

INFORMATION COLLECTION BUDGET

**OF THE
UNITED STATES
GOVERNMENT**



2013

OFFICE OF MANAGEMENT AND BUDGET
OFFICE OF INFORMATION AND REGULATORY AFFAIRS

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Preface

President Obama has made it a priority to reduce paperwork and reporting burdens on the American public. Federal agencies have taken significant actions as a result of Executive Order 13563, *Improving Regulation and Regulatory Review* (January 18, 2011), which calls for government-wide “lookback” at existing requirements.¹ The resulting reforms are not only producing billions of dollars in monetary savings but also eliminating tens of millions of hours in annual paperwork burdens.²

Building on Executive Order 13563, President Obama issued Executive Order 13610, *Identifying and Reducing Regulatory Burdens*³ (May 10, 2012), to institutionalize regulatory lookback and specifically require agencies to prioritize “initiatives that will produce significant quantifiable monetary savings or significant quantifiable reductions in paperwork burdens.” Executive Order 13610 requires agencies to give special consideration to initiatives that would reduce unjustified regulatory burdens on small businesses and to give priority to reducing “cumulative burdens.”

In the first iteration of periodic reports implementing Executive Order 13610, Executive Departments and Agencies identified more than 100 initiatives producing an estimated annual paperwork burden reduction of more than 100 million hours. OMB announced these initiatives in the 2012 Information Collection Budget. OMB offers an updated and expanded list in Chapter 3 of this report. As shown in more detail on agencies’ OpenGov websites, agencies continue to identify and implement exciting initiatives to save time and money for small businesses as well as for taxpayers, manufacturers, and others.

As an especially exciting example, in 2012 the Department of Transportation (DOT) developed a proposed rule that would eliminate a burdensome daily paperwork requirement for professional truck drivers, reducing costs to the industry by an estimated \$1.7 billion annually while still maintaining the DOT’s high safety standards. Current regulations require commercial truck drivers to conduct pre- and post-trip equipment inspections and file Driver Vehicle Inspection Reports (DVIRs) after each inspection, regardless of whether or not an issue requiring repairs is identified. DVIRs are one of the twenty most burdensome sets of paperwork requirements, in terms of total hours, imposed across all Federal agencies. DOT found that it could cut more than 80 percent of the burden from DVIRs regulations if drivers would not have to file a report that simply documented lack of defects. Drivers would still need to conduct pre- and post-trip inspections. DOT issued this proposed rule⁴ for public comment in 2013 and is working on the development of the final rule.

Although overall paperwork burdens have grown over the past decade, the principles and initiatives, discussed in this report are designed to tackle this longstanding challenge and produce significant reductions in burdens in the years ahead.

¹ See Executive Order 13563. January 18, 2011, *available at* <<http://www.whitehouse.gov/the-press-office/2011/01/18/improving-regulation-and-regulatory-review-executive-order>> .

² For examples of reforms, see the WhiteHouse.gov blog, *available at*: <<http://www.whitehouse.gov/blog/2012/06/04/lookback-progress>>

³ See Executive Order 13610. May 10, 2012, *available at* <<http://www.whitehouse.gov/the-press-office/2012/05/10/executive-order-identifying-and-reducing-regulatory-burdens>>.

⁴ See “Inspection, Repair, and Maintenance; Driver-Vehicle Inspection Report” notice of proposed rulemaking. August 7, 2013, *available at* <<http://www.fmcsa.dot.gov/rules-regulations/administration/rulemakings/proposed/Driver-Vehicle-Inspection-Report-NPRM.pdf>>.

Executive Summary

Under the Paperwork Reduction Act of 1995 (PRA),⁵ the Office of Management and Budget (OMB) is required to report to Congress on the paperwork burden⁶ imposed on the public by the Federal Government and on efforts to reduce that burden. For more than 30 years, since the enactment of the original Paperwork Reduction Act of 1980, OMB has complied with this reporting requirement by issuing an Information Collection Budget (ICB). The 2013 ICB reports on the paperwork burden imposed on the public during fiscal year (FY) 2012 and explores other issues pertaining to the implementation of the PRA.

For the fifth consecutive year, OMB is issuing an Electronic-ICB, instead of printing it in hard copy. The 2013 ICB is available on OMB's website at: http://www.whitehouse.gov/omb/inforeg_infocoll/.

Total Paperwork Burden

In FY 2012, it is estimated that the public spent 9.47 billion hours responding to Federal information collections. This total represents a net increase of 362 million burden hours, or about 4 percent, from the estimated 9.10 billion hours that the public spent responding to Federal information collections in FY 2011.⁷ The estimated total burden in FY 2012 was lower than the estimated burden in fiscal years 2007, 2008, and 2009, and it was higher than estimated burden from FY 2010.

Sources of Paperwork Burden Changes

OMB classifies changes in paperwork burden into four categories: (1) adjustments, or re-estimates of burden, which result from changes in the population affected by a collection or from more accurate estimations of the time required to comply with an existing collection of information; (2) new statutory requirements; (3) discretionary agency actions; and (4) lapses in renewal or discontinuation,⁸ which involve expirations and reinstatements of collections.

Changes associated with adjustments to agency burden estimates were the largest source of the net increase in FY 2012, increasing estimated burden by about 322 million hours. The adjustments category differs from other sources of burden change, in the sense that the burden imposed on actual respondents for individual information collections does not itself change. Rather, an agency

⁵ See 44 U.S.C. chapter 35; see 5 CFR Part 1320.

⁶ As defined by the Paperwork Reduction Act (PRA), "burden" refers to "time, effort, or financial resources expended by persons to generate, maintain, or provide information to or for a Federal agency, including the resources expended for: (A) reviewing instructions; (B) acquiring, installing, and utilizing technology and systems; (C) adjusting the existing ways to comply with any previously applicable instructions and requirements; (D) searching data sources; (E) completing and reviewing the collection of information; and (F) transmitting, or otherwise disclosing the information." The PRA also recognizes that information collections have value. In practice, agencies and OIRA review all information collection requests to help ensure information collections yield the greatest possible public benefit. As this report documents, the Administration is redoubling efforts—including the retrospective review of existing information collections and regulations—to make reporting and paperwork less burdensome, and more valuable, to the government and the public.

⁷ The 2012 ICB, reporting on FY 2011, estimated the total Federal government burden to be 9.14 billion burden hours. This estimate has been further revised downward as a result of a more precise estimate of the burden from a collection from the Department of the Treasury's Internal Revenue Service (Treasury/IRS) entitled "Form 1097-BTC, Bond Tax Credit," which covers reporting requirements for regulated investment companies that pass through tax credit bonds to shareholders. The full accounting of this change is explained in Chapter 1.

⁸ In past years, some ICBs have used the term "lapses in OMB approval" to describe this category of burden change. Renewals and discontinuations require OMB approval, so the term "lapses in renewal or discontinuation" has the same meaning.

may change the estimated burden of a collection due to other factors. For example, economic or demographic changes may lead to a different number of individuals or entities that the agency estimates will respond to the collection. In addition, based on experience with ongoing collections, an agency may re-evaluate a prior burden estimate, and revise the estimate accordingly.

Of the 322 million hour estimated increase associated with adjustments, about 292 million hours resulted from two changes to the burden estimate for the Department of the Treasury's IRS collection "U.S. Individual Income Tax Return." First, positive effects from the economic recovery increased the number of projected individual income taxpayers. In total, the IRS estimated that 3.3 million more taxpayers would file individual income tax returns in FY 2012—from 143.4 million in FY 2011 to 146.7 million taxpayers in FY 2012. This accounts for most of the increase. Second, the IRS used new survey data to refine the methodology used to measure the paperwork burden associated with individual tax filings. The "U.S. Individual Income Tax Return" is the Federal government's largest information collection, annually imposing an estimated 2.70 billion burden hours, so its adjustments tend to have large effects on the total Federal government burden.

New statutory requirements in FY 2012 comprised the second largest source of paperwork burden change, increasing estimated burden by 36 million hours from FY 2011. Among other reasons, these statutory changes were designed to improve public health and the quality of life for veterans and low and middle income Americans. Most of this burden increase resulted from the additional beneficiaries and medical benefits of the TRICARE program and from the expansion of the Medicaid program.

Discretionary agency actions in FY 2012 contributed to a net burden increase of about 22 million hours. OMB considers discretionary agency actions as the category most indicative of agencies' management of the PRA, so it continues to closely monitor agencies' "lookback" activities to eliminate, modify, or streamline information collections that have turned out to be no longer necessary, are excessively burdensome, or can be modernized.

Lapses in renewal or discontinuation, arising from expirations of approval periods for collections, in FY 2012 resulted in a net decrease of 18 million burden hours. This change represents a net decrease in burden hours from collections entering expiration status.

Paperwork Burdens by Agency

Paperwork burdens vary greatly across agencies. The Department of the Treasury by itself accounted for 7.06 billion hours of burden in FY 2012, or about 75 percent of the government-wide total. Most of the Treasury's burden hours have resulted of the implementation of tax-related statutes. No other agency accounted for more than six percent of total burden hours. The next six agencies with the most burden hours were: the Department of Health and Human Services (HHS), the Securities and Exchange Commission (SEC), the Department of Transportation (DOT), the Environmental Protection Agency (EPA), the Department of Homeland Security (DHS), and the Department of Labor (DOL).

As shown in Table 1 of Chapter 1, some agencies had significant increases in paperwork burden in FY 2012. As a result of adjustments from positive effects of the economic recovery, as well as

improved modeling data, the Treasury had the highest absolute increase in burden with 323 million more burden hours than FY 2011, a five percent increase.

By contrast, other agencies had significant decreases in paperwork burden in FY 2012. The Department of Commerce had the largest absolute decrease in burden with 23 million fewer burden hours than in FY 2011, a 45 percent decrease largely attributable to the discontinuation of the 2010 Census. The next largest decrease in burden hours was from the Securities and Exchange Commission (SEC) with an eight million hour decrease in FY 2012.

In addition to accounting for the aggregate Federal paperwork burden imposed on the public during FY 2012, this report highlights three issues or developments:

Information collection burden for FY 2012 (Chapter 1). Changes in paperwork burden are caused by many factors; some of these factors are within agencies' control but others are not. The principal contributor to new paperwork burden in FY 2012 was adjustments to agency burden estimates. These adjustments in agency estimates primarily resulted from positive economic factors, which led to an increase in the number of tax filers, and improved modeling. Chapter 1 discusses adjustments and sources of burden changes in detail.

Agency compliance with the PRA (Chapter 2). OMB is reporting 218 violations of the Paperwork Reduction Act and related business processes during FY 2012. Many of these violations were largely attributable to business process issues, such as the failure to submit a discontinuation notice. These business process issues can be viewed as errors in agencies' internal procedures, and, as explained further below, OMB is working with agencies to identify and correct such errors. Accordingly, the violations in FY 2012 in part include database management issues as opposed to actual burden impositions on the public.

Reducing burden (Chapter 3). OMB has directed agencies to produce burden reduction initiatives. This chapter outlines OMB's request and agencies' responses. In the first iteration of periodic reports implementing Executive Order 13610, Executive Department and Agencies identified more than 100 initiatives producing an estimated annual paperwork burden reduction of more than 100 million hours. OMB offers an updated and expanded list in Chapter 3 of this report, which also includes submissions from Independent Agencies. As shown in more detail on agencies' OpenGov websites, agencies continue to identify and implement initiatives to save time and money for small businesses, as well as taxpayers, manufacturers, and others. OMB continues to encourage agencies to develop and implement practical initiatives aimed at improving efficiency and reducing public burden.

Chapter 1. Information Collection Burden

Pursuant to the Paperwork Reduction Act (PRA),⁹ the Office of Management and Budget (OMB) oversees agencies' information collection activities and reports to the Congress annually on the effectiveness of the PRA's implementation. The Information Collection Budget (ICB) is OMB's annual report to Congress, offering a detailed accounting of the information collection activities of the Federal Government in a given fiscal year. This report presents the overall paperwork burden that the Federal Government imposed on the American public in FY 2012 and identifies efforts that the Federal agencies are making to reduce burden and collect information more efficiently and effectively.¹⁰

Information collections are broadly defined by the PRA as "the obtaining, causing to be obtained, soliciting, or requiring the disclosure to third parties or the public, of facts or opinions by or for an agency, regardless of form or format, calling for either answers to identical questions posed to, or identical reporting or recordkeeping requirements imposed on, ten or more persons, other than agencies, instrumentalities, or employees of the United States; or answers to questions posed to agencies, instrumentalities, or employees of the United States which are to be used for general statistical purposes."¹¹ The terms "paperwork" and "information collection(s)" have the same meaning for the purposes of this report.

Burden is represented as the hours spent by the public responding to Federal information collections. When an agency estimates and seeks to reduce the paperwork burden it imposes on the public, the agency must consider the time that an individual or entity spends reading and understanding a request for information, as well as the time spent developing, compiling, recording, reviewing, and providing the information. Consequently, paperwork burden includes more than just the time necessary to file a tax form or fill out a benefits application.

Although this report focuses on paperwork burden and PRA compliance issues, the PRA involves more than just the minimization of burden and adherence to specified processes. OMB engages in substantive efforts to help ensure that information collections by the Federal Government yield the greatest possible public benefit. Consistent with a 2012 memorandum¹² issued by OMB, the PRA seeks to enhance the productivity, efficiency, and effectiveness of government programs by improving the quality and use of data. Information collection can strengthen decision-making, accountability, and openness in government and society. Chapter 2 includes more information about OMB's efforts to enhance the utility of Federal information collections.

⁹ 44 U.S.C. chapter 35; see 5 CFR Part 1320.

¹⁰ The Federal Government's information collection activities are also addressed in OMB's annual report on *Statistical Programs of the United States Government*. In addition, OMB issues a separate annual report on the information security provisions in subchapter III of Chapter 35, which were enacted in the Federal Information Security Management Act of 2002.

¹¹ 44 U.S. Code § 3502

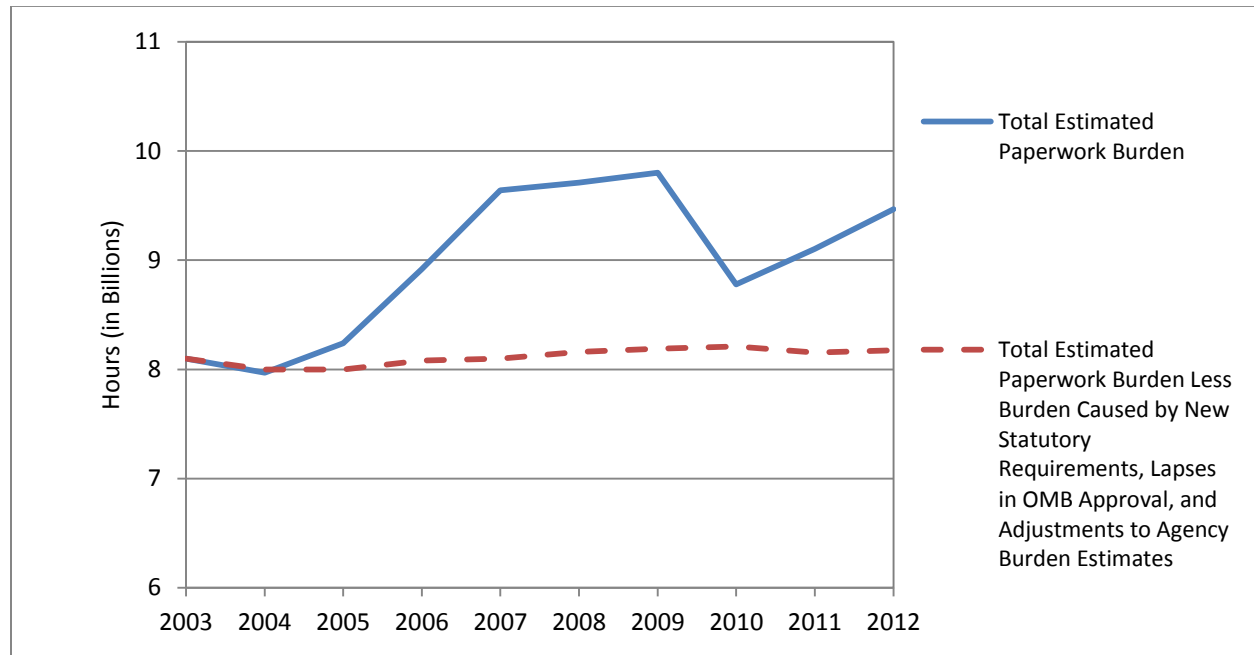
¹² See OMB M -12-14, "Memorandum for the Heads of Executive Departments and Agencies: Use of Evidence and Evaluation in the 2014 Budget," May 18, 2012, available at <<http://www.whitehouse.gov/sites/default/files/omb/memoranda/2012/m-12-14.pdf>>

1.1. Total Paperwork Burden

According to agency estimates of paperwork burden in FY 2012, the public spent 9.47 billion hours responding to or complying with Federal information collections.

Figure 1 shows the trend in total estimated Federal paperwork burden between FY 2003 and FY 2012. As the solid blue line in the figure shows, estimated paperwork burden grew over this period, though it declined in fiscal year 2004 and again in FY 2010.

Figure 1: Total Estimated Paperwork Burden Hours (FY 2003 to FY 2012)¹³



¹³ As explained in Section 1.2, the trend with the dashed red line represents changes due to agency discretionary action since FY 2003. The gap between the solid blue line and the dashed red line represents additional burden due to the three other factors that are largely not within agencies' direct control. The dashed red line is set to equal total Federal government burden purely for illustrative purposes; the intent of this graph is to show agency discretionary action changes over the past ten years.

Generating the Total FY 2012 Paperwork Burden

During FY 2012, ICB agencies¹⁴ entered a total of 10.29 billion paperwork hours into ROCIS, a government-wide online system used for paperwork database management.¹⁵ Similar to FY 2011, ROCIS contains an entry for a collection of information from the Department of the Treasury's Internal Revenue Service (Treasury/IRS) entitled "Form 1097-BTC, Bond Tax Credit," which covers reporting requirements for regulated investment companies that pass through tax credit bonds to shareholders. The burden for this collection was initially estimated at about 828 million hours. After using Form 1097-BTC in the field for more than two years, Treasury/IRS has revised its burden estimate down to about 70 hours. This nearly 100 percent reduction in the burden estimate is attributable to the Treasury/IRS correcting the model used to estimate (1) the number of burden hours per respondent (burden changed to 20 minutes per respondent instead of the initially proposed 8 hours) and (2) the number of respondents (212 respondents instead of the initially proposed 101,630,369). In short, Treasury/IRS used an antiquated model to calculate the burden of this form, and it has updated its modeling to better reflect the reality of the collection.

In FY 2011, the agency identified the forecasting error after the collection was approved in ROCIS. In FY 2011, Treasury/IRS estimated the error at about 794 million burden hours, and OMB amended the burden total for the 2012 ICB. The agency now estimates the error at about 828 million hours. Given the large magnitude of this error, about 8 percent of government-wide burden, OMB continues to amend the totals tracked by ROCIS in FY 2012. Treasury/IRS is working to finalize the formal corrected submission within ROCIS, which will then update the total displayed on RegInfo.gov. Thus, the 2013 ICB reports estimated burden for FY 2012 at 9.47 billion hours, which is about 828 million hours fewer than the total originally tabulated by ROCIS.

1.2. Sources of Paperwork Burden Changes, FY 2003 to FY 2012

OMB classifies changes in paperwork burden into four categories: (1) new statutory requirements; (2) discretionary agency actions; (3) adjustments, or re-estimates of burden, which result from changes in the population affected by a collection or from more accurate estimations of the time required to comply with a collection of information; and (4) lapses in renewal or discontinuation, which involve expirations and reinstatements of collections. OMB considers discretionary agency actions and lapses in renewal or discontinuation to be the best measures of agencies' effectiveness in managing their paperwork burden, because those categories are within direct control of the

¹⁴ As detailed in Appendix C, the Data Call for this ICB requested burden reduction initiatives and violation lists from 22 Executive Departments and Agencies and 6 Independent Agencies. Similar to previous years, the burdens imposed by these 28 "ICB agencies" create the baseline total Federal government paperwork burden. Accounting for all other agencies would add about one percent to total paperwork burden of the Federal government; it would increase the FY 2012 total from about 9.47 billion to 9.56 billion. In the 2014 ICB, OMB intends to improve reporting completeness by expanding the list of ICB agencies. See Appendix C for a more complete discussion.

¹⁵ ROCIS is an acronym for the RISC and OIRA Consolidated Information System. RISC – Regulatory Information Services Center – is managed by the General Services Administration (GSA) and facilitates access to information collection data. OIRA – Office of Information and Regulatory Affairs – reviews agencies' information collections under the PRA. Accordingly, ROCIS is the online program that agencies, GSA, and OIRA use to tabulate total burden. ROCIS is linked to the public-facing RegInfo.gov.

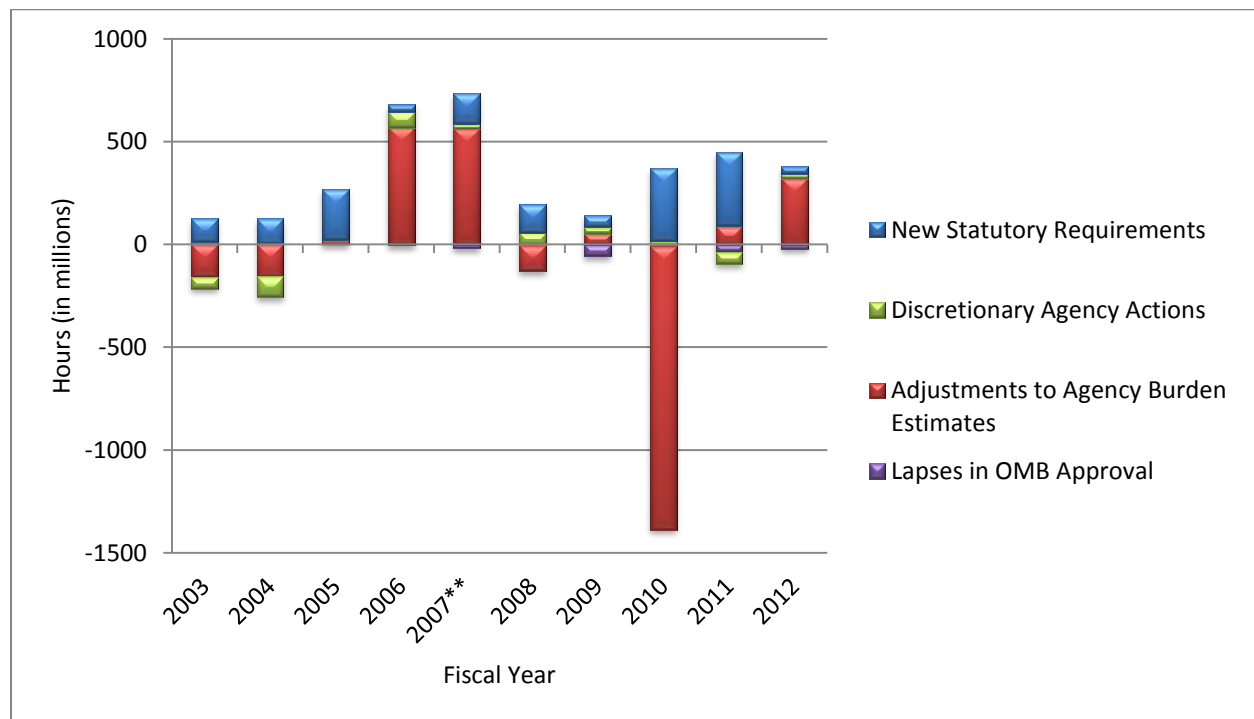
agency. Significant burden reductions might occur with improved management of discretionary agency actions.

In addition to showing the recent historical trend in *total* paperwork burden, Figure 1 shows the recent trend – represented by the dashed red line – in the growth in burden associated with discretionary agency actions, equal to the total burden less additional burden due to new statutory requirements, lapses in renewal or discontinuation, and adjustments to agency burden estimates. As indicated by the relatively flat dashed red line, since FY 2003 *discretionary agency actions have not comprised a major source of burden increase over the past ten fiscal years.*¹⁶

The gap between the solid blue line and the dashed red line represents additional burden due to factors that are largely not within agencies’ direct control. The point of distinguishing between the two lines is to demonstrate an important point: the additional paperwork burden in recent years has been the result of factors that are largely outside of agencies’ direct control, such as new statutory requirements.

Figure 2 illustrates the yearly changes in paperwork burden across the four sources of burden change as tracked by OMB over the last 10 years.

Figure 2: Sources of Paperwork Burden Change (FY 2003 - FY 2012)



¹⁶ Discretionary agency actions contributed an estimated 26 million hour burden increase during this ten-year period. This total is less than 2 percent of the estimated net burden increase since FY 2003.

Notably, almost all of the estimated net increase in paperwork burden during this ten-year period was associated with new statutory requirements. New statutes account for an estimated increase of 1.6 billion paperwork hours since FY 2003. These changes in burden occur when new laws are enacted that require agencies to collect new information.

Discretionary agency actions comprised the smallest source of the net increase in paperwork hours since FY 2003, contributing an estimated 26 million hour burden increase during this ten-year period. This total is less than 2 percent of the net burden increase since 2003. These actions occur when agencies make a decision to alter the burden that an existing collection imposes on the public (for example, by adding or reducing the number of questions on a survey).

The category of burden change that contributed the greatest burden decrease in recent years is “adjustments” to agency burden estimates. Standing by themselves, adjustments have accounted for a decrease in the estimated overall paperwork burden of 193 million hours since FY 2003. An “adjustment” to a burden estimate can be made for a variety of reasons, but most often it is made in one of two situations: (1) changes in the number of individuals or entities responding to an information collection as a result of factors outside an agency’s control (e.g. changes in demographics or in the level of economic activity); and (2) re-estimates of the amount of burden that a collection imposes (e.g. improvements in the methodology for estimating the burden that a collection imposes). In either situation, the agency has not made any change to the collection itself, thus there has been no real change in the burden that the collection imposes on any particular respondent.

The fourth source of change in net burden since FY 2003 was the lapses in renewal or discontinuation category, accounting for a net decrease of 117 million hours. The lapses occur when (1) OMB’s approval of a collection expires without an agency discontinuing or renewing it, which decreases burden, and (2) an expired collection is reinstated, which increases burden. If, for example, the approval for a collection expires in a given year, overall burden during that year decreases by the collection’s total burden. If the collection is reinstated in the subsequent year, overall burden during that year increases by the collection’s total burden. However, when a collection enters expiration status, the agency might not cease using the collection, meaning that even though the burden associated with the collection is removed from OMB’s inventory of approved collections, the burden might still be imposed on the public. OMB is addressing this situation through its reporting of business process issues and its training sessions with agency staff, as explained in Chapter 2. Accordingly, OMB continues to expect a reduction in the instances in which agencies fail to take action on a collection and continue to collect the information, if such a failure to take action is reported.

1.3. Discussion of Paperwork Burden Changes in FY 2012

OMB is reporting that the public spent an estimated 9.47 billion hours responding to Federal information collections in FY 2012. This total represents a net increase of about 362 million burden hours, or approximately 4 percent, from the estimated 9.10 billion hours that the public spent responding to Federal information collections in FY 2011. OMB identifies the following sources of changes in paperwork burden during FY 2012 (in order):

1. Adjustments to existing burden estimates – often as a result of demographic changes and other outside forces (estimated increase of 322 million hours);
2. New statutory requirements (estimated increase of 36 million hours);
3. Discretionary agency actions (estimated increase of 22 million hours);
4. Lapses in renewal or discontinuation – as a result of the expiration of burden producing activities or lapses in approval of such activities (estimated decrease of 18 million hours).¹⁷

Each of these sources of estimated paperwork burden change is discussed in the pages that follow. They are also summarized in Table 1. Data on the specific collections of information that underlie the sources of the paperwork change is explained in Appendix A.

1. Adjustments to Agency Burden Estimates (estimated increase of 322 million hours).

Burden changes associated with adjustments to agency burden estimates were the largest source of net increase in FY 2012. The “adjustments” category differs from other sources of burden change in the sense that the burden imposed on actual respondents for individual information collections does not change. Consider program eligibility and information collection requirements for receiving Social Security benefits. Although the reporting requirements for receiving such benefits may not change year-over-year, the burden for the collection may increase as greater numbers of Baby Boomers age and apply for benefits; the burden estimate is therefore “adjusted.”

There are two common types of adjustments in burden:

- a) *Agency Re-estimation of Burden.* An agency may re-evaluate a prior burden estimate for the collection, conclude that its prior estimate was inaccurate, and revise the estimate accordingly. Importantly, the agency has not changed the requirements of the collection, or added to or subtracted from the category of people who are required to respond to the collection.
- b) *Burden Changes from Demographic, Economic, and Other External Factors.* An agency may change the estimated burden of a collection if there has been a change in the number of individuals or entities that the agency estimates will respond to the collection – and this change is due to factors outside an agency’s control. As above, the agency has not changed the requirements of the collection or the category of people required to respond to the collection.

A typical example of such an adjustment is when demographic changes result in more (or fewer) people applying for a Federal benefit, and thus in more (or fewer) applications being filled-out and submitted. Another example of such an adjustment is when economic changes result in changes in the number of businesses being created (and thus more tax forms are submitted). In both of these types of situations, the agency has not changed the requirements of the collection, and the agency has not

¹⁷ This change represents a net decrease in burden hours from collections entering expiration status, but the agency might not cease using the collection after expiration. Even though the burden associated with the collection is removed from OMB’s inventory of approved collections, the burden might still be imposed on the public.

redefined who has to respond to the collection. Instead, the changes in external factors either increase or decrease the number of individuals or entities that will respond to the collection.

Of the 322 million hour estimated increase associated with adjustments, about 292 million hours resulted from two changes to the burden estimate for the Department of the Treasury's IRS collection "U.S. Individual Income Tax Return." First, positive effects from the economic recovery increased the number of projected individual income taxpayers. In total, the IRS estimated that 3.3 million more taxpayers would file individual income tax returns in FY 2012, from 143.4 million in FY 2011 to 146.7 million taxpayers in FY 2012. Second, the IRS used new survey data to refine the methodology used to measure the paperwork burden associated with individual tax filings. Because the "U.S. Individual Income Tax Return" is the Federal government's largest information collection, annually imposing an estimated 2.70 billion burden hours, adjustments in its underlying estimates have large effects on the total Federal government burden.

Note that these two changes to the U.S. Individual Income Tax Return exemplify the two most common adjustments described above—agency re-estimate of burden and burden changes from demographic, economic, or other external factors. In these types of cases, an agency is not imposing additional burden on actual respondents for individual information collections; instead, the agency is improving its internal methodology and appropriately accounting for external events.

- 2. *New statutory requirements (estimated increase of 36 million hours).*** Each year laws are enacted that create new programs for Federal agencies to implement. Quite frequently, these new programs require collection, use, and dissemination of information. Typically, new legislative initiatives and amendments require more data collection. Among other reasons, these statutory changes were designed to improve public health and the quality of life for veterans and low and middle income Americans.

The largest contributors to the 36 million hour net increase due to new statutory requirements were the Department of Health and Human Services' (HHS) "Medicaid Program; Eligibility Changes under the Affordable Care Act of 2010," which resulted in about 22 million hours of paperwork burden, and the Department of Defense's (DoD) "Health Insurance Claim Form," which resulted in about 7 million hours of additional paperwork burden.

HHS attributed a significant portion of the burden from its Medicaid Program collection to the establishment of eligibility and enrollment systems, as called for by the Affordable Care Act. The goal of these systems is to help with the Medicaid expansion in a way that reduces administrative burden for States and consumers. For example, HHS believes that this new process is much less burdensome than the processes that were in place in many States that required individuals to complete a new application at renewal.

DoD attributed a significant portion of the paperwork burden from its Health Insurance Claim collection to the additional beneficiaries and medical benefits of the TRICARE program, as directed by National Defense Authorization Acts. For example, DoD added

former military retirees and their family members who are eligible for Medicare to the TRICARE benefit. Growth in utilization, as a result of the expanded benefit, produced an estimated increase of 62 million claim submissions on behalf of TRICARE beneficiaries. The Department projects that it will process more than 80 percent of the claims it receives under this collection electronically.

- 3. Discretionary Agency Actions (estimated increase of 22 million hours).** In some areas, agencies have considerable discretion in managing their information collection activities and the burden associated with those activities. For example, in administering a grant program where performance reporting is statutorily required, an agency may have discretion in deciding the frequency or depth of grantee reporting. For burden tracking purposes, OMB classifies these types of changes as “Due to Agency Discretion.” Given that agencies have control over these actions, OMB considers actions within this category of burden change to be the most appropriate measure of agency performance with respect to information collection.

In total, sixteen agencies had net increases in burden from discretionary agency actions. The Department of the Treasury had the largest absolute increase in burden from agency actions with a 37.2 million hour increase (equal to 0.55 percent of total agency burden). For example, the Department of the Treasury amended its “Distributions From Pensions, Annuities, Retirement or Profit-Sharing Plans, IRAs, Insurance Contracts” collection to address computational inconsistencies, increasing burden by more than 11 million hours. The agencies with the largest percentage increases in burden due to agency actions were the National Science Foundation with 24 percent (1.6 million hours) and the Federal Deposit Insurance Corporation with 23 percent (2.6 million hours).

- 4. Lapses in renewal or discontinuation (estimated decrease of 18 million hours).** In FY 2012, estimated paperwork burden was decreased by 18 million hours because collections went into expiration status as a result of a lapse in renewal or discontinuation. HHS had the largest reduction in burden as a result of lapses in renewal or discontinuation. Burden changes of this type occur when an agency neither renews nor discontinues a collection before its OMB approval period has expired. When an agency does not renew or discontinue, the burden associated with these collections is removed from OMB’s accounting system until the collection is renewed or discontinued. However, agencies do not always cease using these collections. For more information on these lapses during FY 2012, see Appendix B of this report. For more information on the steps OMB is taking to improve agency compliance with the PRA, see Chapter 2, Section 3.

Table 1: FY 2012 Paperwork Burden Changes by Agency (in millions of hours)¹⁸

	FY 2011 Total Paperwork Burden	FY 2012 Due to Agency Discretion		FY 2012 Changes Due to New Statutes		FY 2012 Changes Due to Lapses in Renewal or Discontinuation		FY 2012 Adjustments		FY 2012 Total Paperwork Burden		
			% change from '11		% change from '11		% change from '11		% change from '11		% change from '11	Total hour change from '11
Total	9,104.07	22.03	0.24%	35.81	0.39%	-18.1	-0.20%	321.64	3.53%	9,465.95	3.97%	361.88
DHS	156.93	10.55	6.72%	0.04	0.03%	-0.02	-0.01%	-4.24	-2.70%	163.26	4.03%	6.33
DOC	50.93	-23.98	-47.08%	0.59	1.16%	0	0.00%	0.35	0.69%	27.9	-45.22%	-23.03
DOD	37.34	0.03	0.08%	8.35	22.36%	5.71	15.29%	-0.22	-0.59%	51.21	37.15%	13.87
DOE	5.74	-0.28	-4.88%	0	0.00%	-0.01	-0.17%	0.08	1.39%	5.53	-3.66%	-0.21
DOI	11.72	-0.33	-2.82%	0	0.00%	0	0.00%	-0.54	-4.61%	10.86	-7.34%	-0.86
DOJ	16.3	0.43	2.64%	0	0.00%	0.02	0.12%	7.22	44.29%	23.97	47.06%	7.67
DOL	145.89	4.68	3.21%	4.55	3.12%	0	0.00%	-5.24	-3.59%	149.91	2.76%	4.02
DOT	305.44	-4.4	-1.44%	11.57	3.79%	1.85	0.61%	-1.67	-0.55%	313.01	2.48%	7.57
ED	96.28	-0.03	-0.03%	0	0.00%	0	0.00%	-0.73	-0.76%	95.52	-0.79%	-0.76
EGOV	10.98	-4.51	-41.07%	0	0.00%	-0.4	-3.64%	0	0.00%	6.07	-44.72%	-4.91
EPA	175.22	1.84	1.05%	0	0.00%	0	0.00%	-0.08	-0.05%	176.97	1.00%	1.75
FAR	34.2	-0.11	-0.32%	0	0.00%	0	0.00%	0	0.00%	34.09	-0.32%	-0.11
FCC	56.93	2.46	4.32%	0	0.00%	-0.01	-0.02%	19.86	34.88%	79.24	39.19%	22.31
FDIC	11.4	2.62	22.98%	0.54	4.74%	0	0.00%	-0.64	-5.61%	13.91	22.02%	2.51
FERC	10.9	0.14	1.28%	0	0.00%	0	0.00%	-0.03	-0.28%	11.01	1.01%	0.11
FTC	83.49	-0.21	-0.25%	-4.17	-4.99%	0	0.00%	0.21	0.25%	79.33	-4.98%	-4.16
HHS	519.88	-2.76	-0.53%	29.09	5.60%	-19.03	-3.66%	1.02	0.20%	528.19	1.60%	8.31
HUD	35.49	-2.04	-5.75%	0.33	0.93%	-6.12	-17.24%	6.69	18.85%	34.39	-3.10%	-1.1
NASA	2.79	-0.01	-0.36%	0	0.00%	-0.02	-0.72%	0	0.00%	2.75	-1.43%	-0.04
NRC	10.6	0.12	1.13%	0.46	4.34%	0	0.00%	-0.35	-3.30%	10.83	2.17%	0.23
NSF	6.68	1.61	24.10%	0	0.00%	0	0.00%	0	0.00%	8.29	24.10%	1.61
SBA	1.38	0.01	0.72%	-0.01	-0.72%	-0.01	-0.72%	0	0.00%	1.36	-1.45%	-0.02
SEC	360.23	-7.73	-2.15%	0.62	0.17%	0	0.00%	-0.68	-0.19%	352.44	-2.16%	-7.79
SSA	35.79	2.97	8.30%	0	0.00%	0.01	0.03%	0.28	0.78%	39.04	9.08%	3.25
STATE	45.82	0	0.00%	0	0.00%	0	0.00%	-3.8	-8.29%	42.03	-8.27%	-3.79
TREAS	6,739.55	37.23	0.55%	-16.89	-0.25%	-0.04	0.00%	302.04	4.48%	7,062.10	4.79%	322.55
USDA	129.66	3.39	2.61%	0.74	0.57%	-0.03	-0.02%	1.77	1.37%	135.55	4.54%	5.89
VA	6.51	0.34	5.22%	0	0.00%	0	0.00%	0.34	5.22%	7.19	10.45%	0.68

¹⁸ As a result of rounding and other anomalies, columns for some agencies sum to plus or minus 0.25 million hours of total paperwork burdens.

Chapter 2. Paperwork Reduction Act Compliance

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

OMB reports two categories of violations of the Paperwork Reduction Act: (1) collections in use without OMB approval and (2) lapses in renewal or discontinuation. Violations falling under the first category, collections in use without OMB approval, occur when the agency fails to submit the information collection request to OMB before it begins to collect information. Violations falling under the second category, lapses in renewal or discontinuation, occur when the agency fails to submit its request to OMB to renew or discontinue its approval for a collection prior to the expiration date.

Although both categories are violations of the PRA, OMB considers the number of lapses in renewal or discontinuation to be the better indicator of effective agency management of PRA. A high number of agency collections in use without OMB approval could indicate that the agency is effectively identifying violations and bringing them into compliance. On the other hand, a high number of lapses in renewal or discontinuation could indicate that the agency should improve its process for submitting renewals or discontinuations. Therefore, without understating the seriousness of collections in use without OMB approval, OMB uses only violations due to lapses in renewal or discontinuation as the strongest way to measure individual agency compliance with the PRA. OMB uses both categories to measure total violations for the entire Federal government.

OMB continues its use of an enhanced search process for lapses in renewal or discontinuation in FY 2012. Prior to FY 2011, OMB would identify all collections that expired during the fiscal year and were reinstated after the expiration date during the fiscal year. This previous process would identify only some of the collections comprising the other two types of lapses in renewal or discontinuation: (1) collections that expired in previous fiscal years and were reinstated during the fiscal year and (2) collections that expired during the fiscal year and were not renewed or discontinued before the expiration date in the fiscal year. As a result, prior to FY 2011, some agencies may not have considered the failure to submit a discontinuation notice before a collection expires to be a violation.

By taking action before a collection expires, agencies can better inform the public of its intended activities and improve the reporting of burden under the PRA. Thus, OMB continues to report all of the collections comprising the other two types of lapses as violations, because OMB considers the submissions of discontinuation notices—good government actions associated with avoiding these lapses—as business processes that support compliance with the PRA.

2.1. Total Violations

As a result of its enhanced search process, OMB reports 218 violations of the PRA and related business processes during FY 2012. Prior to FY 2010, OMB only used the total number of lapses in renewal or discontinuation to measure total violations for the entire Federal Government. Since FY

2010, OMB has reported total violations inclusive of both lapses in renewal or discontinuation and uses without an OMB control number. In addition, since 2011, OMB reports as violations all business process issues arising when agencies have not submitted a notice of discontinuation or renewal prior to a collection's expiration of OMB approval. As discussed above, a change in its search process enables OMB to report all such business process issues, and some of these issues are carried over from previous fiscal years. Accordingly, compared to the violations reported in FY 2009, the total number of violations in FY 2012 includes two additional sources: (1) collections in use without an OMB control number (also reported in FY 2010 and FY 2011) and (2) collections that had business process issues (also reported FY 2011). For these reasons, violations in FY 2012 can only be validly compared against violations in FY 2011, and violations decreased by 85—from 303 to 218—over the past year.

For FY 2012, OMB is reporting 30 collections in use without OMB control numbers and 188 violations due to lapses in renewal or discontinuation. All violations that are not collections in use without OMB control numbers are violations due to lapses in renewal or discontinuation.

Of the lapses in renewal or discontinuation, 42 violations reported in this year's total actually expired in previous years and were reinstated in FY 2012. In addition, 120 violations due to lapses due to renewal or discontinuation resulted from collections that expired in FY 2011 and were not renewed or discontinued in FY 2012. Accordingly, 162 of the 218 total violations from this year are associated with the two types of lapses in renewal or discontinuation whose identification is enhanced by the search process first implemented in FY 2011.

To put the 218 violations total in perspective, agencies maintain about 9,000 active OMB control numbers in the inventory of approved information collections. Moreover, in FY 2012 OIRA desk officers review and concluded on approximately 5,600 information collection requests. The vast majority of collection of existing collections are renewed or discontinued before their expiration dates.

2.2. Achieving Zero Violations

Table 2 rates 38 agencies for their compliance.¹⁹ As mentioned, when rating individual agencies, OMB excludes collections in use without OMB control numbers and only considers lapses in renewal or discontinuation during the fiscal year. This year, two agencies received a "Poor" rating, meaning that they had twenty-five or more violations due to lapses in renewal or discontinuation in FY 2012. Those agencies were the Department of Defense, with 71 violations due to a lapse in renewal or discontinuation, and the Department of Health and Human Services, with 56 such violations.

OMB rates 15 agencies as "Need Improvement," defined as having between one and 25 violations in FY 2012. Twenty-one agencies achieved a rating of "Good" by having no violations in FY 2012.

¹⁹ The 38 agencies include the 28 "ICB agencies" subject to the Data Call to the ICB, the nine others agencies with paperwork burdens greater than one million hours (see Appendix C for a discussion), and any other agency with a violation (i.e., Surface Transportation Board).

OMB is committed to working with agencies to reduce violations. OMB continues to work with agencies to submit renewals and discontinuations for collections on a timely basis and to seek OMB approval when agencies collect information from ten or more persons or from all or a substantial majority of an industry. OMB offers an electronic system that enables agencies to generate reports of collections that have approvals nearing expiration, and, as part of its day-to-day operations, OMB regularly answers questions from agencies about the appropriate action for collections that have approvals nearing expiration.

Table 2: Total Number of FY 2012 Violations Due to Lapses in Renewal or Discontinuation

Good	Need Improvement	Poor
0 Violations	1 to 25 Violations	25 or More Violations
<ul style="list-style-type: none"> • Consumer Financial Protection Bureau • Corporation for National and Community Service • Department of Commerce • Department of Labor • Department of the Interior • Department of State • Department of Veterans Affairs • Environmental Protection Agency • Equal Employment Opportunity Commission • Federal Acquisition Regulation • Federal Deposit Insurance Corporation • Federal Energy Regulatory Commission • Federal Reserve System • Federal Trade Commission • General Services Administration • National Science Foundation • Nuclear Regulatory Commission • Office of Management and Budget • Recovery Accountability and 	<ul style="list-style-type: none"> • Commodity Futures Trading Commission • Department of Agriculture • Department of Education • Department of Energy • Department of Housing and Urban Development • Department of Homeland Security • Department of Justice • Department of Transportation • Department of the Treasury • Federal Communications Commission • Grants.gov • NASA • Office of Personnel Management • Small Business Administration • Surface Transportation Board 	<ul style="list-style-type: none"> • Department of Defense • Department of Health and Human Services

Transparency Board <ul style="list-style-type: none"> • Securities and Exchange Commission • Social Security Administration 		
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2.3. Steps to Improve Agency Compliance

In addition to routine efforts to inform agency staff of the steps they can take to meet PRA requirements efficiently and effectively, OIRA has continued to reinforce lessons imparted during PRA training sessions held for agency PRA clearance officers. OIRA staff continues to highlight the importance of minimizing duplication, simplification, reducing burden through the use of technology, and focusing on the practical utility of information collected.

In FY 2012 and during the drafting of this report, OIRA desk officers and statisticians have interacted with Federal agencies on numerous occasions both to help agencies and their contractors understand how to comply with OMB's statistical standards and to offer early study-specific advice to help ensure that new studies and those being redesigned would meet OMB statistical standards and obtain timely approvals.²⁰ For example, some agencies expressed concern about the timing challenges associated with meeting PRA requirements given OMB's encouragement to conduct more program evaluations, sometimes quickly in response to new grant or other programs. In turn, OMB sponsored a briefing attended by more than 200 Federal program evaluators and their PRA liaisons. At this event, OIRA clarified PRA requirements and provided strategies agencies could employ to smooth and accelerate review processes for program evaluations. OIRA invited agencies to contact OIRA to determine how to structure upcoming clearances to meet evaluation timing and PRA requirements in tandem. Subsequently, agencies worked with OIRA desk officers to use some of these mechanisms. For example, FDA applied this advice in the context of obtaining clearance for a large scale, multi-phase evaluation of public message campaigns designed to increase knowledge of smoking.

In addition, to improve data quality and evaluation timeliness, OIRA has encouraged establishing generic clearances²¹ to facilitate greater pre-testing of questionnaires and other developmental work, as well as exploring the development of generics to cover other types of small scale routine data collections. For example, OIRA has worked with the Centers on Disease Control and Prevention (CDC) to ensure the most efficient and effective means of organizing, prioritizing, and reviewing ongoing and new collections, particularly in light of new legal and policy needs for data. In particular, OIRA has been working closely with CDC's Office for State, Tribal, Local, and Territorial Support on an agency-wide generic that supports routine communications with public health officials to assess capacity and needs.

In addition, OMB has continued to collaborate with several agencies previously identified as needing to build capacity to conduct higher quality program evaluation studies, through a series of steps, such as tailored briefings, aligning of budget resources, and referrals to technical resources in statistical

²⁰ See "Memorandum for the President's Management Council, Guidance on Agency Survey and Statistical Information Collections," January 20, 2006, available at <http://www.whitehouse.gov/sites/default/files/omb/assets/omb/inforeg/pmc_survey_guidance_2006.pdf>

²¹ See "Memorandum for the Heads of Executive Departments and Agencies, and Independent Agencies, Paperwork Reduction Act – Generic Clearances," May 28, 2010, available at <http://www.whitehouse.gov/sites/default/files/omb/assets/inforeg/PRA_Gen_ICRs_5-28-2010.pdf>

agencies. OIRA also worked to promote the quality of data at administrative agencies with potential benefit for statistical programs, including evaluations. These efforts included new OMB guidance and facilitating new collaborations between statistical and administrative agencies.

For many large scale studies, such as the Personal Responsibility Education Program (PREP) Multi-Component Evaluation, OMB budget, policy and statistical staff met with agencies periodically to help ensure that study goals, measurement needs, funding, and clearance requirements were aligned. In some cases where data needs could be best met by collaborating among multiple agencies, OMB facilitated interagency working groups to identify reliable measures, and to coordinate across relevant data collections.

Finally, during this time, OIRA desk officers hosted many meetings with Federal agencies to improve government-wide understanding of critical PRA issues, including OMB's privacy standards,²² generic clearances, and review processes. For example, OIRA had multiple meetings with Treasury/IRS staff and CFPB staff to clarify the appropriate use of generic clearances, which are intended for formative research or customer satisfaction surveys that are low burden and used only internally by the agency. Additionally, OIRA participates in quarterly meetings with Treasury and IRS staff to improve PRA compliance and to improve IRS' internal processes as they relate to the PRA. OIRA staff continue to conduct several other on-site visits to a wide range of agencies, and these visits typically attended by a wide range of agency stakeholders, including staff from program offices, the Office of the Chief Information Officer, and the Office of the General Counsel. These outreach efforts will continue increase compliance with the PRA.

²² See "Memoranda 99-05, Attachment B (Privacy and Personal Information in Federal Records)," January 7, 1999, available at http://www.whitehouse.gov/omb/memoranda_m99-05-b/

Chapter 3. Reducing Burdens

As discussed in Chapter 1, paperwork burdens have grown over the past decade.

3.1. Retrospective Review of Paperwork and Regulatory Requirements

President Obama has emphasized the importance of streamlining and eliminating outdated and burdensome paperwork and regulatory requirements. In 2011, President Obama issued Executive Order 13563, *Improving Regulation and Regulatory Review*²³ (January 18, 2011), setting forth new cost-saving, burden-reducing requirements for federal regulations and requiring a government-wide “lookback” at existing regulations. He directed agencies and departments to produce plans to eliminate red tape and to streamline current requirements. In response to the Executive Order, more than two dozen agencies identified more than 500 reforms. A number of these reforms involve the reduction or elimination of paperwork or reporting burdens.²⁴

Agencies continued progress into 2012, not only producing billions of dollars in monetary savings, but also eliminating tens of millions of hours in annual paperwork burdens.²⁵ A general theme that is present in many of the plans is the need to shift from paper to electronic reporting. Another theme is the elimination of redundant, unnecessary, or counterproductive requirements. Consistent with Presidential Memorandum²⁶ of January 18, 2011, “Regulatory Flexibility, Small Business, and Job Creation,” many of the resulting initiatives will be particularly helpful to small businesses.

Executive Order 13610, *Identifying and Reducing Regulatory Burdens*²⁷ (May 10, 2012), institutionalizes the regulatory lookback and specifically requires agencies to prioritize “initiatives that will produce significant quantifiable monetary savings or significant quantifiable reductions in paperwork burdens.” Executive Order 13610 also requires agencies to “give special consideration to initiatives that would reduce unjustified regulatory burdens or simplify or harmonize regulatory requirements imposed on small businesses.” Finally, Executive Order 13610 requires agencies to focus on “cumulative burdens” and to “give priority to reforms that would make significant progress in reducing those burdens.” As detailed below, OMB has already seen large results from this effort.

In addition to promoting the retrospective review of paperwork and regulatory requirements, OMB regularly works with agencies to minimize the burden of individual information collections on the public. Many of these efforts take the form of day-to-day efforts to ensure that burdens are justified and to identify ways for agencies to promote their statutory missions and goals while significantly reducing burdens. Some of these efforts have been more formal and systemic,

²³ See Executive Order 13563. January 18, 2011, available at <<http://www.whitehouse.gov/the-press-office/2011/01/18/improving-regulation-and-regulatory-review-executive-order>>

²⁴ See the OMBlog post “Final Regulatory Reform Plans Will Save Money, Reduce Waste,” August 23, 2011, available at <<http://www.whitehouse.gov/blog/2011/08/23/final-regulatory-reform-plans-will-save-money-reduce-waste>>

²⁵ For examples of reforms, see the WhiteHouse.gov blog post “Lookback Progress” available at: <<http://www.whitehouse.gov/blog/2012/06/04/lookback-progress>>

²⁶ See “Presidential Memoranda – Regulatory Flexibility, Small Business, and Job Creation,” January 18, 2011, available at <<http://www.whitehouse.gov/the-press-office/2011/01/18/presidential-memoranda-regulatory-flexibility-small-business-and-job-cre>>

²⁷ See Executive Order 13610. May 10, 2012, available at <<http://www.whitehouse.gov/the-press-office/2012/05/10/executive-order-identifying-and-reducing-regulatory-burdens>>

including data calls for new initiatives.

3.2. Burden Reduction Initiatives

To help implement Executive Order 13610, OIRA issued a memorandum²⁸ cataloguing a wide range of burden-reducing strategies and directing agencies to take strong short-term steps to reduce burdens. As part of this effort, Executive Departments and Agencies were directed to attempt to identify at least one initiative, or combination of initiatives, that would eliminate at least 50,000 hours in annual burden. Agencies that now impose the highest paperwork burdens²⁹ were directed to identify at least one initiative, or combination of initiatives, that would eliminate two million hours or more in an annual burden.

This memorandum sought to enhance and expand ideas resulting from previous Data Calls to the Information Collection Budget and—importantly—generate altogether new initiatives. As in the previous years' data calls, the OMB memorandum asked agencies to give particularly serious consideration to burden reduction initiatives that provide relief to small businesses or recipients of Federal benefits. Note that there is an overlap between the two areas that OMB is emphasizing: in some cases, small businesses may experience excessive reporting or paperwork requirements in connection with federal programs.

OMB recommended consideration of initiatives that eliminate unnecessary complexity, standardize inconsistent processes and requirements, and eliminate duplicative or otherwise unnecessary reporting requirements. OMB suggested agencies give extra scrutiny to their ten largest information collections. OMB also asked agencies to consider synthesis of reporting platforms within and across agencies. Of course, agencies were not limited in their burden reduction ideas, but OMB requested that they consider these areas in particular:

- **Eliminating redundant or unnecessary collections.** In some cases, information collections are not necessary, and in other cases they are redundant. Agencies should eliminate unnecessary and redundant collections. They should also, where appropriate, streamline existing collections (as, for example, by reducing the number of questions and increasing simplicity).
- **Use of "short form" options.** Significant burden reductions can be achieved by providing respondents the option of using streamlined short forms for situations of lesser complexity or importance. This step is particularly useful for applications to receive a Federal benefit. By adopting short forms similar in concept to the IRS Tax Form 1040EZ, agencies can eliminate unnecessary burden and complexity.
- **Exemptions or streamlining for small entities (including small businesses).** Because of economies of scale, a collection may be disproportionately more burdensome for a small

²⁸ See "Memorandum for the Heads of Executive Departments and Agencies, "Reducing Reporting and Paperwork Burdens," June 22, 2012, available at <<http://www.whitehouse.gov/sites/default/files/omb/inforeg/memos/reducing-reporting-and-paperwork-burdens.pdf>>

²⁹ The eight agencies that imposed the highest paperwork burdens were the Department of Treasury, the Department of Health and Human Services, the Securities and Exchange Commission, the Department of Transportation, the Environmental Protection Agency, the Department of Homeland Security, the Department of Labor, and the Department of Agriculture. SEC, an Independent Agency, was not subject to the memorandum.

entity than a large one. Important burden reduction efforts may involve exemptions of small entities from reporting requirements, or streamlined requirements for such entities (as in the case of short or simplified forms).

- **Simplified applications.** The process of renewing or applying for federal licenses or approvals, or for participation in federal programs, can be time-consuming, confusing, and unnecessarily complex. Undue complexity may discourage applications and participation. Sometimes agencies collect data that are unchanged from prior applications; in such circumstances, they might be able to use, or to give people the option to use, pre-populated electronic forms. It is also worth considering whether it might be appropriate and possible, in certain circumstances, to dispense with forms entirely and to rely on more automatic or direct approval.
- **Use of sampling.** Sampling may be useful when it is not possible or desirable to collect data from every member of the population of interest. Respondent burden, cost, and operational feasibility may justify sampling. When the benefits of collecting information from an entire population do not justify the costs, agencies should consider whether it is appropriate to use sampling for program evaluations and research studies.
- **Use of electronic communication and "fillable fileable" forms (or data systems).** Electronic communication can substantially reduce burdens on respondents and simultaneously increase efficiency in data collection and processing. In particular, OMB sought initiatives that implement "fillable fileable" approaches where feasible, appropriate, and consistent with law. By reducing or even eliminating the use of paper, such initiatives allow entirely electronic communication between agencies and the private sector. They may include the pre-population of appropriate forms, particularly those imposing high burdens.
- **Reducing frequency of information collection.** Administrative record retention requirements can often be costly, as regulated entities must set aside valuable storage space, time, and human resources to maintain records. Simply reducing the amount of time that entities must retain records (to the extent consistent with law) could result in significant reductions in paperwork burden.
- **Maximizing the re-use of data that are already collected.** Administrative³⁰ or program data can sometimes be re-used or shared to reduce the paperwork burdens imposed on the public. Such administrative or program data may be held either within the agency asking for the new information or by other agencies, including statistical agencies. OMB encouraged agencies to share data to the extent practical, appropriate, and consistent with law.³¹

New burden reduction initiatives vary greatly across Federal agencies. However, all such initiatives are designed to achieve one or more important goals, including (1) improving program performance

³⁰ This focus area is consistent with a memorandum issued by OMB on May 18, 2012. The memorandum noted that agencies can often use administrative data (such as data on wages, emergency room visits, or school attendance) to conduct rigorous program evaluations without using additional data collection instruments. See OMB M-12-14, "Memorandum for the Heads of Executive Departments and Agencies: Use of Evidence and Evaluation in the 2014 Budget," May 18, 2012, available at <<http://www.whitehouse.gov/sites/default/files/omb/memoranda/2012/m-12-14.pdf>>

³¹ See OMB M-11-02, "Memorandum for the Heads of Executive Departments and Agencies: Sharing Data While Protecting Privacy," November 3, 2010, available at <<http://www.whitehouse.gov/sites/default/files/omb/memoranda/2011/m11-02.pdf>>

by reducing the cost or enhancing the efficiency of agency information collections, (2) reducing the burden overall or per response on the public, or (3) leading to a comprehensive review of an entire program, including regulations and procedures.

This chapter contains an updated summary of the initiatives that implement Executive Order 13610.³² In addition, this chapter offers an updated list of initiatives from Independent Agencies.

3.3. Discussion of Burden Reduction Initiatives

In response to Executive Order 13610 and its implementing memorandum, “Reducing Reporting and Paperwork Burdens,” all 23 Executive Departments and Agencies subject to the memorandum and one Independent Agency identified more than 100 initiatives producing an estimated paperwork burden reduction of more than 100 million hours, vastly exceeding the 15 million hour target set by the memorandum. These initiatives, which are listed below and in more detail on agencies’ OpenGov websites, will save time and money for small businesses, taxpayers, veterans, manufacturers, and many other U.S. citizens.

As noted in the Preface to this report, one of the most exciting initiatives in 2012 was the DOT’s development of a proposed rule that would eliminate a burdensome daily paperwork requirement for professional truck drivers, reducing costs to the industry by an estimated \$1.7 billion annually while still maintaining the DOT’s high safety standards.

Current federal regulations require commercial truck drivers to conduct pre- and post-trip equipment inspections and file Driver Vehicle Inspection Reports (DVIRs) after each inspection, regardless of whether or not an issue requiring repairs is identified. DVIRs comprise one of the twenty most burdensome collections, based on the total number of hours needed to comply, imposed across all federal agencies, and only five percent of reports filed include defects. Under the proposed change, commercial truck drivers would continue conducting pre- and post-trip inspections. However, DVIRs would be required only if defects or deficiencies were discovered by or reported to the driver during the day’s operations.

As a result of this reform, DOT’s Federal Motor Carrier Safety Administration (FMCSA) noted that it can better focus its efforts on the five percent of problematic truck inspection reports by eliminating the 95 percent of reports that document the status quo. DOT issued the proposed rule³³ for public comment in 2013 and is working on the development of the final rule.

Similar to the DOT effort, in recent months National Oceanic and Atmospheric Administration’s National Marine Fisheries Service (NMFS) has started to review the practice of requiring fishing vessels in certain fisheries to submit weekly reports when they have no activity to report from the prior week. Weekly reporting is required to help ensure that a fishery does not exceed the fishing

³² The publication dates of the 2013 and 2014 ICBs are expected to fall within the same Executive 13610 reporting cycle. As a result, OMB reports the same lists of initiatives for FY 2012 and FY 2013. Please agencies’ OpenGov websites for the most complete and current lists of initiatives.

³³ See “Inspection, Repair, and Maintenance; Driver-Vehicle Inspection Report” notice of proposed rulemaking. August 7, 2013, *available at* <<http://www.fmcsa.dot.gov/rules-regulations/administration/rulemakings/proposed/Driver-Vehicle-Inspection-Report-NPRM.pdf>>

limit, and no-activity reports help ensure NMFS has a complete data set when making time sensitive management decisions. However, NMFS is examining whether it is unnecessarily burdensome to require reports when a vessel has no activity to report. In the Northeast region alone, fishermen spent about 10,000 hours per year submitting weekly reports when they do not fish. This initiative has the potential save fishermen time and resources while still complying with Federal regulations.

OMB encourages agencies to continue to draw upon the ideas of other agencies in applying the principles of Executive Order 13610 in the coming years.

3.4. List of Executive Department and Agency Burden Reduction Initiatives

Agencies update and expand their lists of burden reduction initiatives identified in response to Executive Order 13610 as part of their reports on regulatory lookback progress and future plans. As noted, these reports can be found on agencies' OpenGov websites, which have more information on agencies' regulatory actions that complement the burden reduction effort. In these reports, each burden reduction initiative includes a description of the initiative, a total estimated burden reduction, and an estimated date of completion. Although OMB encourages readers to view agencies' OpenGov websites for more details, an updated list of burden reduction initiatives is included below.

Table 3: List of Paperwork Reduction Initiatives

Agency	Sub-Agency	Title
Department of Agriculture	Food Safety and Inspection Service	Electronic Import Inspection and Certification of Imported Products and Foreign Establishments
Department of Agriculture	Food Safety and Inspection Service	Electronic Export Application and Certification Fee
Department of Agriculture	Food Safety and Inspection Service	Prior Labeling Approval System: Generic Label Approval
Department of Agriculture	Food Safety and Inspection Service	Modernization of Poultry Slaughter Inspection
Department of Agriculture	Grain Inspection, Packers and Stockyards Administration	Packers and Stockyards Program (P&SP) Reporting and Recordkeeping Requirements
Department of Agriculture	Natural Resources and Conservation Service	Conservation Delivery Streamlining Initiative (CDSI) - Client Gateway
Department of Agriculture	Rural Business Service	Rural Energy America Program
Department of Agriculture	Rural Business Service	Business and Industry Loan Guaranteed Program

Department of Agriculture	Rural Housing Service	Community Facilities Loan and Grants
Department of Agriculture	Animal and Plant Health Inspection Service	Forms for Declaration Mandated by 2008 Farm Bill
Department of Agriculture	Animal and Plant Health Inspection Service	Certification, Accreditation, Registration, Permits, and other Licenses (CARPOL)
Department of Commerce	Census Bureau	2012 Survey of Business Owners
Department of Commerce	National Oceanic and Atmospheric Administration	Crab Rationalization Economic Data Reports
Department of Commerce	National Oceanic and Atmospheric Administration	Southeast Region Permit Family of Forms
Department of Commerce	National Oceanic and Atmospheric Administration	Weekly Fishing Reports
Department of Defense	U.S. Air Force	Pre-Population Personal Interview, Request for Evaluation and Information, Application for Appointment, and Request for Approval Forms
Department of Education	Office of Elementary and Secondary Education	State Educational Agency, Local Educational Agency, and School Data Collection and Reporting Under ESEA, Title I, Part A
Department of Education	Office of Special Education and Rehabilitation Services	IDEA Part B State Performance Plan (SPP) and Annual Performance Report (APR)
Department of Energy	Office of Health, Safety and Security	Environment, Safety and Health
Department of Energy	Office of Management	Financial Assistance
Department of Energy	Office of Energy Efficiency and Renewable Energy	Compliance Statement Energy/Water Conservation Standards for Appliances
Department of Energy	Office of Health, Safety and Security	Security
Department of Energy	Office of Management	Procurement Reporting and Record-keeping Burdens
Department of Energy	Office of Health, Safety and Security	Occupational Radiation Protection Program

Department of Energy	Office of Health, Safety and Security	Chronic Beryllium Disease Prevention Program
Department of Energy	Office of Health, Safety and Security	Human Reliability Program
Department of Energy	Office of Electricity Delivery and Energy Reliability	Reliability, Survivability and Resiliency Project
Department of Energy	Office of Electricity Delivery and Energy Reliability	OE Recovery Act Financial Assistance Grants
Department of Energy	Office of Energy Efficiency and Renewable Energy	Energy Efficiency Conservation Block Grant Program
Department of Energy	Office of Energy Efficiency and Renewable Energy	Weatherization Assistance Program (WAP) Evaluation
Department of Energy	Office of Energy Efficiency and Renewable Energy	Utility Billing
Department of Energy	Office of Energy Efficiency and Renewable Energy	Weatherization Assistance Program (WAP) ARRA Period Evaluation
Department of Health and Human Services	Administration for Children and Families	Income Withholding and Support Form
Department of Health and Human Services	Administration for Children and Families	National Directory of New Hires
Department of Health and Human Services	Centers for Disease Control and Prevention	National Healthcare Safety Network Revisions
Department of Health and Human Services	Centers for Medicare and Medicaid Services	Medicare Managed Care CAHPS Survey and Supporting Regulations
Department of Health and Human Services	Centers for Medicare and Medicaid Services	Applications for Medicare Part D Plans: PDP Plans, MA-PD Plans, Cost Plans, PACE Organization, SAE and EPOG
Department of Health and Human Services	Centers for Medicare and Medicaid Services	Medicare Part D Reporting Requirements
Department of Health and Human Services	Centers for Medicare and Medicaid Services	Part C Medicare Advantage Reporting Requirements and Supporting Regulations in 42 C.F.R. 422.516(a)

Department of Health and Human Services	Centers for Medicare and Medicaid Services	Medicare Part C and Part D Data Validation (42 C.F.R 422.516g and 423.514g)
Department of Health and Human Services	Office of Civil Rights	HIPAA Privacy Rule - Updated Notice of Privacy Practices Requirements
Department of Homeland Security	U.S. Coast Guard	Application for Merchant Mariner Credential
Department of Homeland Security	U.S. Coast Guard	Shipping Articles CG-705A
Department of Homeland Security	Customs and Border Protection	Arrival and Departure Record
Department of Homeland Security	Customs and Border Protection	Passenger List, Crew List
Department of Homeland Security	Federal Emergency Management Agency	Standard Flood Hazard Determination Form (1660-0040)
Department of Homeland Security	Federal Emergency Management Agency	Web-Based (e-Grants) Application and Reporting
Department of Housing and Urban Development	Office of Housing	Replacement of Development Application Processing system
Department of Housing and Urban Development	Office of Housing	All FHA-Approved Mortgagees, e-signatures
Department of Housing and Urban Development	Office of Housing	Comprehensive Listing of Transactional Documents for Mortgagors, Mortgagees and Contractors
Department of Housing and Urban Development	Office of Housing	Streamlining Section 8 Contract Renewal
Department of Housing and Urban Development	Office of Housing	Streamlining Inspection and Warranty Requirements for FHA Single Family Mortgage Insurance: Removal of the FHA Inspector Roster and of the Ten-Year Protection Plan Requirements for High Loan-to-Value Ratio Mortgages
Department of Housing and Urban Development	Office of Housing	Approval of Lending Institutions and Mortgagees—Alternative Reporting Requirements for Small Supervised Lenders
Department of Housing and Urban	Office of Public and Indian Housing	PDF Conversion Enterprise

Development

Department of Interior	Fish and Wildlife Service	Wildlife Tracking and Reporting Actions for the Conservation of the Species (TRACS)
Department of Interior	Fish and Wildlife Service	Electronic submission of permit applications and reports
Department of Interior	Fish and Wildlife Service	Falconry Permits
Department of Interior	U.S. Geological Survey	Bird Banding
Department of Interior	National Park Service	Short Form for Special Park Use Applications
Department of Interior	National Park Service	Electronic Backcountry Use Reservation System
Department of Interior	Bureau of Safety and Environmental Enforcement	Modify eWell for use in all regions
Department of Interior	Office of the Chief Information Officer	Enterprise Forms System
Department of Justice	Bureau of Alcohol, Tobacco, and Firearms	Electronic ATF Form 3310.4 - Report of Multiple Sale or Other Disposition of Pistols and Revolvers
Department of Justice	Bureau of Alcohol, Tobacco, and Firearms	eForm 5 – Application for Tax Exempt Transfer and Registration of Firearms (2012R-6T)
Department of Justice	Bureau of Prisons	FOIA Status Tracking
Department of Justice	Office of Community Oriented Policing Services	Extension Request Form
Department of Justice	Office of Community Oriented Policing Services	COPS Office Monitoring Information Collections: Revision of currently approved collection
Department of Justice	Office of Community Oriented Policing Services	Community Policing Self-Assessment Tool (CP-SAT)
Department of Justice	Office of Community Oriented Policing Services	Rural Law Enforcement Training Needs Assessment Survey
Department of Justice	Executive Office for Immigration Review	Electronic Submission of 1125-0005: Notice of Entry of Appearance before the Immigration

 Court (Form EOIR-28)

Department of Justice	Executive Office for Immigration Review	Electronic Submission of 1125-0006: Notice of Entry of Appearance as Attorney or Representative before the Board of Immigration Appeals (Form EOIR-27)
Department of Justice	Executive Office for Immigration Review	Electronic Submission of 1125-0001: Application for Cancellation of Removal: Form EOIR-42A (Application for Cancellation of Removal for Certain Permanent Residents) and Form EOIR-42B (Application for Cancellation of Removal and Adjustment of Status for Certain Nonpermanent Residents)
Department of Justice	Executive Office for Immigration Review	Electronic Submission of 1125-0002: Notice of Appeal from a Decision of an Immigration Judge (Form EOIR-26)
Department of Justice	Executive Office for Immigration Review	Electronic Submission of 1125-0003: Fee Waiver Request Form (Form EOIR-26A)
Department of Justice	Executive Office for Immigration Review	Electronic Submission of 1125-0012: Request for Recognition of a Non-profit Religious, Charitable, Social Service, or Similar Organization (Form EOIR-31)
Department of Justice	Drug Enforcement Administration	Electronic Form DEA-486/486a: Request for Importation/Exportation of Listed Chemicals.
Department of Justice	Drug Enforcement Administration	Electronic Form DEA-236, Form DEA-161, Form DEA-161R, and Form DEA-357: Request for Importation/Exportation of Controlled Substances
Department of Justice	Drug Enforcement Administration	Electronic Controlled Substances Ordering System (CSOS) Registration Application Request for a Digital Certificate Form DEA-251, Form DEA-252, and Form DEA-253
Department of Justice	Drug Enforcement Administration	Electronic Form DEA-333 for Reporting Manufacturing and Distribution Activity of Controlled Substance
Department of Justice	U.S. Marshals Service	Agency-wide Forms Management Program
Department of Justice	Executive Office for the United States Trustees	Five Fillable Forms for Attorney Applications for Compensation in Larger Chapter 11 Bankruptcy Cases
Department of Labor	Bureau of Labor Statistics	National Longitudinal Survey of Youth 1997

Department of Labor	Employee Benefits Security Administration	Consent to Receive Employee Benefit Plans Electronically
Department of Labor	Employment and Training Administration	Foreign Labor Certification Program
Department of Labor	Employment and Training Administration	Work Opportunity Tax Credit Self Attestation Form
Department of Labor	Employment and Training Administration	WIA Management Information Reporting System
Department of Labor	Mine and Safety and Health Administration	Roof Control Plans for Underground Coal Mines
Department of Labor	Office of Labor-Management Standards	Labor Organization and Auxiliary Reports
Department of Labor	Occupational Safety and Health Administration	Standard on Mechanical Power Presses (29 CFR 1910.217(e)(1))
Department of Labor	Occupational Safety and Health Administration	Standards Improvement Project Phase (IV)
Department of Labor	Office of Workers' Compensation	Notice of Issuance of Insurance Policy
Department of Labor	Veterans' Employment and Training Service	Federal Contractor Veterans Employment Report
Department of Labor	Wage and Hour Division	Davis Bacon Certified Payroll
Department of State	Administration of Foreign Affairs	Statement Regarding Lost or Stolen Passport
Department of State	Administration of Foreign Affairs	Application for Immigrant Visa and Alien Registration
Department of State	Administration of Foreign Affairs	US Passport Renewal Application for Eligible Individuals
Department of State	Administration of Foreign Affairs	Affidavit of Identifying Witness
Department of State	Administration of Foreign Affairs	Supplemental Nonimmigrant Visa Application
Department of State	Administration of Foreign Affairs	US Department of State Application for Employment

Department of State	Administration of Foreign Affairs	Contact Information and Work History for Nonimmigrant Visa Applicant
Department of State	Administration of Foreign Affairs	Statement of Non-Receipt of a Passport
Department of State	Administration of Foreign Affairs	Projected Sales of Major Weapons in Support of Section 25(a)(1) of the Arms Export Control Act
Department of State	Administration of Foreign Affairs	Training/ Internship Placement Plan
Department of State	Administration of Foreign Affairs	Advanced Notification Form: Tourist and Other Non-Governmental Activities in the Antarctic Treaty Area
Department of State	Administration of Foreign Affairs	Application for Employment as a Locally Employed Staff or Family Member
Department of State	Administration of Foreign Affairs	Office of Language services Contractor Application
Department of Transportation	Federal Railroad Administration	Hours of Service: Electronic Recordkeeping
Department of Transportation	Federal Railroad Administration	Hours of Service: Excess Service Reports
Department of Transportation	Federal Railroad Administration	Positive Train Control
Department of Transportation	Federal Railroad Administration	Locomotive Engineer Certificate
Department of Transportation	Federal Aviation Administration	Certification Procedures for Products and Parts
Department of Transportation	Federal Aviation Administration	Use of Certain Portable Oxygen Concentrator (POC) Devices On Board Aircraft
Department of Transportation	Federal Motor Carrier Safety Administration	Driver-Vehicle Inspection Reports
Department of Transportation	Federal Motor Carrier Safety Administration	Electronic On-Board Recorders (EOBRs) for Broader Hours of Service (HOS) Compliance Usage
Department of Transportation	Federal Motor Carrier Safety Administration	Unified Registration System
Department of the Treasury	Internal Revenue Service	Simplified Basis Reporting for Capital Gains and Losses

Department of the Treasury	Internal Revenue Service	Raising the IRS Schedule M-3 Reporting Requirements for Large and Foreign Corporations to \$25 Million, Net Income (Loss) Reconciliation for Corporations With Total Assets of \$10 Million or More
Department of the Treasury	Internal Revenue Service	Office-in-the-Home Optional Deduction
Department of the Treasury	Internal Revenue Service	Form 1040-X E-File
Department of the Treasury	Internal Revenue Service	Amended Form 1099 Filing Requirements Threshold
Department of the Treasury	Alcohol and Tobacco Tax and Trade Bureau	Reduction of Excise Tax Return Filing Frequency for Small Brewers
Department of the Treasury	Alcohol and Tobacco Tax and Trade Bureau	Reduction of Filing Frequency of Brewer's Report of Operations (TTB Forms 5130.9 and 5130.26)
Department of the Treasury	Alcohol and Tobacco Tax and Trade Bureau	Reduced Filing Requirements for TTB Form - Formula and/or Process for Article Made With Specially Denatured Spirits (Form 5150.19)
Department of Veterans Affairs	Veterans Benefits Administration	E-Benefits Portal
Department of Veterans Affairs	Veterans Health Administration	Application and Renewal for Health Benefits
Department of Veterans Affairs	Veterans Benefits Administration	Disability Benefits Questionnaires (Groups 1 and 2)
Environmental Protection Agency	Office of Enforcement and Compliance Assurance / Office of Solid Waste and Emergency Response	Electronic Reporting for Hazardous Waste Exports
Environmental Protection Agency	Office of Enforcement and Compliance Assurance	Streamline and Convert Financial Assurance Paper Reporting to Electronic Across Multiple Programs
Environmental Protection Agency	Office of Solid Waste and Emergency Response	Hazardous Waste e-Manifest
Environmental Protection Agency	Office of Enforcement and Compliance Assurance / Office of Environmental Information / Office of Water	Proposed National Pollutant Discharge Elimination System (NPDES) e-reporting Rule

Environmental Protection Agency	Multiple	Pilot Integrated Portal for Direct Reports to EPA for Pesticides, Chemicals, TRI, and Clean Fuels
Environmental Protection Agency	Office of Air Radiation	Changes to Prevention of Significant Deterioration (PSD) New Source Review (NSR) Pre-construction Permitting Program
Environmental Protection Agency	Office of Air Radiation	CAA Stationary Source Electronic Reporting (OAQPS)
Environmental Protection Agency	Office of Air Radiation	Clean Air Act: Title V Rulemaking to Clarify Certain Provisions of the Operating Permit Rules
Environmental Protection Agency	Office of Water	Electronic Reporting for the Public Water System Supervision (PWSS) Program
Federal Acquisition Regulation	Federal Acquisition Regulation	Government Property - Sections 45.602-1; 52.245-1(f)(1)(ii); 52.245-1(f)(1)(iii)
General Services Administration	OGP/MV	Qualification of Offerors
General Services Administration	Office of Government-wide Policy	Progressive Awards and Monthly Allocations
General Services Administration	Office of Government-wide Policy	Price Reductions
General Services Administration	Office of Government-wide Policy	Identification of Products that Have Environmental Attributes
National Science Foundation	National Center for Science and Engineering Statistics	Survey of Graduate Students and Postdoctorates in Science and Engineering
National Science Foundation	National Center for Science and Engineering Statistics	National Survey of Recent College Graduates
National Science Foundation	National Center for Science and Engineering Statistics	National Survey of College Graduates
National Science Foundation	National Center for Science and Engineering Statistics	Survey of Doctorate Recipients
National Science Foundation	National Center for Science and Engineering Statistics	Higher Education Research and Development Survey
National Science Foundation	National Center for Science and Engineering Statistics	Survey of Science and Engineering Research Facilities

National Science Foundation	National Center for Science and Engineering Statistics	National Survey of Recent College Graduates
National Science Foundation	National Center for Science and Engineering Statistics	National Survey of College Graduates
National Science Foundation	Human Resource Management	Applicant Survey
Small Business Administration	Office Capital Access	504 and 7(a) loan process and paper requirements
Small Business Administration	Office Capital Access	Streamlined loan authorization for all 7(a) loans under \$350,000
Small Business Administration	Office Capital Access	Single Electronic Application for 7(a) Loans
Small Business Administration	Office of International Trade	Streamlined process support system to more efficiently administer State Trade and Export Promotion grants payments.
Social Security Administration	Office of Disability Programs / Office of Program Consultation	SSA-3441 and i3441 Revitalization
Social Security Administration	Office of Disability Programs / OHITEP	eAuthorization
Social Security Administration	Office of Income Security Programs / OAESP	iClaim Enhancements

3.5. List of Independent Agency Burden Reduction Initiatives

3.5.1. Federal Communications Commission

Agency: Federal Communications Commission		Status: Complete
Office(s):	Wireline Competition Bureau	
Initiative Title:	Part 36 - Separations	
Reduction Area(s): <i>(Check all that apply)</i>	<input type="checkbox"/> "Short Form" options <input type="checkbox"/> Frequency of information collection <input type="checkbox"/> Record retention requirements <input type="checkbox"/> Re-use of already collected data <input type="checkbox"/> Electronic "fillable fileable" forms <input checked="" type="checkbox"/> Other	
Description:	This is due to rule changes adopted in FCC 11-161 that streamlined reporting and that no longer require price-cap regulated carriers and competitive carriers to file loop count data.	
Collection(s) Affected:	3060-0233	

Estimated Reduction:	36,479 total burden hours
Date of Completion:	November, 2012
Challenges:	None

Agency:	Federal Communications Commission	Status:	Complete
Office(s):	Office of Engineering and Technology		
Initiative Title:	Sections 2.948 and 15.117(g)(2), Equipment Authorization Measurement Standards		
Reduction Area(s): <i>(Check all that apply)</i>	<input type="checkbox"/> "Short Form" options <input checked="" type="checkbox"/> Frequency of information collection <input type="checkbox"/> Record retention requirements <input type="checkbox"/> Re-use of already collected data <input type="checkbox"/> Electronic "fillable fileable" forms <input type="checkbox"/> Other		
Description:	The FCC reduced the frequency of detailed filing for laboratories testing non-licensed equipment under FCC rules. Annual detailed filing has been reduced to once every three years with an annual certification.		
Collection(s) Affected:	3060-0398		
Estimated Reduction:	15,800 total burden hours		
Date of Completion:	September, 2013		
Challenges:	None		

3.5.2. Federal Deposit Insurance Corporation

Agency:	Federal Deposit Insurance Corporation	Status:	Complete
Office(s):	Division of Administration, Division of Depositor and Consumer Protection, Division of Insurance Research		
Initiative Title:	Minimize and Eliminate Unnecessary Collections		
Reduction Area(s): <i>(Check all that apply)</i>	<input type="checkbox"/> "Short Form" options <input type="checkbox"/> Frequency of information collection <input type="checkbox"/> Record retention requirements <input type="checkbox"/> Re-use of already collected data <input type="checkbox"/> Electronic "fillable fileable" forms <input checked="" type="checkbox"/> Other		
Description:	The following information collections were discontinued:		
Collection(s) Affected:	3064-0168	Disclosure of Deposit Status (2013) (33,106 burden hours)	
	3064-0170	Transaction Account Guarantee Program Extension (2012) (7,109 burden hours)	
	3064-0147	Student Educational Employment Program (2013) (2,378 burden hours)	
	3064-0173	Prepaid Assessments (2013) (1,910 burden hours)	
Estimated Reduction:	44,503 total burden hours		
Date of Completion:	November, 2013		

Challenges:	None
Agency: Federal Deposit Insurance Corporation	
Status: In-Progress	
Office(s):	Legal Division
Initiative Title:	Automation of Administration for Legal Services
Reduction Area(s): <i>(Check all that apply)</i>	<input type="checkbox"/> "Short Form" options <input type="checkbox"/> Frequency of information collection <input type="checkbox"/> Record retention requirements <input type="checkbox"/> Re-use of already collected data <input checked="" type="checkbox"/> Electronic "fillable fileable" forms <input type="checkbox"/> Other
Description:	<p>The FDIC implemented the Advanced Legal Information System (ALIS) in 2013; ALIS is used for processing legal matters and to manage outside counsel. ALIS replaced an outdated system and offered new functionality. The new functionality included electronic forms for use by outside counsel. The use of electronic forms by outside counsel is encouraged but is currently optional; outside counsel may still submit paper forms. In 2014, additional electronic forms will be made available for use by outside counsel. The electronic forms save time and money for outside counsel and the FDIC. Data quality is also improved.</p>
Collection(s) Affected:	<p>3066-0122 Forms:</p> <ul style="list-style-type: none"> 5210/11 Legal Invoice for Fees and Expenses 5210/08 Expert Budget 5000/35 Litigation Budget 5210/12 Firm Travel Voucher 5210/12A Firm Travel Voucher (Continuation Sheet) 5000/26 Non-Litigation Budget Form 5000/31 Amended Litigation Budget 5000/33 Amended Non-Litigation Budget 5210/04 Agreement for Services (Expert/Legal Support Services (LSS) Provider) Rate Schedule 5210/04A Agreement for Services (Expert/Legal Support Services (LSS) Provider) Rate Schedule (Continuation Sheet) 5210/14 Oral Representations and Certifications for Expert Legal Support Services 5210/15 Legal Support Services (LSS) Provider Budget Form 5210/02 Legal Support Services (LSS) Provider Invoice for Fees and Expenses 5210/03 Agreement for Services (Expert/ Legal Support Services (LSS) Provider) Amendment 5210/03A Agreement for Services (Expert/Legal Support Services Provider) Amendment (Continuation Sheet)
Estimated Reduction:	Utilization of electronic forms by outside counsel is anticipated to effect a significant reduction in their paperwork burden of more than 25%, or

	more than 600 hours.
Date of Completion:	December, 2014
Challenges:	The adoption of electronic filing has been a financial challenge for some small outside counsel firms.

3.5.3. Federal Energy Regulatory Commission

Agency:	Federal Energy Regulatory Commission	Status:	Complete
Office(s):	Office of Electric Reliability, Office of Enforcement, and the Office of the General Counsel		
Initiative Title:	Find, Fix, Track, and Report (FFT) Compliance Enforcement Initiative		
Reduction Area(s): <i>(Check all that apply)</i>	<input checked="" type="checkbox"/> "Short Form" options <input type="checkbox"/> Frequency of information collection <input type="checkbox"/> Record retention requirements <input type="checkbox"/> Re-use of already collected data <input type="checkbox"/> Electronic "fillable fileable" forms <input type="checkbox"/> Other		
Description:	<p>On September 30, 2011 the North American Electric Reliability Corporation (NERC), filed a petition requesting approval of its proposal to make informational filings in a "Find, Fix, Track and Report" (FFT) spreadsheet format of lesser-risk, remediated possible violations of the Reliability Standards. If NERC determines that a possible violation poses a "lesser risk" to the Bulk Power System (BPS), then the possible violation may be addressed through an FFT information filing. NERC explains that the FFT initiative will "promote reliability excellence by ensuring that issues are fixed and by enabling substantially greater resources and attention to be devoted to matters that pose a more serious risk to the reliability of the Bulk Power System." In its petition, NERC explains that it intends to develop and document the record for each possible violation based on the risk to the bulk power system. By making disposition decisions based on an initial review as warranted, tailoring alignment of records to the seriousness of an issue, and utilizing further streamlined reporting mechanisms, NERC and the Regional Entities believe they can eliminate undue administrative, paperwork and regulatory burdens while encouraging self-reporting and corrective actions from the Regulated Utilities.</p> <p>2013 UPDATE: In March 2013, NERC submitted recommended changes to the FFT program going forward. In June 2013, FERC largely accepted the changes. FERC does not consider the changes to greatly impact the program as originally implemented and is reporting this initiative as complete.</p>		
Collection(s) Affected:	All of the FERC-725 series		
Estimated Reduction:	56,160 total burden hours		
	\$2,751,840 total cost burden		

Date of Completion:	Completed in June, 2013
Challenges:	The Commission has accepted NERC's proposal on the FFT enforcement mechanism as of March 15th, 2012 with limited conditions: the Commission indicated that it will revisit those conditions one year after the order. The Commission may have difficulties monitoring and providing compliance oversight to NERC and the Regional Entities due to the reduced amount of documentation that the Registered Entities will be developing for each instance of non-compliance. There is a possibility that after one year the Commission may alter NERC's discretion for this mechanism after reviewing the data for the first year of implementation.

Agency:	Federal Energy Regulatory Commission	Status:	Complete
Office(s):	Office of Enforcement, Office of Energy Market Regulation, and Office of the General Counsel		
Initiative Title:	Retirement of Semi-Annual Storage Reports		
Reduction Area(s): <i>(Check all that apply)</i>	<input type="checkbox"/> "Short Form" options <input type="checkbox"/> Frequency of information collection <input type="checkbox"/> Record retention requirements <input checked="" type="checkbox"/> Re-use of already collected data <input type="checkbox"/> Electronic "fillable fileable" forms <input checked="" type="checkbox"/> Other		
Description:	<p>In January 2012, the Commission issued a final order retiring the Form 549 Semi-Annual Storage Report for Intrastate Natural Gas Companies and the Semi-Annual Storage Report for Interstate Natural Gas Companies. On December 16, 2010, the Commission (within Docket No. RM11-4-000) issued a Notice of Inquiry regarding whether to revise regulations requiring interstate and intrastate natural gas pipelines to report semi-annually on their storage activities. In analyzing the comments received in response to the Notice of Inquiry, the Commission considered the comments received and the goals of those executive orders. Subsequently, on September 15, 2011, the Commission issued a Notice of Proposed Rulemaking proposing to retire the Semi-Annual Storage Report for both interstate and intrastate natural gas companies. Retirement of the Semi-Annual Storage Report will reduce the filing and administrative burden on filers. More significantly, the retirement will avoid the generation of duplicative data that is available from other Commission information collections and via company web postings. The order becomes effective March 27, 2012. (See 77 FR 4220.)</p>		
Collection(s) Affected:	Interstate semi-annual storage report, FERC-549 (1902-0086) 3,720 burden hour reduction, \$215,760 cost burden reduction; Intrastate semi-annual storage report, FERC-537 (1902-0060), 2,700 burden hour reduction, \$178,971 cost burden reduction.		
Estimated Reduction:	6,420 total burden hours \$394,731 total cost burden		
Date of Completion:	Completed in March, 2012		

Challenges:	None
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Agency:	Federal Energy Regulatory Commission	Status:	New
Office(s):	Office of Electric Reliability		
Initiative Title:	Retire Requirements in Reliability Standards		
Reduction Area(s): <i>(Check all that apply)</i>	<input type="checkbox"/> "Short Form" options <input type="checkbox"/> Frequency of information collection <input type="checkbox"/> Record retention requirements <input type="checkbox"/> Re-use of already collected data <input type="checkbox"/> Electronic "fillable fileable" forms <input checked="" type="checkbox"/> Other		
Description:	<p>In a March 2012 Order, the Commission raised the prospect of revising or removing requirements of Reliability Standards that "provide little protection for Bulk-Power System reliability or may be redundant." (March 2012 Order, 138 FERC 61,193 at P 81).</p> <p>In a February 28, 2013 petition, NERC requested Commission approval of the retirement of 34 requirements within 19 Reliability Standards. According to NERC, the 34 requirements proposed for retirement "are redundant or otherwise unnecessary" and that "violations of these requirements ... pose a lesser risk to the reliability of the Bulk-Power System." NERC stated that the proposed retirement of the 34 requirements "will allow industry stakeholders to focus their resources appropriately on reliability risks and will increase the efficiency of the ERO compliance program."</p> <p>NERC explained that the project team focused on the identification of "lower-level facilitating requirements that are either redundant with other requirements or where evidence retention is burdensome and the requirement is unnecessary" because the reliability goal is achieved through other standards or mechanisms. According to NERC, the proposed retirement of documentation requirements will not create a gap in reliability because "NERC and the Regional Entities can enforce reporting obligations pursuant to section 400 of NERC's Rules of Procedure and Appendix 4C to ensure that necessary data continues to be submitted for compliance and enforcement purposes." NERC asserts that, although the P 81 project proposes to retire requirements associated with data retention or documentation, "the simple fact that a requirement includes a data retention or documentation element does not signify that it should be considered for retirement or is otherwise inappropriately designated as a requirement."</p> <p>This initiative reduces burden on over 1,000 entities registered with NERC.</p>		
Collection(s) Affected:	FERC-725A (1902-0244) – 4,667 burden hour reduction, \$280,020 cost burden reduction; FERC-725B (1902-0248) – 1,950 burden hour reduction,		

	\$117,000 cost burden reduction; FERC-725D (1902-0247) – 2,020 burden hour reduction, \$121,200 cost burden reduction.
Estimated Reduction:	8,637 total burden hours
	\$518,220 total cost burden
Date of Completion:	Expected in January, 2014
Challenges:	The Commission does not see any challenges with this initiative.

Agency:	Federal Energy Regulatory Commission	Status:	New
Office(s):	Office of Energy Market Regulation		
Initiative Title:	Annual Charge Filing Procedures for Natural Gas Pipelines		
Reduction Area(s): <i>(Check all that apply)</i>	<input type="checkbox"/> “Short Form” options <input checked="" type="checkbox"/> Frequency of information collection <input type="checkbox"/> Record retention requirements <input type="checkbox"/> Re-use of already collected data <input type="checkbox"/> Electronic “fillable fileable” forms <input type="checkbox"/> Other		
Description:	<p>In a Final Rule effective May 2013, the Commissions amended its regulations at 18 C.F.R. 154.402 to revise the filing requirements for natural gas pipelines that choose to recover Commission-assessed annual charges through an annual charge adjustment (ACA) clause. Currently, natural gas pipelines utilizing an ACA clause must make an annual tariff filing to reflect a revised ACA unit charge authorized by the Commission for that fiscal year. To reduce the regulatory burden on these pipelines, the Commission eliminated this annual filing requirement. In its place, the Commission required natural gas pipelines utilizing an ACA clause to incorporate the Commission-authorized annual charge unit rate by reference to that rate, as published on the Commission’s website located at http://www.ferc.gov.</p>		
Collection(s) Affected:	FERC-542 (1902-0070) – 290 burden hour reduction, \$17,110 cost burden reduction		
Estimated Reduction:	290 total burden hours		
	\$17,110 total cost burden		
Date of Completion:	Completed in August, 2013		
Challenges:	None		

Agency: Federal Energy Regulatory Commission		Status: New
Office(s):	Office of Energy Market Regulation	
Initiative Title:	Filing, Indexing and Service Requirements for Oil Pipelines	
Reduction Area(s): <i>(Check all that apply)</i>	<input type="checkbox"/> "Short Form" options <input checked="" type="checkbox"/> Frequency of information collection <input type="checkbox"/> Record retention requirements <input type="checkbox"/> Re-use of already collected data <input type="checkbox"/> Electronic "fillable fileable" forms <input checked="" type="checkbox"/> Other	
Description:	<p>In May 2013, the Commission amended Part 341 of its regulations to rewrite, remove and update portions governing the form, composition, and filing of rates and charges by interstate oil pipelines for transportation in interstate commerce. The Commission revised Section 341.0(a)(7) to replace the paper posting requirement with a requirement for pipelines to post tariffs on public websites. Revisions to Section 341 also eliminated the requirement for "loose-leaf" tariffs. More, the Commission revised Section 341.2(a) to eliminate the requirement for service of tariff publications. This elimination will create a more uniform service requirement for all Commission-regulated entities. Finally, the Commission eliminated the requirement that pipelines make tariff filings setting forth an index of all effective tariffs to which it is party.</p>	
Collection(s) Affected:	FERC-550 (1902-0089)—1,089 burden hour reduction, \$59,895 cost burden reduction	
Estimated Reduction:	1,089 total burden hours \$59,895 total cost burden	
Date of Completion:	Completed in May, 2013	
Challenges:	None	

3.5.4. Federal Trade Commission

Agency: Federal Trade Commission		Status: In-Progress
Office(s):	Premerger Notification	
Initiative Title:	Premerger Notification; Reporting and Waiting Period Requirements	
Reduction Area(s): <i>(Check all that apply)</i>	<input type="checkbox"/> "Short Form" options <input type="checkbox"/> Frequency of information collection <input type="checkbox"/> Record retention requirements <input type="checkbox"/> Re-use of already collected data <input type="checkbox"/> Electronic "fillable fileable" forms <input checked="" type="checkbox"/> Other	
Description:	<p>The Federal Trade Commission modified the Hart-Scott-Rodino Antitrust Improvements Act Rules and corresponding Premerger Notification and Report Form for Certain Mergers and Acquisitions. Most of the changes, which became effective August 18, 2011, streamline the Notification and Report Form by eliminating sections deemed obsolete or unnecessary to staff in their initial review of a transaction.</p>	

Collection(s) Affected:	3084-0005
Estimated Reduction:	5,712 total burden hours \$2,627,520 total cost burden
Date of Completion:	September, 2015
Challenges:	Technical aspects to implementation and related cost considerations will influence the outcome regarding previously contemplated electronic filing options

Agency:	Federal Trade Commission	Status:	Complete
Office(s):	Division of Enforcement		
Initiative Title:	Alternative Fuels Rule Final Amendments		
Reduction Area(s): <i>(Check all that apply)</i>	<input type="checkbox"/> "Short Form" options <input type="checkbox"/> Frequency of information collection <input type="checkbox"/> Record retention requirements <input type="checkbox"/> Re-use of already collected data <input type="checkbox"/> Electronic "fillable fileable" forms <input checked="" type="checkbox"/> Other		
Description:	The FTC amended the Alternative Fuels Rule to consolidate the FTC's alternative fueled vehicle (AFV) labels with new fuel economy labels required by the Environmental Protection Agency and the National Highway Traffic Safety Administration. The amendments also eliminated labeling requirements for used AFV labels.		
Collection(s) Affected:	3084-0094		
Estimated Reduction:	50,032 total burden hours \$570,000 total cost burden		
Date of Completion:	May, 2013		
Challenges:	None		

3.5.5. National Science Foundation

Agency:	National Science Foundation	Status:	New
Office(s):	National Center for Science and Engineering Statistics (NCSES)		
Initiative Title:	Survey Enhancement via Design Review		
Reduction Area(s): <i>(Check all that apply)</i>	<input type="checkbox"/> "Short Form" options <input type="checkbox"/> Frequency of information collection <input type="checkbox"/> Record retention requirements <input type="checkbox"/> Re-use of already collected data <input type="checkbox"/> Electronic "fillable fileable" forms <input checked="" type="checkbox"/> Other		
Description:	NCSES is conducting an evaluation of the designs for two of the three surveys that comprise the Scientists and Engineers Statistical Data System (SESTAT). This is being done in response to recent improvements to the design of the National Survey of College Graduates that potentially offset the further need		

	for the National Survey of Recent College Graduates. As part of the evaluation, NCSSES is: 1) investigating the possibility of discontinuing the information collection for the NSRCG; 2) examining the use of the U.S. Census Bureau's American Community Survey to increase the sample of young graduates within the NSCG; and 3) studying the impact of providing data on young graduates rather than recent graduates. In place of the discontinued NSRCG, one possibility is to utilize an enhanced NSCG with an increased sample of young college graduates in the S&E degree fields.
Collection(s) Affected:	"National Survey of Recent College Graduates" (3145-0077) - 6,078 hour burden reduction, \$118,269 cost burden reduction; "National Survey of College Graduates" (3145-0141), approximately 6,078 hour burden increase, \$118,269 cost burden increase, for a net reduction in burden of 0 hours and a net savings to the government of \$3.5 million
Estimated Reduction:	0 total burden hours \$3,500,000.00 total cost burden
Date of Completion:	To be determined
Challenges:	None

Agency:	National Science Foundation	Status:	New
Office(s):	Human Resource Management		
Initiative Title:	Use of Governmentwide Forms		
Reduction Area(s): (Check all that apply)	<input type="checkbox"/> "Short Form" options <input type="checkbox"/> Frequency of information collection <input type="checkbox"/> Record retention requirements <input type="checkbox"/> Re-use of already collected data <input type="checkbox"/> Electronic "fillable fileable" forms <input checked="" type="checkbox"/> Other		
Description:	The data from the Applicant Survey is collected by NSF's Division of Human Resource Management and maintained by the NSF Office of Diversity and Inclusion. The applicant survey form (NSF 1232) is completed as a one-time registration. The Applicant Data is automatically processed by the HRM's internal employee system. It is then retrieved by authorized officials of the Office of Diversity and Inclusion and the Division of Human Resource Management for analysis and reports (to ensure compliance with Equal Employment Opportunity Commission regulations and Federal laws). During the last information collection request cycle, it was noted that the EEOC maintains a similar form, which will eliminate the need for NSF to manage a separate form and instead fully utilize EEOC's form, which will have updated information at all times.		
Collection(s) Affected:	"Applicant Survey" (3145-0096)		
Estimated Reduction:	67 total burden hours		
Date of Completion:	Expected in July, 2014		
Challenges:	None		

3.5.6. Nuclear Regulatory Commission

Agency: Nuclear Regulatory Commission		Status: New
Office(s):	Office of Nuclear Reactor Regulation	
Initiative Title:	Web based on-line submittal of Licensee Event Reports with automatic submittal into ADAMS and NRC publicly available database.	
Reduction Area(s): <i>(Check all that apply)</i>	<input type="checkbox"/> "Short Form" options <input type="checkbox"/> Frequency of information collection <input type="checkbox"/> Record retention requirements <input type="checkbox"/> Re-use of already collected data <input checked="" type="checkbox"/> Electronic "fillable" forms <input type="checkbox"/> Other	
Description:	Automation of Licensee Event Reporting would reduce burden on the public and NRC contracts. The on-line submittal would provide superior improvement in efficiency of information for the NRC, NRC contracts, Licensee and public. Power reactors have issued over three thousand Licensee Event Reports in the past ten years. The current NRC Form 366 is never returned in the version downloaded on the public website. Each licensee modifies Form 366 to prevent editing and adds a cover sheet increasing the burden.	
Collection(s) Affected:	3150-0104	
Estimated Reduction:	Licensee Burden: 300 LERs per year x (1 week to process) = 12,000 total burden hours	
Estimated Cost Burden:	300 LERs per year x (1 week process) x \$50 hourly rate = \$600,000 Licensee total cost; NRC Burden 300 LERs per year x (Document Control Center Burden and collection of LER data) 3 weeks x \$50 = \$1,800,000 NRC Cost. Total Cost \$2,400,000 Note: NRC/RES contracts: code 300 LERs per year for various contracts. Burden reduction unknown at this time.	
Date of Completion:	Expected in December, 2017	
Challenges:	Rulemaking to allow on-line submittal of Licensee Event Reports Development of On-line Web based Licensee Event Report Submittal and Publicly available database	

Agency: Nuclear Regulatory Commission		Status: Complete
Office(s):	Office of the Chief Human Capital Officer	
Initiative Title:	Implementation of Recruitment Tracking system.	

Reduction Area(s): <i>(Check all that apply)</i>	<input type="checkbox"/> "Short Form" options <input type="checkbox"/> Record retention requirements <input checked="" type="checkbox"/> Electronic "fillable fileable" forms	<input type="checkbox"/> Frequency of information collection <input checked="" type="checkbox"/> Re-use of already collected data <input type="checkbox"/> Other
Description:	Implemented a shared service provider integrated system for processing recruitments. The Workforce Transformation Tracking System (WTTS)/Entry on Duty Station (EODS) provides real-time integration for recruitment tracking. Electronic communications has allowed for pre-population of reoccurring information and reduced the time required to submit paper work.	
Collection(s) Affected:	Standard Form 86 Certification(3206-0005) OGE-450, Confidential Financial Disclosure Report (3209-0001) I-9, Employment Eligibility Verification (1615-0047) Health Benefits Election Form (3206-0160) Life Insurance Election (3206-0230) Direct Deposit Sign-Up Form (1510-0007) SF-87, Fingerprint Card NRC 176, Security Acknowledgment Fair Credit Reporting Act of 1970 Thrift Savings Plan Election	
Estimated Reduction:	540 total burden hours Burden hours are calculated based on number of hires/rehires/declinations that occur each year on an average savings of two (2) hours for form population and submission. Note – this does not include the internal burden reduction for HR Specialists that would factor in an additional three and a half (3.5) hours for each potential hire. HR Specialist savings was calculated based on preparation of forms, accuracy of data entry, mailing and tracking and providing most current forms. 146,880 total cost burden	
Date of Completion:	Completed in October, 2012	
Challenges:	None	

Agency:	Nuclear Regulatory Commission	Status:	In-Progress
Office(s):	Office of Investigations		
Initiative Title:	OI Monthly Report Submission		
Reduction Area(s): <i>(Check all that apply)</i>	<input type="checkbox"/> "Short Form" options <input type="checkbox"/> Record retention requirements <input type="checkbox"/> Electronic "fillable fileable" forms	<input checked="" type="checkbox"/> Frequency of information collection <input type="checkbox"/> Re-use of already collected data <input type="checkbox"/> Other	
Description:	Reduce the frequency of the Investigations Report from monthly to quarterly.		
Collection(s) Affected:	Monthly calculation and production of reports for investigations opened and closed during the period of performance.		

Estimated Reduction:	350 total burden hours 25,476 total cost burden
Date of Completion:	Expected in January, 2014
Challenges:	None

Agency: Nuclear Regulatory Commission		Status: In-Progress	
Office(s):	Office of Investigations		
Initiative Title:	Electronic submission of Transcripts		
Reduction Area(s): <i>(Check all that apply)</i>	<input type="checkbox"/> "Short Form" options	<input type="checkbox"/> Frequency of information collection	<input type="checkbox"/> Re-use of already collected data
	<input type="checkbox"/> Record retention requirements	<input type="checkbox"/> Electronic "fillable fileable" forms	<input checked="" type="checkbox"/> Other
Description:	Investigation interview transcripts will be submitted electronically through a secure SharePoint site.		
Collection(s) Affected:	FedEx shipping costs		
Estimated Reduction:	150 total burden hours \$3,000 total cost burden (Estimated savings annually.)		
Date of Completion:	Expected in January, 2014		
Challenges:	Previously beta tested in FY 2013. Expected to resume in January 2014 and continue on a permanent basis.		

Agency: Nuclear Regulatory Commission		Status: Complete	
Office(s):	Office of Federal and State Materials and Environmental Management Programs		
Initiative Title:	Web-Based Licensing (previously Project Safesource Phase I)		
Reduction Area(s): <i>(Check all that apply)</i>	<input type="checkbox"/> "Short Form" options	<input type="checkbox"/> Frequency of information collection	<input type="checkbox"/> Re-use of already collected data
	<input type="checkbox"/> Record retention requirements	<input type="checkbox"/> Electronic "fillable fileable" forms	<input checked="" type="checkbox"/> Other
Description:	The NRC designed and developed GLTS to implement an annual registration program for general licensees, facilitate the tracking and accountability of general licensees and generally licensed devices. The system house specific information about all 10 CFR 31.5 and 31.7 general licensees, the devices that they possess via the license, and vendors of the devices. The tasks being automated are registering and communicating with general licensees, tracking registrations, and conducting periodic mailings and surveys.		
Collection(s) Affected:	3150-0017, 3150-0016, 3150-0001, 3150-0120, 3150-0038, 3150-0001, 3150-0198		

Estimated Reduction:	1,758 total burden hours 194,939.83 total cost burden
Date of Completion:	Completed in September, 2013
Challenges:	None

Agency: Nuclear Regulatory Commission		Status: Complete
Office(s):	Office of Federal and State Materials and Environmental Management Programs	
Initiative Title:	National Sealed Source and Device Registry System (NSSDRS)	
Reduction Area(s): <i>(Check all that apply)</i>	<input type="checkbox"/> "Short Form" options <input type="checkbox"/> Frequency of information collection <input type="checkbox"/> Record retention requirements <input type="checkbox"/> Re-use of already collected data <input type="checkbox"/> Electronic "fillable fileable" forms <input checked="" type="checkbox"/> Other	
Description:	The National Sealed Source and Device Registry System (NSSDRS) supports NRC and Agreement States licensing and general license programs by providing a single, sortable database of the sources and devices which may be licensed for use NSSDRS maintains and makes available fundamental information about Sealed Source or Device (SSD) Registration Certificates. NSSDRS contains certificate information for SSDs as old as the establishment of the SSD process in the early 1960s for both the NRC and the Agreement State certifications.	
Collection(s) Affected:	3150-0044, 3150-0014, 3150-0035, 3150-0017, 3150-0016, 3150-0001, 3150-0007, 3150-0007, 3150-0010, 3150-0758, 3150-0130, 3150-0020, 3150-0009 and 3150-0008	
Estimated Reduction:	527 total burden hours 58,437.59 total cost burden	
Date of Completion:	Completed in September, 2013	
Challenges:	None	

Agency: Nuclear Regulatory Commission		Status: Complete
Office(s):	Office of Federal and State Materials and Environmental Management Programs	
Initiative Title:	Transition from NSTS Smart Cards to One Time Passwords	
Reduction Area(s): <i>(Check all that apply)</i>	<input type="checkbox"/> "Short Form" options <input type="checkbox"/> Frequency of information collection <input type="checkbox"/> Record retention requirements <input type="checkbox"/> Re-use of already collected data <input type="checkbox"/> Electronic "fillable fileable" forms <input checked="" type="checkbox"/> Other	
Description:	The NRC is implementing a One Time Password (OTP) credential for access to the systems in the Integrated Source Management Portfolio, which include National Source Tracking System (NSTS), Web Based Licensing	

	(WBL), and the License Verification System (LVS). Issuing OTPs to licensees that frequently report transactions to the NSTS will reduce the reporting burden for licensees by allowing the licensees to access the NSTS from their job sites when they are working in the field. This will allow licensees to meet the reporting requirement deadline without having to submit a paper Form 748 for the transaction report.
Collection(s) Affected:	3150-0202
Estimated Reduction:	133.4 total burden hours 14,792.36 total cost burden
Date of Completion:	Completed in September, 2013
Challenges:	One Time Password deployment is one piece of the simplified credentialing solution for licensees. The full solution includes online identity proofing, which is being eliminated from the initial OTP deployment due to budget cuts.

3.5.7. Securities and Exchange Commission

Agency:	Securities and Exchange Commission	Status:	In-Progress
Office(s):	All SEC Divisions/Offices		
Initiative Title:	SEC.gov Modernization		
Reduction Area(s): <i>(Check all that apply)</i>	<input type="checkbox"/> "Short Form" options <input type="checkbox"/> Frequency of information collection <input type="checkbox"/> Record retention requirements <input checked="" type="checkbox"/> Re-use of already collected data <input type="checkbox"/> Electronic "fillable fileable" forms <input checked="" type="checkbox"/> Other- Data Analytics		
Description:	<p>This multi-year effort began in FY 2013. The investor community relies on the SEC.gov to search and gather information about public companies and make investment decisions.</p> <p>This initiative will help to:</p> <ul style="list-style-type: none"> • Sustain an effective and flexible regulatory environment (in part through mandatory electronic filing) • Enforce compliance with Federal securities laws (using electronic discovery) • Encourage and promote informed investment decision making (through increased web access and available data and analytic capabilities) <p>Completed in FY 2013: SEC deployed a new Electronic Data Collection System, a Tips and Complaints Referral database that will support information provided by the general public who would like to file a tip or fraud complaint with the SEC. (3235-0672- Electronic Data Collection System-TCR Database)</p>		

	Scheduled activities for FY 2014: Plans include conducting overall site redesign; the re-architecting of the SEC.gov databases to improve performance and constructing a central staging area for all structured and unstructured data that is collected by the SEC. The system currently stores the last 15 years of filings, which total more than 21 million records.
Collection(s) Affected:	Approximately 47% of the 313 information collections are filed using EDGAR and searched by the public using SEC.gov.
Estimated Reduction:	5 million total burden hours total burden hours.
Date of Completion:	Expected in October, 2015
Challenges:	Technology integration

Agency:	Securities and Exchange Commission	Status:	In-Progress
Office(s):	Division of Corporate Finance, Investment Management Division, Division of Trading and Markets		
Initiative Title:	EDGAR (Electronic Data Gathering, Analysis, and Retrieval System) Modernization		
Reduction Area(s): <i>(Check all that apply)</i>	<input checked="" type="checkbox"/> "Short Form" options <input type="checkbox"/> Frequency of information collection <input checked="" type="checkbox"/> Record retention requirements <input checked="" type="checkbox"/> Re-use of already collected data <input checked="" type="checkbox"/> Electronic "fillable fileable" forms <input type="checkbox"/> Other		
Description:	<p>The SEC has embarked on a multi-year program to reduce technology-related complexities related to its EDGAR system. Standardization will improve the SEC's ability to carry out its core mission and lead to greater customer satisfaction.</p> <p>The EDGAR Filer System allows companies and individuals to file periodic reports and provide regulatory information to the SEC. Specifically, EDGAR performs automated collection, validation, indexing, acceptance, and forwarding of submissions by companies and others who are required by law to file forms with the SEC. Its primary purpose is to increase the efficiency and fairness of the securities market for the benefit of investors, corporations, and the economy by accelerating the receipt, acceptance, dissemination, and analysis of time-sensitive corporate information filed with the agency.</p> <p>Benefits:</p> <ul style="list-style-type: none"> • Facilitate access to information for investors to make informed investment decisions • Reduce filer burden by providing a professional path and a novice path based on filer's knowledge 		

	<ul style="list-style-type: none"> • Decrease the operational and maintenance cost by than more than 45% • Improve data capture by moving to more structured formats for EDGAR filed form types <p>Completed in FY 2013: Deployed electronic solutions in EDGAR for rule changes and responses to Dodd-Frank and Jobs Act regulation (Electronic Data Collection System-TCR Database, New-Form MA, Form D, Form 13F, TA-1, TA-2, TA-W, Form 25-NSE, Form FOCUS-X-17A-5, Form R31, Form 8-K, Form 10-K)</p> <p>Scheduled for FY 2014: Document the EDGAR filing processes including the identification of all related forms/rules and regulations</p> <p>Analyze data requirements and identify improvements in disclosure rule making</p>
Collection(s) Affected:	Approximately 47% of the 313 information collections are filed using EDGAR. Over 36 million hours are currently devoted to EDGAR related forms.
Estimated Reduction:	5-10 million total burden hours
Date of Completion:	Expected in October, 2015
Challenges:	Rule changes, technology integration

Agency:	Securities and Exchange Commission	Status:	In-Progress
Office(s):	Enterprise-wide		
Initiative Title:	Consolidated Data Warehouse (EDW)		
Reduction Area(s): <i>(Check all that apply)</i>	<input type="checkbox"/> "Short Form" options <input checked="" type="checkbox"/> Record retention requirements <input type="checkbox"/> Electronic "fillable fileable" forms	<input type="checkbox"/> Frequency of information collection <input checked="" type="checkbox"/> Re-use of already collected data <input checked="" type="checkbox"/> Other	
Description:	<p>The SEC has embarked on another multi-year program to reduce technology-related complexities. This multi-year effort began in FY 2012.</p> <p>A consolidated enterprise data warehouse is continuing to be implemented that will allow internal and external users to access the "right data at the right time," perform analysis, and aid them in their day-to-day job functions. The data warehouse will combine data from multiple and varied sources into one comprehensive and easily manipulated database.</p> <p>The SEC has many systems containing disparate sets of data that exist in</p>		

“silos.” This requires internal and external users to traverse multiple sources to access desired data. This takes time and often results in an inability to locate the data being sought. This mode of operation makes it very difficult to share data across internal systems, much less with other agencies and external users. An enterprise-based data warehouse system will facilitate collaboration across users, groups, and agencies.

Benefits:

Facilitate access to information for investors to make informed investment decisions

Implement an automated method to compare information and the unstructured text / pdf data that are part of EDGAR filings.

Reduce the valueless data duplication and storage requirements across the enterprise by eliminating identical data.

Completed in FY 2013: Purchased and deployed Hardware, Software and Tools Completed Planning and Business Requirements Gathering Began pilot program to analyze and review EDGAR data

Scheduled for FY 2014: Continued data consolidation, ETL processing (moving, profiling, cleansing and loading) and migration into the EDW.

Collection(s) Affected: Approximately 50% of the agency's collections may be affected. Data is not readily available to analyze and search.

Estimated Reduction: 500,000 total burden hours

Date of Completion: Expected in October, 2015

Challenges: Technology integration

Agency: Securities and Exchange Commission

Status: New

Office(s): Division of Trading and Markets

Initiative Title: Self-Regulatory Organizations (SRO) Electronic Form Initiative

Reduction Area(s): “Short Form” options Frequency of information collection
(Check all that apply) Record retention requirements Re-use of already collected data
 Electronic “fillable fileable” forms Other

Description: This multi-year effort is scheduled to begin in FY 2014. Current filings for Form 19b-4 based on the most recent rule changes are received electronically through a secure email box. The other two forms are received in paper.

The Commission and the SROs continue to improve their systems for information gathering, storage, and retrieval through increasing use of computer technology. Some of these improvements, such as increased use of email in correspondence between the Commission and the SROs, have improved the efficiency of the Commission's oversight role. However, the process of compiling, preparing, and filing of the data required for review of each proposed rule change reflects the complexity of the SROs' businesses. The Commission believes that use of improved technology, specifically electronic filing of proposed rule changes, and posting of proposed rule changes and SRO rules on SRO websites has and will continue to reduce the respondents' burden in making these filings. Currently, the Electronic Form 19b-4 Filing System ("EFFS") is used by SROs to file proposed rule changes electronically with the Commission pursuant to Exchange Act Section 19(b), and SRO Rule Tracking System ("SRTS") is the internal Commission system used to process and manage SRO proposed rule changes.

The Commission will be using the Electronic Form 19b-4 Filing System ("EFFS") and Form 19b-4 for Security-Based Swap Submissions and Advance Notice filings, which makes the processes efficient by utilizing the existing information technology for filing of proposed rule changes, thereby conserving both clearing agency and Commission resources.

Collection(s) Affected:	Form ATS (3235-0509; 2,873 hours), Form 19b-4 (3235-0045; 140,431 hours) and Form 1 (3235-0017; 2,041 hours)
Estimated Reduction:	35,000 total burden hours. We are unable to determine specific burden reduction for each form at this time.
Date of Completion:	Expected in September, 2015
Challenges:	Rule changes

Appendix A. Burden Reductions and Increases

Reginfo.gov gives the public access to current and historical data on information collection reviews (ICRs) by the Office of Information and Regulatory Affairs (OIRA) under the Paperwork Reduction Act. Since the summer of 2006, OIRA has been using a new, enhanced computer system, replacing a 20-year-old mainframe computer, to support the information collection review process. As mentioned in Chapter 1, this system, named ROCIS,³⁴ allows Federal agencies to submit materials for review electronically. ROCIS also allows OIRA to track the entire review process automatically. The new system also gives the public the ability to view and search information collection reviews on Reginfo.gov.

All data previously available in the old mainframe system have now been moved to Reginfo.gov. The old system contained records from as far back as the 1970s. Occasionally, the old system was modified, including several instances of adding more data to the information submitted by agencies and retained in the system about each submission. The most recent major system redesign occurred in 1995. One of the biggest changes introduced at that time was saving data about the original agency request, in addition to what was actually approved by OIRA. Previously, only the approved numbers for burdens and expiration dates were maintained in the system.

Under the review process, approved information collection requests are assigned OMB control numbers. A single control number may apply to several related information collections. The new system gives the public the ability to see the electronic documents associated with the submission, including documents for the related information collections.

These technological advances allow OIRA to offer information on PRA activities online and in more detail. In addition to the detailed information available for every collection, Reginfo.gov lists a regularly-updated collection of PRA inventory, PRA review, and burden reduction and increase reports in XML format (Extensible Markup Language), a language to describe structured data. In keeping with OIRA's policy of transparency and accessibility, XML reports constitute a machine-readable format. For this data, please visit the "XML Reports" page at Reginfo.gov: <http://www.reginfo.gov/public/do/PRAXML>.

³⁴ ROCIS is an acronym for the RISC and OIRA Consolidated Information System. RISC – Regulatory Information Services Center – is managed by the General Services Administration (GSA) and facilitates access to information collection data. OIRA – Office of Information and Regulatory Affairs – reviews agencies' information collections under the PRA.

Appendix B. Violations

As discussed in Chapter 2, OMB reports two categories of violations of the Paperwork Reduction Act: (1) collections in use without OMB approval and (2) lapses in renewal or discontinuation. Violations falling under the first category, collections in use without OMB approval, occur when the agency fails to submit the information collection request to OMB before it begins to collect information. Violations falling under the second category, lapses in renewal or discontinuation, occur when the agency fails to submit its request to OMB to renew (or discontinue) its approval for a collection prior to the expiration date.

OMB continues its use of an enhanced search process for lapses in renewal or discontinuation in FY 2012. Prior to FY 2011, OMB would identify all collections that expired during the fiscal year and were reinstated after the expiration date during the fiscal year. This previous process would identify only some of the collections comprising the other two types of lapses in renewal or discontinuation: (1) collections that expired in previous fiscal years and were reinstated during the fiscal year and (2) collections that expired during the fiscal year and were not renewed or discontinued before the expiration date in the fiscal year. As a result, prior to FY 2011, some agencies may not have considered the failure to submit a discontinuation notice before a collection expires to be a violation.

OMB now more effectively identifies all three types of lapses in renewal or discontinuation: (1) all collections that expired during FY 2012 and were reinstated after the expiration date during FY 2012; (2) collections that expired in previous fiscal years and were reinstated during FY 2012; and (3) collections that expired during FY 2012 and were not renewed or discontinued before the expiration date in FY 2012. OMB reports the list of FY 2012 Violations below.

B.1. List of Violations

B.1.1. Collections in use without an OMB control number

Agency	OMB Control #	Title
Department of Agriculture		
	0596-0227	Community Forest and Open Space Conservation Program
Department of Defense		
	0704-0486	DoD Information Assurance and Scholarship Program (IASP)
	0704-0487	Certification of Qualified Products
Department of Health and Human Services		
	0910-0704	Guidance on Consultation Procedures: Foods Derived From New Plant Varieties
	0938-1177	Medicare Beneficiary and Family-Centered Satisfaction Survey
	0955-0006	ARRA Section 3013 State Health Information Exchange Cooperative Agreement Program: State Plans
Department of Homeland Security		

	1670-0025	Nationwide Cyber Security Review (NCSR) Assessment
Department of Housing and Urban Development		
	2577-0275	Public/Private Partnerships for the Mixed-Finance Development of Public Housing Units
Department of Labor		
	1218-0265	Occupational Safety and Health Act Variance Regulations Variance Regulations (29 CFR 1905.10, 1905.11 and 1905.12)
	1235-0027	2012 Wage and Hour Division and Occupational Safety and Health Administration Surveys Workers' Voice in the Workplace
Department of the Treasury		
	1545-2087	Regulations Under Sections 4965, 6033(a)(2) and 6011(g) of the Internal Revenue Code (REG-142039-06, REG-139268-06).
	1545-2172	REG-114494-10 - Affordable Care Act Enrollment Opportunity Notice Relating to Extended Dependent Coverage
	1545-2219	Form 14242 - Reporting Abusive Tax Promotions or Preparers
	1545-2222	VITA/TCE Volunteer Form
	1545-2231	Form 13768 - Electronic Tax Administration Advisory Committee Membership Application
	1545-2235	Form 14417 - Reimbursable Agreement-Non-Federal Entities
Department of Veterans Affairs		
	2900-0783	Nonprofit Research and Education Corporations (NPCs) Data Collection
	2900-0788	Description of Materials
Export-Import Bank of the United States		
	3048-0037	Co-Financing with Foreign Export Credit Agency
	3048-0039	Used Equipment Questionnaire
	3048-0040	Notification and Assignment by Insured to Financial Institution of Medium Term Export Credit Insurance Policy
	3048-0042	EIB 99-14 Trade Reference Form
Peace Corps		
	0420-0548	Peace Corps Reference Forms
	0420-0550	Individual Specific Medical Evaluation Forms (16)
Social Security Administration		
	0960-0791	Application for Access to SSA Systems
	0960-0792	Incoming and Outgoing Intergovernmental Personnel Act (IPA) Assignment Agreement
	0960-0794	Request to Show Cause for Failure to Appear
	0960-0795	Request for Documents or Information (Form SSA-2118-U2)
Surface Transportation Board		

2140-0022	Preservation of Rail Service
2140-0023	Statutory Licensing Authority

B.1.2. Collections that expired during FY 2012 and were reinstated during FY 2012 (lapses in renewal or discontinuation)

Agency	OMB Control #	Title
Commodity Futures Trading Commission		
	3038-0009	Large Trader Reports
	3038-0033	Notification of Pending Legal Proceedings
Department of Agriculture		
	0535-0235	Childhood Injury and Adult Occupational Injury Survey
	0579-0346	Revision of the Hawaiian and Territorial Fruits and Vegetables Regulations
	0584-0530	NSLP/SBP Access, Participation, Eligibility, and Certification Study
Department of Defense		
	0704-0255	Defense Federal Acquisition Regulation Supplement (DFARS) Part 236, Construction and Architect-Engineer Contracts, and related clauses at 252.236
	0704-0454	Defense Federal Acquisition Regulation Supplement; U.S. International Atomic Energy Agency Additional Protocol
Department of Health and Human Services		
	0938-0272	Annual Report on Home and Community-based Services Waivers (CMS-372)
	0938-0749	On-Site Inspection for Durable Medical Equipment (DME) Supplier Location and Supporting Regulations in 42 CFR, Section 424.57
	0938-0833	Restraint and Seclusion Standards for Psychiatric Residential Treatment Facilities (CMS-R-306)
	0938-0950	Appointment of Representative and Supporting Regulations in 42 CFR 405.910
Department of Housing and Urban Development		
	2501-0022	Public Access to HUD Records under the Freedom of Information Act (FOIA) and Production of Material or Provisions of Testimony by HUD Employees
	2502-0358	Single Family Mortgage Insurance on Hawaiian Homelands
Department of Justice		
	1121-0335	National Motor Vehicle Title Information System (NMVTIS)
Department of Transportation		

	2127-0008	Consumer Compliant Information
	2127-0569	Compliance Labeling of Reflective Material for Trailer Conspicuity
	2138-0013	Report of Financial and Operation Statistics for Large Certified Air Carriers
Office of Personnel Management		
	3206-0234	Claim for Unpaid Compensation of Deceased Civilian Employee
Small Business Administration		
	3245-0353	Quarterly Reports file by Grantees of the Drug Free Workplace Program
Surface Transportation Board		
	2140-0001	Quarterly Report of Freight Commodity Statistics (Form QCS)
	2140-0004	Report of Railroad Employees, Service and Compensation (Wage Forms A & B)
	2140-0007	Monthly Report of Number of Employees of Class I Railroads (Wage Form C)
	2140-0009	Class I Railroad Annual Report
	2140-0011	Annual Report of Cars Loaded and Cars Terminated
	2140-0012	Quarterly Condensed Balance Sheet - Railroads (Form CBS)
	2140-0013	Quarterly Report of Revenues, Expenses, and Income -- Railroad (Form RE&I)

B.1.3. Collections that expired before FY 2012 and were reinstated during FY 2012 (lapses in renewal or discontinuation)

Agency	OMB Control #	Title
Department of Defense		
	0704-0003	Application for Correction of Military Record Under the Provisions of Title 10, U.S. Code, Section 1552
	0704-0004	Application for the Review of Discharge from the Armed Forces of the United States
	0704-0007	Police Records Check
	0704-0152	DOD Education Loan Repayment Program
	0704-0190	Appointment of Chaplains for the Military Services
	0704-0245	Defense Federal Acquisition Regulation Supplement (DFARS) Part 247, Transportation, and related clauses at 252.247
	0704-0248	Defense Federal Acquisition Regulation Supplement, Appendix F, Inspection and Receiving Report
	0704-0252	Defense Federal Acquisition Regulation Supplement, Use of Government Sources by Contractors, and related clauses in Part 252

0704-0272	Defense Federal Acquisition Regulation Supplement (DFARS) Part 223, Occupational Safety and Drug-Free Workforce; and related clauses in DFARS 252.223
0704-0341	Defense Federal Acquisition Regulation Supplement (DFARS) Part 239, Acquisition of Information Technology, and associated clauses at DFARS 252.239-7000 and 252.239-7006
0704-0368	National Security Education Program (Service Agreement Report for Scholarship and Fellowship Awards)
0704-0386	Defense Federal Acquisition Regulation Supplement (DFARS) Part 219, Small Business Programs and associated clauses in part 252.219
0704-0443	Defense Federal Acquisition Regulation Supplement (DFARS); Excessive Pass-Through Charges
0710-0015	Assessing Human Response to Military Impulse Noise
0720-0001	Health Insurance Claim Form
0720-0003	Statement of Personal Injury - Possible Third Party Liability Champus
0720-0015	TRICARE Retiree Dental Program Enrollment Application
0720-0017	Diagnosis Related Groups (DRG) Reimbursement (Two Parts)
Department of Energy	
1910-5155	Historic Preservation for Energy Efficiency Programs
Department of Health and Human Services	
0910-0284	Records and Reports Concerning Experience with Approved New Animal Drugs
0910-0498	Export Certificates for FDA Regulated Products under U.S.C. Sections 801(e) and 802
0910-0566	Dispute Resolution Procedures for Science Based Decisions on Products Regulated by the CVM
0910-0627	Substances Prohibited From Use in Animal Food or Feed; Final Rule - 21 CFR Part 589
0938-0734	Data Use Agreement Information Collection Requirements, Model Language, and Supporting Regulations in 45 CFR Section 5b
0938-0756	MSInteractive Survey Tool for www.medicare.gov
0938-0953	Notice of Provider Non-Coverage (CMS-10123) and Detailed Explanation of Non-Coverage (CMS-10124)
0938-0969	Medicare Program: Complex Medical Review
0938-1023	Chronic Care Improvement Program and Medicare Advantage Quality Improvement Project
0938-1029	Worksheet for Recording Results of Medicare Site Visits of Independent Diagnostic Testing Facilities (IDTFs)
0938-1059	Physician Quality Reporting Initiative
0970-0030	Refugee Resettlement Program Estimates: CMA
0990-0330	OMHA Annual Appellant Climate Survey
Department of Justice	

	1110-0035	State POC Final Determination Electronic Submission
Department of the Treasury		
	1506-0015	Suspicious Activity Report by Money Services Business
	1506-0020	Anti-Money Laundering programs for money services business, mutual funds, and operators of credit card systems
Department of Transportation		
	2105-0510	Uniform Report of DBE Awards and Commitments and other DBE Program Collections
	2125-0619	Pilot Motorcycle Crash Causes and Outcomes Study and Motorcycle Crash Causation Study
	2127-0510	Consolidated Vehicle Identification Number Requirements and Motor Vehicle Theft Prevention Standards
	2127-0653	Racial Profiling, State Traffic Data, and Child Booster Seat Grant Program
	2132-0550	Bus Testing Program
Federal Trade Commission		
	3084-0154	Data Collection to Determine Compliance with FDICIA Disclosure Requirements

B.1.4. Collections that expired during FY 2012 and were not renewed or discontinued in FY 2012 (lapses in renewal or discontinuation)

Agency	OMB Control #	Title
Department of Agriculture		
	0581-0254	U.S. Honey Producers - Order
Department of Defense		
	0701-0026	Nomination for Appointment to the United States Military Academy, Naval Academy, and Air Force Academy
	0701-0050	Civil Aircraft Landing Permit System
	0701-0063	Air Force Academy Candidate Activities Record
	0701-0064	Air Force Academy Candidate Personal Data Record
	0701-0066	Air Force Academy Request for Secondary School Transcript
	0701-0078	Personal Interview - USAF Health Professions Applicant
	0701-0080	
	0701-0087	United States Air Force Academy Application (Precandidate Questionnaire/PCQ)
	0701-0096	Application for Appointment as Reserve of the Air Force or USAF without Component
	0701-0105	Application for Air Force ROTC Membership
	0701-0134	Request for Approval of Foreign Government Employment of Air Force Members

0701-0141	Intercontinental Ballistic Missile Hardened Intersite Cable System Right-of-Way Landowner/Tenant Questionnaire
0701-0147	United States Air Force Academy Candidate Writing Sample
0701-0150	Air Force Recruiting Information Support System (AFRISS)
0701-0152	United States Air Force Academy Evaluation of Candidate Presentation Comment Card and Air Force Week Event
0701-0156	Comment Card
0701-0158	Leading Edge Supply Chain Survey
0702-0021	Application and Contract for Establishment of a Junior Reserve Officers' Training Corps Unit
0702-0027	Signature and Tally Record
0702-0060	Pre-Candidate Procedures
0702-0061	Candidate Procedures
0702-0062	Offered Candidate Procedures
0702-0122	Industry Partnership Survey
0702-0124	Transportation Discrepancy Report
0703-0020	Enlistee Financial Statement
0703-0026	Application Forms Booklet, Naval Reserve Officers Training Corps Scholarship Program
0703-0029	Application for Commission in the U.S. Navy/U.S. Naval Reserve
0703-0053	Marine Corps Marathon Race Applications
0703-0056	Mental Health Issues Among Deployed Personnel: Longitudinal Assessment of the Resilience of Deployed Sailors and Marines - Follow-up
0704-0167	Request for Reference
0704-0261	Department of Defense Standard Tender of Freight Services
0704-0364	Continued Health Care Benefit Program (CHCBP) Application
0704-0392	Technical Assistance for Public Participation (TAPP) Application
0704-0407	Commissary Evaluation and Utility Surveys - Generic
0704-0417	Personnel Security Investigation Projection for Industry Survey (DSS Form 232)
0704-0418	Personnel Security Clearance Change Notification
0704-0421	DoDEA Customer Satisfaction Surveys
0704-0422	Biennial Review of Defense Agencies and DOD Field Activities
0704-0437	Department of Defense Education Activity (DoDEA) Evaluation and Program Implementation Surveys - Generic
0704-0446	Defense Federal Acquisition Regulation Supplement: Evaluation Factor for Use of Members of the Armed Forces Selected Reserve
0704-0449	National Language Service Corps Pilot
0704-0450	Utility of Test Preparation Guides and Education Programs in Enhancing recruit Candidate Performance on the Armed Services vocational Aptitude Battery (ASVAB)
0704-0458	Industry Cost Collection Report Survey

0704-0462	DoDEA School Accreditation Parent and Student Surveys
0704-0474	Department of Defense National Survey of Employers
0710-0013	Shipper's Export Declaration (SED) Program
0730-0001	Child's Annuitant's School Certificate
0730-0009	Waiver/Remission of Indebtedness Application
0730-0010	Custodianship certificate to Support Claim on Behalf of Minor Children of Deceased Members of the Armed Forces
0730-0016	DoD Stored Value Card (SVC) Enrollment and Authorization Agreement
0730-0017	Claim Certification and Voucher for Death Gratuity Payment
Department of Education	
1820-0600	State and Local Educational Agency Record and Reporting Requirements Under Part B of the Individuals with Disabilities Education Act
Department of Energy	
1910-5138	Organization Climate and Safety Conscious Work Environment
1910-5139	Department of Energy U.S. Declaration under the Protocol Additional to the U.S. IAEA Safeguards Agreement
1910-5140	Hydrogen Program Knowledge and Opinions Assessment of Safety and Codes Officials
1910-5164	Electronic Consumption Data Consumer Access and Control Questionnaire
Department of Health and Human Services	
0917-0032	Behavioral Health Preventive Care Assessment Focus Group
0917-0033	IHS Health Promotion/Disease Prevention Grantee Survey
0930-0302	SAMHSA Fetal Alcohol Spectrum Disorders Center for Excellence Screening and Brief Intervention Evaluation
0935-0178	Improving Patient Safety System Implementation for Patients with Limited English Proficiency
0938-0245	Request for Enrollment in Supplementary Medical Insurance and Supporting Regs. in 42 CFR 407.10, 407.11 & 408.40
0938-0444	Information Collection Requirements in Final Peer Review Organizations Sanction Regulations 42 CFR Sections 1004.40, 1004.50, 1004.50, 1004.60, 1004.70
0938-0445	QIO Assumption of Responsibilities and Supp. Regs. in 42 CFR Sections 412.44, 412.46, 431.630, 476.71, 476.74, 476.78
0938-0449	Home & Community Based Waiver Requests and Supporting Regulations; 42 CFR 440.180, 441.300-.310 (CMS-8003)
0938-0565	IRS/SSA/CMS Data Match and Supporting Regulations in 42 CFR Sections 411.20-411.206
0938-0573	Medicare Geographic Classification Review Board Procedures and Criteria and Supporting Regulations in 42 CFR, Section 412.256
0938-0610	Advanced Directives (Medicare and Medicaid) - BDP-718
0938-0703	Information Collection Requirements Referenced in HIPAA for

	the Individual Market, Supporting Regulations 45 CFR 148, and Forms/Instructions
0938-0739	MPAF Data and Supporting Regulations in 42 CFR Sections 413.337, 413.343, 424.32 and 483.20
0938-0741	Medicare Advantage & Part D Disenrollment Requests Through 1-800-MEDICARE
0938-0753	Medicare Advantage Program Requirements Referenced in 42 CFR Part 422
0938-0769	Request for Retirement Benefit Information
0938-0819	HIPAA Nondiscrimination Provisions (Regulation HCFA-2078-F)
0938-0827	HIPAA Nondiscrimination Provisions
0938-0872	Minimum Data Set (MDS) For Swing Bed Hospitals and Supporting Regulations in 42 CFR 483.20 and 413.337
0938-0919	1-800-MEDICARE Beneficiary Satisfaction Survey (CMS-100098)
0938-0951	Collection of Drug Pricing and Network Pharmacy Data from Medicare Prescription Drug Plans (PDP and MA-PD) and Supporting Regulations in 42 CFR 423.48
0938-0955	Medicare Part B Drug and Biological Competitive Acquisition Program Applications
0938-0957	Retiree Drug Subsidy (RDS) Application and Instructions
0938-0960	CMS Real-Time Eligibility Agreement and MDCN Access Request
0938-0971	Medicare Program: Conditions of Payment of Power Mobility Devices, Including Power Wheelchairs and Power-Operated Vehicles (CMS-3017-IFC)
0938-0977	Retiree Drug Subsidy Payment Request Instructions
0938-0982	Collection of Drug Event Data from Contracted Part D Providers For Payments
0938-0984	Certification Statement for Electronic File Interchange Organizations that Submit NPI Data to the National Plan and Provider Enumeration System
0938-0987	Competitive Acquisition Program (CAP) for Medicare Part B Drugs: CAP Physician Election Agreement
0938-0990	Model Creditable Coverage Disclosure Notices
0938-1057	Evaluation of the Medicare Care Management Performance Demonstration
0938-1064	Evaluation of the Home Health Pay for Performance Demonstration: Survey instrument
0938-1069	Conditions of Participation: Requirements for Approval and Reapproval of Transplant Centers to Perform Organ Transplants and Supporting Regulations in 42 CFR 482.74, 482.94, 482.100, 482.102, 488.61
0938-1122	Current State Practices Related to Payments to Providers for Health Care-Acquired Conditions
0938-1131	Medicaid Emergency Psychiatric Demonstration

	0938-1132	Medical Loss Ratio - Quarterly Reporting for Mini-med Plans and Expatriate Plans
	0938-1141	Rate Increase Disclosure and Review Reporting Requirements (45 CFR Part 154)
	0985-0031	Developmental Disabilities Program Independent Evaluation Project
	0990-0333	Partnership for Long Term Care Insurer Reporting Requirements
Department of Homeland Security		
	1652-0001	Imposition and Collection of Passenger Civil Aviation Security Service Fee (September 11th Security fee)
	1653-0042	Obligor Change of Address
Department of Housing and Urban Development		
	2529-0046	Housing for Older Persons Act of 1995 (HOPA) Exemption from Familial Status Prohibitions
Department of the Treasury		
	1513-0051	Application For An Alcohol Fuel Producer Under 26 U.S.C. 5181
	1513-0092	Marks on Wine Containers, TTB REC 5120/3
	1535-0142	Conducting Focus Groups For Retail Securities Products
	1545-2125	REG-143544-04 Regulations Enabling Elections for Certain Transaction Under Section 336(e)
	1545-2219	Form 14242 - Reporting Abusive Tax Promotions or Preparers
Department of Transportation		
	2105-0009	Advisory Committee Candidate Biographical Information Request
	2105-0508	Uniform Relocation Assistance and Real Property Acquisition Regulations for Federal and Federally Assisted Program
	2105-0534	Passenger Manifest Information
	2106-0009	14 CFR Part 221- Exemption from Passenger Tariff-filing Requirements in Certain Instances and Mandatory Electronic Filing of Residual Passenger Tariffs
Federal Communications Commission		
	3060-0250	Sections 73.1207, 74.784 and 74.1284, Rebroadcasts
Grants.gov		
	4040-0003	SF-424 Short Organizational (Short)
National Aeronautics and Space Administration		
	2700-0009	AST - Technology Utilization
	2700-0047	NASA Inventory Report: Property Management

	and Control, Grants
2700-0101	NASA Procurement Vendor Customer Survey
2700-0134	NASA Aeronautics Scholarship Program
2700-0146	NASA Earth to Sky: An Assessment of Global Climate Change in Visitors to Public Lands
2700-0150	Summer of Innovation #1 (Parental Consent)
2700-0151	Summer of Innovation #2 (Surveys)
Small Business Administration	
3245-0077	Reports to SBA; Provisions of 13 CFR 120.472
3245-0124	U.S. Small Business Advisory Committee Membership - Nominee Information
3245-0329	PRIME (Program for Investment in Microentrepreneurs)

Appendix C. Additional Agency Burden

Similar to previous years, the Data Call for this ICB requested burden reduction initiatives and violation lists from 22 Executive Departments and Agencies³⁵ and 6 Independent Agencies.³⁶ OMB has historically listed the burden of these 28 “ICB agencies” in Chapter 1 of this ICB, and it continues that practice this year. However, given legislative and programmatic developments in recent years,³⁷ OMB has added this appendix to show all agencies with paperwork burdens greater than one million hours. Table 4 lists the nine additional agencies with paperwork burdens greater than one million hours in FY 2012.³⁸ Though including these agencies in the baseline total affects comparability across ICBs, OMB intends to improve reporting completeness by officially including these nine agencies in its baseline total for the 2014 ICB. This Appendix serves as a notice of this future change.

In total, these nine agencies add about 83 million hours to the total amount of time the public spent responding to Federal information collections. Accounting for all of the remaining agencies, including those nine agencies as well as the very small agencies under the one million hour threshold, would add about 90 million additional hours to the total burden. Thus, agencies outside of the group of 28 “ICB agencies” historically presented in Chapter 1 account for about one percent of the total paperwork burden imposed by the Federal government; these agencies’ totals would increase the FY 2012 total from about 9.47 billion to 9.56 billion hours.

Table 4: Paperwork Burden of Additional Agencies (in millions of hours)

Agency	FY 2011 Total Paperwork Burden	FY 2012 Total Paperwork Burden	% Change from FY '11
Consumer Financial Protection Bureau	0	37.17	N/A
Equal Employment Opportunity Commission	16.13	13.26	-17.79%
Federal Reserve System	11.53	12.64	9.63%
Office of Personnel Management	38.34	6.42	-83.26%
General Services Administration	5.16	5.12	-0.78%
Commodity Futures Trading Commission	1.05	3.14	199.05%
Recovery Accountability and Transparency Board	2.73	2.73	0.00%
Office of Management and Budget	1.34	1.34	0.00%
Corporation for National and Community Service	1.05	0.99	-5.71%

³⁵ The 22 Executive Departments and Agencies are: Department of Agriculture; Department of Commerce; Department of Defense; Department of Education; Department of Energy; Department of Health and Human Services; Department of Homeland Security; Department of Housing and Urban Development; Department of the Interior; Department of Justice; Department of Labor; Department of State; Department of Transportation; Department of the Treasury; Department of Veterans Affairs; Environmental Protection Agency; Federal Acquisition Regulation (FAR Secretariat); National Aeronautics and Space Administration; National Science Foundation; Small Business Administration; Social Security Administration; and Agencies that sponsor information collections under the auspices of the E-Gov series.

³⁶ The 6 Independent Agencies are: Federal Communications Commission; Federal Deposit Insurance Corporation; Federal Energy Regulatory Commission; Federal Trade Commission; Nuclear Regulatory Commission; and Securities and Exchange Commission.

³⁷ Major legislative changes include the Dodd–Frank Wall Street Reform and Consumer Protection Act, which created the CFPB and amended the Commodity Exchange Act. Major program changes include the USA Jobs 3.0 update, which lowered the burden imposed by OPM.

³⁸ Even though it is technically 10,000 hours below one million hours, OMB includes the Corporation for National and Community Service (CNCS) as a result of its unique proximity to the threshold. CNCS was over one million hours in FY 2011.

About OIRA

The Paperwork Reduction Act of 1980 (Pub. L. No. 96-511) and its successor, the Paperwork Reduction Act of 1995 (Pub. L. No. 104-13), established the Office of Information and Regulatory Affairs (OIRA) in the Office of Management and Budget to oversee agency information resources management, information collection, and use of information technology. Under this authority, OIRA develops policies and guidelines to promote the management, dissemination, privacy, and security of government information. OIRA also coordinates Federal statistical policies and resources and is responsible for the review of agency rulemaking activity under Executive Orders 13563 and 12866. The Administrator of OIRA is appointed by the President and confirmed by the Senate.

Principal contributors to this report were Patrick Fuchs and Michael Johnson. If you have questions about any of the information collections discussed in this report, please visit our website at www.RegInfo.gov. OIRA's Records Management Center is also open to the public by appointment. Please call, write, or fax to arrange an appointment:

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