into the VA health care system.
How Reduction Achieved: VA streamlined data collection by redesigning the VA Form 10-10EZ to incorporate the Supplement to the VAF 10-10EZ, Questions on Race and Ethnicity. Additional collection will be streamlined with the new VA Form 10-10EZR, which will be used by veterans to update their personal information. The VA Form 10-10EZR will eliminate the duplication of information that does not change.
Change in Burden: -541,667 hours.

Agency: Department of Veterans Affairs
OMB Control Number: 2900-0570
Title: Veterans Health Administration Customer Satisfaction Surveys.
Purpose of the Collection: To measure the efficacy of process improvement. Baseline data obtained is used to measure performance in the specific areas of the facility.
How Reduction Achieved: Monthly sampling for the national surveys to provide facilities with timely feedback and eliminate duplicate local surveys.
Change in Burden: -81,262 hours.

FY 2004 Burden Reductions from the Use of Information Technology:

Agency: Federal Acquisition Regulations
OMB Control Number: 9000-0047
Title: Place of Performance.
Purpose of Collection: The place of performance and owner of plant or facility, if other than the prospective contractor, is a basic requirement when contracting for supplies or services (including construction).

How Reduction Achieved: Contractors' may provide information electronically via the E-Government Integrated Acquisition Environment initiative.
Change in Burden: -27,234 hours.

Agency: **Federal Acquisition Regulations**
OMB Control Number: 9000-0090
Title: Rights in Data and Copyrights.
Purpose of Collection: To protect a contractor's proprietary data and insure that data developed with public funds is available to the public. To evaluate research, ascertain future activities, and to provide the public an opportunity to assess the research results and secure additional information.

How Reduction Achieved: Contractors' may provide information electronically rather than manually.
Change in Burden: -10,490 hours.

Agency: **Federal Acquisition Regulations**
OMB Control Number: 9000-0094
Title: Debarment and Suspension.
Purpose of Collection: To determine the responsibility of prospective contractors, and to ensure that contractors protect the interests of the Government when issuing subcontracts under Government contracts.

How Reduction Achieved: Contractors' may provide information electronically rather than manually via the E-Government Integrated Acquisition Environment initiative.
Change in Burden: -32,083 hours.

Agency: **Federal Acquisition Regulations**
OMB Control Number: 9000-0097
Title: Information Reporting to the Internal Revenue Service (Taxpayer Identification Number).
Purpose of Collection: To implement statutory and regulatory requirements pertaining to taxpayer identification and reporting.
How Reduction Achieved: Contractors' may provide information electronically rather than manually via the E-Government Integrated Acquisition Environment initiative.
Change in Burden: -105,000 hours.

Agency: **Federal Acquisition Regulations**
OMB Control Number: 9000-0134
Title: Environmentally Sound Products.
Purpose of Collection: To comply with the Resource Conservation and Recovery Act which requires the Environmental Protection Agency (EPA) to designate items that are or can be produced with recovered materials., and agencies to develop affirmative procurement programs to ensure that items composed of recovered materials will be purchased to the maximum extent practicable.
How Reduction Achieved: Contractors' may provide information electronically rather than manually via the E-Government Integrated Acquisition Environment initiative.
Change in Burden: -11,261 hours.

Agency: **Federal Acquisition Regulations**
OMB Control Number: 9000-0139
Title: Environmentally Sound Products.
Purpose of Collection: To implement Executive Order 12969 of August 8, 1995, "Federal Acquisition and Community Right-to-Know" and the Environmental Protection Agency's "Guidance Implementing Executive Order 12969; Federal Acquisition; Community Right-to-Know; Toxic Chemical Release Reporting." To certify that contractors comply with toxic chemical release reporting requirements.
How Reduction Achieved: Contractors' may provide information electronically via the E-Government Integrated Acquisition Environment initiative.

Change in Burden: -25,123 hours.

FY 2004 Burden Reductions from Changing Regulations:

Agency: Department of Agriculture
OMB Number: 0575-NEW
Title: Streamlining and Consolidation of the Sections 514, 515, 516, and 521 Multi-Family Housing (MFH) Programs.
Purpose of the Collection: To ensure MFH applicants meet program requirements and repay loans.
Why Increase Occurred: USDA will consolidate thirteen regulations into a single regulation. This action is being taken to reduce regulations, assure quality housing for residents, improve customer service, and improve the Agency's ability to manage the MFH portfolio.
Change in Burden: -894,833 hours.

Agency: Department of Agriculture
OMB Control Number: 0584-0293
Title: Food Distribution Forms.
Purpose of the Collection: Administration of USDA domestic commodity assistance programs.
How Reduction Achieved: Changes in the Older Americans Act Amendments of 2000; incorporation of Information Collection #0584-0385 (TEFAP Administrative Costs Form) into information collection #0584-0293; establishment of a pilot project for the Food Distribution Program on Indian Reservations; and changes to 7CFR Part 247 resulting from the Commodity Supplemental Food Program Plain Language Proposed Rule. Three types of actions are involved:
(1) Legislative: PL108-7 amended the Older Americans Act of 1965 to transfer program administration to HHS, thus eliminating the associated USDA reporting and recordkeeping burden.
(2) Regulatory: A proposed rule at 7CFR Part 247 revised regulations for the Commodity Supplemental Food Program (CSFP) and reduced reporting burden for State Plan submissions. The regulation also reduced the frequency of reporting.
(3) Other Agency Actions: Information collection #0584-0385 was added to 0584-0293. A pilot project streamlined commodity ordering and delivery to participating Indian Tribal Organizations but increased some recordkeeping and reporting burdens.
Change in Burden: -88,244 hours .

Agency: Department of Commerce
OMB Control Number: 0651-0021
Title: Patent Cooperation Treaty.
Purpose of the Collection: To apply for an international patent under the Patent Cooperation Treaty (PCT). PCT provides format and filing procedures for one international application to seek protection for an invention in more than 100 designated countries.
How Reduction Achieved: PCT regulations simplified the application process and fee structure deleted two forms and simplified the requirements for signatures and powers of attorney.
Change in Burden: -10,232 hours.

Agency: Department of Defense
OMB Control Number: 0704-0229
Title: Defense Federal Acquisition Regulation Supplement (DFARS) Part 225, Foreign Acquisition, and related clauses at Part 252.225.
Purpose of Collection: To ensure contractor compliance with restrictions on the acquisition of foreign products and trade agreements and memoranda of understanding that promote

reciprocal trade with U.S. allies. Department of Commerce requires the info from DoD re the Balance of Payments Program.

How Reduction Achieved: Several rules relating to Part 225 result in reductions to the contractor community; such as, elimination of the clause at 252.225-7003, Information for Duty-Free Entry evaluation (- 21,451 hours); revisions to the requirements for the clause 252.225-7005, Identification of Expenditures in the United States (- 189 hours); elimination of the requirement for offerors to track and document the origin of components of U.S.-made end products in acquisitions subject to the Trade Agreements Act (- 248 hours). As part of DFARS Transformation, the DAR Council is processing a proposed rule to streamline the restrictions relating to acquisition of ball and roller associated with the clause at DFARS 252.225-7016 (-301,600 hours).

Change in Burden: -323,488 hours.

Agency: **Environmental Protection Agency**
OMB Control Number: 2050-0085
Title: Land Disposal Restrictions.
Purpose of the Collection: These regulations prohibit the land disposal of hazardous waste unless it meets specified treatment standards or is disposed of in a land disposal unit that satisfies the "no-migration" standard. Specifically, HSWA specifies dates when particular groups of hazardous wastes are prohibited from land disposal (except in no-migration units).

How Reduction Achieved: EPA is finalizing five regulatory amendments, and eliminating the separate waste determination under 40 CFR 268.7(a)(1).

Change in Burden: -872,370 hours.

Agency: **Environmental Protection Agency**
OMB Control Number: 2050-0050
Title: Hazardous Waste Specific Unit Requirements, and Special Waste Process and Types.
Purpose of the Collection: Information related to standards for hazardous waste treatment, storage, and disposal facilities.

How Reduction Achieved: EPA proposed 79 regulatory amendments which were mostly to eliminate unnecessary reporting requirements, where existing operating and release response requirements are sufficient. Other requirements were modified to reduce the frequency of report submitted.

Change in Burden: -49,514 hours.

Agency: **Federal Communications Commission**
OMB Control Number: 3060-0307
Title: Amendment of Part 90 of the Commission's Rules to Facilitate Development of Specialized Mobile Radio (SMR) Systems in the 800 MHz Frequency Band.
Purpose of the Collection: To promote regulatory parity for commercial mobile radio services, and encourage participation of a variety of applicants and small businesses in the SMR industry.

How Reduction Achieved: Rules were established to streamline the licensing process for SMR services and provides a flexible operating environment for licensees, and promotes the delivery of service to all areas of the country, including rural areas.

Change in Burden: -22,209 hours.

Agency: **Federal Energy Regulatory Commission**
OMB Control Number: 1902-0058 & 1902-00115
Title: Application for License/Relicense for Water Projects with More than 5 MW Capacities (FERC- 500) and Application for License/Relicense for Water Projects less than 5 MW Capacity (FERC-505).

Purpose of the Collection: To apply for a license to operate hydroelectric projects on waters over which Congress has jurisdiction or to operate non-Federal hydroelectric plants.
How Reduction Achieved: FERC integrated a license applicant's pre-filing consultation with the Commission's scoping provisions under the National Environmental Policy Act. FERC estimates that 60 per cent of license applicants for hydropower projects will use the integrated licensing review provisions.
Change in Burden: FERC-500, 656,880 hours. (program change), 538,924 hours. (adjustment) FERC-505, 153,100 hours. (program change).

Agency: **Nuclear Regulatory Commission**
OMB Control Number: 3150-0011
Title: 10 CFR 50, Domestic Licensing of Production and Utilization Facilities.
Purpose of the Collection: To allow the NRC may promote the health and safety of the public in accordance with the Atomic Energy Act of 1954. Technical information and data must be provided to the NRC or maintained by applicants and licensees of nuclear power plants, research, and test reactors
How Reduction Achieved: NRC published a final rule to update 10 CFR50.55a to incorporate ASME Addendas and Editions that are less burdensome, reduce some reports to one-time completion and allow the use of Standard Technical Specifications which standardize requirements and reduce the number of reports required to be submitted to NRC.
Change in Burden: -128,444 hours.

Agency: **Nuclear Regulatory Commission**
OMB Control Number: 3150-0008
Title: 10 CFR Part 71, Packaging and Transportation of Radioactive Material.
Purpose of the Collection: Governs packaging, preparation for shipment, and transportation of licensed material, and NRC approval of packaging and shipping procedures for fissile material and certain quantities of licensed material.
How Reduction Achieved: Non-licensee, non-certificate holder fabricators and radiographers are no longer required to respond under this regulation. Also, the requirement for each package to be uniquely identified has been met, thus, package marking requirements are no longer performed.
Change in Burden: -17,226 hours.

Agency: **Nuclear Regulatory Commission**
OMB Control Number: 3150-0104
Title: NRC Forms 366 and 366A, "Licensee Event Report and Continuation Pages."
Purpose of the Collection: To collect reports of significant reactor events and problems and identify and resolve threats to public safety. The reports provide information for engineering studies of operational anomalies and trends and patterns of operational occurrences to aid in identifying accident precursors.
How Reduction Achieved: NRC published a final rule that eliminated reporting for non-significant events.
Change in Burden: -36,500 hours.

FY 2004 Burden Reductions from Changing Forms:

Agency: **Federal Acquisition Regulations**
OMB Control Number: 9000-0004
Title: Architect-Engineer and Related Services Questionnaire.
Purpose of Collection: To obtain uniform information about a firm's experience in architect-engineering (A-E) projects annually from firms wishing to be considered for Government A-E contracts.
How Reduction Achieved: The SF 254 will be eliminated in June 2004 and replaced by SF 330, Architect Engineer Qualifications.
Change in Burden: -35,000 hours

Agency: **Federal Acquisition Regulations**
OMB Control Number: 9000-0005
Title: Architect-Engineer and Related Services Questionnaire for Specific Project, SF-255.
Purpose of Collection: To obtain information from architect-engineer (A-E) firms interested in a particular project. to assists in selecting the most qualified firm for a project, and determine if a firm is qualified to perform a specific project.
How Reduction Achieved: The SF 255 will be eliminated in June 2004 and replaced by SF 330, Architect Engineer Qualifications.
Change in Burden: -24,000 hours.

FY 2004 Burden Reductions from Miscellaneous Causes:

Agency: **Department of Education**
OMB Control Number: 1810-0665
Title: Accountability for Students with the most significant cognitive disabilities under the Elementary and Secondary Education Act (ESEA).
Purpose of the Collection: A regulation had required information to be collected to ensure accountability for students with disabilities.
How Reduction Achieved: There is no longer a school district or school level reporting requirement.
Change in Burden: -135,554 hours.

Agency: **Environmental Protection Agency**
OMB Control Number: 2050-0139
Title: Reporting and Recordkeeping Requirements under EPA's Wastewise Program.
Purpose of the Collection: The Wastewise program encourages organizations, governments, and schools to engage in waste reduction activities, through waste prevention, recycling, and purchasing or manufacturing recycled-content products.
How Reduction Achieved: Fewer and simpler forms.
Change in Burden: -35,738 hours.

Agency: **Environmental Protection Agency**
OMB Control Number: 2060-0347
Title: Activities Associated with EPA's ENERGY STAR Program in the Commercial and Industrial Sectors.
Purpose of the Collection: EPA ENERGY STAR focuses on incentives, tools, and other resources on the Web to help evaluate energy performance and investing in profitable improvements.
How Reduction Achieved: The ENERGY STAR program was streamlined to reduce burden.
Change in Burden: -134,371 hours.

Agency: **Federal Energy Regulatory Commission**
OMB Control Number: 1902-0174
Title: Standards for Business Practices of Interstate Natural Gas Pipelines, FERC-549C (RM96-1-000).
Purpose of the Collection: To investigate rates charged by natural gas pipeline companies and make sure the rates are reasonable.
How Reduction Achieved: FERC adopted standards to provide additional flexibility to shippers, and standardize business practices and improved standards for capacity release scheduling, title transfer tracking, imbalance netting and trading, and for conducting business electronically over the Internet. Also, FERC adopted "partial day recall" standards to provide shippers flexibility to recall capacity, while ensuring replacement shippers receive sufficient notice to allow them to reschedule their capacity.
Change in Burden: -612,125 hours.

Agency: Federal Energy Regulatory Commission
OMB Control Number: 1902-0154
Title: Gas Pipeline Rates.
Purpose of the Collection: To obtain FERC authorization for rates and charges for the transportation or sale of natural gas. FERC investigates rates charged by natural gas pipelines for whether those rates are reasonable and may prescribe reasonable rates.
How Reduction Achieved: FERC adopted regulations to standardize the business practices and communication methodologies of interstate pipelines to create a more integrated and efficient pipeline grid.
Change in Burden: -83,055 hours.

Agency: Department of Health and Human Services
OMB Control Number: 0938-0357
Title: Home Health Services Under Hospital Insurance.
Purpose of the Collection: To ensure reimbursement is made only for services covered and necessary under.
How Reduction Achieved: The attending physician was required to sign the form 485 or the plan of care authorizing the home health services for a period not to exceed 60 days. The form is no longer required.
Change in Burden: -1,583,333 hours.

Agency: Department of Health and Human Services
OMB Control Number: 0938-0791
Title: A Project to Develop an Outcome-Based Continuous Quality Improvement System and Core Comprehensive Assessment Data Set for PACE.
Purpose of the Collection: To provide CMS with a data set to be used uniformly across PACE sites to assess the health status of PACE participants and to monitor the outcomes of care provided to PACE participants.
How Reduction Achieved: The feasibility and reliability components of the field test were completed and expansion of use of the Core Outcomes and Comprehensive Assessment, and expansion of the Utilization Form.
Change in Burden: -11,981 hours.

Agency: Department of Veterans Affairs
OMB Control Number: 2900-0335
Title: Dental Record Authorization and Invoice for Outpatient Service, VA Form 10-2570d.
Purpose of the Collection: To list a veteran patient's dental treatment needs, the cost to VA to provide such services, and provide an invoice for payment. To request information on the veteran's oral condition, treatment needs and the usual and customary fees for these services from the private fee dentist whom the veteran has selected.
How Reduction Achieved: The program change reflects VA's effort to decrease the Fee Dental Program by accomplishing more dental work in-house.
Change in Burden: -10,180 hours.

FY 2004 Burden Reductions from a Statutory Change:

Agency: Department of Agriculture
OMB Control Number: 0584-0085
Title: Food Stamp Redemption Certificate.
Purpose of the Collection: Regulatory
How Reduction Achieved: EBT issuance of food stamps will be nationwide by October 1, 2004. If stores are no longer accepting coupons, the redemption certificates will not be used. We no longer automatically send out redemption certificates to stores.
Change in Burden: -74,535 hours.

Statute Title and Public Law: Personal Responsibility and Work Opportunity Reconciliation Act of 1996, P.L. 104-193.

FY 2004 Significant Burden Increases

FY 2004 Burden Increases Resulting from Statute:

Agency: Department of Agriculture
OMB Control Number: 0570-New
Title: Renewable Energy Systems and Energy Efficiency Improvements.
Purpose of the Collection: To implement a new statutory requirement.
Why Increase Occurred: New program/regulation.
Change in Burden: 32,145 hours.
Statute Title and Public Law: The Farm Security and Rural Investment Act of 2002, P.L. 107-171.

Agency: Department of Agriculture
OMB Control Number: 0581-New
Title: Recordkeeping and Records Access Requirements for Producers & Food Facilities.
Purpose of the Collection: For retailers to inform customers of the specific origin of covered commodities.
Why Increase Occurred: New statutory requirement. USDA must implement a program that requires retailers to notify their customers of the country of origin of covered commodities beginning September 30, 2004. When the rule is final, changes in the burden are expected and estimates will be revised with the final rule.
Change in Burden: 108,271 hours.
Statute Title and Public Law: The Farm Security and Rural Investment Act of 2002, P.L. 107-171.

Agency: Department of Agriculture
OMB Control Number: 0584-0064
Title: Food Stamp Forms: Applications, Periodic Reporting, Notices.
Purpose of the Collection: To apply for and receive food stamp benefits. Information is to assure households are eligible and receive the correct amount of food stamp benefits.
Why Increase Occurred: The increase is the result of P.L. 107-171, which reduced some burden but also added new burden on State agencies: (1) Make food stamp applications available in each language that paper versions are printed; (2) Rely on information from the State's Child Support Enforcement agency in determining a household's child support deduction or exclusion; (3) If disregard changes in deductions include on report forms that changes affecting deductions will not be acted on until the next re-certification; (4) Those choosing to provide transitional benefits to families leaving TANF must send affected households a "Transition Notice" advising of new requirements; and (5) Have the option of extending simplified reporting to all food stamp households, which requires households to report when their gross income exceeds 130 percent of the poverty threshold and to submit a report on their circumstances every six months.
Change in Burden: 571,507 hours
Statute Title and Public Law: The Farm Security and Rural Investment Act of 2002 (FSRIA), P.L. 107-171.

Agency: Department of Health and Human Services
OMB Control Number: 0910-0502
Title: Registration of Food Facilities Under the Public Health Security and Bioterrorism Preparedness and Response Act of 2002

Purpose of the Collection: The Bioterrorism Act requires registration of facilities that manufacture/process, pack or hold food intended for consumption in the U.S.
Why Increase Occurred: Compliance with the Bioterrorism Act.
Change in Burden: 521,831 hours.
Statute Title and Public Law: Public Health Security and Bioterrorism Preparedness and Response Act of 2002, Public Law 107-188.

Agency: **Department of Health and Human Services**
OMB Control Number: 0910-0512
Title: Maintenance and Inspection of Records for Foods.
Purpose of the Collection: When an article of food may be adulterated and threaten adverse health consequences to humans or animals, the Secretary may access all records needed to determine the threat level.
Why Increase Occurred: The increase occurred so the Secretary could gather relevant information regarding potentially adulterated articles of food.
Change in Burden: 9,372,000 hours.
Statute Title and Public Law: Public Health Security and Bioterrorism Preparedness and Response Act of 2002, Public Law 107-188.

Agency: **Department of Health and Human Services**
OMB Control Number: 0910-0520
Title: Prior Notice of Imported Food Shipments.
Purpose of the Collection: To obtain prior notice regarding imported food shipments.
Why Increase Occurred: The item represents a new collection.
Change in Burden: 2,836,781 hours.
Statute Title and Public Law: Public Health Security and Bioterrorism Preparedness and Response Act of 2002, Public Law 107-188.

Agency: **Department of Homeland Security**
OMB Control Number: 1600-0006
Title: U.S. Visitor and Immigrant Status Indicator Technology (US-VISIT).
Purpose of the Collection: To collect, maintain, and share information on foreign nationals in order to enhance national security, facilitate legitimate trade and travel, and ensure the integrity of our immigration system. Information collected is used to verify the identity of covered individuals when entering or leaving the U.S. and to make better admissibility decisions.
Why Increase Occurred: Statutory requirement.
Change in Burden: 2,600 hours.
Statute Title and Public Law: The requirements of the electronic entry-exit system are included in the various provisions of the:

- Immigration Reform Control Act of 1986, Public Law 99-603.
- Illegal Immigration Reform and Immigrant Responsibility Act of 1996, Public Law 104-208.
- Immigration and Nationalization Service Data Management Improvement Act of 2000 (DMIA), Public Law 106-215.
- Visa Waiver Permanent Program Act (VWPPA), Public Law 106-396.
- USA Patriot Act, Public Law 107-56.
- Enhanced Border Security and Visa Entry Reform Act of 2002 (“Border Security Act”), Public Law 107-173.
- Homeland Security Act of 2002, Public Law 107-296, Section 428.

Agency: **Department of Homeland Security**
OMB Control Number: 1640-0001
Title: Support Anti-terrorism by Fostering Effective Technologies Act of 2002 – SAFETY ACT Application Kit.

Purpose of the Collection: The Homeland Security Act of 2002 includes several liability protections for the providers of anti-terrorism technologies. The SAFETY Act provides incentives for the development and deployment of anti-terrorism technologies by creating a system of risk management and litigation management.

Why Increase Occurred: Required by new statute.

Change in Burden: 120,000 hours.

Statute Title and Public Law: Homeland Security Act of 2002 and Support Anti-Terrorism by Fostering Effective Technologies Act of 2002, Public Law 107-296

Agency: **Securities and Exchange Commission**

OMB Control Number: 3235-0059

Title: Regulation 14 and Schedule 14A (Commission Rules 14a-1 through 14a-15).

Purpose of the Collection: Regulation 14A and Schedule 14A specify the information to be disclosed in proxy statements to security holders of companies registered under Section 12 of the Securities Exchange Act 1934 or registered under the Investment Company Act of 1940 to enable them to make informed investment decisions.

Why Increase Occurred: Securities Act Release No. 8154 amended Regulation 14 to provide more detailed information regarding the categories of fees paid by the registrant to the auditor and to inform investors about the critical role that audit committees play in assuring the auditor's independence.

Change in Burden: 27,665 hours.

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

Agency: **Securities and Exchange Commission**

OMB Control Number: 3235-0063

Title: Form 10-K, Annual Reports.

Purpose of the Collection: Every issuer that is subject to Sections 13(a) and 15(d) under the Exchange Act must file periodic and current reports with the Commission containing information about its business and financial condition.

Why Increase Occurred: The Commission has amended its rules to require companies subject to the reporting requirements of the Securities Exchange Act of 1934, other than registered investment companies, to include in their annual reports a report of management on the company's internal control over financial reporting.

Change in Burden: 2,712,522 hours.

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

Agency: **Securities and Exchange Commission**

OMB Control Number: 3235-0070

Title: Form 10-Q, Quarterly Reports.

Purpose of the Collection: Sections 13(a) and 15(d) of the Exchange Act require reports about business condition and important events.

Why Increase Occurred: SEC amended its rules to require companies to include in their annual reports a report of management on the company's internal control over financial reporting, and a public accounting firm's attestation report as part of its annual report.

Change in Burden: 140,276 hours.

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

Agency: **Securities and Exchange Commission**

OMB Control Number: 3235-0288

Title: Form 20-F, Foreign Private Issuers.

Purpose of the Collection: Sections 13(a) and 15(d) of the Exchange Act require reports about business condition and important events. Form 20-F may be used by foreign private issuers to file their annual reports.

Why Increase Occurred: The Commission amended its reporting requirements to require a report of management on the company's internal control over financial reporting.

Change in Burden: 104,942 hours.
Statute Title and Public Law: Sarbanes-Oxley Act of 2002, P.L.107-204.

Agency: **Securities and Exchange Commission**
OMB Control Number: 3235-0381
Title: Form 40-F.
Purpose of the Collection: Sections 13(a) and 15(d) of the Exchange Act require reports about business condition and important events.
Why Increase Occurred: The Commission changed its rules to require companies to include in their annual reports a report of management on the company's internal control over financial reporting, and its accounting firm's attestation report.

Change in Burden: 12,161 hours.
Statute Title and Public Law: Sarbanes-Oxley Act of 2002, P.L.107-204.

Agency: **Securities and Exchange Commission**
OMB Control Number: 3235-0416
Title: Form 10-QSB, Quarterly Report for Small Business.
Purpose of the Collection: Sections 13(a) and 15(d) of the Exchange Act require reports about business condition and important events. Form 10-QSB may be used by small business issuers as a quarterly report form.
Why Increase Occurred: The Commission changed its rules to require companies to include in their annual reports a report of management on the company's internal control over financial reporting, and its accounting firm's attestation report.

Change in Burden: 42,757 hours.
Statute Title and Public Law: Sarbanes-Oxley Act of 2002, P.L.107-204.

Agency: **Securities and Exchange Commission**
OMB Control Number: 3235-0420
Title: Form 10-KSB, Annual Reports for Small Business
Purpose of the Collection: Sections 13(a) and 15(d) of the Exchange Act require reports about business condition and important events.
Why Increase Occurred: The Commission changed its rules to require companies to include in their annual reports a report of management on the company's internal control over financial reporting, and its accounting firm's attestation report.

Change in Burden: 1,106,200 hours.
Statute Title and Public Law: Sarbanes-Oxley Act of 2002, P.L.107-204.

Agency: **Securities and Exchange Commission**
OMB Control Number: 3235-0570
Title: Form N-CSR under the Investment Company Act of 1940 and the Securities Exchange Act of 1934, Certified Shareholder Reports.
Purpose of the Collection: To verify that an investment company's financial information in the report fairly represent in all material respects the financial condition. The staff will make this information available to the public.
Why Increase Occurred: The Commission amended Form N-CSR to require the disclosure of fund proxy voting policies and procedures.

Change in Burden: 74,000 hours.
Statute Title and Public Law: Sarbanes-Oxley Act of 2002, P.L.107-204.

Agency: **Department of Transportation**
OMB Control Number: 2137-0610
Title: Pipeline Integrity Management in High consequence Areas Gas Transmission Pipeline operators.
Purpose of Collection: To provide increased protection for gas transmission pipelines in high consequence areas.

Why Increase Occurred: This was required by the U.S. Congress in the Pipeline Safety Improvement Act of 2002.
Change in Burden: 2,846,000 hours.
Statute Title and Public Law: Pipeline Safety and Improvement Act of 2002, P.L. 107-355.

Agency: **Department of Transportation**
OMB Control Number: 2137-0596
Title: National Pipeline Mapping.
Purpose of Collection: To provide the Federal Government information on the location and characteristics of regulated pipelines.

Why Increase Occurred: Formerly voluntary, program was made mandatory.
Change in Burden: 116,112 hours.
Statute Title and Public Law: Pipeline Safety and Improvement Act of 2002 P.L. 107-355.

Agency: **Department of Transportation**
OMB Control Number: 2126-0004
Title: Driver Qualification Files.
Purpose of Collection: To substantiate that a motor carrier verified a driver's qualifications to safely operate a CMV in interstate and intrastate commerce on the nation's highways prior to allowing the driver to operate a CMV.

Why Increase Occurred: FMCSA is amending the Federal Motor Carrier Safety Regulations to specify minimum driver safety performance history for applicants under consideration for employment as a commercial motor vehicle (CMV) driver, when that information is required and that previous employers must provide driver safety performance history information.

Change in Burden: 735,400 hours.
Statute Title and Public Law: Hazardous Materials Transportation Act of 1994, P.L. 103-311, as amended by the Transportation Equity Act for the 21st Century Act of 1998 (TEA-21), P.L., 105-178.

Agency: **Department of Transportation**
OMB Control Number: 2126-0026
Title: Training Certification for Drivers of Longer Combination Vehicles.
Purpose of Collection: To establish training requirements for operators of longer combination vehicles (LCV's) and requirements for instructors of these operators.

Why Increase Occurred: A final rule, titled "Minimum Training Requirements for Longer Combination Vehicle (LCV) Operators and Requirements for LCV Driver Instructors," was published in response to section 4007 of the Intermodal Surface Transportation Efficiency Act of 1991, which required training for operators of LCV's and certification of an operator's proficiency by an instructor who has met requirements established by DOT.

Change in Burden: 17,187 hours during first year, 203 hours in subsequent years.
Statute Title and Public Law: Intermodal Surface Transportation Efficiency Act of 1991 (ISTEA), P.L. 102-240.

Agency: **Department of Transportation**
OMB Control Number: 2126-0028
Title: Training Certification for Entry Level Commercial Motor Vehicle Operators.
Purpose of Collection: To support training for entry-level operators of commercial motor vehicles (CSV's) who must hold a commercial driver's license (CDL) in driver qualifications, hours.-of-service of drivers, driver wellness, and whistle blower protection.

Why Increase Occurred: A final rule titled "Minimum Training Requirements for Entry-Level Commercial Motor Vehicle Operators" in response to a study under the Intermodal Surface Transportation Efficiency Act of 1991 that found training of

entry-level drivers in the heavy truck, motor coach, and school bus industries was inadequate.

Change in Burden: 10,808 hours during first year; 5,404 hours in subsequent years.
Statute Title and Public Law: Intermodal Surface Transportation Efficiency Act of 1991 (ISTEA), P.L. 102-240.

Agency: **Department of Transportation**
OMB Control Number: 2126-New
Title: Hazardous Materials Permit.
Purpose of Collection: To support the FMCSA safety permit program for motor carriers of specified hazardous materials. It requires that the carriers provide estimates of the anticipated annual shipments.
Why Increase Occurred: This increase is due to a final rule, titled "Federal Motor Carrier Safety Regulations: Hazardous Materials Safety Permits," which implements hazardous materials transportation law. This rule would require carriers to provide estimates of their anticipated annual shipments of hazardous materials, complete an application, complete route plans, and maintain communication between the carrier and the driver.

Change in Burden: 240,580 hours.
Statute Title and Public Law: Hazardous Materials Transportation Act of 1994, P.L. 103-311.

Agency: **Department of the Treasury**
OMB Control Number: 1545-0092
Title: 2003 Form 1041, Schedules, and Instructions, U.S. Income Tax Return for Estates and Trusts.
Purpose of the Collection: Form 1041 is used by IRS to determine that the estates, trusts, and Beneficiaries filed the proper returns and paid the correct tax.
Why Increase Occurred: Changes were made to the form, schedules, and instructions, by adding and deleting lines and Code references, and adding 3 worksheets, by the Jobs and Growth Tax Relief Reconciliation Act of 2003 (P.L. 108-27). This will increase burden 12,344,819 hours. Recomputation of the burden also increased burden 18,480 hours.

Change in Burden: 12,363,299 hours.
Statute Title and Public Law: The Jobs and Growth Tax Relief Reconciliation Act of 2003, P.L. 108-27.

Agency: **Department of the Treasury**
OMB Control Number: 1545-0184
Title: 2003 Form 4797, Sales of Business Property.
Purpose of the Collection: Form 4797 is used by taxpayers to report sales, exchanges, or involuntary conversion of assets, other than capital assets, and involuntary conversion of capital assets held more than one year. It is also used to compute ordinary income from recapture and the recapture of prior year section 1231 losses.
Why Increase Occurred: Changes were made throughout the form and instructions, by adding and deleting lines and Code references, and adding 1 worksheet, required by the Jobs and Growth Tax Relief Reconciliation Act of 2003 (P.L. 108-27).

Change in Burden: 3,623,745 hours.
Statute Title and Public Law: The Jobs and Growth Tax Relief Reconciliation Act of 2003, P.L. 108-27.

Agency: **Department of the Treasury**
OMB Control Number: 1545-0130
Title: 2003 Form 1120S, 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: Changes were made to the form, schedules, and instructions, by adding and deleting lines and Code references, and adding 3 worksheets, by the Jobs and Growth Tax Relief Reconciliation Act of 2003 (P.L. 108-27).

Change in Burden: 7,383,900 hours.

Statute Title and Public Law: The Jobs and Growth Tax Relief Reconciliation Act of 2003, P.L. 108-27.

Agency: **Department of the Treasury**

OMB Control Number: 1545-1867

Title: 2003 Form 8453-S, Corporation Declaration and Signature for Electronic Filing.

Purpose of the Collection: Form 8453-S is used to authenticate and authorize transmittal of an electronic Form 1120S.

Why Increase Occurred: This is a new form.

Change in Burden: 17,550,000 hours.

Statute Title and Public Law: IRS Restructuring and Reform Act of 1998, P.L. 105-206.

Agency: **Department of the Treasury**

OMB Control Number: 1545-0099

Title: 2003 Form 1065, Schedules, and Instruction, U.S. Return of Partnership Income.

Purpose of the Collection: Form 1065 is used by the IRS to verify correct reporting of partnership items and for general statistics. The information is used by partners to determine the income, loss, credits, etc., to report on their tax returns.

Why Increase Occurred: Changes were made to the form, schedules, and instructions, by adding and deleting lines and Code references, by the Jobs and Growth Tax Relief Reconciliation Act.

Change in Burden: 70,492,125 hours.

Statute Title and Public Law: The Jobs and Growth Tax Relief Reconciliation Act of 2003, P.L. 108-27.

Agency: **Federal Trade Commission**

OMB Control Number: 3084-0095

Title: Contact Lens Rule.

Purpose of the Collection: Contact lens sellers must obtain a contact lens prescription from the patient, or verify the prescription information with the prescriber. The sellers must retain records under both scenarios for 3 years. The proposed Rule also requires recordkeeping for prescribers who set an expiration date of less than one year for contact lenses to retain records documenting the medical reason for the short expiration date. Those records must also be kept for 3 years.

Why Increase Occurred: The FTC plans a rule to implement the requirements of the Fairness to Contact Lens Consumers Act.

Change in Burden: 900,000 hours.

Statute and Public Law: Fairness to Contact Lens Consumers Act, P.L.108-16.

FY 2004 Burden Increases from Changing Regulations:

Agency: **Department of Energy**

OMB Control Number: 1910-5104

Title: Energy Efficiency Program for Certain Commercial and Industrial Equipment: Test Procedures, Labeling, and Certification Requirements for Electric Motors.

Purpose of the Collection: To enforce energy efficiency standards and require manufacturers to label electric motors for energy efficiency, and certify that they meet energy efficiency standards.

Why Increase Occurred: DOE revised 10 CFR part 431 to require new information regarding the certification of specified energy efficiency standards.

Change in Burden: 12,300 hours.

Agency: Environmental Protection Agency
OMB Control Number: 2040-0205
Title: Microbial Rules; Ground Water Rule (GWR).
Purpose of the Collection: To allow States and EPA to evaluate compliance with regulations for public water systems and for planning, training, and meeting primacy requirements.
Why Increase Occurred: A new program was added.
Change in burden: 382,575 hours

Agency: Environmental Protection Agency
OMB Control Number: 2040-NEW
Title: Information Collection Request for Cooling Water Intake Structures Phase II Existing Facility Final Rule.
Purpose of the Collection: Information will be used by a permitting authority to assess the facility-level compliance with the requirements of the rule.
Why Increase Occurred: New regulatory requirements will be added that will increase the amount of information that must be provided to apply for a permit for a cooling water intake.
Change in Burden: 1,700,392 hours.

Agency: Environmental Protection Agency
OMB Control Number: 2070-0112
Title: PCBs: Consolidated Reporting and Recordkeeping Requirements.
Purpose of the Collection: The Toxic Substances Control Act requires EPA to regulate the disposal of polychlorinated biphenyls (PCBs), and bans the manufacturing, processing, distribution in commerce and use of PCBs in other than a totally enclosed manner. For exemptions from these prohibitions, EPA must find that such activities will not present an unreasonable risk of injury to public health or the environment. The information collected on PCB activities ensures that individuals using or disposing of PCBs comply with PCB regulations.
Why Increase Occurred: New reporting and recordkeeping requirements were added to 40 CFR Part 761, to require owners of reclassified PCB electrical equipment to provide records pertaining to the reclassification of PCB equipment.
Change in Burden: 19,943 hours

Agency: Environmental Protection Agency
OMB Control Number: 2070-0155
Title: Training, Certification, Accreditation and Standards for Lead-Based Paint Activities and Lead-Based Paint Debris Disposal.
Purpose of the Collection: The information is collected to certify professionals involved in inspecting, assessing or removing lead-based paint, dust or soil.
Why Increase Occurred: The associated final rule establishes reporting requirements for compliance monitoring and enforcement personnel to track compliance activity and to prioritize inspections. New notification procedures are added for lead abatement professionals conducting training and lead-based paint activities.
Change in Burden: 19,960 hours.

Agency: Environmental Protection Agency
OMB Control Number: 2070-0164
Title: Residues and Percent Crop Treated.
Purpose of the Collection: This information will enable EPA's Office of Pesticide Programs (OPP) to obtain information needed to re-evaluate the Agency's original tolerance decisions. The Federal Insecticide, Fungicide, and Rodenticide Act requires data to be collected five years after each tolerance decision for periodic re-evaluation of percent crop-treated estimates.
Why Increase Occurred: EPA plans to add a re-registration component to the regulations, which currently cover registration only.

Change in Burden: 44,809 hours.

Agency: **Environmental Protection Agency**
OMB Control Number: 2060-NEW
Title: National Emission Standards for Hazardous Air Pollutants: Miscellaneous Organic Chemical Manufacturing.
Purpose of the Collection: Regulatory compliance.
Why Increase Occurred: This is a new program.
Change in Burden: 17,745 hours.

Agency: **Environmental Protection Agency**
OMB Control Number: 2060-NEW
Title: National Emission Standards for Hazardous Air Pollutants: Miscellaneous Coating.
Purpose of the Collection: Regulatory compliance.
Why Increase Occurred: This is a new program.
Change in Burden: 10,139 hours.

Agency: **Environmental Protection Agency**
OMB Control Number: 2060-0486
Title: National Emission Standards for Hazardous Air Pollutants: Miscellaneous Metal Parts and Products Surface Coating Operations.
Purpose of the Collection: Regulatory compliance.
Why Increase Occurred: This is a new program.
Change in Burden: 139,380 hours.

Agency: **Environmental Protection Agency**
OMB Control Number: 2060-0543
Title: National Emission Standards for Hazardous Air Pollutants: Iron and Steel Foundries
Purpose of the Collection: Regulatory compliance.
Why Increase Occurred: This is a new program.
Change in Burden: 22,325 hours.

Agency: **Environmental Protection Agency**
OMB Control Number: 2060-0537
Title: National Emission Standards for Hazardous Air Pollutants: Plastic Parts and Products Surface Coating.
Purpose of the Collection: Regulatory compliance.
Why Increase Occurred: This is a new program.
Change in Burden: 42,533 hours.

Agency: **Environmental Protection Agency**
OMB Control Number: 2060-0533
Title: NESHAP - Miscellaneous Organic Chemical Manufacturing (40 CFR part 63, subpart FFFF).
Purpose of the Collection: This rule will impose reporting and recordkeeping requirements for owners or operators of new and existing facilities that manufacture a miscellaneous organic chemical and are located at, or are part of, major sources of hazardous air pollutant emissions.
Why Increase Occurred: This is a new program.
Change in Burden: 17,745 hours.

Agency: **Environmental Protection Agency**
OMB Control Number: 2060-0534
Title: NESHAP: Site Remediation.

Purpose of the Collection: This information is collected from the owners and operators of facilities subject to the national emission standards for hazardous air pollutants (NESHAP) for site remediations to cleanup hazardous substances.

Why Increase Occurred: New provisions will be added to the regulations.

Change in Burden: 341,737 hours.

Agency: **Environmental Protection Agency**

OMB Control Number: 2070-NEW.

Title: Pesticide Management & Disposal: Containers and Containment.

Purpose of the Collection: To regulate pesticides, containers, storage, transportation, and disposal. The records allow inspection by State agencies to ensure that businesses are in compliance with containment requirements.

Why Increase Occurred: A final rule is expected in 2004 to establish standards for removal of pesticides from containers, require containment structures to maintain monthly inspection and maintenance records and test data, cleaning procedures, data of container refill, etc..

Change in Burden: 550,000 hours.

Agency: **Federal Communications Commission**

OMB Control Number: 3060-1046

Title: Implementation of the Pay Telephone Reclassification and Compensation Provisions of the Telecommunication Act of 1996

Purpose of the Collection: To ensure fair compensation for every Payphone Service Provider (PSPs) for a call made from one of their payphones, each (1) Switch-Based Reseller (SBR) must maintain a call tracking system, have that system audited by a third party auditor, provide quarterly reports containing compensation with supporting data to each PSP, and each (3) facilities-based long distance carrier (intermediate carrier) that switches payphone calls to other facilities-based long distance carriers must provide each PSP with quarterly reports and list of all the facilities-based long distance carriers to which the Intermediate Carrier switched toll-free and access code calls dialed from each of that payphone service provider's payphones.

Why Increase Occurred: Commission Docket No. 96-128 alters payphone compensation rules, by placing compensation to PSPs for payphone-originated calls from the facilities-based long distance carriers from whose switches such calls are completed.

Change in Burden: 609,600 hours.

Agency: **Federal Communications Commission**

OMB Control Number: 3060-1032

Title: Commercial Availability of Navigation Devices and Compatibility Between Cable Systems and Consumer Electronic Equipment.

Purpose of the Collection: The proposed labeling regime and consumer disclosure requirements would be used to inform consumers whether and to what extent digital television receivers or other digital consumer electronics devices are compatible with digital cable systems. The recordkeeping requirements for the certification process would ensure compliance with such process. Complaints regarding the certification process and administration of the Dynamic Feedback Arrangement Scrambling Technique (DFAST) license will permit Commission review in cases of dispute. The petition process for new services within defined business models, the PR Newswire notice for initial classification of new business models, and the complaint process for new business models will each be used as part of administering the encoding rule regime adopted in the Second Report and Order.

Why Increase Occurred: CS Docket 97-80 and PP Docket No. 00-67 implement new reporting, recordkeeping and third party disclosure requirements. Annual estimates by the Consumer Electronics Association reflect that 2.683 million units of digital television receivers and displays were manufactured and shipped in 2002. As a

result, the Commission estimates that over the next three years an average of 4.4 million digital television receivers and displays will be manufactured and shipped in the United States.

Change in Burden:

72,402 hours.

Agency:

Federal Energy Regulatory Commission

OMB Control Number:

1902-0157

Title:

Marketing Affiliates of Interstate Pipelines.

Purpose of the Collection:

To ensure that interstate natural gas pipelines do not provide preferential treatment to their marketing, or brokering affiliates. FERC requires pipelines with affiliates to post information on affiliates on their web sites to deter preference.

Why Increase Occurred:

FERC imposed new requirements on regulated Transmission Providers and all of their Energy Affiliates to ensure that providers do not give their affiliates unduly preferential treatment.

Change in Burden:

9,913 hours.

Agency:

Federal Energy Regulatory Commission

OMB Control Number:

1902-0173

Title:

Open Access Same Time Information System (OASIS) and Standards of Conduct, FERC-717, RM01-10-000.

Purpose of the Collections:

To ensure that employees of a public utility (or any of its affiliates) engaged in marketing functions do not have preferential access to OASIS information or engage in discriminatory business practices. To inhibit a concentrated market power in natural gas service to raise costs for rivals or inhibit entry of new generators into wholesale power markets.

Why Increase Occurred:

FERC extended the standard for electric transmission providers, to cover gas transmission providers too. The rule requires information on marketing and sales employees and affiliates, so FERC may monitor employee shift between functions, and discounts to customers.

Change in Burden:

11,895 hours.

Agency:

Federal Energy Regulatory Commission

OMB Control Number:

1902-NEW

Title:

Quarterly Financial Report of Electric Utilities, Licensees and Natural Gas Companies, and Quarterly Financial Report of Oil Pipeline Companies.

Purpose of the Collection:

To regulate jurisdictional entities' financial condition and make economic judgments about the industry. Entities subject to FERC Uniform System of Accounts must file a complete set of financial statements, non-financial data, and other data annually.

How Increase Occurred:

To improve the information, FERC has proposed quarterly reporting of financial information to improve the financial transparency of FERC jurisdictional entities. More frequent reporting will improve decision making.

Change in Burden:

35,280 hours.

Agency:

Nuclear Regulatory Commission

OMB Control Number:

3150-0011

Title:

10 CFR 50, Domestic Licensing of Production and Utilization Facilities.

Purpose of the Collection:

10 CFR 50.48 allows licensees to adopt risk-informed, performance-based National Fire Protection Association Standard 805 as a voluntary alternative to deterministic fire protection requirements.

Why Increase Occurred:

A final rule in 2004 reduced the need to submit exemption and deviation requests, but licensees choosing to adopt the standard must complete a one-time plant-wide evaluation and analyses of all plant systems to ensure that the safety basis is maintained. Burden will increase in 2004 but will decrease in subsequent years.

Change in Burden: 48,556 hours.

Agency: **Securities and Exchange Commission**
OMB Control Number: 3235-NEW
Title: Rule 12d1-1 under the Investment Company Act of 1940, Exemptions for investments in money market funds
Purpose of the Collection: To regulate the amount of securities a fund can acquire from another fund.
Why Increase Occurred: The Commission may finalize a new rule to require an unregistered money market fund in which a registered fund invests to meet certain record keeping and reporting requirements.

Change in Burden: 21,175 hours.

Agency: **Securities and Exchange Commission**
OMB Control Number: 3235-NEW
Title: Investment Company Act rule 22c-1, Pricing of redeemable securities for distribution, redemption and repurchase.
Purpose of the Collection: Rule 22c-1 requires funds, principal underwriters, and dealers to sell and redeem fund shares at a price based on the current net asset value (NAV) next computed after receipt of an order to buy or redeem. The rule also requires that funds calculate their NAV at least once a day.
Why Increase Occurred: Authorities have uncovered late trading of fund shares in violation of our rules. To eliminate late trading SEC proposed new information collection requirements be added to the rule, to ensure that late trading is not occurring except during bona fide emergencies.

Change in Burden: 32,816 hours.

Agency: **Securities and Exchange Commission**
OMB Control Number: 3235-NEW
Title: Rule 204.A-1 under the Investment Advisers Act of 1940
Purpose of the Collection: To facilitate investment advisers' efforts to prevent fraudulent personal trading by their supervised persons.
Why Increase Occurred: SEC may require registered investment advisers to have a code of ethics that would protect against the misuse of nonpublic client information, and require each adviser's subordinates to report their personal transactions and holdings to the adviser.

Change in Burden: 923,789 hours.

Agency: **Securities and Exchange Commission**
OMB Control Number: 3235-NEW
Title: Investment Advisers Act rule 206(4)-7, Compliance procedures and practices.
Purpose of the Collection: The purpose of the information collection requirements of rule 206(4)-7 is to ensure that advisers maintain comprehensive, written internal compliance programs that promote compliance with the Federal securities laws. The rule also will assist the Commission's examination staff in assessing the adequacy of advisers' compliance programs.
Why Increase Occurred: The Commission adopted new rule 206(4)-7, which requires each registered investment adviser to (i) adopt and implement written policies and procedures reasonably designed to prevent violations of the Investment Advisers Act, (ii) review those policies and procedures annually, and (iii) designate a chief compliance officer.

Change in Burden: 623,200 hours.

Agency: **Securities and Exchange Commission**
OMB Control Number: 3235-NEW
Title: Investment Company Act rule 38a-1, Compliance procedures and practices of registered investment companies

Purpose of the Collection: The purpose of the information collection requirements of rule 38a-1 is to ensure that funds maintain comprehensive, written internal compliance programs that promote compliance with the Federal securities laws. The rule also will assist the Commission's examination staff in assessing the adequacy of funds' compliance programs.

Why Increase Occurred: The Commission adopted new rule 38a-1, which requires each investment company and each business development company to (i) adopt and implement internal compliance policies and procedures, (ii) review those policies and procedures annually, (iii) designate a chief compliance officer, and (iv) maintain certain compliance records.

Change in Burden: 332,937 hours.

Agency: **Department of Transportation**

OMB Control Number: 2130-0553

Title: Positive Train Control.

Purpose of Collection: To ensure that new signal and train control technologies meet standards and work as intended in order to ensure the safe operation of trains.

Why Increase Occurred: Expanded regulatory requirements to better ensure the safe operation of trains.

Change in Burden: 14,880 hours.

Agency: **Department of Transportation**

OMB Control Number: 2137-0522

Title: Incident and Annual Report for Gas Pipeline Operators.

Purpose of Collection: To provide the Federal Government information on gas operators and their accident history.

Why Increase Occurred: More detailed requirement to obtain information on gas operators and their accident history.

Change in Burden: 34,680 hours.

FY 2004 Burden Increases from Miscellaneous Causes:

Agency: **Department of Agriculture**

OMB Control Number: 0535-0140

Title: List Sampling Frame Survey.

Purpose of the Collection: Provides information for building and maintaining a list of farm operators. Control data is asked for use in drawing more efficient samples. There is no summarization or publication resulting from this survey.

Why Increase Occurred: The burden hour increase will be due mostly to a longer questionnaire and also to a small increase in sample size.

Change in Burden: 59,583 hours.

Agency: **Department of Agriculture**

OMB Control Number: 0563-NEW

Title: Data Collection in Support of New Product Development by RMA/USDA.

Purpose of the Collection: In developing new Risk management products, RMA must collect information from stakeholders in order to develop products that are responsive to the needs of the agricultural community and are actuarially sound.

Why Increase Occurred: Surveys will be conducted to obtain data from producers, processors and/or marketers of agricultural products in order to determine the feasibility of product development and establish appropriate rates and underwriting.

Change in Burden: 16,340 hours.

Agency: **Department of Agriculture**

OMB Control Number: 0581-New

Title: Pork Promotion, Research, and Consumer Information Program: Submission of Information.

Purpose of the Collection: To establish the total number of pork producers to determine whether the requirements of the Pork Promotion, Research, and Consumer Information Act for conducting a referendum has been met.

Why Increase Occurred: USDA entered into agreed with the Michigan Pork Producers Association and the National Pork Producers Council to conduct a survey of eligible pork producers and importers and determine whether producers and importers want to conduct a referendum on the Pork Checkoff Program.

Change in Burden: 11,505 hours.

Agency: **Department of Agriculture**
OMB Control Number: 0583-0129
Title: Specified Risk Materials.
Purpose of the Collection: To protect public health, official establishments that slaughter cattle and/or process carcasses or parts of cattle must develop written procedures for the removal, segregation, and disposition of (Specified Risk Materials) SRMs and must maintain daily records sufficient to document the implementation and monitoring of their procedures for the removal, segregation, and disposition of SRMs, and any corrective actions taken.

Why Increase Occurred: New requirements were imposed after a BSE positive cow was found in Washington State.

Change in Burden: 807,500 hours.

Agency: **Department of Agriculture**
OMB Control Number: 0583-0130
Title: Advanced Meat Recovery Systems.
Purpose of the Collection: To protect the public health, establishments that produce meat from AMR systems must document their testing protocols, to assess the age of cattle product used in AMR system, their procedures for handling product in a manner that does not cause product to be misbranded or adulterated, and must maintain records of their documentation and test results.

Why Increase Occurred: New requirements were imposed after a BSE positive cow was found in Washington State.

Change in Burden: 25,256 hours.

Agency: **Department of Agriculture**
OMB Control Number: 0583-0082
Title: Application for Inspection, Accredited Laboratories, and Exemptions.
Purpose of the Collection: To determine whether Laboratories meet the accreditation requirements of the USDA program.
Why Increase Occurred: Inclusion of Transaction recordkeeping requirements.
Change in Burden: 113,470 hours.

Agency: **Department of Agriculture**
OMB Control Number: 0583-new
Title: Listeria Control for Ready-to-Eat Products.
Purpose of the Collection: USDA requires that establishments undertake recordkeeping and reporting requirements related to the control of Listeria.
Why Increase Occurred: To address public health concerns, USDA implemented an interim final rule that requires establishments producing ready-to-eat products to complete an annual RTE Production Volume Estimate form, develop and review a Microbiological Sampling Plan for Listeria, and regularly sample food contact surfaces.
Change in Burden: 165,980 hours.

Agency: **Department of Agriculture**
OMB Control Number: 0583-new

Title: Nutrition Labeling of Ground or Chopped Meat and Poultry Products and Single Ingredient Products.

Purpose of the Collection: In order for consumers to easily obtain nutritional information, USDA will require nutritional labeling.

Why Increase Occurred: USDA will finalize a rule implementing labeling requirements.

Change in Burden: 186,588 hours.

Agency: **Department of Agriculture**

OMB Control Number: 0584-0026

Title: Determining Eligibility for Free and Reduced Priced Meals and Free Milk.

Purpose of the Collection: To provide benefits to eligible children.

Why Increase Occurred: Request for data on a school food authority basis to enable State Agencies and Food and Nutrition Service to improve and target oversight activities.

Change in Burden: 36,006 hours.

Agency: **Department of Agriculture**

OMB Control Number: 0579-NEW

Title: Chronic Wasting Disease (CWD), Herd Certification Program

Purpose of the Collection: The information collection allows USDA to identify and manage herds infected with CWD.

Why Increase Occurred: To accelerate eradication of CWD from the U.S., USDA created a voluntary Federal-State-private sector CWD Elk Herd Certification Program to identify herds infected with CWD and provide management to prevent further spread of CWD. CWD is a transmissible spongiform encephalopathy (TSE) of elk and deer typified by chronic weight loss leading to death. The presence of chronic wasting disease in cervids causes significant economic and market losses to U.S. producers.

Change in Burden: 399,602 hours.

Agency: **Department of Commerce**

OMB Control Number: 0607-0153

Title: Construction Project Reporting Surveys.

Purpose of the Collection: To gather information on the dollar value of construction put in place by private companies, individuals, private multifamily residential buildings, and State and local governments.

Why Increase Occurred: There was significant growth in construction activity during the past few years and DOC wants to publish construction spending data in more detail by new types of construction.

Change in Burden: 18,180 hours.

Agency: **Department of Commerce**

OMB Control Number: 0607-0422

Title: Service Annual Survey (SAS).

Purpose of the Collection: To measure the annual total output of service industries, such as transportation and warehousing; information; finance and insurance; real estate and rental and leasing; professional, scientific, and technical services; administration and support and waste management and remediation services; health care and social assistance; arts, entertainment, and recreation.

Why Increase Occurred: The Census Bureau will expand the SAS to provide data on product composition of service industry output and to provide data that will improve the quality of value-added measures for these service industries.

Change in Burden: 50,108 hours.

Agency: **Department of Commerce**

OMB Control Number: 0607-0782

Title: Annual Capital Expenditures Survey (ACES).

Purpose of the Collection:	To collect data on fixed assets and depreciation, sales and receipts, capitalized computer software, and capital expenditures for new and used structures and equipment for statistics on business spending in the United States.
Why Increase Occurred:	The major change is the collection of detailed capital expenditures by type of structure and type of equipment.
Change in Burden:	58,000 hours.
Agency:	Department of Commerce
OMB Control Number:	0607-0903
Title:	2004 Overseas Enumeration Test.
Purpose of the Collection:	To test enumerating all Americans living overseas during the 2010 census. The 2004 test will inform a test in 2006, and if expanded to overseas enumeration in the 2010 census, a "dress rehearsal" will be conducted in 2008.
Why Increase Occurred:	The collection will be submitted as new during FY 2004.
Change in Burden:	75,000 hours.
Agency:	Department of Commerce
OMB Control Number:	0607-0905
Title:	2004 Panel of the Survey of Income and Program Participation (SIPP), Core Questionnaire & Wave 1 Topical Modules.
Purpose of the Collection:	To obtain information about child support agreements, support for non-household members, functional limitations and disabilities (adults/children), adult well-being, welfare reform, and to provide Government policy officials information on the financial situation of this sector of the U.S. population.
Why Increase Occurred:	The collection will be new in FY 2004.
Change in Burden:	98,685 hours.
Agency:	Department of Commerce
OMB Control Number:	0607-0906
Title:	2004 National Census Test.
Purpose of the Collection:	To assess elements for data collection, capture, processing, and support activities, evaluate technologies and procedures, reduce operational risk, and increase coverage, accuracy, and quality of census data, and contain costs.
Why Increase Occurred:	The collection will be new in FY 2004.
Change in Burden:	33,530 hours.
Agency:	Department of Commerce
OMB Control Number:	0607-new
Title:	Information & Communication Technology Survey.
Purpose of the Collection:	To collect data on purchases, additions, alterations, upgrades, enhancements, operating leases and rental payments for computers, peripheral equipment, electro-medical apparatus, and computer software.
Why Increase Occurred:	The collection will be new in FY 2004.
Change in Burden:	74,980 hours.
Agency:	Department of Commerce
OMB Control Number:	0607-new
Title:	Survey of Industrial Research and Development.
Purpose of the Collection:	This survey is a joint effort between the U.S. Census Bureau and the National Science Foundation (NSF) to collect statistics on costs for basic and applied research and development, employment statistics for scientists and engineers by fields of basic research and by product group, research and development by organization, technology, and State. It also collects data on energy research, and company research and development performed outside the United States. The data is used to promote and enhance science and technology, evaluate the health

of science and technology in the United States, and make comparisons between the technological progress of our country and that of other nations.

Why Increase Occurred: The survey was previously done by the NSF and Census has now taken it over.

Change in Burden: 59,400 hours.

Agency: **Department of Commerce**

OMB Control Number: 0648-0040

Title: Highly Migratory Species Dealer Reporting Family of Forms.

Purpose of the Collection: This information collection consists of a mandatory dealer reporting program for domestic landings and international trade of highly migratory species.

Why Increase Occurred: The increase results from new requirements for trade tracking programs required by both the International Commission for the Conservation of Atlantic Tunas (ICCAT) and the Inter-American Tropical Tuna Commission (IATTC) to reduce illegal, unreported and unregulated fishing, and improve management of associated fisheries.

Change in Burden: 44,414 hours.

Agency: **Department of Commerce**

OMB Control Number: 0648-0229

Title: Northeast Region Dealer Purchase Reports.

Purpose of the Collection: This information collection consists of a mandatory and voluntary dealer reporting program.

Why Increase Occurred: Weekly reporting requirements will be changed to daily reporting in order to manage quotas more effectively.

Change in Burden: 13,208 hours.

Agency: **Department of Commerce**

OMB Control Number: 0651-0012

Title: Admittance to Practice and Roster of Registered Patent Attorneys and Agents Admitted to Practice Before the United States Patent and Trademark Office (USPTO).

Purpose of the Collection: To apply for the examination and registration to be an attorney or agent before the USPTO. The Office of Enrollment and Discipline (OED) collects this information to determine the qualifications of individuals entitled to represent applicants before the USPTO in the preparation and prosecution of applications for a patent, and to administer and maintain the roster of attorneys and agents registered to practice before the USPTO.

Why Increase Occurred: The USPTO added an annual practitioner registration form, a petition for reinstatement after disciplinary removal, a request for voluntary inactive status, a request for restoration to active status from voluntary inactive status, the continuing education program, and an application by a sponsor for pre-approval of a continuing legal education program.

Change in Burden: 91,204 hours.

Agency: **Department of Commerce**

OMB Control Number: 0651-0031

Title: Patent Processing (Updating).

Purpose of the Collection: To continue processing a patent or patent application and to ensure that applicants are complying with the patent regulations.

Why Increase Occurred: USPTO plans a rule to revise patent rules of practice to consolidate new petitions or those in other rules, into this collection.

Change in Burden: 22,600 hours.

Agency: **Department of Education**

OMB Control Number: 1850-NEW

Title: Social and Character Development Research Program National Evaluation.

Purpose of the Collection: To determine whether seven school-based interventions produce meaningful effects in social and character development among elementary school children.

Why Increase Occurred: This was a new collection.

Change in Burden: 13,868 hours.

Agency: **Department of Education**

OMB Control Number: 1850-0608

Title: National Survey of Postsecondary Faculty: 2004 Faculty Survey.

Purpose of the Collection: To collect data on faculty and instructional staff at U.S. postsecondary education institutions.

Why Increase Occurred: The agency decided from the field test to do a full-scale study.

Change in Burden: 14,344 hours.

Agency: Department of Education

OMB Control Number: 1865-NEW

Title: Mentoring Programs.

Purpose of the Collection: Grant application.

Why Increase Occurred: In FY 2004, the program is doing a notice proposing priority using program specific criteria for this grant application.

Change in Burden: 26,250 hours.

Agency: **Department of Education**

OMB Control Number: 1875-NEW

Title: National Educational Technology Trends Study (NETTS).

Purpose of the Collection: To examine program implementation and education technology usage in States, districts, and schools that receive Federal funds under the Educational Technology State Grants Program.

Why Increase Occurred: This is a new collection.

Change in Burden: 12,025 hours.

Agency: **Department of Education**

OMB Control Number: 1875-NEW

Title: National Longitudinal Study of No Child Left Behind (NCLB).

Purpose of the Collection: To examine implementation of the No Child Left Behind Act in a sample of schools and districts on) accountability, teacher quality, expanding options for parents and students, and resource allocation.

Why Increase Occurred: This is a new collection.

Change in Burden: 10,494 hours.

Agency: **Department of Energy**

OMB Control Number: 1905-0165

Title: "Petroleum Supply Reporting System," Forms EIA-800-805, 810-815, 816, 817, 819, and 820.

Purpose of the Collection: To determine supply and disposition of crude oil, petroleum, and natural gas liquids. The data is used by public and private analysts. Respondents are operators of petroleum refineries, blending plants, bulk terminals, crude oil and product pipelines, natural gas plant facilities, tankers, barges, and oil importers.

Why Increase Occurred: This collection was expanded to include breakdowns of motor gasoline, motor gasoline blending components, and distillate fuel oil, to track the supply and disposition of petroleum in response to changes in regulations, products, and the industry. Two new forms will be introduced.

Change in Burden: 23,283 hours.

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

OMB Control Number: 0915-NEW

Title: The Presidential Initiative Application Forms for Funding Opportunities.

Purpose of the Collection:	The application forms provide the program the needed information to make appropriate funding to the Health Centers.
Why Increase Occurred:	To expand health centers in order to increase health care access to needy communities through new and/or significantly expanded health center access points over five years.
Change in Burden:	105,375 hours.
Agency:	Department of Health and Human Services
OMB Control Number:	0910-NEW
Title:	Supplements and Other Changes to an Approved Application Final Rule.
Purpose of the Collection:	To review and approve dietary supplements and marketing applications.
Why Increase Occurred:	Revisions to existing regulations to improve the quality of the information submitted in the supplements to an Approved Application
Change in Burden:	1,023,310 hours.
Agency:	Department of Health and Human Services
OMB Control Number:	0910-NEW
Title:	Labeling for Human Prescription Drugs Final Rule.
Purpose of the Collection:	Requirements for labeling submitted as part of a new drug application.
Why Increase Occurred:	Revisions to existing regulations to improve the labeling on Human Prescription Drugs making it easier for consumers to use and understand.
Change in Burden:	501,383 hours.
Agency:	Department of Health and Human Services
OMB Control Number:	0910-NEW
Title:	Safety Reporting Requirements (SADR) Final Rule.
Purpose of the Collection:	Information concerning adverse reactions to marketed drugs
Why Increase Occurred:	Regulations improved the information received in adverse event reporting so FDA and health care providers can make changes that lead to improvements in the public's health and safety
Change in Burden:	5,799,477 hours.
Agency:	Department of Health and Human Services
OMB Control Number:	0910-NEW
Title:	Bar Code Label Requirement for Human Drug Products and Blood.
Purpose of the Collection:	To reduce the number of medication errors in hospitals and other health care settings by requiring bar code scanning equipment to verify that the right drug, in the right dose, and right route of administration, is being given to the right patient at the right time.
Why Increase Occurred:	It is a new requirement.
Change in Burden:	1,776,590 hours.
Agency:	Department of Health and Human Services
OMB Control Number:	0920-NEW
Title:	Epidemiological Study of Gastrointestinal Health Effects and Exposure to Disinfection Byproducts Associated with Consumption of Conventional Treated Groundwater.
Purpose of the Collection:	To provide data on waterborne disease occurrence, exposure to disinfection byproducts and to balance the microbial and chemical risks associated with public drinking water supplies.
Why Increase Occurred:	This new study will estimate the risks for endemic gastrointestinal illness associated with drinking conventionally treated groundwater and evaluate exposure to disinfection byproducts in the same people.
Change in Burden:	11,309 hours.

Agency: Department of Health and Human Services
OMB Control Number: 0920-0621
Title: National Youth Tobacco Survey (NYTS).
Purpose of the Collection: To provide data for students in grades 6-12 in the United States for tobacco related topics, monitor trends in tobacco use and smoking cessation, , and monitor and evaluating the Office of Smoking and Health's Tobacco Control Program.
Why Increase Occurred: The NYTS is a new collection. Three cycles were previously funded from the Master Settlement Agreement by the American Legacy Foundation. CDC assumed responsibility when reduction in American Legacy Foundation funding made it impossible for them to continue to support the NYTS.
Change in Burden: 18,633 hours.

Agency: Department of Health and Human Services
OMB Control Number: 0920-0602
Title: Work Organization, Cardiovascular Disease, and Depression Study.
Purpose of the Collection: To examine the relationships between job stress, CVD and depression, and ascertain exposures and outcomes.
Why Increase Occurred This is a new collection.
Increase in Burden: 28,860 hours.

Agency: Department of Health and Human Services
OMB Control Number: 0920-NEW
Title: HIV Program Evaluation and Monitoring System.
Purpose of the Collection: To collect data on CDC-funded HIV prevention programs delivered by health departments and community-based organizations (COB's), for data needed to improve management of prevention programs; guide the improvement, and target HIV prevention efforts.
Why Increase Occurred: PEMS is in accord with the President's Management Agenda, OMB Directives, and CDC HIV Strategic Plan to strengthen HIV prevention programs.
Change in Burden: 48,125 hours.

Agency: Department of Homeland Security
OMB Control Number: 1600-0001
Title: Product and Services Information (PSI) site.
Purpose of the Collection: To provide a web-site and process for companies to submit descriptions of products and services that enhance homeland security.
Why Increase Occurred: New program.
Change in Burden: 20,000 hours.

Agency: Department of Homeland Security
OMB Control Number: 1600-0003
Title: Post Contract Award Information.
Purpose of the Collection: To evaluate contract compliance for contracts for supplies and/or services, and to evaluate process made and/or management controls used by contractors providing supplies and/or services to the Government and to protect the Government's interests.
Why Increase Occurred: New agency and policy.
Change in Burden: 78,036 hours.

Agency: Department of Homeland Security
OMB Control Number: 1600-0005
Title: Solicitation of Proposal Information for Award of Public Contracts
Purpose of the Collection: To evaluate potential contractors of supplies/services when requesting proposals for contracts.
Why Increase Occurred: New agency and policy.

Change in Burden: 106,176 hours.

Agency: **Department of Homeland Security**
OMB Control Number: 1651-0009
Title: Customs Declaration.
Purpose of Collection: For clearance of persons and their goods arriving in the United States and avoid extensive questioning and/or physical examination.
Why Increase Occurred: DHS added vegetables and seeds to the form.
Change in Burden: 78,000 hours.

Agency: **Department of the Interior**
OMB Control Number: 1010-0058
Title: Proposed Notice to Lessees and Operators (NTL)—Assessment of Existing OCS Platforms.
Purpose of the Collection: To verify that OCS lessees and operators are in compliance with the provisions of the requirements for “Assessment of Existing Structures,” as required by 30 CFR 250.900(g).
Why Increase Occurred: Some OCS platforms may not comply with the design criteria for new platforms, so design criteria were developed to evaluate the risk of allowing existing platforms to finish their original purpose.
Change in Burden: 154,400 hours.

Agency: **Department of the Interior**
OMB Control Number: 1010-0154
Title: Notice to Lessees and Operators (NTL)—Biological Opinions.
Purpose of the Collection: To enforce terms and conditions of biological opinions necessary to be exempt from the Endangered Species Act. This collection is for the necessary monitoring and reporting.
Why Increase Occurred: MMS provided guidance to Lessees and Operators in three Notices to Lessees, "Implementation of Seismic Survey Mitigation Measures and Protected Species Observer Program," "Vessel Strike Avoidance and Injured/Dead Protected Species Reporting," and "Marine Trash and Debris Awareness and Elimination."
Change in Burden: 21,995 hours.

Agency: **Department of Justice**
OMB Control Number: 1121-0237
Title: Generic Clearance of National Criminal Justice Reference Service (NCJRS) Customer Satisfaction Surveys.
Purpose of the Collection: To provide information clearinghouse services for the Department of Justice and Executive Office Agencies. NIJ evaluates the effectiveness of projects or programs and surveys customers to determine the kind and quality of services they want and their level of satisfaction with existing services.
Why Increase Occurred: The agency will convert from hard-copy items to electronic forms. The goal is to convert to 90% electronic collection and dissemination by December 2006.
Change in Burden: 15,345 hours.

Agency: **Department of Justice**
OMB Control Number: 1117-NEW
Title: Reporting and Recordkeeping for Digital Certificates.
Purpose of Collection: Required by the Drug Enforcement Administration for digital certificates and Form DEA-222 used to transfer or purchase Schedule I and II controlled substances.
Why Increase Occurred: This is a new collection of information.
Change in Burden: 167,000 hours.

Agency: Department of Labor
OMB Control Number: 1205-NEW
Title: Data Validation Policy for the Employment and Training Program.
Purpose of the Collection: To evaluate the accuracy of data collected and report on program activities and outcomes.
Why Increase Occurred: ETA developed a data element validation and report validation requirement to enhance the accuracy of data on program activities and outcomes.
Change in Burden: 73,562 hours.

Agency: Department of Labor
OMB Control Number: 1215-0188
Title: Labor Organization and Auxiliary Reports.
Purpose of the Collection: The Labor-Management Reporting and Disclosure Act (LMRDA) requires unions to file annual financial reports and copies of their constitution and bylaws with DOL.
Why Increase Occurred: The increase in burden results from revising Form LM-2 and creating Form T-1. The majority of the burden is from start-up burden and is expected to decline in 2 years
Change in Burden: 1,520,785 hours.

Agency: Department of Labor
OMB Control Number: 1215-NEW
Title: EVE-EPIC and The Secretary of Labor Opportunity Award.
Purpose of the Collection: A voluntary collection for contractors who wish to be recognized for best practices in the area of Equal Employment Opportunity (EEO) and diversity.
Why Increase Occurred: The burden increase realized by this new information collection request results from an attempt to broaden the field of nominations beyond those submitted by the Office of Contract Compliance Programs. Now companies or individuals can submit nominations.
Change in Burden: 37,280 hours.

Agency: Nuclear Regulatory Commission
OMB Control Number: 3150-0011
Title: 10 CFR 50, Domestic Licensing of Production and Utilization Facilities.
Purpose of the Collection: To allow the NRC to obtain information from applicants and licensees of nuclear power plants, research, and test reactors to promote the health and safety of the public in accordance with the Atomic Energy Act of 1954.
Why Increase Occurred: The 10 CFR Part 50 clearance renewal increases the burden for Orders issued to licensees, and requires the update of safeguards, security plans, and procedures to ensure the safety of nuclear power plants.
Change in Burden: 95,382 hours.

Agency: Securities and Exchange Commission
OMB Control Number: 3235-0025
Title: Rule 30e-1 under the Investment Company Act of 1940, Reports to Stockholders of Management Companies
Purpose of the Collection: To provide periodic information to investors.
Why Increase Occurred: The Commission plans to amend rule 30e-1 to permit a fund to include a summary portfolio schedule in its reports to shareholders and exempt a money market fund from the requirement to include a portfolio schedule of investments in securities of unaffiliated issuers in its reports to shareholders; require reports to include graphic presentation of a fund's holdings by categories; require mutual funds to disclose fund expenses borne by shareholders; and require a mutual fund to include Management's Discussion of Fund Performance in its annual report to shareholders. Amendments may be made to Forms N-1A, N-2,

and N-3 to require disclosure about fund proxy voting policies and procedures as well as actual proxy votes cast.
177,000 hours.

Change in Burden:

Agency: **Securities and Exchange Commission**
OMB Control Number: 3235-0307
Title: Form N-1A under the Investment Company Act of 1940 and Securities Act of 1933, Registration Statement of Open-End Management Investment Company
Purpose of the Collection: Filing and disclosure requirements of the Securities Act of 1933 and the Investment Company Act, and to enable funds to provide investors with information necessary to evaluate an investment in the fund.

Why Increase Occurred: The Commission has proposed amendments to Form N-1A to require better disclosure of the costs of investing in a fund of funds, policies and procedures for frequent purchases, and information on fair value pricing and proxy votes.

Change in Burden: 72,183 hours.

Agency: **Social Security Administration**
OMB Control Number: 0960-0416
Title: Statement For Determining Continuing Eligibility For Supplemental Security Income Payments/ SSA-8203-BK.
Purpose of the Collection: Used in high-error probability (HEP) redetermination cases to determine whether Supplemental Security Income (SSI) recipients have met and continue to meet requirements for SSI eligibility and are receiving the correct payment amount.

Why Increase Occurred: SSA is increasing the number of HEP re-determinations it conducts annually, resulting in an increase in the number of HEP re-determinations.

Change in Burden: 25,334 hours.

Agency: **Social Security Administration**
OMB Control Number: 0960-0665
Title: Request for a Deceased Individual's Social Security Record/ SSA-711.
Purpose of Collection: The information is used to provide members of the public a microprint of a deceased individual's SS-5, the Application for Social Security Card for use in conducting genealogical research under the aegis of the Freedom of Information Act.

Why Increase Occurred: This is a new information collection. The increase in burden hours represents the initial approved burden.

Change in Burden: 37,333 hours.

Agency: **Social Security Administration**
OMB Control Number: 0960-0681
Title: Function Report-Adult/ SSA-3373.
Purpose of Collection: To collect information about how a claimant's condition affects his or her ability to function, education and training, work experience, daily activities, efforts to work, etc., to make determinations in the disability process.

Why Increase Occurred: This information collection replaces various State versions of the form, standardizes the information States collect and will result in better disability determinations nationwide. The increase in burden hours represents the initial approval of this form; however, there will be an offsetting decrease.

Change in Burden: 1,716,588 hours.

Agency: **Social Security Administration**
OMB Control Number: 0960-NEW
Title: State Death Data Match.

Purpose of the Collection:	To obtain death certificate information from States to compare to SSA's payment files, to detect unreported or inaccurately reported deaths of beneficiaries.
Why Increase Occurred:	This provides more timely and accurate information.
Change in Burden:	1,289,583 hours.
Agency:	Department of State
OMB Control Number:	1405-0147
Title:	Student and Exchange Visitor Information System (SEVIS).
Purpose of Collection:	Necessary for the oversight of private sector exchange activities occurring under the aegis of the Mutual Education and Cultural Exchange Act of 1961 (M.E.C.E.A). To ensure and facilitate compliance with M.E.C.E.A and to safeguard the welfare and monitoring of foreign exchange visitors.
Why Increase Occurred:	Implementation of the Student and Exchange Visitor Information System (SEVIS) to permit electronic submission of the information collection and recordkeeping requirements of 22 CFR Part 62.
Change in Burden:	272,100 hours.
Agency:	Department of State
OMB Control Number:	1405-0153
Title:	Electronic Diversity Visa Lottery Entry Form.
Purpose of Collection:	An electronic registration system was created to enhance national security by enabling the Department to use Facial Recognition technology and other means to identify duplicate and fraudulent entries. All available information technology has been incorporated into the design and processing of the EDV Entry Form to reduce the reporting burden.
Why Increase Occurred:	New Collection; paper collection unreported then converted to electronic collection.
Change in Burden:	4,000,000 hours.
Agency:	Department of the Treasury
OMB Control Number:	1545-0085
Title:	2002 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 liability.
Why Increase Occurred:	Editorial changes were made throughout the instructions. Two Code sections were added. This will result in an increase of 4,219,190 hours. However, two checkboxes on the Social Security Benefits Worksheet were removed to reduce burden, and be consistent with other products. These changes decrease burden 992,721 hours.
Change in Burden:	3,226,439 hours.
Agency:	Department of Veterans Affairs
OMB Control Number:	2900-0073
Title:	Enrollment Certification.
Purpose of the Collection:	School officials and employers certify enrollment information. VA uses this enrollment information to determine the correct rate of payment and the periods of payment to persons eligible to receive VA educational assistance.
Why Increase Occurred:	Section 104 of P.L. 107-103 allows "Chapter 30 veterans" to receive an accelerated payment of 60% of total tuition and fees if these total charges exceed 200% of basic Chapter 30 benefits that the person would otherwise receive for that training.
Change in Burden:	10,000 hours.
Agency:	Department of Veterans Affairs
OMB Control Number:	2900-0219

Title:	CHAMPVA Benefits - Application, Claim, Other Health Insurance and Potential Liability, VA Forms 10-10D, 10-7959a, 10-70959c and 10-7959d.
Purpose of the Collection:	For Health Administration Center (HAC) staff to adjudicate/pay healthcare benefit claims under the HAMPVA program, determine eligibility of individuals applying for the program, systematically obtain Other Health Insurance information and to correctly coordinate benefits among all liable parties and to provide basic information from which potential liability can be assessed.
Why Increase Occurred:	In October of 2001 CHAMPVA for Life was enacted. VA contacted 246,000 potential beneficiaries in 2001 and 2002 to offer them the opportunity to enroll. VA increased the beneficiary population substantially, and it continues to grow.
Change in Burden:	331,667 hours.
Agency:	Department of Veterans Affairs
OMB Control Number:	2900-0376
Title:	Agent Orange Registry Code Sheet, VA Form 10-9009.
Purpose of the Collection:	To collect information from veterans claiming exposure to Agent Orange, and to catalogue symptoms, reproductive health, and diagnoses.
Why Increase Occurred:	The number of diseases VA recognizes as associated with, but not necessarily caused by, Agent Orange exposure, has increased resulting in additional veterans registering for examinations and more claims for compensation.
Change in Burden:	10,167 hours.

Appendix C: Paperwork Reduction Act Compliance

The PRA requires that agencies obtain OMB approval for all collections of information prior to collecting such information. If an agency does not obtain OMB approval but nevertheless initiates collection of the information, or an agency continues to collect information after a previously granted OMB approval has expired this constitutes a violation of the PRA.

OMB has asked each agency to document its compliance with the information collection provisions of the PRA. Table C.1 lists all 215 information collections that were in violation during FY 2004, and have since been resolved as of April 12, 2004. These include violations that occurred in FY 2003 and those that occurred in prior years that were unresolved in FY 2003. The collections are listed by agency, OMB number, and collection title. The expiration and reinstatement dates are noted.

Table C.2 contains 19 information collections from FY 2003 and prior years which continue to be in violation of the PRA as of April 12, 2004. Every collection is in the process of becoming approved. Each is either in the process of obtaining public comment, or is currently under review at OMB.

Table C.1: Resolved Violations from FY 2003 and Prior Years³

OMB Control Number	Collection Title	Expiration Date	Reinstatement Date
<i>Department of Agriculture</i>			
Office of the Chief Financial Officer			
0505 ⁴	FY2003 and FY2004 Farm Shows Marketing and Grower Relations Assessment	N/A	N/A
Cooperative State Research, Education, and Extension service			
0524-0034	Application for Authorization to Use the 4-H Name and/or Emblem	7/31/2002	3/26/2003
0524-0040	Questionnaire for Potential Reviewers	N/A	2/12/2003
0524-0041	CSREES Proposal Review Process	N/A	6/13/2003
Foreign Agricultural Service			
0551-0031	List of Commodities by Firm Available for Exporting	5/31/2002	6/4/2003
Farm Service Agency			
0560-0004	Report of Acreage	6/30/1997	4/9/2003
0560-0082	7 CFR Part 701 - Conservation and Environmental Programs	3/31/2002	10/18/2002
0560-0121	Payer's Request for Identifying Number	10/31/2000	4/9/2003
0560-0146	Debt Settlement Policies and Procedures	3/31/2002	3/3/2003
0560-0148	Importer Assessments	2/28/2002	4/9/2003
0560-0182	Tobacco Marketing Quota Referenda Ballot	9/30/2002	4/9/2003
0560-0183	Assignment of Payments and Joint Payment	2/28/2001	4/9/2003
0560-0205	Lamb Meat Adjustment Assistance Program (LMAAP)	9/30/2002	4/9/2003
0560-0217	Designation of Burley Tobacco Sales and Request for Marketing Cards	3/31/2002	4/9/2003
Federal Crop Insurance Corporation			
0563-0055	General Administrative Regulations; Interpretations of Statutory and Regulatory Provisions	8/31/2002	3/3/2003
Rural Utilities Service			
0572-0015	Financial Requirement and Expenditure Statement	9/30/2002	3/3/2003
0572-0059	Telecommunications Construction Policies & Procedures	9/30/1997	5/2/2003
0572-0076	RUS Specification for Quality Control and Inspection of Timber	9/30/1997	4/2/2003
0572-0118	Electric Engineering, Architectural Services, and Design Policies -- 7 CFR Part 1724	9/30/2002	3/3/2003
Natural Resources Conservation Service			
0578-0024	Volunteer Program - Earth Team	12/31/1998	3/27/2003
Animal and Plant Health Inspection Service			
0579-0049	Foreign Quarantine Notices	9/30/2001	2/11/2003
0579-0056	Horse Protection Regulations (9 CFR 11)	1/31/2003	10/18/2003
0579-0072	7 CFR 319.76 Exotic Bee Diseases and Parasites, 7 CFR 322 Honeybees and Honeybee Semen	9/30/2001	2/10/2003
0579-0094	User Fee Regulations, 7 CFR 354 and 9 CFR 130	3/31/2002	10/18/2002
0579-0144	Importation of Poultry Meat and other Poultry products from Sinaloa and Sonora, Mexico	7/31/2002	10/18/2002
Food Safety and Inspection Service			

³ As of 4/12/04.

⁴ No OMB approval was obtained prior to conducting this collection activity; thus, this represents a PRA violation for USDA. The onetime assessment is now completed, and no further action is required.

OMB Control Number	Collection Title	Expiration Date	Reinstatement Date
0583-0103	Pathogen Reduction/Hazard Analysis and Critical Control Point (HACCP) Systems	2/28/1999	2/11/2003
Food and Nutrition Service			
0584-0284	Monthly Claim for Reimbursement	7/31/2003	11/18/2003
0584-0336	Disaster Food Stamp Program	1/31/2000	3/7/2003
Forest Service			
0596-0173	Golden Access Passport	N/A	1/22/2004
<i>Department of Commerce</i>			
Economic and Statistical Analysis			
0625-0232	Internet Export Finance Matchmaker	9/30/2003	3/18/2004
National Oceanic and Atmospheric Administration			
0648-0084	Scientific Research, Public Display, and Enhancement Permits Under the Marine Mammal Protection Act, the Fur Seal Act, and the Endangered Species Act	7/31/2003	9/28/2003
0648-0179	Applications and Reports for Registration as a Tanner or Agent	9/30/2001	12/2/2002
0648-0365	Documentation of Fish Harvest	2/28/2002	12/2/2002
0648-0380	Large Pelagic Fishing Survey	3/31/2003	6/6/2003
0648-0387	International Dolphin Conservation Program	8/31/2002	2/6/2003
0648-0399	Limits on Application of Take Prohibitions	3/31/2003	6/6/2003
0648-0402	Application and Reports for Scientific Research and Enhancement Permits Under the Endangered Species Act	6/30/2002	11/12/2002
0648-0435	Survey to Measure Effectiveness of Community-Oriented Policing for ESA Enforcement	9/30/2002	12/20/2002
Patent and Trademark Office			
0651-0009	Electronic Response to Office Action and Preliminary Amendment Forms	N/A	3/18/2002
0651-0031	Patent Processing (Updating)	N/A	12/19/2003
0651-0032	Initial Patent Application	N/A	12/22/2003
0651-0034	Secrecy and License to Export	N/A	12/16/2003
0651-0038	Customer Input; Patent and Trademark Customer Surveys	11/30/2002	5/10/2003
<i>Department of Defense</i>			
Department of the Army			
0702-0027	Signature and Tally Record	2/28/2002	1/21/2003
0702-0060	Pre-Candidate Procedures	6/30/2002	2/10/2003
0702-0061	Candidate Procedures	8/31/2002	2/11/2003
0702-0062	Offered Candidate Procedure	6/30/2002	2/10/2003
0702-0064	International Military Student Information	12/31/2002	5/19/2003
0702-0110	Application and Agreement for Establishment of a National Defense Cadet Corps Unit	2/28/2003	5/18/2003
Department of the Navy			
0703-0012	Personal Information Questionnaire	2/28/2003	2/13/2004
0703-0026	Application Forms Booklet, Naval Reserve Officers Training Corps Scholarship Program	2/28/2003	12/22/2003
0703-0029	Application for Commission or Warrant Rank, USN or USNR	3/31/2003	12/22/2003
0703-0036	Candidate Application Procedures for the United States Naval Academy	2/28/2003	12/22/2003
Departmental and Others			

OMB Control Number	Collection Title	Expiration Date	Reinstatement Date
0704-0030	Disposition of Remains; Reimbursable Basis Request for Payment of Funeral and/or Interment Expenses	12/31/2002	5/15/2003
0704-0188	Acquisition Management Systems and Data Requirements Control List (AMSDL)	11/30/2002	5/19/2003
0704-0206	Medical Information Questionnaire	10/31/1994	6/24/2003
0704-0377	Industrial Capabilities Questionnaire	7/31/2002	5/15/2003
0704-0384	DOD Request for Personnel Security Investigations	08/31/2002	03/26/2003
0704-0392	Technical Assistance for Public Participation (TAPP) Application	2/28/2003	10/23/2003
0704-0411	Exceptional Family Member Program U.S. Army Corps of Engineers	5/31/2003	9/12/2003
0710-0006	Vessel Operation Report Office of the Assistant Secretary for Health Affairs	9/30/2003	3/12/2004
0720-0001	Health Insurance Claim Form	8/31/2003	3/24/2004
0720-0006	CHAMPUS Claims Patient's Request for Medical Payment	9/30/2002	3/12/2003
0720-0008	TRICARE Enrollment Application Form	11/30/2002	1/30/2004
0720-0020	Application for CHAMPUS - Provider Status: Corporate Services Provider	5/31/2002	7/29/2003
<i>Department of Health and Human Services</i>			
Food and Drug Administration			
0910-0396	Financial Disclosure by Clinical Investigators	6/30/2002	2/7/2003
0910-0491	Emergency Medical Device Shortage Program	10/31/2002	4/25/2003
Health Services Administration			
0915-0272	Maternal and Child Health Bureau Common Grant Guidance Discretionary Grants (Previously listed as "Healthy Start Data Reporting Requirements")	N/A	1/13/2003
Indian Health Service			
0917-0002	IHS Contract Health Service Report	4/30/2003	8/11/2003
0917-0009	IHS Medical Staff Credentials and Privileges File	5/31/2003	8/6/2003
Centers for Disease Control and Prevention			
0920-0571	National Breast and Cervical Cancer Early Detection Program	N/A	5/5/2003
0920-0601	National Tobacco Control Program Chronicle Progress Reporting System	N/A	8/6/2003
Substance Abuse and Mental Health Services Administration			
0930-0249	Feasibility Study for "Family Treatment Drug Court Evaluation"	N/A	10/8/2003
Centers for Medicare and Medicaid Services			
0938-0033	Request for Review of Part B Medicare Claims and Supporting Regulations in 42 CFR 405.807	1/31/2003	11/18/2003
0938-0302	Information Collection Requirements in the Hospice Care Regulation -- 42 CFR 418.22, 418.24, 418.28, 418.56, 418.58, 418.70, 418.74, 418.83, 418.96, and 418.100	1/31/2003	9/22/2003
0938-0391	Statement of Deficiencies and Plan of Correction and Supporting Regulations Contained in 42 CFR 488.18, 488.26, and 488.28	11/30/2002	2/24/2003

OMB Control Number	Collection Title	Expiration Date	Reinstatement Date
0938-0502	Medicaid: Determining Third-Party Liability (TPL) State Plan Preprint and Supporting Regulations in 42 CFR 433.138	9/30/2002	1/22/2003
0938-0626	Authorization Agreement for Electronic Funds Transfer	4/30/2003	9/24/2003
0938-0818	Expanded Coverage for Diabetes Outpatient Self-Management 42 CFR 410.141-410-145 and 414.63	5/31/2003	1/28/2004
Administration for Children and Families			
0970-0034	Refugee and Entrant Unaccompanied Minor Placement Report -- ORR-3 Refugee and Entrant Unaccompanied Minor Progress Report -- ORR-4	2/28/2003	7/18/2003
0970-0036	Regulation -- Refugee Resettlement Program: Requirements for Refugee Cash Assistance; and Refugee Medical Assistance (45 CFR Part 400)	6/30/2003	3/2/2004
0970-0043	Refugee State of Origin Report	5/31/2003	11/10/2003
0970-0174	Native Employment Works (NEW) Program Plan Guidance and Program Report	3/31/2002	3/28/2003
0970-0193	Final Rule Information Collection Burden -- 45 CFR 1309	10/31/2002	1/8/2003
0970-0204	Grants to States for Access and Visitation: Program Reporting	8/31/2002	4/3/2003
0970-0214	Title IV-E Foster Care Eligibility Reviews, Child and Family Services Reviews, Section 471(a)(18) Compliance Reviews	4/30/2003	10/31/2003
Office of Human Development Services			
0980-0242	Appeal Procedures for head Start Grantees and Current or Prospective Delegate Agencies	3/31/2003	08/18/2003
0980-0243	45 C.F.R. 1301 Head Start Grants Administration	8/31/2002	1/27/2003
0980-0267	Adoption and Foster Care Analysis and Reporting System (AFCARS) -- Title IV-B and IV-E	11/30/2002	6/30/2003
Departmental Management			
0990-0162	State Medicaid Fraud Control Units Annual Report	3/31/1999	3/10/2004
<i>Social Security Administration</i>			
0960-0662	Medical Source Statement of Ability To Do Work-Related Activities (Physical & Mental)	N/A	12/24/2002
0960-0669	Employee Verification Service	N/A	3/12/2003
0960-0671	Acknowledgement of Receipt (Notice of Hearing)	N/A	4/17/2003
0960-0675	Medical or Psychological Consultant's Review of Childhood Disability Evaluation Form	N/A	10/9/2003
0960-0677	Medical Consultant's Review of Psychiatric Review Technique Form	N/A	10/9/2003
0960-0678	Mental Residual Functional Capacity Assessment	N/A	10/9/2003
0960-0680	Medical Consultant's Review of Physical Residual Functional Capacity Assessment	N/A	12/4/2003
<i>Department of the Interior</i>			
U.S. Fish and Wildlife Service			
1018-0120	Federal Subsistence Regional Advisory Council Membership Application, Nomination, & Interview Forms	N/A	2/26/2003
1018-0123	Multinational Species Conservation Fund Request for Proposals	N/A	8/15/2003

OMB Control Number	Collection Title	Expiration Date	Reinstatement Date
1018-0124	Migratory Bird Subsistence Harvest Household Survey	N/A	10/2/2003
National Park Service			
1024-0029	Concessioner Annual Financial Report	12/31/1995	3/31/2003
1024-0245	United States Park Policy Personal history Statements Questionnaire	N/A	9/02/2003
<i>Department of Justice</i>			
General Administration			
1103-0019	COPS Making Officer Redeployment Effective (MORE) Grant Program	12/31/2002	10/24/2003
1103-0027	COPS Universal Hiring Program (UHP), COPS in Schools (CIS) & Homeland Security Overtime Program (HSOP) Grant App	8/31/2002	3/19/2003
1103-0043	Regional Community Policing Institute Quarterly Progress Report	3/31/2001	10/23/2002
Legal Activities			
1105-0071	National Drug Threat Survey	7/31/2002	4/7/2003
Federal Bureau of Investigation			
1110-0021	Post-Graduate Evaluation of the FBI National Academy Survey Booklet	4/30/2002	4/7/2003
1110-0022	Cost Recovery Regulations, Communications Assistance for Law Enforcement Act of 1994	4/30/2003	11/17/2003
1110-0026	Federal Firearms Licensee Enrollment Form	1/31/2003	5/5/2003
1110-0030	Flexible Deployment Assistance Guide	4/30/2003	10/17/2003
Office of Justice Programs			
1121-0148	Denial of Federal Benefits for Drug Offenders	5/31/2002	9/8/2003
1121-0170	Crime Victim Compensation State Certification Form	3/31/2002	12/17/2002
1121-0177	Edward Byrne Memorial State and Local Law Enforcement Assistance Program	4/30/1999	9/8/2003
1121-0185	Certification of Compliance with Statutory Eligibility	6/30/1999	8/28/2003
1121-0186	Certification of Compliance with Statutory Eligibility Tribal Governments	3/31/1998	8/28/2003
1121-0233	Certification of Compliance with Eligibility Requirements of Sec. 826 of the Higher Education Amendments of 1998	10/31/2002	3/28/2003
1121-0234	Requirements: Data Collection Application for the Juvenile Accountability Incentive Block Grant Program	4/30/2003	2/26/2004
1121-0244	Fiscal Year 1999 State Domestic Preparedness Equipment Program Needs Assessment	12/31/2002	4/07/2003
Civil Rights Division			
1190-0001	Procedures for the Administration of Section 5 of the Voting Rights Act of 1965	2/28/2002	11/12/2002
<i>Department of State</i>			
Administration for Foreign Affairs			
1405-0011	Application for Consular Report of Birth Abroad of a Citizen of the United States (Includes SS-5)	2/2/2002	9/3/2003

OMB Control Number	Collection Title	Expiration Date	Reinstatement Date
1405-0069	Application for Diplomatic Exemption from Taxes on Utilities; Application for Diplomatic Exemption from Taxes on Gasoline	3/31/2001	12/20/2002
1405-0082	Petition to Classify Special Immigrant Under INA 203(b)(4) as an employee or former employee of the U.S. Government	8/31/2003	10/17/2003
1405-0122	Application for Certificate of International Educational Character	2/28/2003	6/6/2003
1405-0128	Nonimmigrant V Visa Application	6/30/2003	9/23/2003
1405-0129	Statement of Consent: Issuance of a passport to a minor under the age of 14	3/31/2002	2/20/2004
1405-0146	Statement of Non-Receipt of a Passport	N/A	12/2/2002
<i>Department of the Treasury</i>			
Community Development Financial Institutions Fund			
1559-0020	Transaction Level Data Collection Report	9/30/2003	3/5/2004
<i>Department of Homeland Security</i>			
<i>(Includes collections transferred from the Federal Emergency Management Agency and from the Department of Justice)</i>			
Bureau of Citizenship and Immigration Services			
1615-0009	Petition for Nonimmigrant Work - Form I-129	6/30/2003	8/6/2003
1615-0067	Application for Asylum and for Withholding of Removal - Form I-589	4/30/2003	7/17/2003
U.S. Coast Guard			
1625-0012	Certificate of Discharge to Merchant Mariners	07/31/2003	9/17/2003
Directorate for Emergency Preparedness and Response			
1660-0071	Pre-Disaster Mitigation Assistance	N/A	5/10/2003
1660-0075	Flood Mitigation Assistance - Flood Mitigation Plan	10/31/2002	4/18/2003
1660-0078	Citizen Corps Individual Registration Form	N/A	9/18/2003
1660-0079	Citizen Corps Council Registration Form	N/A	9/18/2003
1660-0081	Flood Mapping Needs Assessment - MNUSS Worksheet and Database	N/A	12/5/2003
1660-0082	Application for Community Disaster Loan Cancellation	9/30/1996	9/28/2003
1660-0083	Application for Community Disaster Loan	9/30/1996	9/28/2003
Collections transferred from the Department of Justice			
1115-0004	Application to Replace Alien Registration Card	12/31/2002	4/17/2003
1115-0190	Petition by Entrepreneur to Remove Conditions	9/30/2002	12/6/2002
1125-0009	Application for Suspension of Deportation	8/31/2001	3/28/2003
Collections transferred from the Federal Emergency Management Agency			
3067-0066	Fire Suppression Assistance Program	8/31/2002	2/6/2003
3067-0161	National Fire Incident reporting System (NFIRS) Version 4.1 and Version 5.0	6/30/1998	3/17/2003
3067-0163	Individual and Family Grants Program Administration Information	4/30/2002	10/25/2002
3067-0166	Crisis Counseling Assistance and Training Program	7/31/2002	9/28/2003
3067-0198	Effectiveness of a Community's Implementation of the NFIP Community Assistance Program CAC and CAV Reports	8/31/2002	11/12/2002
3067-0207	Hazard Mitigation Grant Program Application and Reporting	9/30/1996	5/10/2003
3067-0229	Mortgage Portfolio Protection Program	6/30/1998	3/19/2004

OMB Control Number	Collection Title	Expiration Date	Reinstatement Date
3067-0237	Emergency Management Institute Resident Course Evaluation Form	2/28/2002	12/2/2002
<i>Department of Education</i>			
Office of Special Education and Rehabilitative Services			
1820-0656	Pre-Elementary Education Longitudinal Study (PEELS) Phase 1	N/A	4/18/2003
Office of Postsecondary Education			
1840-0130	Teacher Cancellation Low Income Directory (JS)	3/31/2000	3/7/2002
1840-0772	FIPSE Comprehensive Program Final Report Guidelines	N/A	5/1/2003
Office of Federal Student Aid			
1845-0003	Application for 34 CFR Part 602 The Secretary's Recognition of Accrediting Agencies (JS)	8/31/2002	1/27/2003
1845-0025	Electronic Debit Payment Option for Student Loans (JS)	2/28/2003	5/29/2003
1845-0039	Pell Grant Reporting Under the Common Origination and Disbursement (COD) System	9/30/2003	1/30/2004
<i>Federal Energy Regulatory Commission</i>			
1902-0062	Gas Pipeline Certificates: Import/Export-Related	2/28/2003	7/2/2003
1902-0115	Application for License/Relicense for Water Projects 5 MW or Less Capacity	6/30/2003	10/28/2003
1902-0136	Annual Kilowatt Generating Report	2/28/2003	7/2/2003
<i>Department of Energy</i>			
Energy Information Administration			
1905-0145	Commercial Building Energy Consumption Survey (CBECS)	11/30/2002	6/5/2003
Office of Administration			
1910-5103	Reporting and Recordkeeping Requirements for Safety Management System	2/28/2003	7/16/2003
1910-5112	Chronic Beryllium Disease Prevention Program	4/30/2003	8/6/2003
<i>Department of Transportation</i>			
Federal Highway Administration			
2125-0034	Certification of Enforcement of Vehicle Size and Weight Laws	5/31/2003	7/29/2003
2125-0586	State Right-of-Way Operations Manuals	8/31/2003	3/9/2004
National Highway Traffic Safety Administration			
2127-0004	Defect and Noncompliance Notification	1/30/03	2/27/2003
2127-0511	49 CFR Part 571.213, "Child Restraint Systems"	9/30/2003	3/9/2004
2127-0635	Exemption from Make Inoperative Prohibition	N/A	10/23/03
Federal Railroad Administration			
2130-0004	Railroad Locomotive Safety Standards and Event Recorders	09/30/2003	4/12/2004
2130-0526	Control of Alcohol and Drug Use in Railroad Operations	07/31/2003	2/24/2004
Bureau of Transportation Statistics			
2139-0003	Class I Quarterly and Annual Report of Motor Carriers of Passengers	2/28/2003	6/16/2003
<i>Department of Housing and Urban Development</i>			
Office of the Secretary			

OMB Control Number	Collection Title	Expiration Date	Reinstatement Date
2501-0011	Report of Additional Classification and Wage Rate Pursuant to a Davis-Bacon Wage Determination	8/31/1989	9/5/2003
Office of Housing			
2502-0060	Monthly/Quarterly Single Family Delinquent Loan Reporting	8/31/2000	3/28/2003
2502-0081	Mortgagee's Cert./Application/Monthly Summary of Assistance Payments	10/31/1997	3/28/2003
2502-0094	Assistance Payment Contract - Notice of Termination, Suspension, or Reinstatement	9/30/1998	2/6/2003
2502-0117	Request for Acceptance of Changes in Approved Drawings and Specifications	5/31/1995	6/13/2003
2502-0301	Application for Consent to Accept Deed-In-Lieu of Foreclosure	4/30/1998	3/28/2003
2502-0331	Multifamily Project Applications and Applications Reviews (MAP)	6/30/2002	4/25/2003
2502-0445	Mortgagee's Certification and Application for Interest Reduction Payments	1/31/1991	8/18/2003
2502-0464	Pre-foreclosure Sale Procedure	10/31/1997	6/13/2003
2502-0468	Mortgagee's Certificate	3/30/1994	9/16/2003
2502-0477	Direct Endorsement Underwriter/HUD Reviewer Analysis of Appraisal Report	7/31/1996	9/17/2003
2502-0520	New Approach to the Anti-Drug Program	11/30/2000	12/8/2003
Government National Mortgage Association			
2503-0001	Commitment to Guarantee Mortgage-Backed Securities	10/31/2002	3/7/2003
2503-0030	Ginnie Mae Multiclass Securities Program Documents	2/28/1998	3/4/2004
Office of the General Counsel			
2510-0006	Legal Instructions Concerning Applications for Full Insurance, Benefits, Assignment of Multifamily Mortgages to the Secretary	12/31/1996	9/12/2003
2510-0010	Guide for Opinion of Counsel to the Mortgagor	3/31/1997	4/22/2003
2510-0012	Notice of Application for Designation as a Single Family Foreclosure Commissioner (Single Family Mortgage Foreclosure Act of 1994)	10/31/1999	8/18/2003
Policy Development and Research			
2528-0206	Alaska Native / Native Hawaiian Institutions Assisting Communities (AN/NHIC)	5/31/2003	12/10/2003
Office of Public and Indian Housing			
2577-0007	Contract for Inspection Services - Turnkey	11/30/1995	9/26/2003
2577-0026	Operating Budget, Supporting Schedules and Board Resolution	6/30/2001	9/17/2003
2577-0028	Report on Occupancy for Public and Indian Housing	5/31/2001	6/5/2003
2577-0062	Part 965 PHA-Owned or Leased Projects, Maintenance	9/30/1996	9/26/2003
2577-0124	Public Housing Drug Elimination Program Formula Allocation	11/30/2002	6/27/2003
2577-0157	Modernization of Public Housing Under Comprehensive Grant Program (CGP)	2/28/2002	6/5/2003
National Aeronautics and Space Administration			
2700-0063	NASA Safety Reporting System	8/31/2003	10/29/2003
Department of Veterans Affairs			

OMB Control Number	Collection Title	Expiration Date	Reinstatement Date
2900-0381	Notice of Election to Convey and/or Invoice for Transfer of Property	2/28/2003	3/6/2003
2900-0579	Request for Vocational Training Benefits--Certain Children of Vietnam Veterans (Title 38 CFR 21.8014)	11/30/2000	11/22/2002
2900-0580	Request for Transportation Expense Reimbursement (Title 38 CFR 21.8370)	11/30/2000	11/21/2002
<i>Federal Communications Commission</i>			
3060-0636	Equipment Authorization; Declaration of Compliance -- Amendment of Parts 2 and 15	10/31/2002	3/3/2003
3060-0718	Terrestrial Microwave Fixed Radio Service -- Part 101	10/31/2002	3/3/2003
3060-0863	Satellite Delivery of Network Signals to Unserved Households for Purposes of the Satellite Home Viewer Act	10/31/2002	1/30/2003
3060-1002	Cable Horizontal and Vertical Ownership Information Collection	10/31/2002	1/17/2003
<i>Securities and Exchange Commission</i>			
3235-0236	Form N-54C under the Investment Company Act of 1940, notification of withdrawal of election.	04/30/2003	07/30/2003
3235-0540	Rule 17a-25, Electronic Submission of Securities Trading Data by Exchange Members, Brokers and Dealers	6/30/2003	11/14/2003
<i>Small Business Administration</i>			
3245-0024	Pro-Net	10/31/2002	6/4/2003
3245-0062	Small Business Investment Corporation License	2/28/2002	9/28/2003
3245-0075	National Training Participant Evaluation	10/31/2000	3/5/2004
3245-0077	Small Business Lending Companies Reporting and Recordkeeping Requirements	3/31/2000	9/28/2003
3245-0080	Statement of Personal History	5/31/2002	9/28/2003
3245-0096	Nomination for the Small Business Prime Contractor and Nomination for the Small Business Subcontractor of the Year Award	10/31/2002	12/31/2002
3245-0101	Application for Small Business Size Determination	3/31/2003	7/14/2003
3245-0110	Borrower's Progress Certification	3/31/2003	9/18/2003
3245-0118	Disclosure Statement, Leveraged Licenses and Disclosure Statement Non-Leveraged Licensees	9/30/2001	11/12/2002
3245-0131	Transaction Report on Loans Serviced by Lenders	2/28/2002	5/10/2003
3245-0141	Prime Contracts Program Quarterly Report Part A and Part B	10/31/2002	12/31/2002
3245-0169	SBDC Program & Financial Reports	9/30/2003	3/22/2004
3245-0183	SBA Counseling Evaluation	10/31/2000	9/18/2003
3245-0205	8(a) Annual Update	1/31/1997	8/27/2003
3245-0270	Representatives Used and Compensation Paid for Services in Connection with Obtaining Federal Contracts	4/30/1997	12/31/2002
3245-0320	HUBZone Empowerment Contracting Program Application	11/30/2002	2/6/2003
3245-0324	Entrepreneurial Development Management Information System (EDMIS)	4/30/2003	9/28/2003
3245-0340	Veterans Business Ownership Survey	N/A	4/8/2003

Table C.2: Violations from FY 2003 and Prior Years

As of 4/12/2004

All collections have undergone a 60-day Federal Register notice for public comment.

OMB Control Number	Collection Title	Expiration Date
<i>Department of Agriculture</i>		
Federal Crop Insurance Corporation		
0563-0061	Standard Reinsurance Agreement Plan of Operations	N/A
0563-New	Request for Applications for Partnership Funding	N/A
0563-New	Agricultural Risk Management Education and Information: "Request for Applications"	N/A
0563-New	Agricultural Risk Management Education and Information: "Performance Reporting"	N/A
0563-New	Community Outreach and Assistance Partnership Program	N/A
<i>Department of Commerce</i>		
Patent and Trademark Office		
0651-0017	Practitioner records maintenance and disclosure before the patent and trademark office	7/31/2003
<i>Department of Defense</i>		
Department of the Army		
0702-0111	Army ROTC Referral Information	2/28/2003
Department of the Navy		
0703-0006	Facilities Available for the Construction or Repair of Ships	9/30/2002
Departmental and Others		
0704-0305	Telecommunications Service Priority System	9/30/2003
0704-0347	Request for Approval for Qualification Training and Approval of Contractor Flight Crewmember	6/30/2003
0704-0394	Defense Reutilization and Marketing Service Customer Comment Card	6/30/2003
U.S. Army Corps of Engineers		
0710-0005	Record of Arrivals and Departures of Vessels at Marine Terminals	9/30/2003
Office of the Assistant Secretary for Health Affairs		
0720-0003	Statement of Personal Injury - possible third person liability	6/30/2002
0720-0005	Professional Qualifications, Medical and Peer Reviewers	8/31/2003
<i>Department of Homeland Security</i>		
U.S. Coast Guard		
2115-0009	Recreational Boat Registration	11/30/1985
<i>Federal Energy Regulatory Commission</i>		
1902-0024	Monthly Report of Cost and Quality of Fuels for Electric Plants	4/30/2003
<i>Department of Housing and Urban Development</i>		
Office of Community Planning and Development		
2506-0161	Consolidated Plan - Section 108 Loan Guarantee	1/31/2000
<i>Small Business Administration</i>		
3245-New	Micro-loan Program Electronic Reporting System	N/A