INFORMATION COLLECTION BUDGET

OF THE UNITED STATES GOVERNMENT

2015

OFFICE OF MANAGEMENT AND BUDGET
OFFICE OF INFORMATION AND REGULATORY AFFAIRS

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Executive Summary

Under the Paperwork Reduction Act of 1995 (PRA)[1], the Office of Management and Budget (OMB) is required to report to Congress on the paperwork burden[2] imposed on the public by the Federal Government and efforts to reduce this burden. For over 35 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 2015 ICB reports on the paperwork burden imposed on the public during fiscal year (FY) 2014, and explores other issues pertaining to the implementation of the PRA.

For the sixth consecutive year, OMB is issuing an Electronic-ICB, instead of the traditional hard copy. The 2015 ICB is available on OMB's website at: http://www.whitehouse.gov/omb/inforeg_infocoll/.

Total Paperwork Burden

In FY 2014, the public spent an estimated 9.43 billion hours responding to Federal information collections. This total represents a net decrease of 20 million burden hours, or about 0.21 percent, from the estimated 9.45 billion hours that the public spent responding to Federal information collections in FY 2013.

Sources of Paperwork Burden Changes

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

Adjustments to agency burden estimates were the largest source of the net decrease in FY 2014, reducing estimated burden by about 52 million hours. The "adjustments" category differs from other sources of burden change, in the sense that the true burden imposed on actual respondents for individual information collections does not change, but rather the estimate has been revised to update the burden. For example, 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

[1] See 44 U.S.C. Chapter 35; see 5 C.F.R. Part 1320.
[2] 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.
[3] In past years, some ICBs 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.

respond to the collection, perhaps due to economic or demographic changes. In addition, an agency may re-evaluate a prior burden estimate for the collection, conclude that the prior estimate could be improved based on their experience administering the collection, and revise the estimate accordingly.

In FY 2014, the largest such adjustment was the Department of Health and Human Services (HHS), Centers for Medicare & Medicaid Services collection entitled, “Standards for Privacy of Individually Identifiable Health Information and Supporting Regulations at 45 CFR Parts 160 and 164,” accounting for a burden decrease of approximately 30 million hours. The HHS found that complying with the regulation should be revised downward from approximately 62.3 million hours to approximately 32.8 million hours due to adjustments in areas such as the number of respondents, how many of them would be submitting the information electronically and the number of exceptions expected to be submitted. This change reflects adjustments due to both a re-estimation of burden and changes in demographic, economic, and other external factors.

Lapses in renewal, arising from expirations of approval periods for collections, in FY 2014 results in a net increase of 13.6 million burden hours. Under the PRA, agencies need their ongoing information collections reviewed and renewed by OMB at least every three years, unless they intend to no longer collect the information. 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, the burden associated with these collections is removed from OMB’s accounting system. If the agency truly meant to discontinue the collection, then the burden total is correct. If they meant to renew and need to reinstate the collection, however, OMB’s accounting system shows a burden increase. A lapse in renewal does not necessarily mean that an agency has stopped collecting information, so any increase or decrease in this category involves agency submission and accounting issues; it does not always imply actual burden changes for the general public.

The majority of the burden increase due to lapses in renewal is attributed to Department of Health and Human Services (HHS), Center for Medicare & Medicaid Services collection entitled, “Medicare Advantage Program Requirements Referenced in 42 CFR Part 422.”

Discretionary agency actions in FY 2014 contributed to a net burden increase of about 11 million hours, or less than 0.2 percent of total government-wide burden. OMB considers discretionary agency actions as the category most indicative of agencies’ management of the PRA.

New statutory requirements in FY 2014 resulted in a net increase estimated burden by about 7.1 million hours from FY 2013. The largest contributor to the 7.1 million hour net increase due to new statutory requirements was the Department of Education collection entitled, “Federal Family Education Loan Program Regulations.” Among other changes, substantial changes were made to the repeal of unneeded Federal Family Education Loan (FFEL) regulations in 34 CFR 682 as a result of the Student Aid and Fiscal Responsibility Act (SAFRA) that was included in the Health Care and Education Reconciliation Act of 2010 (HCERA) which, as of July 1, 2010, terminated the authority for lenders to make new loans under the FFEL program.

This report is separated into three Chapters:

Information collection burden for FY 2013 (Chapter 1). The principal contributor to the decrease paperwork burden in FY 2013 was the "adjustments" category. These adjustments primarily resulted from improved estimates of burden on the general public. Chapter 1 discusses adjustments and sources of burden changes in detail.

Agency compliance with the PRA (Chapter 2). OMB is reporting 225 violations of the Paperwork Reduction Act and related business processes during FY 2014 that is a decrease of 57 violations—from 282 to 225—over the previous fiscal year. Many of these violations were largely attributable to business process issues, such as not submitting a discontinuation notice. As explained further below, OMB is working with agencies to identify and address such situations.

Reducing burden (Chapter 3). In response to Executive Order 13610, Identifying and Reducing Regulatory Burdens, agencies have produced significant paperwork burden reduction initiatives. 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 references the retrospective review submittals that are updated twice a year and expands upon that by providing submissions from Independent Agencies. As shown in detail on agencies' OpenGov websites and on OMB's website at https://www.whitehouse.gov/omb/oira/regulation-reform, 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 the Paperwork Reduction Act (PRA),[4] the Office of Management and Budget (OMB) oversees agencies' information collection activities and reports to Congress annually on the effectiveness of the PRA's implementation. The Information Collection Budget (ICB) is OMB's annual report to Congress, providing 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 2014, and identifies efforts that the Federal agencies are making to reduce burden and collect information more efficiently and effectively.[5]

Information collections are 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."[6] The terms "paperwork" and "information collection(s)" have the same meaning for the purposes of this report.

Burden is represented as 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 memorandum[7] 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.

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[4] 44 U.S.C. Chapter 35; see 5 CFR Part 1320.

[5] 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.

[6] 44 U.S.C. § 3502.

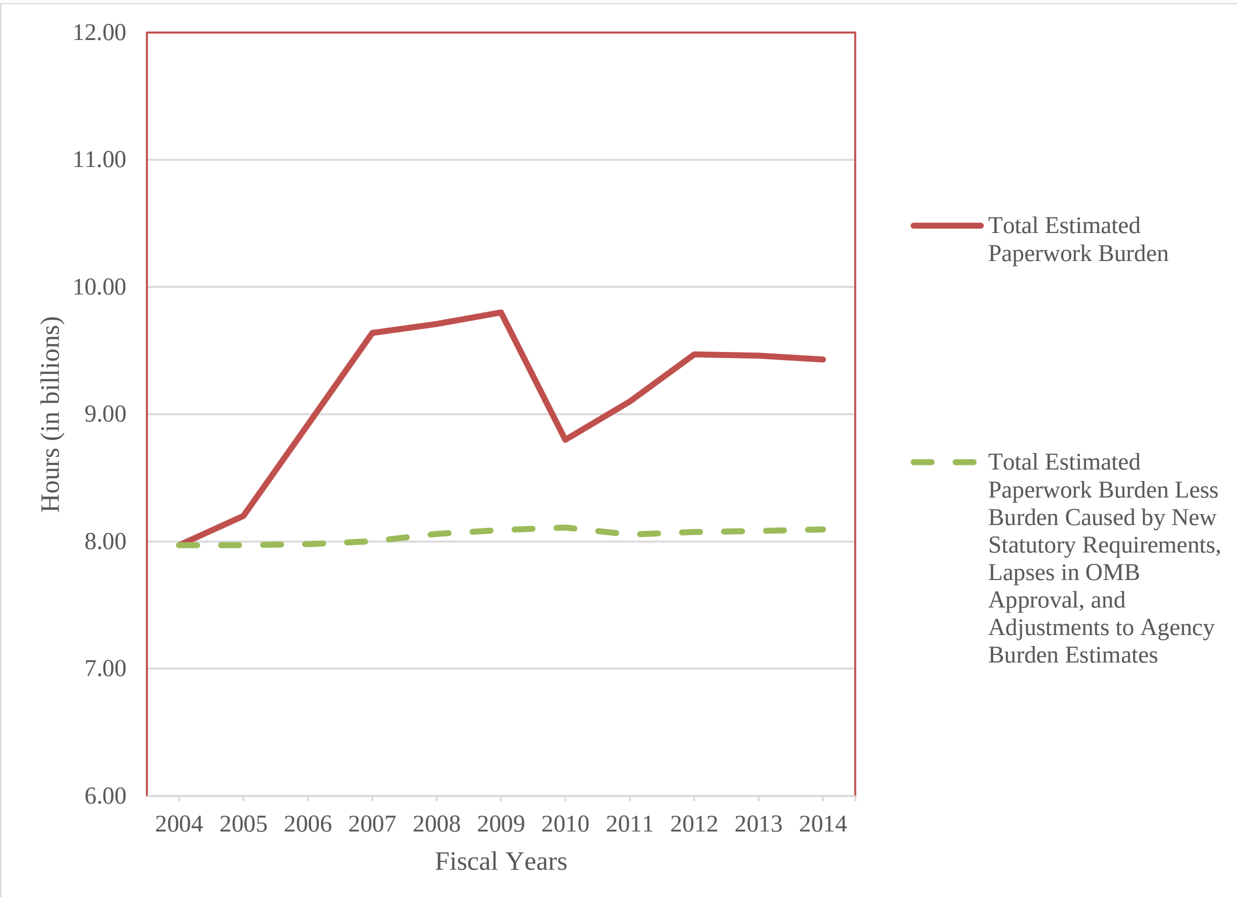
[7] See OMB M-12-14, "Memorandum for the Heads of Executive Departments and Agencies: Use of Evidence and Evaluation in the 2014 Budget," May 18, 2012, *available at* http://www.whitehouse.gov/sites/default/files/omb/memoranda/2012/m-12-14.pdf.

1.1. Total Paperwork Burden

According to agency estimates of paperwork burden in FY 2014, the public spent 9.43 billion hours responding to or complying with Federal information collections.

Figure 1 shows the trend in total estimated Federal paperwork burden between FY 2004 and FY 2014. As the solid red line in the figure shows, estimated paperwork burden grew over this period, though it declined significantly in FY 2010 and slightly in FY 2014.

Figure 1: Total Estimated Paperwork Burden Hours (FY 2004 to FY 2014)[8]



1.2. Sources of Paperwork Burden Changes, FY 2004 to FY 2014

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

[8] As explained in Section 1.2, the trend with the dashed green line represents changes due to agency discretionary action since FY 2004. 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 green 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.

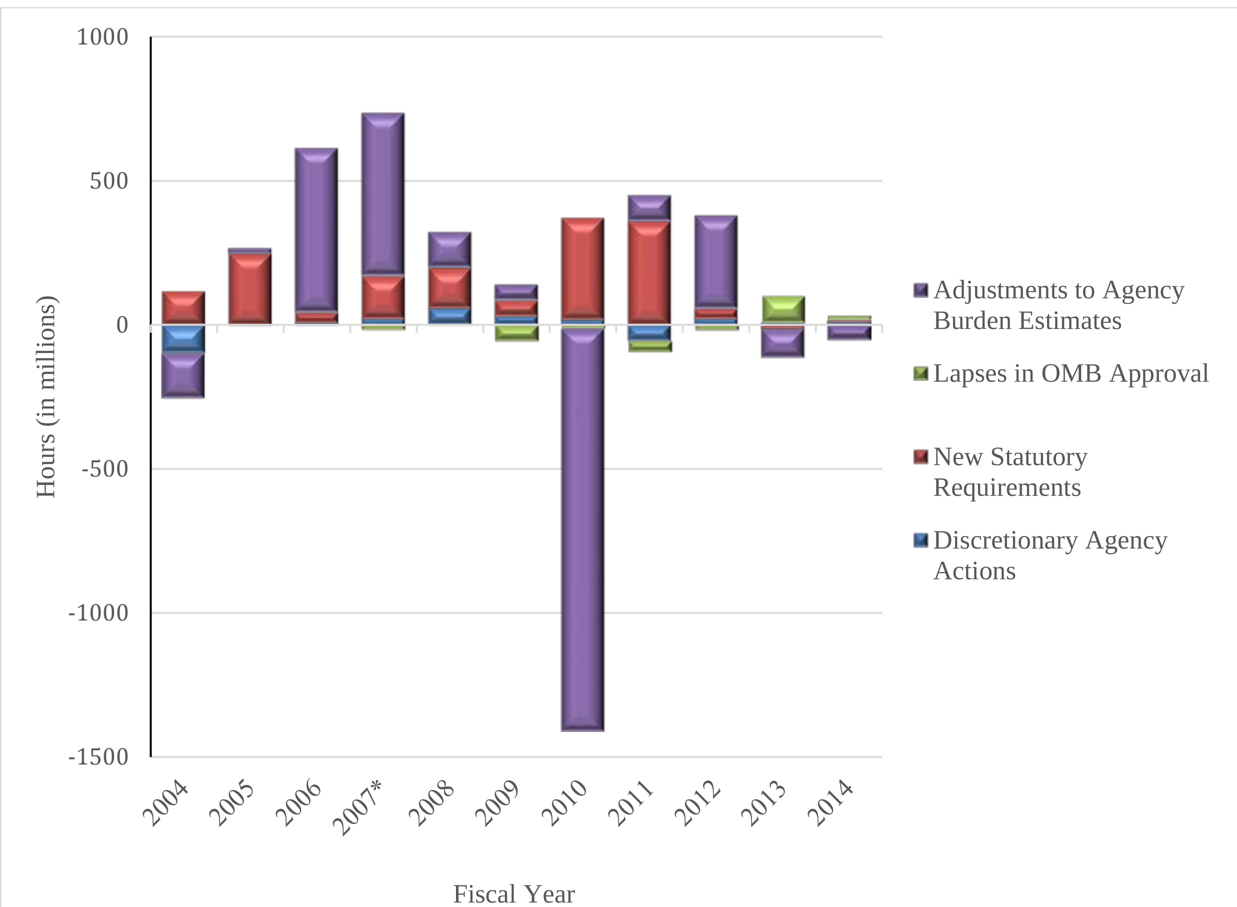
direct control of the control agency. Significant burden reductions might occur with improved management of discretionary agency actions.

In addition to showing the recent historical trend in total paperwork burden, Figures 1 shows the recent trend – represented by the dashed green 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.[9] As indicated by the relatively flat dashed green line, since FY 2004 discretionary agency actions have not comprised a major source of burden increase over the past twelve fiscal years.

The gap between the solid red line and the dashed green 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 since 2004.

Figure 2: Sources of Paperwork Burden Change (FY 2004 - FY 2014)



[9] This is also calculated by using the 2004 overall burden and adding the change in burden due to discretionary agency actions for each year.

*Almost one half of the change indicated for FY 2007 as due to statute resulted from new IRS Form 8913 (Credit for Federal Telephone Excise Tax Paid), which allows taxpayers to receive telephone excise tax refunds. IRS was required to refund this tax because of court decisions that interpreted tax legislation. Accordingly, OMB classified the program change as due to statute, since the burden is legislatively driven.

Notably, almost all of the estimated net increase in paperwork burden during this period was associated with new statutory requirements. New statutes account for an estimated increase of 1.5 billion paperwork hours since FY 2004. 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 2004, contributing an estimated 27 million hour burden increase during this ten-year period. This total is less than 2 percent of the net burden increase since 2004. 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 overall yearly greatest effect on burden since FY 2004 is “adjustments” to agency burden estimates. Standing by themselves, adjustments have accounted for an increase in the estimated overall paperwork burden of 32 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 2004 was the lapses in renewal or discontinuation category, accounting for a net decrease of 31 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.

1.3. Discussion of Paperwork Burden Changes in FY 2014

OMB is reporting that the public spent an estimated 9.43 billion hours responding to Federal information collections in FY 2014. This represents a decrease of 20 million burden hours, or 0.21 percent, from the estimated 9.45 billion hours that the public spent responding to Federal information collections in FY 2013. OMB identifies the following sources of changes in paperwork burden during FY 2014 (in order of effect):

1. Adjustments to existing burden estimates – often as a result of demographic changes and other outside forces (estimated decrease of 51.8 million hours);
2. Lapses in renewal or discontinuation – as a result of the expiration of burden producing activities or lapses in approval of such activities (estimated increase of 13.6 million hours);
3. Discretionary agency actions (estimated increase of 11 million hours);
4. New statutory requirements (estimated increase of 7.1 million hours).

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 decrease of 51.8 million hours)

Burden changes associated with adjustments to agency burden estimates were the largest source of net increase in FY 2015. 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 results 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 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.

   The largest driver of the 51.8 million hour net decrease from adjustments was the Department of Health and Human Services (HHS), Centers for Medicare & Medicaid Services collection entitled, "Standards for Privacy of Individually Identifiable Health

Information and Supporting Regulations at 45 CFR Parts 160 and 164." The HHS found that complying with the regulation should be revised downward from approximately 62.3 million hours to approximately 32.8 million hours due to adjustments in areas such as the number of respondents, how many of them would be submitting the information electronically and the number of exceptions expected to be submitted. This change reflects adjustments due to both a re-estimation of burden and changes in demographic, economic, and other external factors.

2) Lapses in Renewal or Discontinuation (estimated increase of 13.6 million hours)

In FY 2014, estimated paperwork burden was increased by 13.6 million hours because collections went into expiration status as a result of a lapse of renewal or discontinuation.

The majority of this burden increase due to lapses in renewal or discontinues is attributed to the Department of Health and Human Services (HHS), Center for Medicare & Medicaid Services collection entitled, "Medicare Advantage Program Requirements Referenced in 42 CFR Part 422." To note, OMB approved the reinstatement in FY 2014 although HHS at the end of FY 2013 submitted the collection for reinstatement.

3) Discretionary Agency Actions (estimated increase of 11 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, 17 agencies had net increases in burden from discretionary agency actions. The Department of Labor (DOL) had the largest absolute increase in burden from agency actions with a 19.97 million hour increase (equal to 13.1 percent of DOL burden). The agency with the largest percentage increase in burden due to agency actions was EGov with 200.3 percent (3.54 million hours).

4) New Statutory Requirements (estimated increase of 7.1 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 contributor to the 7.1 million hour net increase due to new statutory requirements was the Department of Education collection entitled, "Federal Family Education Loan Program Regulations." Among other changes, substantial changes were made to the repeal of unneeded Federal Family Education Loan (FFEL) regulations in 34 CFR 682 as a result of the Student Aid and Fiscal Responsibility Act (SAFRA) that was included in the Health Care and Education Reconciliation Act of 2010 (HCERA) which, as of July 1, 2010, terminated the authority for lenders to make new loans under the FFEL program. These changes resulted in a decrease of approximately 4.1 million hours of burden due to new statutory requirements.

Table 1: FY 2014 Paperwork Burden Changes by Agency (in millions of hours)[10]

	FY 2013 Total Paperwork Burden	FY 2014 Due to Agency Discretion		FY 2014 Changes Due to New Statutes		FY 2014 Changes Due to Lapses in Renewal or Discontinuation		FY 2014 Adjustments		FY 2014 Total Paperwork Burden		
			% change from '13		% change from '13		% change from '13		% change from '13		% change from '13	Total hour change from '13
Total	**9,453**	**11.03**	**0.12%**	**7.06**	**0.10%**	**13.55**	**0.10%**	**-51.76**	**-0.50%**	**9,433**	**-0.21%**	**-19.94**
DHS	195.40	1.13	0.60%	0.00	0.00%	0.00	0.00%	-1.46	-0.70%	195.1	-0.17%	-0.33
DOC	33.68	-4.99	-14.80%	-0.05	-0.10%	-0.01	0.00%	3.53	10.50%	32.16	-4.51%	-1.52
DOD	56.33	0.22	0.40%	0.00	0.00%	1.96	3.50%	2.44	4.30%	60.95	8.20%	4.62
DOE	5.33	-0.09	-1.60%	0.00	0.00%	0.00	0.00%	-2.41	-45.30%	2.83	-46.90%	-2.50
DOI	11.35	0.18	1.60%	0.00	0.00%	0.00	0.00%	0.35	3.10%	11.88	4.67%	0.53
DOJ	20.38	2.00	9.80%	0.03	0.20%	7.97	39.10%	-0.19	-0.90%	30.20	48.18%	9.82
DOL	152.95	19.97	13.10%	0.01	0.00%	0.00	0.00%	-4.44	-2.90%	168.5	10.16%	15.54
DOT	317.22	1.00	0.30%	0.10	0.00%	-0.26	-0.10%	1.07	0.30%	319.1	0.61%	1.92
ED	88.20	-0.44	-0.50%	-4.32	-4.90%	-0.83	-0.90%	0.33	0.40%	82.94	-5.96%	-5.26
EGOV	1.77	3.54	200.30%	0.00	0.00%	-3.90	-220.40%	0.00	0.00%	1.41	-20.34%	-0.36
EPA	167.70	0.54	0.30%	0.00	0.00%	0.06	0.00%	-6.41	-3.80%	161.9	-3.46%	-5.81
FAR	35.46	-0.71	-2.00%	0.00	0.00%	0.00	0.00%	0.00	0.00%	34.74	-2.03%	-0.72
FCC	82.59	0.36	0.40%	0.00	0.00%	0.01	0.00%	0.25	0.30%	83.21	0.75%	0.62
FDIC	12.01	0.78	6.50%	0.05	0.40%	-0.26	-2.20%	-0.37	-3.10%	12.21	1.67%	0.20
FERC	10.76	0.92	8.50%	0.00	0.00%	0.00	0.00%	0.07	0.70%	11.76	9.29%	1.00
FTC	75.22	0.03	0.00%	0.00	0.00%	0.00	0.00%	-3.52	-4.70%	71.73	-4.64%	-3.49
HHS	648.0	7.89	1.20%	7.91	1.20%	11.33	1.70%	-47.65	-7.40%	627.5	-3.17%	-20.53
HUD	56.09	0.06	0.10%	0.00	0.00%	2.00	3.60%	0.03	0.10%	58.94	5.08%	2.85
NASA	2.73	-1.96	-71.80%	0.00	0.00%	0.00	-0.10%	0.00	0.10%	0.77	-71.79%	-1.96
NRC	10.95	0.00	0.00%	0.00	0.00%	0.00	0.00%	-0.13	-1.20%	10.82	-1.19%	-0.13
NSF	8.30	0.01	0.10%	0.00	0.00%	0.00	0.00%	0.00	0.00%	8.31	0.12%	0.01
SBA	1.16	-0.28	-24.30%	0.00	0.00%	0.19	16.50%	0.00	0.00%	1.07	-7.76%	-0.09
SEC	234.18	0.28	0.10%	0.52	0.20%	0.00	0.00%	-3.27	-1.40%	231.72	-1.05%	-2.46
SSA	40.31	-0.17	-0.40%	0.53	1.30%	0.00	0.00%	1.48	3.70%	42.16	4.59%	1.85
STATE	41.69	-0.03	-0.10%	0.00	0.00%	0.00	0.00%	3.76	9.00%	45.42	8.95%	3.73
TREAS	7,007	-16.84	-0.24%	2.25	0.00%	-5.29	-0.10%	2.43	0.00%	6,989	-0.25%	-17.45
USDA	128.74	-3.03	-2.40%	0.01	0.00%	0.00	0.00%	2.31	1.80%	128.0	-0.55%	-0.71
VA	7.16	0.66	9.20%	0.01	0.10%	0.58	8.10%	0.02	0.30%	8.42	17.60%	1.26

[10] As a result of round and other anomalies, columns of some agencies may not sum.

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). These violations are collected by OMB through the use of a data call to both executive departments and agencies and independent agencies.[11]

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 2014. 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.

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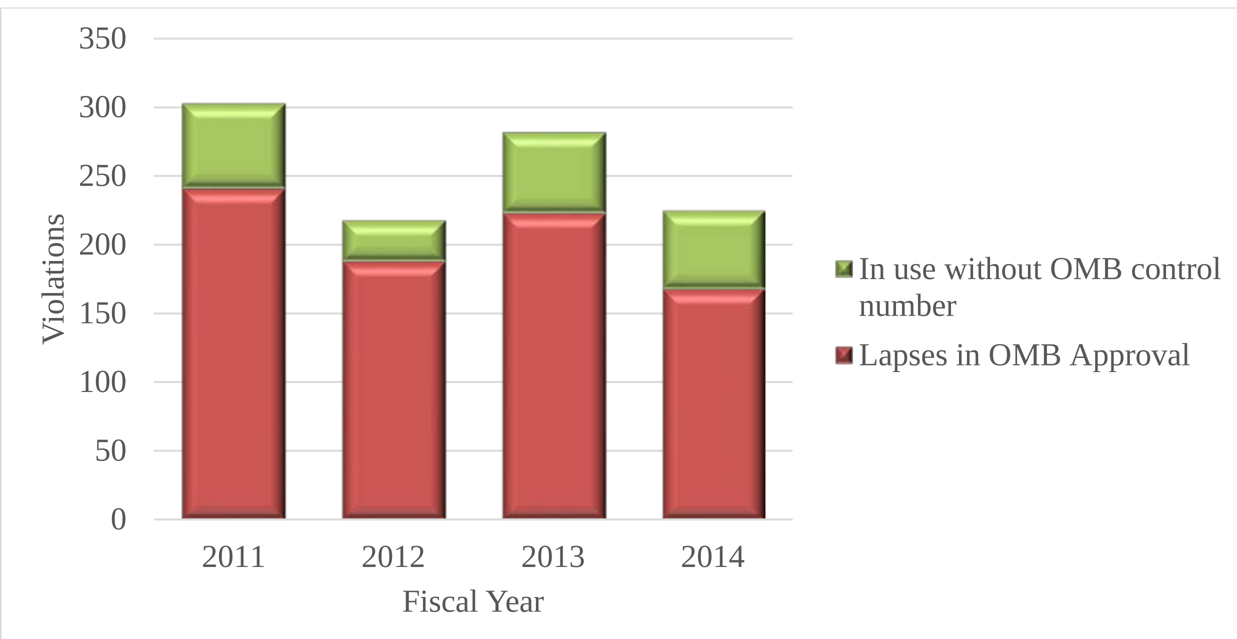
[11] See Memorandum for Chief Information Officers, "Minimizing Paperwork and Reporting Burdens; Data Call for the 2015 Information Collection Budget," August 3, 2015, *available at* https://www.whitehouse.gov/sites/default/files/omb/inforeg/icb/2015_icb_data_call.pdf.

2.1. Total Violations

As a result of its enhanced search process, OMB reports 225 violations of the PRA and related business processes during FY 2014. 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 2014 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 2014 can only be validly compared against violations after FY 2010 (i.e., FY 2011 to FY 2013). Figure 3 shows the changes from FY 2011 to FY 2015. From FY 2013 to FY 2014, violations decreased by 57—from 282 to 225— over the past year.

Figure 3: Total Violations (FY 2011 to FY 2014)



For FY 2014, OMB is reporting 57 collections in use without OMB control numbers and 168 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, 56 violations reported in this year's total expired in FY 2013 or FY 2014 years and were reinstated in FY 2014. In addition, 108 violations due to lapses due to renewal or discontinuation resulted from collections that expired in FY 2014 and were not renewed or discontinued in FY 2014.

To put the 225 violations total in perspective, agencies maintain about 9,000 active OMB control numbers in the inventory of approved information collections. Moreover, in FY 2014 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 41 agencies for their compliance. 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, one agency received a "Poor" rating, meaning that they had twenty-five or more violations due to lapses in renewal or discontinuation in FY 2014. That agency was the Department of Defense, with 64 violations due to a lapse in renewal or discontinuation.

OMB rates 29 agencies as "Need Improvement," defined as having between 1 and 10 violations in FY 2014. OMB rates 4 agencies as "Need Significant Improvement," defined as having between 11 and 25 violations in FY 2015. 7 agency achieved a rating of "Good" by having no violations in FY 2015, due to lapse in renewal or discontinuation.

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 2014 Violations Due to Lapses in Renewal or Discontinuation

Good	**Need Improvement**	**Need Significant Improvement**	**Poor**
0 (Zero) Violations	**1 to 10 Violations**	**11 to 24 Violations**	**25 or More Violations**
• Consumer Financial Protection Bureau • Federal Acquisition Regulation • Federal Trade Commission • General Services Administration • National Mediation Board • National Science Foundation • Pension Benefit Guaranty Corporation	• Commodity Futures Trading Commission • Consumer Product Safety Commission • Corporation for National and Community Service • Department of Agriculture • Department of Commerce • Department of Education • Department of Energy • Department of the Interior • Department of Justice • Department of Labor • Department of State • Department of Treasury	• Department of Health and Human Services • Department of Homeland Security • Department of Housing and Urban Development • Department of Transportation	• Department of Defense

Good	Need Improvement	Need Significant Improvement	Poor
0 (Zero) Violations	**1 to 10 Violations**	**11 to 24 Violations**	**25 or More Violations**
	• Department of Veterans Affairs • Environmental Protection Agency • Equal Employment Opportunity Commission • Federal Communications Commission • Federal Deposit Insurance Corporation • Federal Energy Regulation Commission • Federal Housing Finance Agency • Grants.gov • National Aeronautics and Space Administration • National Archives and Records Administration • National Credit Union Administration • National Endowment for the Arts • Nuclear Regulatory Commission • Office of Personnel Management • Securities and Exchange Commission • Social Security Administration • Surface Transportation Board		

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.

Chapter 3: Reducing Burden

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*[12] (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.[13]

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.[14] 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 Memorandum[15] 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*[16] (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

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[12] See Executive Order 13563. January 18, 2011, *available at* https://www.whitehouse.gov/the-press-office/2011/01/18/executive-order-13563-improving-regulation-and-regulatory-review.

[13] See the OMBlog post "Final Regulatory Reform Plans Will Save Money, Reduce Waste," August 23, 2011, *available at* https://www.whitehouse.gov/blog/2011/08/23/final-regulatory-reform-plans-will-save-money-reduce-waste.

[14] For examples of reforms, see the WhiteHouse.gov blog post "'Lookback' Progress'" *available at* https://www.whitehouse.gov/blog/2012/06/04/lookback-progress.

[15] 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.

[16] See Executive Order 13610. May 10, 2012, *available at* https://www.whitehouse.gov/the-press-office/2012/05/10/executive-order-identifying-and-reducing-regulatory-burdens.

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, including data calls for new initiatives.

3.2. Burden Reduction Initiatives

To help implement Executive Order 13610, OIRA issued a memorandum[17] 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 burdens[18] 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—generates 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.

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

[18] 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.

- **Exemptions or streamlining for small entities (including small businesses)**. Because of economies of scale, a collection may be disproportionately more burdensome for a small 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**. Administrative[19] 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

[19] 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* https://www.whitehouse.gov/sites/default/files/omb/memoranda/2012/m-12-14.pdf.

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.[20]

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 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.

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 1 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 are available on agencies’ OpenGov websites and will save time and money for small businesses, taxpayers, veterans, manufacturers, and many other U.S. citizens.

This chapter contains references to Executive Departments and Agencies’ retrospective review lists that are updated twice a year that include initiatives to reduce reporting and paperwork burdens.[21] To limit unnecessary burden on Executive Departments and Agencies and to encourage participation, OMB will no longer include a summary of the reduction initiatives provided in reports in response to Executive Order 13610. However, this chapter offers an updated list of initiatives from Independent Agencies that did not provide updated initiatives under Executive Order 13610.

3.3.List of Independent Agency Burden Reduction Initiatives[22]

3.3.1. Federal Communications Commission

Agency: Federal Communications Commission		**Status: Complete**
Office(s):	Consumer and Governmental Affairs Bureau	
Initiative Title:	Elimination of a Reporting Requirement for IP Captioned Telephone Service providers.	
Reduction Area(s): ***(Check all that apply)***	☐ “Short Form” options ☐ Record retention requirements ☐ Electronic “fillable fileable” forms	☐ Frequency of information collection ☐ Re-use of already collected data ☒ Other

[20] See OMB M-11-02, “Memorandum for the Heads of Executive Departments and Agencies: Sharing Data While Protecting Privacy,” November 3, 2010, *available at* https://www.whitehouse.gov/sites/default/files/omb/memoranda/2011/m11-02.pdf.
[21] The initial Executive Department and Agency submittals, as well as the periodic updates, are available at https://www.whitehouse.gov/omb/oira/regulation-reform.
[22] While the 2015 ICB is published around the same time as the 2016 ICB, due to the 2015 ICB Data Call being issued on August 3, 2015, the burden reduction initiatives within the 2015 ICB reflect the submittals in response to the 2015 ICB Data Call and do not reflect any updates provided in the 2016 ICB Data Call.

Description:	The Commission eliminated the requirement that Internet Protocol Captioned Telephone Service providers file annual reports regarding the Telecommunications Relay Service mandatory minimum standards.
Collection(s)Affected:	OMB Control Number 3060-1053, Two-Line Captioned Telephone Order and IP Captioned Telephone Service (CTS) Declaratory Ruling; and Internet Protocol Captioned Telephone Service Reform Order, CG Docket Nos. 13-24 and 03-123
Estimated Reduction:	29,172 total burden hours $774,000 total cost burden
Date of Completion:	Completed in August, 2014
Challenges:	None

Agency: Federal Communications Commission		**Status: Complete**
Office(s):	Wireless Telecommunications Bureau	
Initiative	Streamlined licensing requirements in the 800 MHz Cellular Radiotelephone Service	
Reduction Area(s): ***(Check all that apply)***	☐ “Short Form” options ☐ Record retention requirements ☐ Electronic “fillable fileable” forms	☐ Frequency of information collection ☐ Re-use of already collected data ☒ Other
Description:	The Commission amended Parts 1 and 22 of its rules to change the licensing model for the 800 MHz Cellular Radiotelephone Service from site-based to geographic-based, and to delete obsolete provisions associated with the legacy site-based regime. It also streamlined application content requirements and certain other filing requirements that remain in place, reflecting technological changes and increased competition among Cellular Service providers.	
Collection(s)	OMB Control Number 3060-0508, Part 1 and Part 22 Reporting and Recordkeeping Requirements	
Estimated Reduction:	900 total burden hours $371,250 total cost burden	
Date of Completion:	Completed in April, 2015	
Challenges:	None	

Agency: Federal Communications Commission		**Status: Complete**
Office(s):	International Bureau	
Initiative	Simplification of Reporting Requirements for International Section 214 Respondents	
Reduction Area(s): ***(Check all that apply)***	☐ “Short Form” options ☐ Record retention requirements ☐ Electronic “fillable fileable” forms	☐ Frequency of information collection ☐ Re-use of already collected data ☒ Other

Description:	The FCC reduced reporting requirements mandated by Sections 63.11(g)(2) and 63.18(k) of the Commission's rules.
Collection(s)	3060-0686, International Section 214 Process and Tariff, 47 CFR Sections 63.10, 63.11, 63.13, 63.18, 63.19, 63.21, 63.24, 63.25 and 1.1311
Estimated Reduction:	2,096 total burden hours $210,000 total cost burden
Date of Completion:	Completed in February, 2015
Challenges:	None

3.3.2. *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	Minimize and Eliminate Unnecessary Collections
Reduction Area(s): ***(Check all that apply)***	☐ "Short Form" options ☐ Frequency of information collection ☐ Record retention requirements ☐ Re-use of already collected data ☐ Electronic "fillable fileable" forms ☒ Other
Description:	The following information collections were discontinued:
Collection(s)	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:	Completed in 2013
Challenges:	None.

Agency: Federal Deposit Insurance Corporation	**Status: Complete**
Office(s):	Legal Division
Initiative	Automation of Administration for Legal Services
Reduction Area(s): ***(Check all that apply)***	☐ "Short Form" options ☐ Frequency of information collection ☐ Record retention requirements ☐ Re-use of already collected data ☒ Electronic "fillable fileable" forms ☐ Other
Description:	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.
Collection(s)	3066-0122 Forms: 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:	Completed in 2013. Previous estimated completion date was December 2014 to allow for additional electronic forms for use by outside counsel. A decision was made not to create any additional electronic forms in 2014, however.
Challenges:	The adoption of electronic filing has been a financial challenge for some small outside counsel firms.

3.3.3. Federal Energy Regulatory Commission

Agency: Federal Energy Regulatory Commission	**Status: Complete**
Office(s):	Office of Energy Market Regulation
Initiative	RM14-11-000 (Open Access and Priority Rights on Interconnection Customer's Interconnection Facilities) Blanket waivers, providing open access and establishing priority rights
Reduction Area(s): ***(Check all that apply)***	☐ "Short Form" options ☐ Frequency of information collection ☐ Record retention requirements ☐ Re-use of already collected data ☒ Electronic "fillable fileable" forms ☒ Other

Description:	FERC-582: The Commission has jurisdiction over all facilities used for the transmission of electrical energy in interstate commerce under Section 201(b) of the Federal Power Act (FPA). Any person who owns or operates facilities subject to the Commission's jurisdiction is a public utility. The Commission is charged with the responsibility to ensure that a public utility's rates, charges, and classifications of services are just and reasonable and not unduly discriminatory or preferential under Sections 205 and 206 of the FPA. FERC-582: Providing Open Access and Establishing Priority Rights to ICIF through FPA Sections 210 and 211. This process results in the reduction in burden associated with avoided petitions for declaratory order, which have been used by ICIF owners to secure priority rights to ICIF capacity for future phased generation development. There will be a reduction in burden overall for ICIF owners, some of whom may be small entities. The reduction will result from a blanket waiver of OATT), OASIS, and Standards of Conduct filing requirements, and thus an avoidance of both individual filings to request waiver as well as OATT filings. The Commission also believes that the regulations will reduce the need for eligible ICIF owners to file petitions for declaratory order to pre-emptively seek priority rights. These reductions will undoubtedly affect small entities. FERC-917: In Order No. 888 relying upon its authority under Sections 205 and 206 of the FPA, the Commission established nondiscriminatory open access to electric transmission service as the necessary foundation to develop competitive bulk power markets in the United States. Order No. 888 requires that all public utilities that own, control, or operate facilities must offer transmission service to all eligible customers under standard terms and conditions. Order No. 888 (codified in 18 CFR Section 35.28) requires that any public utility that owns, controls, or operates facilities used for the transmission of electric energy in interstate commerce must file an (OATT) and comply with other related requirements. FERC-917: Granting Blanket Waivers to Eligible Interconnection Customer's Interconnection Facilities Owners. These blanket waivers result in the reduction in burden associated with avoided OATT filings and OATT waiver filings. These filings have been used to clarify the rights and obligations of owners of transmission facilities.
Collection(s)	FERC-582 (OMB Control No.: 1902-0132) FERC-917 (OMB Control No.: 1902-0233)
Estimated Reduction:	232 total burden hours $21,961 total cost burden FERC-582 reduction of 30 burden hours and $2,840 cost burden reduction. FERC-917 reduction of 202 burden hours and $19,121 cost burden reduction.
Date of Completion:	Expected in March, 2015 Final Rule Issued March 19, 2015.
Challenges:	None

Agency: Federal Energy Regulatory Commission **Status: New**

Office(s):	Office of Electric Reliability
Initiative	RM14-7-000 Modeling, Data, and Analysis Reliability Standard – Proposal to retire other MOD Reliability Standards
Reduction Area(s): *(Check all that apply)*	☐ "Short Form" options ☐ Frequency of information collection ☐ Record retention requirements ☐ Re-use of already collected data ☐ Electronic "fillable fileable" forms ☒ Other
Description:	NERC developed the currently effective Reliability Standards MOD-001-1a, MOD-004-1, MOD-008-1, MOD-028-2, MOD-029-1a and MOD-030-2 (Existing MOD A Standards) based on the obligation for transmission service providers to determine available transfer capability (ATC) and available flowgate capability (AFC), as those terms were introduced in Order Nos. 888 and 889. In seeking to prohibit transmission providers from potentially using their monopoly power over transmission to unduly discriminate against others, the Commission directed transmission providers to calculate ATC, describe their methodology for such calculations in their open access transmission tariffs (OATT), and post those calculations on their Open Access Same-Time Information Systems (OASIS). The Commission proposes to approve Reliability Standard MOD-001-2 along with its associated violation severity levels. The Commission also proposes the retirement of the Existing MOD A Standards effective on the first day of the first calendar quarter that is 18 months after the date that the proposed standard is approved by the Commission. Proposed Reliability Standard MOD-001-2 will ensure that ATC calculations are determined in a manner that supports the reliable operation of the Bulk-Power System and that the methodology and data underlying those determinations are disclosed to those registered entities that need such information for reliability purposes.
Collection(s)	FERC-725A (OMB Control No. 1902-0244)
Estimated Reduction:	4,629 total burden hours $275,980 total cost burden
Date of Completion:	Notice of Proposed Rulemaking published June 19, 2015. Final Rule date to be determined.
Challenges:	None

Agency: Federal Energy Regulatory Commission	**Status: Complete**
Office(s):	Office of Electric Reliability
Initiative	Elimination of requirements contained within Reliability Standards covered under FERC-725A, FERC-725B, and FERC-725D. UPDATE from New to Complete
Reduction Area(s): *(Check all that apply)*	☐ "Short Form" options ☐ Frequency of information collection ☐ Record retention requirements ☐ Re-use of already collected data ☐ Electronic "fillable fileable" forms ☒ Other

Description:	A Final Rule in Docket RM13-8-000 was issued on 11/21/2013, which eliminated requirements contained within Reliability Standards covered under FERC-725A, -725B, and -725D. NERC initially requested that FERC approve the retirement of 34 requirements within 19 reliability standards (listed below). It was stated that the 34 requirements were redundant and unnecessary. NERC also stated that retiring the 34 requirements will allow for an increase in efficiency by allowing stakeholders to focus resources on more appropriate areas. The retirement of the 34 requirements will have a burden reduction on entities both large and small because it is eliminating unnecessary and/or redundant Reliability Standard Requirements. The following 34 requirements within 19 Reliability Standards were retired: • BAL-005-0.2b, Requirement R2 – Automatic Generation Control • CIP-003-3, -4, Requirement R1.2 – Cyber Security – Security Management Controls • CIP-003-3, -4, Requirements R3, R3.1, R3.2, and R3.3 – Cyber Security – Security Management Controls • CIP-003-3, -4, Requirement R4.2 – Cyber Security – Security Management Controls • CIP-005-3a, -4a, Requirement R2.6 – Cyber Security – Electronic Security Perimeter(s) • CIP-007-3, -4, Requirement R7.3 – Cyber Security – Systems Security Management • EOP-005-2, Requirement R3.1 – System Restoration from Blackstart Services • FAC-002-1, Requirement R2 – Coordination of Plans for New Facilities • FAC-008-3, Requirements R4 and R5 – Facility Ratings • FAC-010-2.1, Requirement R5 – System Operating Limits Methodology for the Planning Horizon • FAC-011-2.1, Requirement R5 – System Operating Limits Methodology for the Operations Horizon • FAC-013-2, Requirement R3 – Assessment of Transfer Capability for the Near-term Transmission Planning Horizon • INT-007-1, Requirement R1.2 – Interchange Confirmation • IRO-016-1, Requirement R2 – Coordination of Real-Time Activities between Reliability Coordinators • NUC-001-2, Requirements R9.1, R9.1.1, R9.1.2, R9.1.3, and R1.9.4 – Nuclear Plant Interface Coordination • PRC-010-0, Requirement R2 – Assessment of the Design and Effectiveness of Undervoltage Load Shedding Programs • PRC-022-1, Requirement R2 – Under-Voltage Load Shedding Program Performance
Collection(s)	FERC-725A, FERC-725B, FERC-725D
Estimated Reduction:	**8,637 total burden hours** **$518,220 total cost burden**

	FERC-725A, reduction of 4,667 burden hours and $280,020 cost burden reduction. FERC-725B, reduction of 1,950 burden hours and $117,000 cost burden reduction. FERC-725D, reduction of 2,020 burden hours and $121,200 cost burden reduction.
Date of Completion:	Completed in September, 2013
Challenges:	None

Agency: Federal Energy Regulatory Commission	**Status: Complete**	
Office(s):	Office of Energy Market Regulation	
Initiative	Annual Charge Filing Procedures for Natural Gas Pipelines.	
Reduction Area(s): ***(Check all that apply)***	☐ "Short Form" options ☐ Record retention requirements ☐ Electronic "fillable fileable" forms	☒ Frequency of information collection ☐ Re-use of already collected data ☐ Other
Description:	In RM12-14-000, a Final Rule effective May 2013, the Commission 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.	
Collection(s)	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 May, 2015	
Challenges:	None	

Agency: Federal Energy Regulatory Commission	**Status: Complete**	
Office(s):	Office of Energy Market Regulation	
Initiative	RM12-15-000, Filing, Indexing and Service Requirements for Oil Pipelines – Update from New to Complete	
Reduction Area(s): ***(Check all that apply)***	☐ "Short Form" options ☐ Record retention requirements ☐ Electronic "fillable fileable" forms	☒ Frequency of information collection ☐ Re-use of already collected data ☒ Other

Description:	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. In addition, 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. Final Rule issued and NOA received from OMB on 8/6/2013
Collection(s)	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, 2015
Challenges:	None

3.3.4. Federal Trade Commission

Agency: Federal Trade Commission	**Status: In-Progress**	
Office(s):	Premerger Notification	
Initiative	Premerger Notification; Reporting and Waiting Period Requirements	
Reduction Area(s): ***(Check all that apply)***	☐ "Short Form" options ☐ Record retention requirements ☐ Electronic "fillable fileable" forms	☐ Frequency of information collection ☐ Re-use of already collected data ☒ Other
Description:	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.	
Collection(s)	*Streamlining Form (3084-0005): 2,856 hour burden reduction, $1,313,760 cost burden reduction; e-Filing the Form (3084-0005): 2,856 hour burden reduction, $1,313,760 cost burden reduction.*	
Estimated Reduction:	5,712 total burden hours $2,627,520 total cost burden	
Date of Completion:	Not completed as expected in September, 2015	

Challenges:	Technical aspects to implementation and related cost considerations will influence the outcome regarding previously contemplated electronic filing options. Budgetary restrictions are delaying the continuation of the project.

3.3.5. National Science Foundation

3.3.6. Agency: National Science Foundation	**Status: New**	
Office(s):	National Center for Science and Engineering Statistics	
Initiative	Eliminating questions from surveys	
Reduction Area(s): ***(Check all that apply)***	☐ “Short Form” options ☐ Record retention requirements ☐ Electronic “fillable fileable” forms	☐ Frequency of information collection ☐ Re-use of already collected data ☒ Other
Description:	Beginning with the FY 2015 data collection for 3145-0100, the question regarding federal R&D expenditures funded by the American Recovery and Reinvestment Act (ARRA) was eliminated. Beginning with the FY 2015 data collection, the computing and networking (cyberinfrastructure) portion of 3145-0101 was discontinued because the data was no longer useful.	
Collection(s)	“Higher Education Research and Development Survey” (3145-0100) – 54 hours burden reduction “Survey of Science and Engineering Research Facilities” (3145-0101) – 8,098 burden hour reduction	
Estimated Reduction:	8,152 total burden hours total cost burden	
Date of Completion:	November, 2015	
Challenges:	N/A	

Agency: National Science Foundation	**Status: Complete**	
Office(s):	National Center for Science and Engineering Statistics	
Initiative	Pre-Populating Fields for Annual/Biennial Surveys	
Reduction Area(s): ***(Check all that apply)***	☐ “Short Form” options ☐ Record retention requirements ☒ Electronic “fillable fileable” forms	☐ Frequency of information collection ☐ Re-use of already collected data ☐ Other
Description:	These five longitudinal surveys showed an effort to pre-populate certain fields so respondents could save time and work on those parts of the surveys that had changed for them.	
Collection(s)	"Survey of Graduate Students and Postdoctorates in Science and Engineering" (3145-0062) – 572 hours burden reduction	

	"National Survey of College Graduates" (3145-0141) – 83 hours burden reduction "Survey of Doctorate Recipients" (3145-0020) – 685 hours burden reduction "Higher Education Research and Development Survey" (3145-0100) – 40 hours burden reduction "Survey of Science and Engineering Research Facilities" (3145-0101) – 31 hours burden reduction
Estimated Reduction:	1411 total burden hours total cost burden
Date of Completion:	Completed in May, 2015
Challenges:	

Agency: National Science Foundation	**Status: Complete**
Office(s):	National Center for Science and Engineering Statistics
Initiative	Survey Enhancement via Design
Reduction Area(s): ***(Check all that apply)***	☐ "Short Form" options ☐ Frequency of information collection ☐ Record retention requirements ☐ Re-use of already collected data ☐ Electronic "fillable fileable" forms ☒ Other
Description:	NCSES conducted an evaluation of the designs for two of the three surveys that comprise the Scientists and Engineers Statistical Data System (SESTAT). This was done in response to recent improvements in the design of the National Survey of College Graduates that offset further need for the National Survey of Recent College Graduates
Collection(s)	"National Survey of Recent College Graduates" (3145-0077) – 6813 hours burden reduction "National Survey of College Graduates" (3145-0141) – 9750 hours burden reduction
Estimated Reduction:	16563 total burden hours total cost burden
Date of Completion:	Completed in May, 2015
Challenges:	

Agency: National Science Foundation	**Status: In-Progress**
Office(s):	Division of Human Resource Management Office of Diversity and Inclusion
Initiative	Use of Government Forms - Human Resource Management

Reduction Area(s): *(Check all that apply)*	☐ "Short Form" options ☐ Record retention requirements ☐ Electronic "fillable fileable" forms	☐ Frequency of information collection ☒ Re-use of already collected data ☐ Other
Description:	The data from the Applicant Survey is collected by NSF's Division of Human Resource Management (HRM) and maintained by the NSF Office of Diversity and Inclusion (ODI). The applicant survey form (NSF-1232) is completed as a one-time registration. The applicant data is automatically processed by HRM's internal employee system. It is then retrieved by authorized officials of ODI and HRM for analysis and reports to ensure compliance with Equal Employment Opportunity Commission regulations and Federal laws. During the 2010 ICR 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 (this will be done under the Common Forms approval process).	
Collection(s)	"Applicant Survey" (3145-0096) – 67 hours burden reduction	
Estimated Reduction:	67 total burden hours total cost burden	
Date of Completion:	Expected in January, 2017	
Challenges:		

Agency: National Science Foundation		**Status: Complete**
Office(s):	National Center for Science and Engineering Statistics	
Initiative	Use of Short Form	
Reduction Area(s): *(Check all that apply)*	☒ "Short Form" options ☐ Record retention requirements ☐ Electronic "fillable fileable" forms	☐ Frequency of information collection ☐ Re-use of already collected data ☐ Other
Description:	Beginning with the FY2012 HERD data collection, NCSES began using a short form instead of the standard form to collect data from academic institutions reporting between $150,000 and $999,999 in R&D expenditures. The short form is administered to approximately 250 institutions annually. The standard form is administered to approximately 650 institutions annually.	
Collection(s)	"Higher Education Research and Development Survey" (3145-0100) – 11500 hours burden reduction	
Estimated Reduction:	11500 total burden hours total cost burden	
Date of Completion:	Completed in November, 2012	
Challenges:		

3.3.7. Nuclear Regulatory Commission

Agency: Nuclear Regulatory Commission	**Status: Unsuccessful**
Office(s):	Office of Nuclear Reactor Regulation
Initiative	Web based on-line submittal of Licensee Event Reports with automatic submittal into ADAMS and NRC publicly available database.
Reduction Area(s): ***(Check all that apply)***	☐ "Short Form" options ☐ Frequency of information collection ☐ Record retention requirements ☒ Re-use of already collected data ☒ Electronic "fillable fileable" forms ☒ 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)	Licensee Event Reporting Requirements 10 CFR 50.73 (3150-0104)
Estimated Reduction: Estimated Cost Burden Total Cost $2,400,000 Note: NRC/RES contracts: code 300 LERs per year for various contracts.	Licensee Burden: 300 LERs per year x (1 week to process) = 12,000 total burden hours 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
Date of Completion:	Not completed as expected
Challenges:	This initiative as included in employee suggestion 2014-28 was reviewed by the Office of Nuclear Security and Incident Response and as a result this initiative was rejected on 1/26/14 and will not be implemented.

Agency: Nuclear Regulatory Commission	**Status: New**
Office(s):	Office of Nuclear Security and Incident Response
Initiative	Granting of enforcement discretion for non-submittal of changes to nuclear power plant emergency plans and implementing procedures.
Reduction Area(s): ***(Check all that apply)***	☐ "Short Form" options ☐ Frequency of information collection ☐ Record retention requirements ☐ Re-use of already collected data ☐ Electronic "fillable fileable" forms ☒ Other
Description:	Through the issuance of an enforcement guidance memorandum, the NRC will grant enforcement discretion to nuclear power plant licensees for non-submittal of changes to emergency plans and implementing procedures per Appendix E.V to 10 CFR Part 50. This enforcement discretion will remain in place until rulemaking (eliminating the language in Section V requiring any change to be submitted) is complete, which will provide final resolution of this issue.
Collection(s)	10 CFR Part 50, Domestic Licensing of Production and Utilization Facilities (3150-0011)

Estimated Reduction:	3,500 total burden hours $938,000 total cost burden
Date of Completion:	Expected in December, 2015
Challenges:	None

Agency: Nuclear Regulatory Commission	**Status: New**
Office(s):	Office of Nuclear Reactor Regulation
Initiative	Incorporation by Reference of Edition and Addenda to American Society of Mechanical Engineers (ASME) Codes and New and Revised ASME Code Cases into 10 CFR 50.55a
Reduction Area(s): ***(Check all that apply)***	☐ "Short Form" options ☒ Frequency of information collection ☐ Record retention requirements ☐ Re-use of already collected data ☐ Electronic "fillable fileable" forms ☐ Other
Description:	The NRC believes that this regulatory action would improve the effectiveness of future licensing actions. This final action would allow licensees to apply the Code Cases listed in the RGs as alternatives to requirements in the ASME BPV Code and ASME OM Code for the design, construction, in-service inspection (ISI), and in-service testing (IST) of nuclear power plant components without a request for the use of alternatives or an exemption. This would help ensure that NRC actions are effective, efficient, realistic, and timely by eliminating the need for the NRC review of plant specific requests for alternatives in accordance with 10 CFR 50.55a (z).
Collection(s)	3150-0011
Estimated Reduction:	14,440 total burden hours $3,869,920 total cost burden
Date of Completion:	Expected in October, 2016
Challenges:	None

Agency: Nuclear Regulatory Commission	**Status: Complete**
Office(s):	Office of Investigations
Initiative	OI Monthly Report Submission
Reduction Area(s): ***(Check all that apply)***	☐ "Short Form" options ☒ Frequency of information collection ☐ Record retention requirements ☐ Re-use of already collected data ☐ Electronic "fillable fileable" forms ☐ Other
Description:	Reduce the frequency of the Investigations Report from monthly to quarterly.
Collection(s)	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:	Completed in January, 2014
Challenges:	None

Agency: Nuclear Regulatory Commission	**Status: Suspended**	
Office(s):	Office of Investigations	
Initiative	Electronic submission of Transcripts	
Reduction Area(s): ***(Check all that apply)***	☐ "Short Form" options ☐ Record retention requirements ☐ Electronic "fillable fileable" forms	☐ Frequency of information collection ☐ Re-use of already collected data ☒ Other
Description:	Investigation interview transcripts will be submitted electronically through a secure SharePoint site.	
Collection(s)	FedEx shipping costs	
Estimated Reduction:	150 total burden hours $3,000 total cost burden	
Date of Completion:	Not completed as expected in March, 2016	
Challenges:	Initiative suspended due to security concerns of site. In process of confirming security of site to protect privacy information that would be included.	

3.3.8. Securities and Exchange Commission

Agency: Securities and Exchange Commission	**Status: In-Progress**	
Office(s):	Enterprise-wide	
Initiative	Consolidated Enterprise Data Warehouse (EDW)	
Reduction Area(s): ***(Check all that apply)***	☐ "Short Form" options ☐ Record retention requirements ☐ Electronic "fillable fileable" forms	☐ Frequency of information collection ☒ Re-use of already collected data ☒ Other
Description:	The SEC has embarked on a program to reduce technology-related complexities. This multi-year effort began in FY 2012. A consolidated enterprise data warehouse is being implemented that will allow external users to access the "right data at the right time" and perform data analysis. The SEC has many systems containing disparate sets of data that exist in "silos". This requires external users to traverse multiple sources to access desired data. The EDW will facilitate enhanced collaboration across offices, agencies and the public. Benefits:	

	Facilitate access to information for investors to make informed investment decisions Generate more efficient regulatory filing review process and the value-added decision support for the SEC mission. Reduce the data duplication across the enterprise by eliminating identical data. Completed in FY 2014: Created and implemented the best practices and standards for an EDW foundation Scheduled for FY 2015-2016: Provision data from SEC EDGAR data to the EDW; Continue to integrate data, mature ETL processing and manage data at the enterprise level Provision unstructured documents (EDGAR filings) to the EDW platform and enhance the analytic capacities of handling unstructured data (xml and pdf files to enhance the public's ability to view and utilize the data
Collection(s)	Approximately 47% of the 313 information collections are filed using EDGAR. Over 36 million hours are currently devoted to EDGAR related forms
Estimated Reduction:	50,000 total burden hours total cost burden
Date of Completion:	Expected in May, 2017
Challenges:	Rule changes, technology integration

Agency: Securities and Exchange Commission	**Status: In-Progress**
Office(s):	Division of Trading and Markets
Initiative	Self-Regulatory Organization (SRO) Electronic Form Initiative
Reduction Area(s): ***(Check all that apply)***	☒ "Short Form" options ☐ Frequency of information collection ☒ Record retention requirements ☐ Re-use of already collected data ☒ Electronic "fillable fileable" forms ☒ Other
Description:	The Commission continues to improve its systems for information gathering, storage, and retrieval through increased use of computer technology. Some of these improvements, such as increased use of email in correspondence between the Commission and the SRO and other regulated entities, have improved the efficiency of the Commission's oversight role. However, the process of compiling, preparing, and filing of the data required in response to regulatory requirements for information collection reflects the complexity of the regulated entities businesses. Currently, the Electronic Form 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 EFFS and SRTS, which makes the form filing processes efficient by utilizing the existing information technology, for the filing of additional regulatory filings of SROs, SCI entities, and ATSs, thereby conserving both regulated entities and Commission resources. The Electronic Filing System ("EFFS") utilizes the existing information technology for the filing of proposed rule changes, thereby conserving both clearing agency and Commission resources. Completed FY 2014 Form 19b-4 Scheduled to be available November 2015 Form SCI Scheduled for FY 2016-2018 • Form ATS/Form ATS-R • Form 1 • Form 1-N • Form CA-1 • Form 19b-4(e) • Form X-15AJ-2 (Currently under PRA threshold) • Form X-17A-19
Collection(s)	Form 19b-4 (3435-0045 140,431 hours), Form SCI (3235-0703 185,975 hours) Form ATS/ATS-R (3235-0509 2873 hours), Form 1 (3235-0017 2,041 hours) Form 1-N (3235-0554 182 hours) Form CA-1 (3235-0195 130 hours) Form 19b-4(e) (3235-0504 3,879 hours), Form X-17A-19 (3235-0133 200 hours)
Estimated Reduction:	75,000 total burden hours total cost burden
Date of Completion:	Expected in September, 2018
Challenges:	Information technology integration, Rule changes

Agency: Securities and Exchange Commission	**Status: In-Progress**
Office(s):	All SEC Division/Offices
Initiative	SEC.gov Modernization
Reduction Area(s): ***(Check all that apply)***	☐ "Short Form" options ☐ Frequency of information collection ☐ Record retention requirements ☒ Re-use of already collected data ☐ Electronic "fillable fileable" forms ☒ Other
Description:	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. Benefits:

	Improved efficiency and accommodate emerging investor needs. It will also provide complex, predictive analytical capabilities to search data using interactive data visualization tools. Provide a simple interchange between filers and the SEC to reduce filer burdens by continuing to improve current technology, methodology, and dissemination through modernization. Completed in FY 2013: Enhanced accessibility for the public to provide tips and complaints. (3235-0672- Electronic Data Collection System-TCR Database) Completed in FY 2014/2015: Overall site was redesigned; the re-architecting of the SEC.gov databases improved the performance. A central staging area for all structured and unstructured data that is collected by the SEC was implemented. The system currently stores the last 15 years of filings, which total more than 21 million records.
Collection(s)	Approximately 47% of the 313 information collections are filed using EDGAR and searched by the public using SEC.gov
Estimated Reduction:	5,000,000 total burden hours total cost burden
Date of Completion:	Expected in May, 2016
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	EDGAR Modernization	
Reduction Area(s): ***(Check all that apply)***	☒ "Short Form" options ☒ Record retention requirements ☒ Electronic "fillable fileable" forms	☐ Frequency of information collection ☒ Re-use of already collected data ☐ Other
Description:	The SEC has embarked on a multi-year program to reduce technology-related complexities. Standardization will improve the SEC's ability to carry out its core mission and lead to greater customer satisfaction. The EDGAR Filer System allows companies and individuals to file periodic reports and provide regulatory information to the SEC. Benefits: 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 filers knowledge 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 Single source of timely & accurate data managed as an enterprise asset Scheduled for FY 2015-FY 2017 The contract was awarded 9/2014. The first phase of modernization, is documenting the As-Is and To-Be processes that are envisioned for the future EDGAR system that will simplify the rules process. The output of this task will be the input of the next phase of modernization, which is outlining the functional requirements of the new system.
Collection(s)	Approximately 47% of the 313 information collections are filed using EDGAR and searched by the public using SEC.gov
Estimated Reduction:	5,000,000 – 10,000,000 total burden hours total cost burden
Date of Completion:	Expected in May, 2017
Challenges:	Rule changes, technology integration

Agency: Securities and Exchange Commission	**Status: New**	
Office(s):	Division of Trading and Markets	
Initiative	Form 17H Electronic Submission	
Reduction Area(s): ***(Check all that apply)***	☒ "Short Form" options ☐ Record retention requirements ☒ Electronic "fillable fileable" forms	☐ Frequency of information collection ☐ Re-use of already collected data ☐ Other
Description:	This project is to implement a replacement solution for the current legacy BDRA application being used by the Risk Management Program in the Division of Trading and Markets. The replacement solution provide TM Risk Management Program staff with the capability to track, collect, review, and analyze the financial data related to the form 17H that will be filed by the Broker Dealers electronically through the EDGAR system.	
Collection(s)	Form 17-H (3235-0410 7,300 hours)	
Estimated Reduction: We are unable to determine specific burden reduction at this time. total cost burden		
Date of Completion:	Expected in May, 2016	
Challenges:	Technology integration	

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,[23] 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.

[23] 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 2013. 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 2013 and were reinstated after the expiration date during FY 2013; (2) collections that expired in previous fiscal years and were reinstated during FY 2013; and (3) collections that expired during FY 2013 and were not renewed or discontinued before the expiration date in FY 2013. OMB reports the list of FY 2013 Violations below.

B.1. List of Violations

Table 3: Collections in use without an OMB control number

Agency	OMB Control #	Title
Commodity Futures Trading Commission		
	3038-0075	Protection of Collateral of Counterparties to Uncleared Swaps; Treatment of Securities in a Portfolio Margining Account in a Commodity Broker Bankruptcy
	3038-0103	Ownership and Control Reports, Forms 102/102S, 40/40S, and 71 (Trader and Account Identification Reports)
Department of Agriculture		
	0579-0409	National Veterinary Services Laboratories; Bovine Spongiform
Department of Defense		
	0702-0125	Automated Installation Entry (AIE) System

Agency	OMB Control #	Title
	0702-0127	Automated Biometric Identification System (ABIS)
	0703-0061	Navy Enabler Framework
	0704-0489	Defense Industrial Base Cyber Security/Information Assurance (DIB CS/IA) Cyber Incident Reporting
	0704-0490	Defense Industrial Base Voluntary Cyber Security/Information Assurance (DIB CS/IA) Points of Contact (POC) Information
	0704-0510	Physical Access Control System - G-BADGE
	0704-0511	Physical Access Control System - Diamond II
	0704-0512	Physical Access Control System - Honeywell
	0704-0513	Physical Access Control System - Lenel
	0704-0514	Police Center Records (POLC)
	0704-0515	DoD Child Development Program (CDP) - Background Investigations and Program Request
	0704-0528	Military OneSource Case Management System (CMS) - Intake
	0720-0006	TriCare DoD/CHAMPUS Medical Claim Patient's Request for Medical Payment
Department of Energy		
	No OMB Control #	Clean Cities 5-Year Strategic Plan Survey
Department of Health and Human Services		
	0925-0695	Early Career Reviewer Program Online Application System
	0925-0697	NIMH Recruitment Milestone Reporting System
	0925-0698	Application Process for Clinical Research Training and Medical Education at the Clinical Center and its impact on Course and Training Program Enrollment and Effectiveness
	0925-0703	Specimen Resource Location (SRL) NCI
Department of Homeland Security		
	1625-0121	United States Coast Guard Academy Introduction Mission Program Application and Supplemental Forms
	1652-0063	Law Enforcement Officer (LEO) Reimbursement Request
Department of Housing and Urban Development		
	2506-0199	Recordkeeping for HUD's Continuum of Care Program
Department of the Interior		
	1028-0109	iCoast-Did the Coast Change?
Department of Labor		
	1210-0153	Alternative Reporting Methods for Apprenticeship and Training Plans and Top Hat Plans

Agency	OMB Control #	Title
	No OMB Control #	PTE 1984-24 (Insurance and Annuity Contracts and Mutual Fund Principal Underwriters)
Department of State		
	No OMB Control #	Application form for 2014 Study of the United States Institutes for Student Leaders on Women's Leadership
	No OMB Control #	Application form for Benjamin Franklin Transatlantic Fellows Summer Institutes
Department of Transportation		
	2126-0056	Lease and Interchange of Vehicles
Department of the Treasury		
	1545-2114	TD 9422 Final - S Corporation Guidance under AJCA of 2004 (REG-143326-05)
	1545-2254	Liability of Third Parties Paying or Providing for Wages
Department of Veterans Affairs		
	2900 - NEW	Veterans Transportation Data Collection
	2900 - NEW	Patient Aligned Care Team (PACT): Evaluating Peer Notifications to Improve Statin Medication Adherence Among Patients with Coronary Artery Disease
	2900 - NEW	PACT: Telehealth in the Parkinson's disease Research, Education & Clinical Center, Healthcare Experiences of Patients with Congestive Heart Failure
	2900 -NEW	PACT: Helping Veterans Manage Chronic Pain, Engaging Caregivers Veterans with Dementia, Patient Centered Medical Home Operation Enduring Freedom/Operation Iraqi Freedom Veterans with Post Traumatic Stress Disorder: Primary and Bridging Primary and Behaviorial Health Care
	2900 - NEW	PACT: VA Form 10-10130 From War to Home – Audience Feedback Questionnaire
	2900 - NEW	PACT: Using Peer Mentors to Support PACT Team Efforts to Improve Diabetes - Demo Lab VISN 4 Peer Mentor Diabetes
	2900-0798	Beneficiary Travel Mileage Reimbursement Application Form
	2900-0208	Architect-Engineer Fee Proposal, VA Forms, 10-1631, 10-6298, 10-60001a.
Environmental Protection Agency		
	2070-0188	Pesticide Environmental Stewardship Program Annual Measures Reporting
	2060-0482	Protection of Stratospheric Ozone: Request for Applications from Critical Use Exemption for the Phaseout of Methyl Bromide (Renewal)
	2060-0637	Renewable Fuels Standard Program (RFS2-Supplemental)
	2060-0640	Renewable Fuels Standard (RFS2)

Agency	OMB Control #	Title
Federal Energy Regulatory Commission		
	1902-0267	Cash Management Agreements
National Aeronautics and Space Administration		
	2700-0156	Astronaut Candidate Selection Qualifications Inquiry
	2700-0157	Human Exploration Rover Challenge (former NASA Great Moonbuggy)
	2700-0158	Personal Identity Validation for Routine and Intermittent Access to NASA Facilities, Sites, and Information Systems
	No OMB Control #	NASA Complaints of Discrimination
National Credit Union Administration		
	3133-0176	12 C.F.R. 701.3, Member Inspection of Credit Union Books, Records, and Minutes
Nuclear Regulatory Commission		
	3150-0218	NRC Forms 850A "Request for NRC Contractor Building Access," 850B "Request for NRC Contractor Information Technology Access Authorization," and 850C "Request for NRC Contractor Security Clearance"
	3150-0219	Suspicious Activity Reporting Using the Protected Web Server
	3150-0146	10 CFR 26, Fitness for Duty Programs
	3150-0226	Request for Information Related to the Filtering Strategies and Severe Accident Management of Boiling Water Reactors (BWR) with Mark I and Mark II Containments Rulemaking
Office of Personnel Management		
	3206-0262	Report of Withholdings and Contributions for Health Benefits, Life Insurance and Retirement
Surface Transportation Board		
	2140-0032	End of Year Railroad Service Outlook

Table 4: Collections that expired and were reinstated in FY 2014 (lapses in renewal or discontinuation)

Agency	OMB Control #	Title
Consumer Product Safety Commission		
	3041-0024	Standard for the Flammability of Clothing Textiles, 16 CFR Part 1610; Standard for the Flammability of Vinyl Plastic Film, 16 CFR Part 1611
	3041-0147	Safety Standards for Full-Size Baby Cribs and Non-Full-Size Baby Cribs
Corporation for National and Community Service		
	3045-0102	Financial Management Survey Form
	3045-0136	Education Award Transfer Forms
	3045-0137	Generic Clearance for the Collection of Qualitative Feedback on Agency Service Delivery
Department of Commerce		
	0651-0009	Applications for Trademark Registration
	0651-0077	National Summer Teacher Institute
Department of Health and Human Services		
	0935-0122	AHRQ Grants Reporting System
	0935-0147	AHRQ Healthcare Innovations Exchange Innovator Interview and AHRQ Healthcare Innovations Exchange Innovator Email Submission Guidelines
	0938-0378	Psychiatric Hospital Survey Data and Supporting Regulations at 42 CFR 482.60 through 482.62 (CMS-724)
	0938-1026	Medicaid Payment for Prescription Drugs - Physicians and Hospital Outpatient Departments Collecting and Submitting Drug Identifying Information to State Medicaid Programs (CMS-10215)
	0955-0009	Regional Extension Center Cooperative Agreement Program (CRM Tool)
	0990-0317	HHS Supplemental Form to the SF-424 (HHS 5161-1)
Department of Homeland Security		
	1600-0002	Various contract related forms that will be included in the Homeland Security Acquisition Regulation
	1600-0004	Regulation on Agency Protests
	1610-0001	DHS Individual Complaint of Employment Discrimination
	1625-0005	Application and Permit to Handle Hazardous Material
	1640-0016	First Responder Communities of Practice
	1660-0005	National Flood Insurance Program Claims Forms

Agency	OMB Control #	Title
	1660-0025	FEMA Emergency Preparedness and Response Directorate Grants Administration Forms
	1660-0046	Emergency Management Institute (EMI) Independent Study Course Enrollment Application.
	1660-0072	Mitigation Grant Programs /e-Grants
	1660-0102	Federal Emergency Management Agency Housing Inspection Services Customer Satisfaction Survey.
	1660-0118	Homeland Security Exercise and Evaluation Program (HSEEP) After Action Report (AAR) Improvement Plan
	1625-0106	Unauthorized entry into Cuban territorial waters
	1653-0042	Obligor Change of Address
Department of Housing and Urban Development		
	2501-0014	Restrictions on Assistance to Noncitizens
	2502-0313	Technical Suitability of Products Program
	2502-0422	Mortgage Record Change
	2502-0569	HUD-Owned Real Estate - Dollar Home Sales Program
	2506-0151	Floodplain Management
	2506-0184	Community development Block Grant Recovery (CDBG-R) Program
	2528-0235	Historically Black Colleges and Universities (HBCU) Program Grant Application and Monitoring Reports
	2529-0046	Housing for Older Persons Act of 1995 (HOPA) Exemption from Familial Status Prohibitions
	2577-0161	Public Housing, Contracting with Resident-Owned Businesses
	2506-0179	Congressional Earmark Grants
	2528-0206	Alaska Native/Native Hawaiian Institutions Assisting Communities (AN/NHAIC)
	2528-0213	Doctoral Dissertation Research Grant Program Application and Monitoring Reports
	2577-0062	Energy Conservation for PHA-owned or Leased Projects - Audits, Utility Allowances
	2577-0166	Grant Drawdown Payment Request/LOCCS/VRS Voice Activated
	2577-0169	Housing Choice Voucher Program
Department of Justice		
	1121-0114	Victims of Crime Act, Victim Compensation Grant Program, State Performance Report
	1140-0011	Application to Make and Register a Firearm
	1140-0056	Special Agent Medical Preplacement
Department of the Treasury		

Agency	OMB Control #	Title
	1525-0014	Generic Clearance for the Collection of Qualitative Feedback on Agency Service Delivery
Environmental Protection Agency		
	2070-0175	Consumer Research through Focus Groups to Develop Improved Labeling for Pesticide Products (formerly identified as EPA ICR 2297.01)
	2060-0688	RFS2 Voluntary RIN Quality Assurance Program (Final Rule)
Equal Employment Opportunity Commission		
	3046-0006	Local Union Report (EEO-3)
	3046-0007	Employer Information Report (EEO-1)
	3046-0008	State and Local Government Information (EEO-4)
Federal Communications Commission		
	3060-0370	Part 32 - Uniform System of Accounts for Telecommunications Companies
	3060-0741	Implementation of the Local Competition Provisions of the Telecommunications Act of 1996, CC Docket No. 96-98, Second Report and Order and Memorandum Opinion and Order; Second....
	3060-0917	CORES Registration Form, FCC Form 160
	3060-0918	CORES Update/Change Form, FCC Form 161
Federal Deposit Insurance Corporation		
	3064-0148	Complex Structured Finance Transactions
Federal Housing Finance Agency		
	2590-0004	Monthly Survey of Rates and Terms on Conventional 1-Family NonFarm Mortgage Loans (MIRS)
National Aeronautics and Space Administration		
	2700-0003	Contractor Financial Management Reports (formerly titled NASA acquisition process, reports required for contracts with an estimated value more than $500,000)
National Archives and Records Administration		
	3095-0027	Order Forms for Genealogical Research in the National Archives
	3095-0036	Presidential Library Facilities

Agency	OMB Control #	Title
National Endowment for the Arts		
	3135-0094	Application for Indemnification

Table 5: Collections that expire and were not reinstated in FY 2014 (lapses in renewal or discontinuation)

Agency	OMB Control #	Title
Department of Commerce		
	0648-0500	An Observer Program for At-Sea Processing Vessels in the Pacific Coast Groundfish Fishery
Department of Defense		
	0710-0009	Description of Vessel, Description of Operation
	0710-0014	Estuary Habitat Restoration Program Project Application
	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 (USMA)
	0702-0061	Candidate Procedures (USMA)
	0702-0062	Offered Candidate Procedures (USMA)
	0702-0122	Industry Partnership Survey
	0702-0110	Application and Agreement for Establishment of a National Defense Cadet Corps Unit
	0702-0116	West Point Engineering Surveys
	0702-0121	Freight Carrier Registration Program
	0702-0124	Transportation Discrepancy Report (TDR)
	0704-0261	Department of Defense Standard Tender of Freight Services
	0704-0030	Disposition of Remains; Reimbursable Basis Request for Payment of Funeral and/or Interment Expenses.
	0710-0006	Vessel Operations Report
	0710-0013	Shipper’s Export Declaration (SED) Program
	0703-0012	Personal Information Questionnaire
	0703-0016	Individual MCJROTC Instructor Evaluation Summary
	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
	0703-0036	United States Academy Candidate Application Forms
	0703-0054	United States Naval Academy Sponsor Application

Agency	OMB Control #	Title
	0703-0055	Naval Sea Systems Command and Field Activity Visitor Access Request
	0703-0057	Camp Lejeune Drinking Water Notification Registry
	0701-0026	Nomination for Appointment to the United States Military Academy, Naval Academy, and Air Force Academy
	0701-0050	Civil Aircraft Landing Permit System
	0701-0105	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 Inter-site Cable System Right-of-Way Landowner/ Tenant Questionnaire
	0701-0154	DoD National Defense Science and Engineering Graduate Fellowships Program
	0701-0155	Summer Faculty Fellowship Program (SFFP)
	0704-0396	DoD Medical Examination Review Board
	0704-0395	Pentagon Parking
	0704-0055	Application for Priority Rating for Production or Construction Equipment
	0704-0264	Registration for Scientific and Technical Information Services
	0704-0347	Request for Approval for Qualifications Training and Approval of Contractor Flight Crewmember
	0704-0392	Technical Assistance for Public Participation (TAPP) Application
	0704-0442	Defense Threat Reduction Agency (DTRA) Industry Partner Questionnaire
	0704-0466	Science, Mathematics, and Research for Transformation (SMART) Scholarship Program
	0730-0001	Child Annuitant's School Certification
	0730-0005	Personal Check Cashing Agreement
	0730-0009	Waiver/Remission of Indebtedness Application
	0730-0010	Custodian Certification to Support Claim on Behalf of Minor Children of Deceased Service Members
	0730-0012	Trustee Report
	0730-0013	Application for Trusteeship
	0730-0015	Request for Information Regarding Deceased Debtor
	0730-0017	Claim Certification and Voucher for Death Gratuity
	0704-0194	Request for Extension of Forms
	0704-0418	Personnel Security Clearance Change Notification
	0704-0427	Security Review & Facility Survey
	0704-0458	Industry Cost Collection Report Survey
	0704-0100	Application for Discharge of Member or Survivor of Group Certified to Have Performed Active Duty with the Armed Forces of the United States
	0704-0167	Request for Reference

Agency	OMB Control #	Title
	0704-0364	Continued Health Care Benefit Program (CHCBP) Application
	0704-0370	Defense Dependents Schools (DoDDS) Overseas Employment Opportunities for Education
	0704-0437	DoDEA Evaluation and Program Implementation Surveys – Generic
	0704-0448	Survivor Benefit Plan (SBP)/ Reserve Component (RC) SBP Request for Deemed Election
	0704-0449	National Language Service Corps Pilot
	0704-0462	DoDEA School Accreditation Parent Survey and Student Survey
	0720-0005	Professional Qualifications, Medical and Peer Reviewers
	0720-0020	Application for CHAMPUS Provider Status: Corporate Services Provider
	0720-0034	DoD Patient Safety Culture Survey
	0720-0035	TriCare Dental Program (TDP) Claim Form
	0702-0064	International Military Student Information
Department of Education		
	1810-0683	Migrant Student Information Exchange (MSIX)
Department of Energy		
	1905-0196	Annual Solar Thermal Collector Manufacturers Survey and Annual Photovoltaic Module/Cell Manufacturers Survey
Department of Health and Human Services		
	0938-0023	Attending Physicians Statement and Documentation of Medicare Emergency and Supporting Regulations in 42 CFR Section 424.103
Department of Homeland Security		
	1601-0006	BioWatch Filter Holder Log
Department of Justice		
	1121-0224	National Youth Gang Survey
	1121-0340	Equal Employment Opportunity Plan Certification and Short form
Department of Transportation		
	2105-0520	Uniform Administrative Requirements for Grants and Agreements to State and Local Governments and with Institution of Higher Education, Hospitals and Other Non-Profit Organizations
	2105-0551	Reporting Requirements for Disability-Related Complaints
	2105-0556	Individual Complaint of Employment Discrimination

Agency	OMB Control #	Title
	2105-0563	National Infrastructure Investment Grant Program
	2106-0023	Procedures & Evidence Rules for Air Carrier Authority Applications
	2106-0043	Use and Change of Names of Air Carriers, Foreign Air Carriers, and Commuter Air Carriers
	2106-0044	Supporting Statement, Air Carrier's Claims for Subsidy Payments, Airline Deregulation Act of 1978
	2125-0579	Drug Offenders' Drivers' License Suspension Certification
	2125-0616	Fixed Residential Moving Cost Schedule
	2125-0617	Dwight David Eisenhower Transportation Fellowship Program
	2126-0010	Motor Carrier Safety Assistance Program (MCSAP)
	2137-0598	Incorporation by Reference of Industry Standard on Leak Detection
	2126-0049	Generic Clearance for the Collection of Qualitative Feedback on Agency Service Delivery
Department of the Treasury		
	1545-1614	REG-106177-97 (NPRM) Qualified State Tuition Programs
	1545-2080	Revenue Procedure 2010-9
	1545-2187	Form 8955-SSA, Annual Registration Statement Identifying Separated Participants With Deferred Vested Benefits
	1559-0041	Generic Clearance for the Collection of Qualitative Feedback on Agency Service Delivery
	1513-0007	Brewer's Report of Operations and Brew pub Report of Operations
Environmental Protection Agency		
	2060-0287	Emissions Certification and Compliance Requirements for Nonroad Compression-ignition Engines and On-highway Heavy-Duty Engines
Federal Deposit Insurance Corporation		
	3064-0109	Notice of Branch Closure
	3064-0162	Large-Bank Deposit Insurance Programs
	3064-0165	Pillar 2 Guidance - Advanced Capital Framework
Grants.gov		
	4040-0002	SF-424 Mandatory (M)
	4040-0006	SF-424A Budget Information -- Non-Construction
	4040-0007	SF-424B Assurances -- Non-construction Programs
	4040-0008	SF-424C Budget Information -- Construction Programs
	4040-0009	SF-424D Assurances -- Construction Programs
	4040-0011	SF-271: Outlay Report and Request for Reimbursement for Construction Programs
	4040-0012	SF-270: Request for Advance or Reimbursement

Agency	OMB Control #	Title
	4040-0013	Disclosure of Lobbying Activities
	4040-0016	Real Property Status Report, Standard Form (SF-XXXX)
National Aeronautics and Space Administration		
	2700-0092	Cooperative Agreements with Commercial Firms
	2700-0135	Kennedy Education Experiences Program (KEEP)
	2700-0143	KEYS Creativity and Innovation Survey
	2700-0149	Women In STEM High School Aerospace Scholars (WISH) Pilot Project
Securities and Exchange Commission		
	3235-0669	Rule 12b-2 [17 CFR 270.12b-2] under the Investment Company Act of 1940: Investment Company Distribution Fees
Social Security Administration		
	0960-0646	Teacher Questionnaire; Request for Administrative Information

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 Agencies[24] and 6 Independent Agencies.[25] 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, OMB has added this appendix to show all agencies with paperwork burdens greater than one million hours. Table 6 lists the eight additional agencies with paperwork burdens greater than one million hours in FY 2013 for consistency with previous ICBs. Though including these agencies in the baseline total affects comparability across ICBs, OMB intends to improve reporting completeness by at least officially including the agencies with greater than one million burden hours in its baseline total for the 2017 ICB.[26] This Appendix serves as a notice of this future change.

In total, these eight agencies add about 96.44 million hours to the total amount of time the public spent responding to Federal information collections. 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 2014 total from about 9.43 billion to 9.53 billion hours.

Table 6: Paperwork Burden of Additional Agencies (in millions of hours)

Agency	FY 2013 Total Paperwork Burden	FY 2014 Total Paperwork Burden	% Change from FY '13
Commodity Futures Trading Commission	7.42	7.43	0.13%
Consumer Financial Protection Bureau	39.31	39.16	-0.38%
Consumer Product Safety Commission	7.47	7.42	-0.67%
Corporation for National and Community Service	1.02	0.85	-16.7%
Equal Employment Opportunity Commission	13.25	11.9	-10.2%
Federal Reserve System	13.48	15.97	18.5%
General Services Administration	6.17	2.18	-64.7%
Office of Personnel Management	6.43	11.53	79.3%

[24] 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.

[25] 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.

[26] While the 2014 ICB mentioned that this would be updated in the 2015 ICB, due to the publicly available data files not including these 8 additional agencies, OMB has determined that it could raise confusion to include them in this or the concurrently produced report.

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 Aaron Szabo, Arthur Laciak, 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:

OIRA Records Management Center
Office of Management and Budget
New Executive Office Building, Room 10102
Washington, DC 20503
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Please include the OMB numbers of the collections about which you inquire.