

INFORMATION COLLECTION BUDGET

**OF THE
UNITED STATES
GOVERNMENT**



2014

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 burden² imposed on the public by the Federal Government and on efforts to reduce that burden. For more than 30 years, since the enactment of the original Paperwork Reduction Act of 1980, OMB has complied with this reporting requirement by issuing an Information Collection Budget (ICB). The 2014 ICB reports on the paperwork burden imposed on the public during fiscal year (FY) 2013, and explores other issues pertaining to the implementation of the PRA.

For the fifth consecutive year, OMB is issuing an Electronic-ICB, instead of printing it in hard copy. The 2014 ICB is available on OMB's website at: http://www.whitehouse.gov/omb/inforeg_infocoll/.

Total Paperwork Burden

In FY 2013, the public spent an estimated 9.45 billion hours responding to Federal information collections. This total represents a net decrease of 14 million burden hours, or less than one percent, from the estimated 9.47 billion hours that the public spent responding to Federal information collections in FY 2012.

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) new statutory requirements; (3) discretionary agency actions; and (4) lapses in renewal or discontinuation,³ which involve expirations and reinstatements of collections.

Adjustments to agency burden estimates were the largest source of the net decrease in FY 2013, reducing estimated burden by about 100 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 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 its prior estimate could be

¹ See 44 U.S.C. chapter 35; see 5 CFR 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 have used the term “lapses in OMB approval” to describe this category of burden change. Renewals and discontinuations require OMB approval, so the term “lapses in renewal or discontinuation” has the same meaning.

improved based on their experience administering the collection, and revise the estimate accordingly.

In FY 2013, the largest such adjustment was an improved estimate from the Securities and Exchange Commission (SEC) for its “Rule 10b-10 Confirmation of Securities Transactions (17 C.F.R. 240.10b-10)” collection, accounting for a burden decrease of 140 million hours. The SEC had previously estimated that approximately 16.8 billion transaction confirmations were sent annually, and that it took about one minute to generate and send a confirmation. The SEC revised this estimate to reflect the most recent information collected from industry participants, and it found that it takes an average of 30 seconds to generate and send a confirmation.

New statutory requirements in FY 2013 comprised the second largest source of paperwork burden decrease, reducing estimated burden by 13 million hours from FY 2011. The largest contributor to the 13 million hour net decrease due to new statutory requirements was the Department of the Treasury’s Internal Revenue Service collection “U.S. Individual Income Tax Return.” Among other changes, the Making Work Pay Credit expired, and this credit was previously claimed by about 100 million filers.

Discretionary agency actions in FY 2013 contributed to a net burden increase of about 8 million hours, or less than one percent of total government-wide burden. OMB considers discretionary agency actions as the category most indicative of agencies’ management of the PRA.

Lapses in renewal, arising from expirations of approval periods for collections, in FY 2013 resulted in a net increase of 91 million burden hours. Under the PRA, agencies need their ongoing information collections reviewed and renewed by OMB at least every 3 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 attributable to the accounting system entry for the Department of Health and Human Services (HHS) collection entitled “Health Insurance Reform Security Standards – Final Rule.” This accounting system entry was re-instated in FY 2013, thereby resulting in a burden increase within the system. However, HHS never stopped using this information collection, so the increase is only for the purposes of accounting and does not reflect actual FY 2013 changes in burden on the general public.

Paperwork Burdens by Agency

Paperwork burdens vary greatly across agencies. The Department of the Treasury by itself accounted for about 7 billion hours of burden in FY 2013, or about 75 percent of the government-wide total. Most of the Treasury’s burden hours have resulted of the implementation of tax-related statutes. No other agency accounted for more than six percent of total burden hours. The next six

agencies with the most burden hours were: the Department of Health and Human Services (HHS), the Department of Transportation (DOT), the Securities and Exchange Commission (SEC), the Department of Homeland Security (DHS), the Environmental Protection Agency (EPA), and the Department of Labor (DOL).

As shown in Table 1 of Chapter 1, some agencies had significant increases in paperwork burden in FY 2013. HHS had the largest absolute increase in burden, an estimated 120 million hours (equal to 23 percent of the agency's total burden), most of which is attributable to the accounting system reinstatement of the Health Insurance Reform Security Standards collection explained above.

By contrast, other agencies had significant decreases in paperwork burden in FY 2013. The SEC had the largest absolute decrease in burden with 118 million fewer burden hours than in FY 2012, a 34 percent decrease largely attributable the adjustment to estimates for its Rule 10b-10 collection mentioned above. The next largest decrease in burden hours was from the Treasury, with a 55 million hour reduction.

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 282 violations of the Paperwork Reduction Act and related business processes during FY 2013. Many of these violations were largely attributable to business process issues, such as the failure to submit a discontinuation notice. As explained further below, OMB is working with agencies to identify and correct such errors.

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 offers an updated and expanded list in Chapter 3 of this report, which also includes submissions from Independent Agencies. As shown in more detail on agencies' OpenGov websites, agencies continue to identify and implement initiatives to save time and money for small businesses, as well as taxpayers, manufacturers, and others. OMB continues to encourage agencies to develop and implement practical initiatives aimed at improving efficiency and reducing public burden.

Chapter 1. Information Collection Burden

Pursuant to the Paperwork Reduction Act (PRA),⁴ the Office of Management and Budget (OMB) oversees agencies' information collection activities and reports to the Congress annually on the effectiveness of the PRA's implementation. The Information Collection Budget (ICB) is OMB's annual report to Congress, offering a detailed accounting of the information collection activities of the Federal Government in a given fiscal year. This report presents the overall paperwork burden that the Federal Government imposed on the American public in FY 2013 and identifies efforts that the Federal agencies are making to reduce burden and collect information more efficiently and effectively.⁵

Information collections are broadly defined by the PRA as "the obtaining, causing to be obtained, soliciting, or requiring the disclosure to third parties or the public, of facts or opinions by or for an agency, regardless of form or format, calling for either answers to identical questions posed to, or identical reporting or recordkeeping requirements imposed on, ten or more persons, other than agencies, instrumentalities, or employees of the United States; or answers to questions posed to agencies, instrumentalities, or employees of the United States which are to be used for general statistical purposes."⁶ The terms "paperwork" and "information collection(s)" have the same meaning for the purposes of this report.

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

Although this report focuses on paperwork burden and PRA compliance issues, the PRA involves more than just the minimization of burden and adherence to specified processes. OMB engages in substantive efforts to help ensure that information collections by the Federal Government yield the greatest possible public benefit. Consistent with a 2012 memorandum⁷ 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.

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. Code § 3502

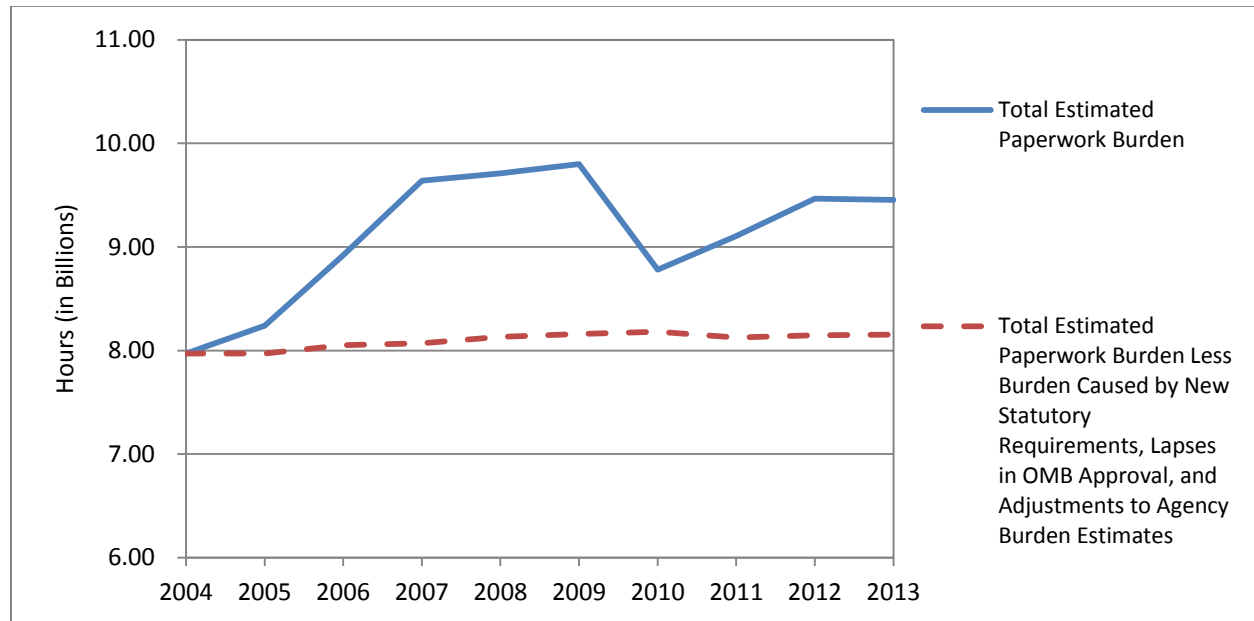
⁷ See OMB M -12-14, "Memorandum for the Heads of Executive Departments and Agencies: Use of Evidence and Evaluation in the 2014 Budget," May 18, 2012, available at <<http://www.whitehouse.gov/sites/default/files/omb/memoranda/2012/m-12-14.pdf>>

1.1. Total Paperwork Burden

According to agency estimates of paperwork burden in FY 2013, the public spent 9.45 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 2013. As the solid blue line in the figure shows, estimated paperwork burden grew over this period, though it declined in FY 2010.

Figure 1: Total Estimated Paperwork Burden Hours (FY 2004 to FY 2013)⁸



⁸ As explained in Section 1.2, the trend with the dashed red line represents changes due to agency discretionary action since FY 2003. The gap between the solid blue line and the dashed red line represents additional burden due to the three other factors that are largely not within agencies' direct control. The dashed red line is set to equal total Federal government burden purely for illustrative purposes; the intent of this graph is to show agency discretionary action changes over the past ten years.

Generating the Total FY 2013 Paperwork Burden

During FY 2013, ICB agencies⁹ entered a total of 10.28 billion paperwork hours into ROCIS, a government-wide online system used for paperwork database management.¹⁰ As reported for FY 2011 and FY 2012, ROCIS contains an entry for a collection of information from the Department of the Treasury's Internal Revenue Service (Treasury/IRS) entitled "Form 1097-BTC, Bond Tax Credit," which covers reporting requirements for regulated investment companies that pass through tax credit bonds to shareholders. The burden for this collection was initially estimated at about 828 million hours. After using Form 1097-BTC in the field, Treasury/IRS has reduced its burden estimate significantly. This reduction is attributable to Treasury/IRS correcting the model used to estimate (1) the number of burden hours per respondent (burden changed to 20 minutes per respondent instead of the initially proposed 8 hours) and (2) the number of respondents (212 respondents instead of the initially proposed 101,630,369). In short, Treasury/IRS used an antiquated model to calculate the burden of this form, and it has updated its modeling to better reflect the reality of the collection.

In FY 2011, the agency identified the forecasting error after the collection was approved in ROCIS. In FY 2011, Treasury/IRS estimated the error at about 794 million burden hours, and OMB amended the burden total for the 2012 ICB. In FY 2012, the agency updated its estimate to an error of about 828 million hours. Given the large magnitude of this error, about 8 percent of government-wide burden, in FY 2013 OMB continues to amend the totals tracked by ROCIS across fiscal years. When Treasury/IRS finalizes its next submission within ROCIS, the updated total will be corrected and displayed on RegInfo.gov. Thus, the 2014 ICB reports estimated burden for FY 2013 at 9.45 billion hours, which is about 828 million hours fewer than the total originally tabulated by ROCIS.

1.2. Sources of Paperwork Burden Changes, FY 2004 to FY 2013

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

⁹ As detailed in Appendix C, the Data Call for this ICB requested burden reduction initiatives and violation lists from 22 Executive Departments and Agencies and 6 Independent Agencies. Similar to previous years, the burdens imposed by these 28 "ICB agencies" create the baseline total Federal government paperwork burden. Accounting for all other agencies would add about one percent to total paperwork burden of the Federal government; it would increase the FY 2013 total from about 9.45 billion to 9.55 billion. In the 2015 ICB, OMB intends to improve reporting completeness by expanding the list of ICB agencies. See Appendix C for a more complete discussion.

¹⁰ ROCIS is an acronym for the RISC and OIRA Consolidated Information System. RISC – Regulatory Information Services Center – is managed by the General Services Administration (GSA) and facilitates access to information collection data. OIRA – Office of Information and Regulatory Affairs – reviews agencies' information collections under the PRA. Accordingly, ROCIS is the online program that agencies, GSA, and OIRA use to tabulate total burden. ROCIS is linked to the public-facing RegInfo.gov.

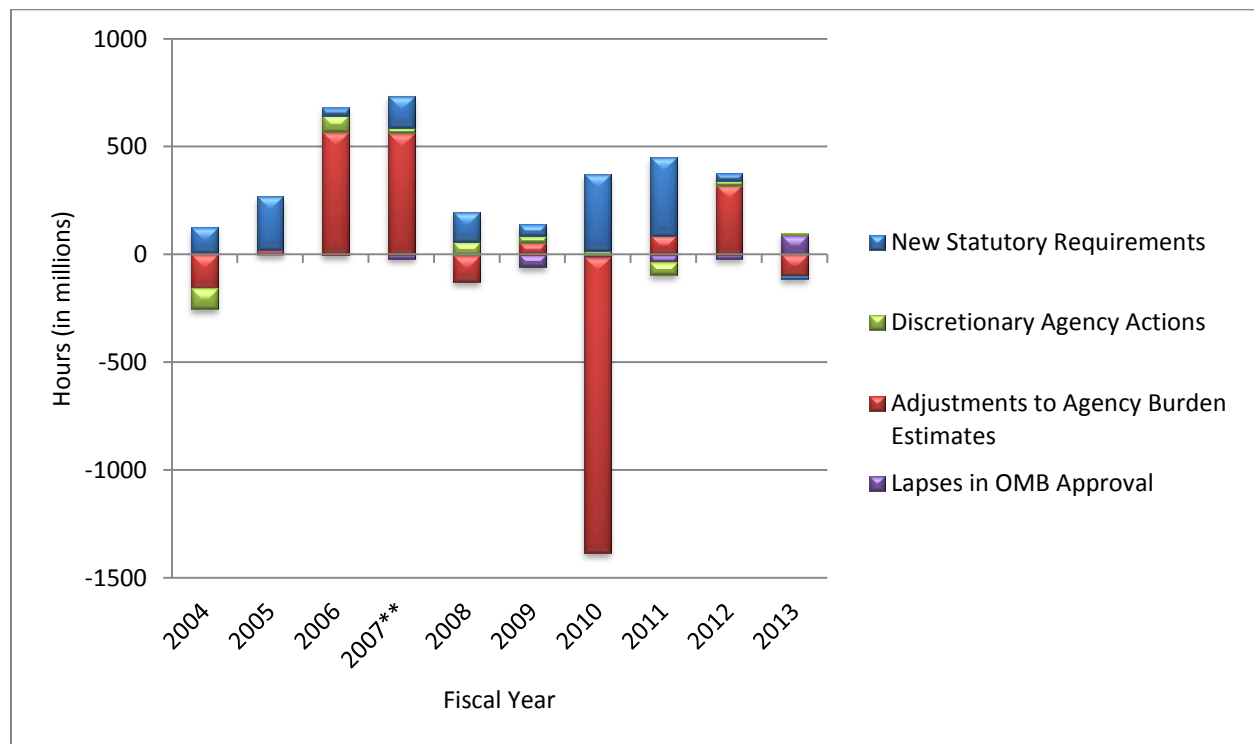
agency. Significant burden reductions might occur with improved management of discretionary agency actions.

In addition to showing the recent historical trend in *total* paperwork burden, Figure 1 shows the recent trend – represented by the dashed red line – in the growth in burden associated with discretionary agency actions, equal to the total burden less additional burden due to new statutory requirements, lapses in renewal or discontinuation, and adjustments to agency burden estimates. As indicated by the relatively flat dashed red line, since FY 2004 *discretionary agency actions have not comprised a major source of burden increase over the past ten fiscal years.*¹¹

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

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

Figure 2: Sources of Paperwork Burden Change (FY 2004 - FY 2013)



¹¹ Discretionary agency actions contributed an estimated 88 million hour burden increase during this ten-year period. This total is less than 9 percent of the estimated net burden increase since FY 2004.

Notably, a substantial majority of the estimated net increase in paperwork burden during this ten-year period was associated with new statutory requirements. New statutes account for an estimated increase of 1.5 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 88 million hour burden increase during this ten-year period. This total is less than 9 percent of the net burden increase since FY 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 greatest burden decrease in recent years is “adjustments” to agency burden estimates. Standing by themselves, adjustments have accounted for a decrease in the estimated overall paperwork burden of 134 million hours since FY 2004. 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 41 million hours. The lapses occur when (1) OMB’s approval of a collection expires without an agency discontinuing or renewing it, which decreases burden, and (2) an expired collection is reinstated, which increases burden. If, for example, the approval for a collection expires in a given year, overall burden during that year decreases by the collection’s total burden. If the collection is reinstated in the subsequent year, overall burden during that year increases by the collection’s total burden. However, when a collection enters expiration status, the agency might not cease using the collection, meaning that even though the burden associated with the collection is removed from OMB’s inventory of approved collections, the burden might still be imposed on the public. OMB is addressing this situation through its reporting of business process issues and its training sessions with agency staff, as explained in Chapter 2. Accordingly, OMB continues to expect a reduction in the instances in which agencies fail to take action on a collection and continue to collect the information, if such a failure to take action is reported.

1.3. Discussion of Paperwork Burden Changes in FY 2013

OMB is reporting that the public spent an estimated 9.45 billion hours responding to Federal information collections in FY 2013. This total represents a net decrease of about 14 million burden hours, or approximately 0.2 percent, from the estimated 9.47 billion hours that the public spent responding to Federal information collections in FY 2012. OMB identifies the following sources of changes in paperwork burden during FY 2013 (in order):

1. Lapses in renewal or discontinuation – as a result of the re-instatement of burden producing activities whose approval expired (estimated increase of 91 million hours);
2. Discretionary agency actions (estimated increase of 8 million hours);
3. New statutory requirements (estimated decrease of 13 million hours);
4. Adjustments to existing burden estimates – often as a result of demographic changes and other outside forces (estimated decrease of 100 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. **Lapses in renewal or discontinuation (estimated increase of 91 million hours).** In FY 2013, lapses in renewal or discontinuation increased estimated paperwork burden by 91 million hours, because collections went into expiration status and were then re-instated within OMB's accounting system. Burden changes of this type occur when an agency neither renews nor discontinues a collection before its OMB approval period has expired. When an agency does not renew or discontinue, the burden associated with these collections is removed from OMB's accounting system. When an agency re-instates the collection, OMB's accounting system shows a burden increase. A lapse in renewal or discontinuation does not necessarily mean that an agency has stopped collection 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 this burden increase due to lapses in renewal or discontinues is attributable to the accounting system entry for the Department of Health and Human Services (HHS) collection entitled "Health Insurance Reform Security Standards – Final Rule." This accounting system entry was re-instated in FY 2013, thereby resulting in a burden increase within the system. However, HHS never stopped using this information collection, so the increase is only for the purposes of accounting and does not reflect actual FY 2013 changes in burden on the general public. This information collection includes recordkeeping requirements for the Health Insurance Portability and Accountability Act of 1996 (HIPAA) security rule, which establishes national standards to protect individuals' electronic personal health information that is created, received, used, or maintained by a covered entity. The Security Rule requires administrative, physical and technical safeguards to ensure the confidentiality, integrity, and security of electronic protected health information.

For more information on all lapses during FY 2013, see Appendix B of this report. For more information on the steps OMB is taking to improve agency compliance with the PRA, see Chapter 2, Section 3.

2. **Discretionary Agency Actions (estimated increase of 8 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, thirteen agencies had net increases in burden from discretionary agency actions. HHS had the largest absolute increase in burden from agency actions with a 14.77 million hour increase (equal to three percent of HHS burden). The agencies with the largest percentage increases in burden due to agency actions were the Department of Commerce with 14 percent (3.9 million hours) and the Federal Acquisition Regulation with 4 percent (1.4 million hours).

3. ***New statutory requirements (estimated decrease of 13 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. Sometimes, the new statutory requirements or the expiration of statutory requirements cause less data collection.

The largest contributor to the 13 million hour net decrease due to new statutory requirements was the Treasury/IRS collection “U.S. Individual Income Tax Return.” Among other changes, the Alternative Minimum Tax (AMT) exemption amount was increased to \$48,450 (\$74,450 if married filing jointly or a qualified widow; \$37,225 if married filing separately). Had this legislation not been enacted, at least 20 million additional taxpayers would have been required to file Form 6251, Alternative Minimum Tax. In addition, the Making Work Pay Credit expired. One hundred million filers claimed this provision.

4. ***Adjustments to Agency Burden Estimates (estimated decrease of 100 million hours).*** Burden changes associated with adjustments to agency burden estimates were the largest source of net decrease in FY 2013. The “adjustments” category differs from other sources of burden change in the sense that the burden imposed on actual respondents for individual information collections does not change. Consider program eligibility and information collection requirements for receiving Social Security benefits. Although the reporting requirements for receiving such benefits may not change year-over-year, the burden for the collection may increase as greater numbers of Baby Boomers age and apply for benefits; the burden estimate is therefore “adjusted.”

There are two common types of adjustments in burden:

- a) ***Agency Re-estimation of Burden.*** An agency may re-evaluate a prior burden estimate for the collection, conclude that its prior estimate was inaccurate, and revise the estimate accordingly. Importantly, the agency has not changed the requirements of the collection, or added to or subtracted from the category of people who are required to respond to the collection.
- b) ***Burden Changes from Demographic, Economic, and Other External Factors.*** An agency may change the estimated burden of a collection if there has been a change in the

number of individuals or entities that the agency estimates will respond to the collection – and this change is due to factors outside an agency’s control. As above, the agency has not changed the requirements of the collection or the category of people required to respond to the collection.

A typical example of such an adjustment is when demographic changes result in more (or fewer) people applying for a Federal benefit, and thus in more (or fewer) applications being filled-out and submitted. Another example of such an adjustment is when economic changes result in changes in the number of businesses being created (and thus changes in the number of tax forms 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 100 million decrease from adjustments was the Securities and Exchange Commission (SEC) collection, “Rule 10b-10 Confirmation of Securities Transactions (17 C.F.R. 240.10b-10).” The SEC found that the annual burden estimate for brokers-dealers to comply with the confirmation delivery requirements of Rule 10b-10 should be revised downward, from 280,000,000 hours to approximately 140,000,000 hours. The SEC had previously estimated that approximately 16.8 billion transaction confirmations were sent annually, and that it took about one minute to generate and send a confirmation. The SEC revised this estimate to reflect the most recent information collected from industry participants, and it found that it takes an average of 30 seconds to generate and send a confirmation.

Note that this change to the Rule 10b-10 collection exemplifies one of the most common adjustments described above—agency re-estimation of burden. In these types of cases, an agency is not imposing additional burden on actual respondents for individual information collections; instead, the agency is improving its internal methodology.

Table 1: FY 2013 Paperwork Burden Changes by Agency (in millions of hours)¹²

	FY 2012 Total Paperwork Burden	FY 2013 Due to Agency Discretion		FY 2013 Changes Due to New Statutes		FY 2013 Changes Due to Lapses in Renewal or Discontinuation		FY 2013 Adjustments		FY 2013 Total Paperwork Burden		
			% change from '12		% change from '12		% change from '12		% change from '12		% change from '12	Total hour change from '12
Total	9,466.90	7.82	0.08%	-12.90	-0.14%	91.18	0.96%	-99.93	-1.06%	9,453.09	-0.15%	-13.81
DHS	163.26	0.52	0.32%	0.01	0.01%	0.01	0.01%	31.61	19.36%	195.4	19.69%	32.14
DOC	27.9	3.93	14.09%	0.78	2.80%	0	0.00%	1.08	3.87%	33.68	20.72%	5.78
DOD	52.19	1.09	2.09%	0	0.00%	-1.76	-3.37%	5.61	10.75%	57.12	9.45%	4.93
DOE	5.53	-0.18	-3.25%	0	0.00%	-0.01	-0.18%	-0.02	-0.36%	5.33	-3.62%	-0.2
DOI	10.86	0.4	3.68%	0	0.00%	0	0.00%	0.09	0.83%	11.35	4.51%	0.49
DOJ	23.94	-0.4	-1.67%	4.47	18.67%	-8.05	-33.63%	0.39	1.63%	20.35	-15.00%	-3.59
DOL	149.91	0.72	0.48%	0.4	0.27%	0	0.00%	1.92	1.28%	152.95	2.03%	3.04
DOT	313.01	-2.19	-0.70%	0.03	0.01%	0.05	0.02%	6.25	2.00%	317.14	1.32%	4.13
ED	95.52	-8.09	-8.47%	0.47	0.49%	-0.03	-0.03%	0.32	0.34%	88.2	-7.66%	-7.32
EGOV	6.07	-4.78	-78.75%	0	0.00%	0.47	7.74%	0	0.00%	1.77	-70.84%	-4.3
EPA	176.97	0.25	0.14%	0	0.00%	-0.02	-0.01%	-9.51	-5.37%	167.69	-5.24%	-9.28
FAR	34.09	1.38	4.05%	0	0.00%	-0.02	-0.06%	0	0.00%	35.46	4.02%	1.37
FCC	79.24	3.07	3.87%	0	0.00%	0	0.00%	0.28	0.35%	82.59	4.23%	3.35
FDIC	13.91	-0.03	-0.22%	0.06	0.43%	0	0.00%	-1.94	-13.95%	12.01	-13.66%	-1.9
FERC	11.01	-0.54	-4.90%	0	0.00%	0	0.00%	0.29	2.63%	10.76	-2.27%	-0.25
FTC	79.33	0.01	0.01%	-3.5	-4.41%	0	0.00%	-0.61	-0.77%	75.22	-5.18%	-4.11
HHS	528.19	14.77	2.80%	15.44	2.92%	95.52	18.08%	-5.91	-1.12%	648	22.68%	119.81
HUD	34.39	-0.04	-0.12%	0	0.00%	5.36	15.59%	16.32	47.46%	56.05	62.98%	21.66
NASA	2.75	0	0.00%	0	0.00%	-0.02	-0.73%	0	0.00%	2.73	-0.73%	-0.02
NRC	10.83	0.09	0.83%	0.05	0.46%	0	0.00%	-0.02	-0.18%	10.95	1.11%	0.12
NSF	8.29	0.11	1.33%	0	0.00%	-0.07	-0.84%	-0.04	-0.48%	8.3	0.12%	0.01
SBA	1.36	-0.02	-1.47%	0	0.00%	-0.22	-16.18%	0	0.00%	1.12	-17.65%	-0.24
SEC	352.44	-0.08	-0.02%	2.89	0.82%	0	0.00%	-121.07	-34.35%	234.18	-33.55%	-118.26
SSA	39.04	-0.67	-1.72%	0	0.00%	-0.01	-0.03%	1.95	4.99%	40.31	3.25%	1.27
STATE	42.03	0.26	0.62%	0	0.00%	0	0.00%	-0.6	-1.43%	41.69	-0.81%	-0.34
TREAS	7,062.10	-0.27	0.00%	-34.13	-0.48%	-0.07	0.00%	-20.79	-0.29%	7,006.84	-0.78%	-55.26
USDA	135.55	-1.42	-1.05%	0.13	0.10%	0.05	0.04%	-5.57	-4.11%	128.74	-5.02%	-6.81
VA	7.19	-0.07	-0.97%	0	0.00%	0	0.00%	0.04	0.56%	7.16	-0.42%	-0.03

¹² As a result of rounding and other anomalies, columns for some agencies sum to plus or minus 0.25 million hours of total paperwork burdens.

Chapter 2. Paperwork Reduction Act Compliance

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

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

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

OMB continues its use of an enhanced search process for lapses in renewal or discontinuation in FY 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.

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

2.1. Total Violations

As a result of its enhanced search process, OMB reports 282 violations of the PRA and related business processes during FY 2013. 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 2013 includes two additional sources: (1) collections in use without an OMB control number (also reported in FY 2010, FY 2011, and FY 2012) and (2) collections that had business process issues (also reported FY 2011 and FY 2012). For these reasons, violations in FY 2013 can only be validly compared against violations in FY 2011 and FY 2012. Violations decreased by 21—from 303 to 282—relative to FY 2011 and increased by 60—from 218 to 282—relative to FY 2012.

For FY 2013, OMB is reporting 59 collections in use without OMB control numbers and 223 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, 71 violations reported in this year's total actually expired in previous years and were reinstated in FY 2013. In addition, 91 of the 223 violations due to lapses due to renewal or discontinuation resulted from collections that expired in FY 2012 and were not renewed or discontinued in FY 2012. Accordingly, 162 of the 282 total violations from this year are associated with the two types of lapses in renewal or discontinuation whose identification is enhanced by the search process first implemented in FY 2011.

To put the 282 violations total in perspective, agencies maintain about 9,000 active OMB control numbers in the inventory of approved information collections. Moreover, in FY 2013 OIRA desk officers review and concluded on over 6,000 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 39 agencies for their compliance.¹³ 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 2013. That agency was the Department of Health and Human Services, with 80 such violations.

OMB rates 23 agencies as "Need Improvement," defined as having between one and 25 violations in FY 2013. Fifteen agencies achieved a rating of "Good" by having no violations in FY 2013.

Some violations involve more significant management issues than others. For example, the Department of Energy (DOE) has a collection—"Unclassified Activities in Foreign Atomic Energy Programs"—that shows a long-term failure to comply with the PRA. DOE's "Unclassified Activities in

¹³ The 38 agencies include the 28 "ICB agencies" subject to the Data Call to the ICB, the eight others agencies with paperwork burdens greater than one million hours (see Appendix C for a discussion), and any other agency with a violation.

Foreign Atomic Energy Programs” expired in FY 1986 and has not been renewed or discontinued since that time; however, the agency has continued to collect information from the public under 10 CFR Part 810 for the last 28 years. The information collected is used by DOE to control the export of unclassified nuclear technology and assistance by identifying activities that can be “generally authorized” by the Secretary, thereby requiring no further authorization under 10 CFR Part 810. It also controls those activities that require “specific authorization” by the Secretary.

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 2013 Violations Due to Lapses in Renewal or Discontinuation

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

Good	Need Improvement	Poor
0 Violations	1 to 25 Violations	25 or More Violations
	<ul style="list-style-type: none"> • Federal Energy Regulatory Commission • Grants.gov • Merit Systems Protection Board • NASA • National Indian Gaming Commission • National Mediation Board • Small Business Administration • Social Security Administration 	

2.3. Steps to Improve Agency Compliance

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

In FY 2013, OIRA desk officers and statisticians continued to interact with Federal agencies on numerous occasions both to help agencies and their contractors understand how to comply with OMB's statistical standards and to offer early study-specific advice to help ensure that new studies and those being redesigned would meet OMB statistical standards and obtain timely approvals.¹⁴ For example, in recent years some agencies expressed concern about the timing challenges associated with meeting PRA requirements given OMB's encouragement to conduct more program evaluations, sometimes quickly in response to new grant or other programs. In turn, OMB continues to host briefings attended by Federal program evaluators and their PRA liaisons.

To improve data quality and evaluation timeliness, OIRA has also encouraged establishing generic clearances¹⁵ to facilitate greater pre-testing of questionnaires and other developmental work, as well as exploring the development of generics to cover other types of small scale routine data collections.

OMB has continued to collaborate with several agencies previously identified as needing to build capacity to conduct higher quality program evaluation studies, through a series of steps, such as tailored

¹⁴ See "Memorandum for the President's Management Council, Guidance on Agency Survey and Statistical Information Collections," January 20, 2006, available at <http://www.whitehouse.gov/sites/default/files/omb/assets/omb/infereg/pmc_survey_guidance_2006.pdf>

¹⁵ See "Memorandum for the Heads of Executive Departments and Agencies, and Independent Agencies, Paperwork Reduction Act – Generic Clearances," May 28, 2010, available at <http://www.whitehouse.gov/sites/default/files/omb/assets/infereg/PRA_Gen_ICRs_5-28-2010.pdf>

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

OIRA has continued to participate in quarterly meetings with Treasury and IRS staff to improve PRA compliance and to improve IRS' internal processes as they relate to the PRA. OIRA staff have continued to conduct several other on-site visits to a wide range of agencies, and these visits typically attended by a wide range of agency stakeholders, including staff from program offices, the Office of the Chief Information Officer, and the Office of the General Counsel. These outreach efforts will continue increase compliance with the PRA.

Finally, during reviews of information collection requests, OIRA desk officers have continued to work with Federal agencies to improve government-wide understanding of critical PRA issues, including OMB's privacy standards,¹⁶ generic clearances, and the applicability of the PRA to new types of information collection instruments. In recent years, OIRA has issued guidance clarifying the applicability of the PRA to web-based social media tools, contests, and challenges, and OIRA desk officers have conducted agency outreach on these tools and technologies. During interactions in FY 2013 and throughout the drafting of this report, OIRA and agency staff identified new issues associated with the applicability of the PRA to other web-based technologies, such as data search tools and calculators. In the coming year, OIRA plans to issue guidance clarifying the treatment of web-based data search tools and calculators under the PRA.

¹⁶ See "Memoranda 99-05, Attachment B (Privacy and Personal Information in Federal Records)," January 7, 1999, available at http://www.whitehouse.gov/omb/memoranda_m99-05-b/

Chapter 3. Reducing Burdens

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

3.1. Retrospective Review of Paperwork and Regulatory Requirements

President Obama has emphasized the importance of streamlining and eliminating outdated and burdensome paperwork and regulatory requirements. In 2011, President Obama issued Executive Order 13563, *Improving Regulation and Regulatory Review*¹⁷ (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.¹⁸

Agencies not only have produced billions of dollars in monetary savings but also have eliminated tens of millions of hours in annual paperwork burdens.¹⁹ 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 Memorandum²⁰ of January 18, 2011, “Regulatory Flexibility, Small Business, and Job Creation,” many of the resulting initiatives will be particularly helpful to small businesses.

President Obama followed Executive Order 13563 with Executive Order 13610, *Identifying and Reducing Regulatory Burdens*²¹ (May 10, 2012), which institutionalizes the regulatory lookback and specifically requires agencies to prioritize “initiatives that will produce significant quantifiable monetary savings or significant quantifiable reductions in paperwork burdens.” Executive Order 13610 also requires agencies to “give special consideration to initiatives that would reduce unjustified regulatory burdens or simplify or harmonize regulatory requirements imposed on small businesses.” Finally, Executive Order 13610 requires agencies to focus on “cumulative burdens” and to “give priority to reforms that would make significant progress in reducing those burdens.” As detailed below, OMB has already seen large results from this effort.

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

¹⁷ See Executive Order 13563. January 18, 2011, available at <<http://www.whitehouse.gov/the-press-office/2011/01/18/improving-regulation-and-regulatory-review-executive-order>>

¹⁸ See the OMBlog post “Final Regulatory Reform Plans Will Save Money, Reduce Waste,” August 23, 2011, available at <<http://www.whitehouse.gov/blog/2011/08/23/final-regulatory-reform-plans-will-save-money-reduce-waste>>

¹⁹ For examples of reforms, see the WhiteHouse.gov blog post “Lookback Progress” available at: <<http://www.whitehouse.gov/blog/2012/06/04/lookback-progress>>

²⁰ 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>>

²¹ See Executive Order 13610. May 10, 2012, available at <<http://www.whitehouse.gov/the-press-office/2012/05/10/executive-order-identifying-and-reducing-regulatory-burdens>>

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 memorandum²² 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 burdens²³ were directed to identify at least one initiative, or combination of initiatives, that would eliminate two million hours or more in an annual burden.

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

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

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

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

²³ 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.

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.** Administrative²⁴ or program data can sometimes be re-used or shared to reduce the paperwork burdens imposed on the public. Such administrative or program data may be held either within the agency asking for the new information or by other agencies, including statistical agencies. OMB encouraged agencies to share data to the extent practical, appropriate, and consistent with law.²⁵

²⁴ This focus area is consistent with a memorandum issued by OMB on May 18, 2012. The memorandum noted that agencies can often use administrative data (such as data on wages, emergency room visits, or school attendance) to conduct rigorous program evaluations without using additional data collection instruments. See OMB M-12-14, "Memorandum for the Heads of Executive Departments and Agencies: Use of Evidence and Evaluation in the 2014 Budget," May 18, 2012, available at <<http://www.whitehouse.gov/sites/default/files/omb/memoranda/2012/m-12-14.pdf>>

²⁵ See OMB M-11-02, "Memorandum for the Heads of Executive Departments and Agencies: Sharing Data While Protecting Privacy," November 3, 2010, available at <<http://www.whitehouse.gov/sites/default/files/omb/memoranda/2011/m11-02.pdf>>

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 one Independent Agency identified more than 100 initiatives producing an estimated paperwork burden reduction of more than 100 million hours, vastly exceeding the 15 million hour target set by the memorandum. These initiatives, which are listed below and in more detail on agencies’ OpenGov websites, will save time and money for small businesses, taxpayers, veterans, manufacturers, and many other U.S. citizens.

This chapter contains an updated summary of the initiatives that implement Executive Order 13610.²⁶ In addition, this chapter offers an updated list of initiatives from Independent Agencies. The publication dates of the 2013 and 2014 ICBs are expected to fall within the same Executive 13610 reporting cycle. As a result, OMB reports the same lists of initiatives for FY 2012 and FY 2013. Please agencies’ OpenGov websites for the most complete and current lists of initiatives.

3.3. List of Executive Department and Agency Burden Reduction Initiatives

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

Table 3: List of Paperwork Reduction Initiatives

Agency	Sub-Agency	Title
Department of Agriculture	Food Safety and Inspection Service	Electronic Import Inspection and Certification of Imported Products and Foreign Establishments
Department of Agriculture	Food Safety and Inspection Service	Electronic Export Application and Certification Fee

²⁶ The publication dates of the 2013 and 2014 ICBs are expected to fall within the same Executive 13610 reporting cycle. As a result, OMB reports the same lists of initiatives for FY 2012 and FY 2013. Please agencies’ OpenGov websites for the most complete and current lists of initiatives.

Department of Agriculture	Food Safety and Inspection Service	Prior Labeling Approval System: Generic Label Approval
Department of Agriculture	Food Safety and Inspection Service	Modernization of Poultry Slaughter Inspection
Department of Agriculture	Grain Inspection, Packers and Stockyards Administration	Packers and Stockyards Program (P&SP) Reporting and Recordkeeping Requirements
Department of Agriculture	Natural Resources and Conservation Service	Conservation Delivery Streamlining Initiative (CDSI) - Client Gateway
Department of Agriculture	Rural Business Service	Rural Energy America Program
Department of Agriculture	Rural Business Service	Business and Industry Loan Guaranteed Program
Department of Agriculture	Rural Housing Service	Community Facilities Loan and Grants
Department of Agriculture	Animal and Plant Health Inspection Service	Forms for Declaration Mandated by 2008 Farm Bill
Department of Agriculture	Animal and Plant Health Inspection Service	Certification, Accreditation, Registration, Permits, and other Licenses (CARPOL)
Department of Commerce	Census Bureau	2012 Survey of Business Owners
Department of Commerce	National Oceanic and Atmospheric Administration	Crab Rationalization Economic Data Reports
Department of Commerce	National Oceanic and Atmospheric Administration	Southeast Region Permit Family of Forms
Department of Commerce	National Oceanic and Atmospheric Administration	Weekly Fishing Reports
Department of Defense	U.S. Air Force	Pre-Population Personal Interview, Request for Evaluation and Information, Application for Appointment, and Request for Approval Forms
Department of Education	Office of Elementary and Secondary Education	State Educational Agency, Local Educational Agency, and School Data Collection and Reporting Under ESEA, Title I, Part A
Department of Education	Office of Special Education and Rehabilitation Services	IDEA Part B State Performance Plan (SPP) and Annual Performance Report (APR)

Department of Energy	Office of Health, Safety and Security	Environment, Safety and Health
Department of Energy	Office of Management	Financial Assistance
Department of Energy	Office of Energy Efficiency and Renewable Energy	Compliance Statement Energy/Water Conservation Standards for Appliances
Department of Energy	Office of Health, Safety and Security	Security
Department of Energy	Office of Management	Procurement Reporting and Record-keeping Burdens
Department of Energy	Office of Health, Safety and Security	Occupational Radiation Protection Program
Department of Energy	Office of Health, Safety and Security	Chronic Beryllium Disease Prevention Program
Department of Energy	Office of Health, Safety and Security	Human Reliability Program
Department of Energy	Office of Electricity Delivery and Energy Reliability	Reliability, Survivability and Resiliency Project
Department of Energy	Office of Electricity Delivery and Energy Reliability	OE Recovery Act Financial Assistance Grants
Department of Energy	Office of Energy Efficiency and Renewable Energy	Energy Efficiency Conservation Block Grant Program
Department of Energy	Office of Energy Efficiency and Renewable Energy	Weatherization Assistance Program (WAP) Evaluation
Department of Energy	Office of Energy Efficiency and Renewable Energy	Utility Billing
Department of Energy	Office of Energy Efficiency and Renewable Energy	Weatherization Assistance Program (WAP) ARRA Period Evaluation
Department of Health and Human Services	Administration for Children and Families	Income Withholding and Support Form
Department of Health and Human Services	Administration for Children and Families	National Directory of New Hires

Department of Health and Human Services	Centers for Disease Control and Prevention	National Healthcare Safety Network Revisions
Department of Health and Human Services	Centers for Medicare and Medicaid Services	Medicare Managed Care CAHPS Survey and Supporting Regulations
Department of Health and Human Services	Centers for Medicare and Medicaid Services	Applications for Medicare Part D Plans: PDP Plans, MA-PD Plans, Cost Plans, PACE Organization, SAE and EPOG
Department of Health and Human Services	Centers for Medicare and Medicaid Services	Medicare Part D Reporting Requirements
Department of Health and Human Services	Centers for Medicare and Medicaid Services	Part C Medicare Advantage Reporting Requirements and Supporting Regulations in 42 C.F.R. 422.516(a)
Department of Health and Human Services	Centers for Medicare and Medicaid Services	Medicare Part C and Part D Data Validation (42 C.F.R 422.516g and 423.514g)
Department of Health and Human Services	Office of Civil Rights	HIPAA Privacy Rule - Updated Notice of Privacy Practices Requirements
Department of Homeland Security	U.S. Coast Guard	Application for Merchant Mariner Credential
Department of Homeland Security	U.S. Coast Guard	Shipping Articles CG-705A
Department of Homeland Security	Customs and Border Protection	Arrival and Departure Record
Department of Homeland Security	Customs and Border Protection	Passenger List, Crew List
Department of Homeland Security	Federal Emergency Management Agency	Standard Flood Hazard Determination Form (1660-0040)
Department of Homeland Security	Federal Emergency Management Agency	Web-Based (e-Grants) Application and Reporting
Department of Housing and Urban Development	Office of Housing	Replacement of Development Application Processing system
Department of Housing and Urban Development	Office of Housing	All FHA-Approved Mortgagees, e-signatures
Department of Housing and Urban Development	Office of Housing	Comprehensive Listing of Transactional Documents for Mortgagors, Mortgagees and Contractors

Department of Housing and Urban Development	Office of Housing	Streamlining Section 8 Contract Renewal
Department of Housing and Urban Development	Office of Housing	Streamlining Inspection and Warranty Requirements for FHA Single Family Mortgage Insurance: Removal of the FHA Inspector Roster and of the Ten-Year Protection Plan Requirements for High Loan-to-Value Ratio Mortgages
Department of Housing and Urban Development	Office of Housing	Approval of Lending Institutions and Mortgagees—Alternative Reporting Requirements for Small Supervised Lenders
Department of Housing and Urban Development	Office of Public and Indian Housing	PDF Conversion Enterprise
Department of Interior	Fish and Wildlife Service	Wildlife Tracking and Reporting Actions for the Conservation of the Species (TRACS)
Department of Interior	Fish and Wildlife Service	Electronic submission of permit applications and reports
Department of Interior	Fish and Wildlife Service	Falconry Permits
Department of Interior	U.S. Geological Survey	Bird Banding
Department of Interior	National Park Service	Short Form for Special Park Use Applications
Department of Interior	National Park Service	Electronic Backcountry Use Reservation System
Department of Interior	Bureau of Safety and Environmental Enforcement	Modify eWell for use in all regions
Department of Interior	Office of the Chief Information Officer	Enterprise Forms System
Department of Justice	Bureau of Alcohol, Tobacco, and Firearms	Electronic ATF Form 3310.4 - Report of Multiple Sale or Other Disposition of Pistols and Revolvers
Department of Justice	Bureau of Alcohol, Tobacco, and Firearms	eForm 5 – Application for Tax Exempt Transfer and Registration of Firearms (2012R-6T)
Department of Justice	Bureau of Prisons	FOIA Status Tracking

Department of Justice	Office of Community Oriented Policing Services	Extension Request Form
Department of Justice	Office of Community Oriented Policing Services	COPS Office Monitoring Information Collections: Revision of currently approved collection
Department of Justice	Office of Community Oriented Policing Services	Community Policing Self-Assessment Tool (CP-SAT)
Department of Justice	Office of Community Oriented Policing Services	Rural Law Enforcement Training Needs Assessment Survey
Department of Justice	Executive Office for Immigration Review	Electronic Submission of 1125-0005: Notice of Entry of Appearance before the Immigration Court (Form EOIR-28)
Department of Justice	Executive Office for Immigration Review	Electronic Submission of 1125-0006: Notice of Entry of Appearance as Attorney or Representative before the Board of Immigration Appeals (Form EOIR-27)
Department of Justice	Executive Office for Immigration Review	Electronic Submission of 1125-0001: Application for Cancellation of Removal: Form EOIR-42A (Application for Cancellation of Removal for Certain Permanent Residents) and Form EOIR-42B (Application for Cancellation of Removal and Adjustment of Status for Certain Nonpermanent Residents)
Department of Justice	Executive Office for Immigration Review	Electronic Submission of 1125-0002: Notice of Appeal from a Decision of an Immigration Judge (Form EOIR-26)
Department of Justice	Executive Office for Immigration Review	Electronic Submission of 1125-0003: Fee Waiver Request Form (Form EOIR-26A)
Department of Justice	Executive Office for Immigration Review	Electronic Submission of 1125-0012: Request for Recognition of a Non-profit Religious, Charitable, Social Service, or Similar Organization (Form EOIR-31)
Department of Justice	Drug Enforcement Administration	Electronic Form DEA-486/486a: Request for Importation/Exportation of Listed Chemicals.
Department of Justice	Drug Enforcement Administration	Electronic Form DEA-236, Form DEA-161, Form DEA-161R, and Form DEA-357: Request for Importation/Exportation of Controlled Substances
Department of Justice	Drug Enforcement Administration	Electronic Controlled Substances Ordering System (CSOS) Registration Application Request for a Digital Certificate Form DEA-251, Form DEA-

		252, and Form DEA-253
Department of Justice	Drug Enforcement Administration	Electronic Form DEA-333 for Reporting Manufacturing and Distribution Activity of Controlled Substance
Department of Justice	U.S. Marshals Service	Agency-wide Forms Management Program
Department of Justice	Executive Office for the United States Trustees	Five Fillable Forms for Attorney Applications for Compensation in Larger Chapter 11 Bankruptcy Cases
Department of Labor	Bureau of Labor Statistics	National Longitudinal Survey of Youth 1997
Department of Labor	Employee Benefits Security Administration	Consent to Receive Employee Benefit Plans Electronically
Department of Labor	Employment and Training Administration	Foreign Labor Certification Program
Department of Labor	Employment and Training Administration	Work Opportunity Tax Credit Self Attestation Form
Department of Labor	Employment and Training Administration	WIA Management Information Reporting System
Department of Labor	Mine and Safety and Health Administration	Roof Control Plans for Underground Coal Mines
Department of Labor	Office of Labor-Management Standards	Labor Organization and Auxiliary Reports
Department of Labor	Occupational Safety and Health Administration	Standard on Mechanical Power Presses (29 CFR 1910.217(e)(1))
Department of Labor	Occupational Safety and Health Administration	Standards Improvement Project Phase (IV)
Department of Labor	Office of Workers' Compensation	Notice of Issuance of Insurance Policy
Department of Labor	Veterans' Employment and Training Service	Federal Contractor Veterans Employment Report
Department of Labor	Wage and Hour Division	Davis Bacon Certified Payroll
Department of State	Administration of Foreign Affairs	Statement Regarding Lost or Stolen Passport

Department of State	Administration of Foreign Affairs	Application for Immigrant Visa and Alien Registration
Department of State	Administration of Foreign Affairs	US Passport Renewal Application for Eligible Individuals
Department of State	Administration of Foreign Affairs	Affidavit of Identifying Witness
Department of State	Administration of Foreign Affairs	Supplemental Nonimmigrant Visa Application
Department of State	Administration of Foreign Affairs	US Department of State Application for Employment
Department of State	Administration of Foreign Affairs	Contact Information and Work History for Nonimmigrant Visa Applicant
Department of State	Administration of Foreign Affairs	Statement of Non-Receipt of a Passport
Department of State	Administration of Foreign Affairs	Projected Sales of Major Weapons in Support of Section 25(a)(1) of the Arms Export Control Act
Department of State	Administration of Foreign Affairs	Training/ Internship Placement Plan
Department of State	Administration of Foreign Affairs	Advanced Notification Form: Tourist and Other Non-Governmental Activities in the Antarctic Treaty Area
Department of State	Administration of Foreign Affairs	Application for Employment as a Locally Employed Staff or Family Member
Department of State	Administration of Foreign Affairs	Office of Language services Contractor Application
Department of Transportation	Federal Railroad Administration	Hours of Service: Electronic Recordkeeping
Department of Transportation	Federal Railroad Administration	Hours of Service: Excess Service Reports
Department of Transportation	Federal Railroad Administration	Positive Train Control
Department of Transportation	Federal Railroad Administration	Locomotive Engineer Certificate
Department of Transportation	Federal Aviation Administration	Certification Procedures for Products and Parts

Department of Transportation	Federal Aviation Administration	Use of Certain Portable Oxygen Concentrator (POC) Devices On Board Aircraft
Department of Transportation	Federal Motor Carrier Safety Administration	Driver-Vehicle Inspection Reports
Department of Transportation	Federal Motor Carrier Safety Administration	Electronic On-Board Recorders (EOBRs) for Broader Hours of Service (HOS) Compliance Usage
Department of Transportation	Federal Motor Carrier Safety Administration	Unified Registration System
Department of the Treasury	Internal Revenue Service	Simplified Basis Reporting for Capital Gains and Losses
Department of the Treasury	Internal Revenue Service	Raising the IRS Schedule M-3 Reporting Requirements for Large and Foreign Corporations to \$25 Million, Net Income (Loss) Reconciliation for Corporations With Total Assets of \$10 Million or More
Department of the Treasury	Internal Revenue Service	Office-in-the-Home Optional Deduction
Department of the Treasury	Internal Revenue Service	Form 1040-X E-File
Department of the Treasury	Internal Revenue Service	Amended Form 1099 Filing Requirements Threshold
Department of the Treasury	Alcohol and Tobacco Tax and Trade Bureau	Reduction of Excise Tax Return Filing Frequency for Small Brewers
Department of the Treasury	Alcohol and Tobacco Tax and Trade Bureau	Reduction of Filing Frequency of Brewer's Report of Operations (TTB Forms 5130.9 and 5130.26)
Department of the Treasury	Alcohol and Tobacco Tax and Trade Bureau	Reduced Filing Requirements for TTB Form - Formula and/or Process for Article Made With Specially Denatured Spirits (Form 5150.19)
Department of Veterans Affairs	Veterans Benefits Administration	E-Benefits Portal
Department of Veterans Affairs	Veterans Health Administration	Application and Renewal for Health Benefits
Department of Veterans Affairs	Veterans Benefits Administration	Disability Benefits Questionnaires (Groups 1 and 2)
Environmental Protection Agency	Office of Enforcement and Compliance Assurance / Office of Solid Waste and	Electronic Reporting for Hazardous Waste Exports

Emergency Response		
Environmental Protection Agency	Office of Enforcement and Compliance Assurance	Streamline and Convert Financial Assurance Paper Reporting to Electronic Across Multiple Programs
Environmental Protection Agency	Office of Solid Waste and Emergency Response	Hazardous Waste e-Manifest
Environmental Protection Agency	Office of Enforcement and Compliance Assurance / Office of Environmental Information / Office of Water	Proposed National Pollutant Discharge Elimination System (NPDES) e-reporting Rule
Environmental Protection Agency	Multiple	Pilot Integrated Portal for Direct Reports to EPA for Pesticides, Chemicals, TRI, and Clean Fuels
Environmental Protection Agency	Office of Air Radiation	Changes to Prevention of Significant Deterioration (PSD) New Source Review (NSR) Pre-construction Permitting Program
Environmental Protection Agency	Office of Air Radiation	CAA Stationary Source Electronic Reporting (OAQPS)
Environmental Protection Agency	Office of Air Radiation	Clean Air Act: Title V Rulemaking to Clarify Certain Provisions of the Operating Permit Rules
Environmental Protection Agency	Office of Water	Electronic Reporting for the Public Water System Supervision (PWSS) Program
Federal Acquisition Regulation	Federal Acquisition Regulation	Government Property - Sections 45.602-1; 52.245-1(f)(1)(ii); 52.245-1(f)(1)(iii)
General Services Administration	OGP/MV	Qualification of Offerors
General Services Administration	Office of Government-wide Policy	Progressive Awards and Monthly Allocations
General Services Administration	Office of Government-wide Policy	Price Reductions
General Services Administration	Office of Government-wide Policy	Identification of Products that Have Environmental Attributes
National Science Foundation	National Center for Science and Engineering Statistics	Survey of Graduate Students and Postdoctorates in Science and Engineering

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

3.4. List of Independent Agency Burden Reduction Initiatives

3.4.1. Federal Communications Commission

Agency: Federal Communications Commission		Status: Complete
Office(s):	Wireline Competition Bureau	
Initiative Title:	Part 36 - Separations	
Reduction Area(s): <i>(Check all that apply)</i>	<input type="checkbox"/> "Short Form" options <input type="checkbox"/> Frequency of information collection <input type="checkbox"/> Record retention requirements <input type="checkbox"/> Re-use of already collected data <input type="checkbox"/> Electronic "fillable fileable" forms <input checked="" type="checkbox"/> Other	
Description:	This is due to rule changes adopted in FCC 11-161 that streamlined reporting and that no longer require price-cap regulated carriers and competitive carriers to file loop count data.	
Collection(s) Affected:	3060-0233	
Estimated Reduction:	36,479 total burden hours	
Date of Completion:	November, 2012	
Challenges:	None	

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

3.4.2. Federal Deposit Insurance Corporation

Agency: Federal Deposit Insurance Corporation		Status: Complete
Office(s):	Division of Administration, Division of Depositor and Consumer Protection, Division of Insurance Research	
Initiative Title:	Minimize and Eliminate Unnecessary Collections	

Reduction Area(s): <i>(Check all that apply)</i>	<input type="checkbox"/> "Short Form" options <input type="checkbox"/> Record retention requirements <input type="checkbox"/> Electronic "fillable fileable" forms	<input type="checkbox"/> Frequency of information collection <input type="checkbox"/> Re-use of already collected data <input checked="" type="checkbox"/> Other
Description:	The following information collections were discontinued:	
Collection(s) Affected:	3064-0168 Disclosure of Deposit Status (2013) (33,106 burden hours) 3064-0170 Transaction Account Guarantee Program Extension (2012) (7,109 burden hours) 3064-0147 Student Educational Employment Program (2013) (2,378 burden hours) 3064-0173 Prepaid Assessments (2013) (1,910 burden hours)	
Estimated Reduction:	44,503 total burden hours	
Date of Completion:	November, 2013	
Challenges:	None	

Agency:	Federal Deposit Insurance Corporation	Status:	In-Progress
Office(s):	Legal Division		
Initiative Title:	Automation of Administration for Legal Services		
Reduction Area(s): <i>(Check all that apply)</i>	<input type="checkbox"/> "Short Form" options <input type="checkbox"/> Record retention requirements <input checked="" type="checkbox"/> Electronic "fillable fileable" forms	<input type="checkbox"/> Frequency of information collection <input type="checkbox"/> Re-use of already collected data <input type="checkbox"/> 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) Affected:	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:	December, 2014
Challenges:	The adoption of electronic filing has been a financial challenge for some small outside counsel firms.

3.4.3. Federal Energy Regulatory Commission

Agency:	Federal Energy Regulatory Commission	Status:	Complete
Office(s):	Office of Electric Reliability, Office of Enforcement, and the Office of the General Counsel		
Initiative Title:	Find, Fix, Track, and Report (FFT) Compliance Enforcement Initiative		
Reduction Area(s): <i>(Check all that apply)</i>	<input checked="" type="checkbox"/> "Short Form" options <input type="checkbox"/> Frequency of information collection <input type="checkbox"/> Record retention requirements <input type="checkbox"/> Re-use of already collected data <input type="checkbox"/> Electronic "fillable fileable" forms <input type="checkbox"/> Other		
Description:	<p>On September 30, 2011 the North American Electric Reliability Corporation (NERC), filed a petition requesting approval of its proposal to make informational filings in a "Find, Fix, Track and Report" (FFT) spreadsheet format of lesser-risk, remediated possible violations of the Reliability Standards. If NERC determines that a possible violation poses a "lesser risk" to the Bulk Power System (BPS), then the possible violation may be addressed through an FFT information filing. NERC explains that the FFT initiative will "promote reliability excellence by ensuring that issues are fixed and by enabling substantially greater resources and attention to be devoted to matters that pose a more serious risk to the reliability of the Bulk Power System." In its petition, NERC explains that it intends to develop and document the record for each possible violation based on the risk to the bulk power system. By making disposition decisions based on an initial review as warranted, tailoring alignment of records to the seriousness of an issue, and utilizing further streamlined reporting mechanisms, NERC and the Regional Entities believe they can</p>		

	eliminate undue administrative, paperwork and regulatory burdens while encouraging self-reporting and corrective actions from the Regulated Utilities.
	2013 UPDATE: In March 2013, NERC submitted recommended changes to the FFT program going forward. In June 2013, FERC largely accepted the changes. FERC does not consider the changes to greatly impact the program as originally implemented and is reporting this initiative as complete.
Collection(s) Affected:	All of the FERC-725 series
Estimated Reduction:	56,160 total burden hours \$2,751,840 total cost burden
Date of Completion:	Completed in June, 2013
Challenges:	The Commission has accepted NERC's proposal on the FFT enforcement mechanism as of March 15th, 2012 with limited conditions: the Commission indicated that it will revisit those conditions one year after the order. The Commission may have difficulties monitoring and providing compliance oversight to NERC and the Regional Entities due to the reduced amount of documentation that the Registered Entities will be developing for each instance of non-compliance. There is a possibility that after one year the Commission may alter NERC's discretion for this mechanism after reviewing the data for the first year of implementation.

Agency:	Federal Energy Regulatory Commission	Status:	Complete
Office(s):	Office of Enforcement, Office of Energy Market Regulation, and Office of the General Counsel		
Initiative Title:	Retirement of Semi-Annual Storage Reports		
Reduction Area(s): <i>(Check all that apply)</i>	<input type="checkbox"/> "Short Form" options <input type="checkbox"/> Frequency of information collection <input type="checkbox"/> Record retention requirements <input checked="" type="checkbox"/> Re-use of already collected data <input type="checkbox"/> Electronic "fillable fileable" forms <input checked="" type="checkbox"/> Other		
Description:	In January 2012, the Commission issued a final order retiring the Form 549 Semi-Annual Storage Report for Intrastate Natural Gas Companies and the Semi-Annual Storage Report for Interstate Natural Gas Companies. On December 16, 2010, the Commission (within Docket No. RM11-4-000) issued a Notice of Inquiry regarding whether to revise regulations requiring interstate and intrastate natural gas pipelines to report semi-annually on their storage activities. In analyzing the comments received in response to the Notice of Inquiry, the Commission considered the comments received and the goals of those executive orders. Subsequently, on September 15, 2011, the Commission issued a Notice of Proposed Rulemaking proposing to retire the Semi-Annual Storage Report for both interstate and intrastate natural gas companies. Retirement of the Semi-		

	Annual Storage Report will reduce the filing and administrative burden on filers. More significantly, the retirement will avoid the generation of duplicative data that is available from other Commission information collections and via company web postings. The order becomes effective March 27, 2012. (See 77 FR 4220.)
Collection(s) Affected:	Interstate semi-annual storage report, FERC-549 (1902-0086) 3,720 burden hour reduction, \$215,760 cost burden reduction; Intrastate semi-annual storage report, FERC-537 (1902-0060), 2,700 burden hour reduction, \$178,971 cost burden reduction.
Estimated Reduction:	6,420 total burden hours \$394,731 total cost burden
Date of Completion:	Completed in March, 2012
Challenges:	None

Agency:	Federal Energy Regulatory Commission	Status:	New
Office(s):	Office of Electric Reliability		
Initiative Title:	Retire Requirements in Reliability Standards		
Reduction Area(s): <i>(Check all that apply)</i>	<input type="checkbox"/> "Short Form" options <input type="checkbox"/> Frequency of information collection <input type="checkbox"/> Record retention requirements <input type="checkbox"/> Re-use of already collected data <input type="checkbox"/> Electronic "fillable fileable" forms <input checked="" type="checkbox"/> Other		
Description:	<p>In a March 2012 Order, the Commission raised the prospect of revising or removing requirements of Reliability Standards that "provide little protection for Bulk-Power System reliability or may be redundant." (March 2012 Order, 138 FERC 61,193 at P 81).</p> <p>In a February 28, 2013 petition, NERC requested Commission approval of the retirement of 34 requirements within 19 Reliability Standards. According to NERC, the 34 requirements proposed for retirement "are redundant or otherwise unnecessary" and that "violations of these requirements ... pose a lesser risk to the reliability of the Bulk-Power System." NERC stated that the proposed retirement of the 34 requirements "will allow industry stakeholders to focus their resources appropriately on reliability risks and will increase the efficiency of the ERO compliance program."</p> <p>NERC explained that the project team focused on the identification of "lower-level facilitating requirements that are either redundant with other requirements or where evidence retention is burdensome and the requirement is unnecessary" because the reliability goal is achieved through other standards or mechanisms. According to NERC, the</p>		

	<p>proposed retirement of documentation requirements will not create a gap in reliability because “NERC and the Regional Entities can enforce reporting obligations pursuant to section 400 of NERC’s Rules of Procedure and Appendix 4C to ensure that necessary data continues to be submitted for compliance and enforcement purposes.” NERC asserts that, although the P 81 project proposes to retire requirements associated with data retention or documentation, “the simple fact that a requirement includes a data retention or documentation element does not signify that it should be considered for retirement or is otherwise inappropriately designated as a requirement.”</p> <p>This initiative reduces burden on over 1,000 entities registered with NERC.</p>
Collection(s) Affected:	FERC-725A (1902-0244) – 4,667 burden hour reduction, \$280,020 cost burden reduction; FERC-725B (1902-0248) – 1,950 burden hour reduction, \$117,000 cost burden reduction; FERC-725D (1902-0247) – 2,020 burden hour reduction, \$121,200 cost burden reduction.
Estimated Reduction:	8,637 total burden hours \$518,220 total cost burden
Date of Completion:	To be determined
Challenges:	The Commission does not see any challenges with this initiative.

Agency:	Federal Energy Regulatory Commission	Status:	New
Office(s):	Office of Energy Market Regulation		
Initiative Title:	Annual Charge Filing Procedures for Natural Gas Pipelines		
Reduction Area(s): <i>(Check all that apply)</i>	<input type="checkbox"/> “Short Form” options <input checked="" type="checkbox"/> Frequency of information collection <input type="checkbox"/> Record retention requirements <input type="checkbox"/> Re-use of already collected data <input type="checkbox"/> Electronic “fillable fileable” forms <input type="checkbox"/> Other		
Description:	<p>In a Final Rule effective May 2013, the Commissions amended its regulations at 18 C.F.R. 154.402 to revise the filing requirements for natural gas pipelines that choose to recover Commission-assessed annual charges through an annual charge adjustment (ACA) clause. Currently, natural gas pipelines utilizing an ACA clause must make an annual tariff filing to reflect a revised ACA unit charge authorized by the Commission for that fiscal year. To reduce the regulatory burden on these pipelines, the Commission eliminated this annual filing requirement. In its place, the Commission required natural gas pipelines utilizing an ACA clause to incorporate the Commission-authorized annual charge unit rate by reference to that rate, as published on the Commission’s website located at http://www.ferc.gov.</p>		
Collection(s) Affected:	FERC-542 (1902-0070) – 290 burden hour reduction, \$17,110 cost burden reduction		

Estimated Reduction:	290 total burden hours \$17,110 total cost burden
Date of Completion:	Completed in August, 2013
Challenges:	None

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

3.4.4. Federal Trade Commission

Agency:	Federal Trade Commission	Status:	In-Progress
Office(s):	Premerger Notification		
Initiative Title:	Premerger Notification; Reporting and Waiting Period Requirements		

Reduction Area(s): <i>(Check all that apply)</i>	<input type="checkbox"/> "Short Form" options <input type="checkbox"/> Record retention requirements <input type="checkbox"/> Electronic "fillable fileable" forms	<input type="checkbox"/> Frequency of information collection <input type="checkbox"/> Re-use of already collected data <input checked="" type="checkbox"/> 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) Affected:	3084-0005	
Estimated Reduction:	5,712 total burden hours \$2,627,520 total cost burden	
Date of Completion:	September, 2015	
Challenges:	Technical aspects to implementation and related cost considerations will influence the outcome regarding previously contemplated electronic filing options	

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

3.4.5. National Science Foundation

Agency:	National Science Foundation	Status: New
Office(s):	National Center for Science and Engineering Statistics (NCSES)	

Initiative Title:	Survey Enhancement via Design Review
Reduction Area(s): (Check all that apply)	<input type="checkbox"/> "Short Form" options <input type="checkbox"/> Frequency of information collection <input type="checkbox"/> Record retention requirements <input type="checkbox"/> Re-use of already collected data <input type="checkbox"/> Electronic "fillable fileable" forms <input checked="" type="checkbox"/> Other
Description:	<p>NCSES is conducting an evaluation of the designs for two of the three surveys that comprise the Scientists and Engineers Statistical Data System (SESTAT). This is being done in response to recent improvements to the design of the National Survey of College Graduates that potentially offset the further need for the National Survey of Recent College Graduates. As part of the evaluation, NCSES is: 1) investigating the possibility of discontinuing the information collection for the NSRCG; 2) examining the use of the U.S. Census Bureau's American Community Survey to increase the sample of young graduates within the NSCG; and 3) studying the impact of providing data on young graduates rather than recent graduates. In place of the discontinued NSRCG, one possibility is to utilize an enhanced NSCG with an increased sample of young college graduates in the S&E degree fields.</p>
Collection(s) Affected:	<p>"National Survey of Recent College Graduates" (3145-0077) - 6,078 hour burden reduction, \$118,269 cost burden reduction; "National Survey of College Graduates" (3145-0141), approximately 6,078 hour burden increase, \$118,269 cost burden increase, for a net reduction in burden of 0 hours and a net savings to the government of \$3.5 million</p>
Estimated Reduction:	<p>0 total burden hours</p> <p>\$3,500,000.00 total cost burden</p>
Date of Completion:	To be determined
Challenges:	None

Agency:	National Science Foundation	Status:	New
Office(s):	Human Resource Management		
Initiative Title:	Use of Governmentwide Forms		
Reduction Area(s): (Check all that apply)	<input type="checkbox"/> "Short Form" options <input type="checkbox"/> Frequency of information collection <input type="checkbox"/> Record retention requirements <input type="checkbox"/> Re-use of already collected data <input type="checkbox"/> Electronic "fillable fileable" forms <input checked="" type="checkbox"/> Other		
Description:	<p>The data from the Applicant Survey is collected by NSF's Division of Human Resource Management and maintained by the NSF Office of Diversity and Inclusion. The applicant survey form (NSF 1232) is completed as a one-time registration. The Applicant Data is automatically processed by the HRM's internal employee system. It is then retrieved by authorized officials of the Office of Diversity and Inclusion and the Division of Human Resource Management for analysis and reports (to ensure compliance with Equal Employment Opportunity Commission regulations and Federal laws). During the last information collection request cycle, it was noted that the EEOC maintains a similar form, which will eliminate the need for NSF to manage a</p>		

	separate form and instead fully utilize EEOC's form, which will have updated information at all times.
Collection(s) Affected:	"Applicant Survey" (3145-0096)
Estimated Reduction:	67 total burden hours
Date of Completion:	To be determined
Challenges:	None

3.4.6. Nuclear Regulatory Commission

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

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

Agency: Nuclear Regulatory Commission		Status: In-Progress
Office(s):	Office of Investigations	
Initiative Title:	OI Monthly Report Submission	

Reduction Area(s): <i>(Check all that apply)</i>	<input type="checkbox"/> "Short Form" options <input type="checkbox"/> Record retention requirements <input type="checkbox"/> Electronic "fillable fileable" forms	<input checked="" type="checkbox"/> Frequency of information collection <input type="checkbox"/> Re-use of already collected data <input type="checkbox"/> Other
Description:	Reduce the frequency of the Investigations Report from monthly to quarterly.	
Collection(s) Affected:	Monthly calculation and production of reports for investigations opened and closed during the period of performance.	
Estimated Reduction:	350 total burden hours 25,476 total cost burden	
Date of Completion:	To be determined	
Challenges:	None	

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

Agency: Nuclear Regulatory Commission	Status: Complete	
Office(s):	Office of Federal and State Materials and Environmental Management Programs	
Initiative Title:	Web-Based Licensing (previously Project Safesource Phase I)	
Reduction Area(s): <i>(Check all that apply)</i>	<input type="checkbox"/> "Short Form" options <input type="checkbox"/> Record retention requirements <input type="checkbox"/> Electronic "fillable fileable" forms	<input type="checkbox"/> Frequency of information collection <input type="checkbox"/> Re-use of already collected data <input checked="" type="checkbox"/> Other
Description:	The NRC designed and developed GLTS to implement an annual registration program for general licensees, facilitate the tracking and accountability of general licensees and generally licensed devices. The	

	system house specific information about all 10 CFR 31.5 and 31.7 general licensees, the devices that they possess via the license, and vendors of the devices. The tasks being automated are registering and communicating with general licensees, tracking registrations, and conducting periodic mailings and surveys.
Collection(s) Affected:	3150-0017, 3150-0016, 3150-0001, 3150-0120, 3150-0038, 3150-0001, 3150-0198
Estimated Reduction:	1,758 total burden hours 194,939.83 total cost burden
Date of Completion:	Completed in September, 2013
Challenges:	None

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

Agency: Nuclear Regulatory Commission		Status: Complete
Office(s):	Office of Federal and State Materials and Environmental Management Programs	
Initiative Title:	Transition from NSTS Smart Cards to One Time Passwords	

Reduction Area(s): <i>(Check all that apply)</i>	<input type="checkbox"/> "Short Form" options <input type="checkbox"/> Record retention requirements <input type="checkbox"/> Electronic "fillable fileable" forms	<input type="checkbox"/> Frequency of information collection <input type="checkbox"/> Re-use of already collected data <input checked="" type="checkbox"/> Other
Description:	The NRC is implementing a One Time Password (OTP) credential for access to the systems in the Integrated Source Management Portfolio, which include National Source Tracking System (NSTS), Web Based Licensing (WBL), and the License Verification System (LVS). Issuing OTPs to licensees that frequently report transactions to the NSTS will reduce the reporting burden for licensees by allowing the licensees to access the NSTS from their job sites when they are working in the field. This will allow licensees to meet the reporting requirement deadline without having to submit a paper Form 748 for the transaction report.	
Collection(s) Affected:	3150-0202	
Estimated Reduction:	133.4 total burden hours 14,792.36 total cost burden	
Date of Completion:	Completed in September, 2013	
Challenges:	One Time Password deployment is one piece of the simplified credentialing solution for licensees. The full solution includes online identity proofing, which is being eliminated from the initial OTP deployment due to budget cuts.	

3.4.7. Securities and Exchange Commission

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

capabilities)	
<p>Completed in FY 2013: SEC deployed a new Electronic Data Collection System, a Tips and Complaints Referral database that will support information provided by the general public who would like to file a tip or fraud complaint with the SEC. (3235-0672- Electronic Data Collection System-TCR Database)</p> <p>Scheduled activities for FY 2014: Plans include conducting overall site redesign; the re-architecting of the SEC.gov databases to improve performance and constructing a central staging area for all structured and unstructured data that is collected by the SEC. The system currently stores the last 15 years of filings, which total more than 21 million records.</p>	
Collection(s) Affected:	Approximately 47% of the 313 information collections are filed using EDGAR and searched by the public using SEC.gov.
Estimated Reduction:	5 million total burden hours total burden hours.
Date of Completion:	Expected in October, 2015
Challenges:	Technology integration

Agency: Securities and Exchange Commission		Status: In-Progress	
Office(s):	Division of Corporate Finance, Investment Management Division, Division of Trading and Markets		
Initiative Title:	EDGAR (Electronic Data Gathering, Analysis, and Retrieval System) Modernization		
Reduction Area(s): <i>(Check all that apply)</i>	<input checked="" type="checkbox"/> "Short Form" options	<input type="checkbox"/> Frequency of information collection	
	<input checked="" type="checkbox"/> Record retention requirements	<input checked="" type="checkbox"/> Re-use of already collected data	
	<input checked="" type="checkbox"/> Electronic "fillable fileable" forms	<input type="checkbox"/> Other	
Description:	<p>The SEC has embarked on a multi-year program to reduce technology-related complexities related to its EDGAR system. Standardization will improve the SEC's ability to carry out its core mission and lead to greater customer satisfaction.</p> <p>The EDGAR Filer System allows companies and individuals to file periodic reports and provide regulatory information to the SEC. Specifically, EDGAR performs automated collection, validation, indexing, acceptance, and forwarding of submissions by companies and others who are required by law to file forms with the SEC. Its primary purpose is to increase the efficiency and fairness of the securities market for the benefit of investors, corporations, and the economy by accelerating the receipt, acceptance, dissemination, and analysis of time-sensitive corporate information filed</p>		

with the agency.	
Benefits:	
<ul style="list-style-type: none"> • Facilitate access to information for investors to make informed investment decisions • Reduce filer burden by providing a professional path and a novice path based on filer's knowledge • 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 	
Completed in FY 2013:	
Deployed electronic solutions in EDGAR for rule changes and responses to Dodd-Frank and Jobs Act regulation (Electronic Data Collection System-TCR Database, New-Form MA, Form D, Form 13F, TA-1, TA-2, TA-W, Form 25-NSE, Form FOCUS-X-17A-5, Form R31, Form 8-K, Form 10-K)	
Scheduled for FY 2014:	
Document the EDGAR filing processes including the identification of all related forms/rules and regulations	
Analyze data requirements and identify improvements in disclosure rule making	
Collection(s) Affected:	Approximately 47% of the 313 information collections are filed using EDGAR. Over 36 million hours are currently devoted to EDGAR related forms.
Estimated Reduction:	5-10 million total burden hours
Date of Completion:	Expected in October, 2015
Challenges:	Rule changes, technology integration

Agency:	Securities and Exchange Commission	Status:	In-Progress
Office(s):	Enterprise-wide		
Initiative Title:	Consolidated Data Warehouse (EDW)		
Reduction Area(s): <i>(Check all that apply)</i>	<input type="checkbox"/> "Short Form" options <input checked="" type="checkbox"/> Record retention requirements <input type="checkbox"/> Electronic "fillable fileable" forms	<input type="checkbox"/> Frequency of information collection <input checked="" type="checkbox"/> Re-use of already collected data <input checked="" type="checkbox"/> Other	
Description:	The SEC has embarked on another multi-year program to reduce technology-related complexities. This multi-year effort began in FY 2012.		

A consolidated enterprise data warehouse is continuing to be implemented that will allow internal and external users to access the “right data at the right time,” perform analysis, and aid them in their day-to-day job functions. The data warehouse will combine data from multiple and varied sources into one comprehensive and easily manipulated database.

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

Benefits:

Facilitate access to information for investors to make informed investment decisions

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

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

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

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

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

Estimated Reduction: 500,000 total burden hours

Date of Completion: Expected in October, 2015

Challenges: Technology integration

Agency: Securities and Exchange Commission **Status:** New

Office(s): Division of Trading and Markets

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

Reduction Area(s): <i>(Check all that apply)</i>	<input checked="" type="checkbox"/> "Short Form" options <input checked="" type="checkbox"/> Record retention requirements <input checked="" type="checkbox"/> Electronic "fillable fileable" forms	<input type="checkbox"/> Frequency of information collection <input type="checkbox"/> Re-use of already collected data <input checked="" type="checkbox"/> Other
Description:	<p>This multi-year effort is scheduled to begin in FY 2014. Current filings for Form 19b-4 based on the most recent rule changes are received electronically through a secure email box. The other two forms are received in paper.</p> <p>The Commission and the SROs continue to improve their systems for information gathering, storage, and retrieval through increasing use of computer technology. Some of these improvements, such as increased use of email in correspondence between the Commission and the SROs, have improved the efficiency of the Commission's oversight role. However, the process of compiling, preparing, and filing of the data required for review of each proposed rule change reflects the complexity of the SROs' businesses. The Commission believes that use of improved technology, specifically electronic filing of proposed rule changes, and posting of proposed rule changes and SRO rules on SRO websites has and will continue to reduce the respondents' burden in making these filings. Currently, the Electronic Form 19b-4 Filing System ("EFFS") is used by SROs to file proposed rule changes electronically with the Commission pursuant to Exchange Act Section 19(b), and SRO Rule Tracking System ("SRTS") is the internal Commission system used to process and manage SRO proposed rule changes.</p> <p>The Commission will be using the Electronic Form 19b-4 Filing System ("EFFS") and Form 19b-4 for Security-Based Swap Submissions and Advance Notice filings, which makes the processes efficient by utilizing the existing information technology for filing of proposed rule changes, thereby conserving both clearing agency and Commission resources.</p>	
Collection(s) Affected:	Form ATS (3235-0509; 2,873 hours), Form 19b-4 (3235-0045; 140,431 hours) and Form 1 (3235-0017; 2,041 hours)	
Estimated Reduction:	35,000 total burden hours. We are unable to determine specific burden reduction for each form at this time.	
Date of Completion:	Expected in September, 2015	
Challenges:	Rule changes	

Appendix A. Burden Reductions and Increases

Reginfo.gov gives the public access to current and historical data on information collection reviews (ICRs) by the Office of Information and Regulatory Affairs (OIRA) under the Paperwork Reduction Act. Since the summer of 2006, OIRA has been using a new, enhanced computer system, replacing a 20-year-old mainframe computer, to support the information collection review process. As mentioned in Chapter 1, this system, named ROCIS,²⁷ 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>.

²⁷ 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

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

Agency	OMB Control #	Title
Commodity Futures Trading Commission	3038-0060	Regulation 36.3 - Exempt Commercial Market Submission Requirements
Consumer Product Safety Commission	3041-0156	Requirements Pertaining to Third Party Conformity Assessment Bodies
Department of Agriculture	0583-0161	Import of Undenatured Inedible Product
	0584-0585	Direct Certification and Certification of Homeless, Migrant and Runaway Children for Free School Meals
	0596-0231	Post-Decisional Administrative Review Process

Department of Commerce		
	0648-xxxx	Annual Northern Seal Subsistence Harvest Reporting and St. George Harvest Management Plan
	0690-xxxx	Foreign National Visitor and Guest Access Program
Department of Defense		
	0704-0495	Department of Defense Education Activity (DoDEA) Student Registration
	0704-0496	Joint Personnel Adjudication System (JPAS)
Department of Energy		
	xxxx-xxxx	Better Buildings Workforce Guidelines Job Task Analyses Validation Study
	1901-0263	Unclassified Activities in Foreign Atomic Energy Programs
Department of Health and Human Services		
	0910-0622	Foreign Clinical Studies Not Conducted Under an IND
	0920-xxxx	Investigating Internet Opt-In Panels for Behavioral Surveillance
	0925-xxxx	Environmental Polymorphism Registry (EPR)
	0938-1094	Enrollment Opportunity Notice Relating to Lifetime Limits; Required Notice of Rescission of Coverage; and Disclosure Requirements for Patient Protection under the Affordable Care Act (P.L. 111-148)
	xxxx-xxxx	FOIA Form
Department of Homeland Security		
	1615-xxxx	Form I-407 - Record of Abandonment of Lawful Permanent Resident Status
	1651-0137	Small Vessel Reporting System (SVRS)
Department of Justice		
	xxxx-xxxx	NICS Appeal Request Process, shown at http://www.fbi.gov/about-us/cjis/nics/appeals/nics-appeals-process/nics-appeal-frequently-asked-questions
Department of Labor		
	1205-0513	Youthful Offender Grants Management Information System
	1219-0151	Cleanup Program for Accumulations of Coal and Float Coal Dusts, Loose Coal, and Other Combustibles
	1245-0006	Protections for Transit Workers under Section 5333(b) Urban Program
	1250-0006	Agreement Approval Process for Use of Functional Affirmative Action Programs
Department of State		

	1405-0208	PEPFAR Program Expenditures
	1405-0214	Supplemental Questionnaire to Determine Entitlement for a U.S. Passport
	1405-0215	Supplemental Questionnaire to Determine Identity for a U.S. Passport
Department of the Interior		
	1024-0265	NPS Institutional Animal Care and Use Committee (IACUC) General Submission, Exhibitor, Annual Review, and Amendment Forms
	1024-0268	Commercial Use Authorizations
	1028-0106	USGS Ash Fall Report
Department of the Treasury		
	1545-2149	TD 9278 - Treatment of Services Under Section 482; Allocation of Income and Deductions From Intangibles; Stewardship Expense
	1545-2241	Offshore Voluntary Disclosure Program (OVDP)
Department of Transportation		
	2120-0754	National Flight Data Center Web Portal
Department of Veterans Affairs		
	2900-0798	Beneficiary Travel Mileage Reimbursement Application Form
Environmental Protection Agency		
	2070-0188	Pesticide Environmental Stewardship Program Annual Measures Reporting
Export-Import Bank of the United States		
	3048-0049	MT MGA Disbursement Approval Request
Federal Deposit Insurance Corporation		
	3064-0192	Asset Sales Forms
Federal Energy Regulatory Commission		
	1902-0096	FERC-516
	1902-0267	FERC-604, Cash Management Agreements
National Aeronautics and Space Administration		
	2700-xxxx	NASA Id MAX
		NASA Rover Challenge/Moonbuggy
	2700-0156	NASA Astronaut Candidate Selection Qualification Inquiry
Nuclear Regulatory		

Commission		
3150-xxxx	NRC Form 850A, Request for NRC Contractor Building Access Authorization	
	NRC Form 850B, Request for NRC Contractor Information Technology Access Authorization	
	NRC Form 850C, Request for NRC Contractor Security Clearance	
	Suspicious Activity Reporting Using the Protected Web Server	
Office of Personnel Management		
3206-0262	Report of Withholdings and Contributions for Health Benefits, Life Insurance and Retirement	
Peace Corps		
0420-0551	Intelligence Background Questionnaire	
0420-0552	PC Digital Library	
0420-0553	Hometown News Release Form	
0420-xxxx	Donor collections forms (3 forms)	
Surface Transportation Board		
2140-0024	Agricultural Contract Summaries	
2140-0025	Recordation of Liens	
2140-0026	Water Carrier Tariffs	
2140-0027	Household Movers' Disclosure Requirements	
2140-0028	Rail Depreciation Studies	
2140-xxxx	Catch-all Petitions	
	Complaints	
	End of Year RR Service Outlook	
	Petitions for Declaratory Order	

B.1.2. Collections that expired during FY 2013 and were reinstated during FY 2013 (lapses in renewal or discontinuation)

Agency	OMB Control #	Title
Commodity Futures Trading Commission		
	3038-0012	Futures Volume, Open Interest, Price, Deliveries, and Exchanges of Futures
	3038-0017	Market Surveys
Department of Defense		
	0704-0488	Defense Trade Cooperation Treaty with the United Kingdom (DFARS 252.225)
	0720-0022	DoD Active Duty/Reserve Forces Dental Examination

Department of Education		
	1850-0067	Common Core of Data Survey System
Department of Energy		
	1901-0302	DOE Customer Surveys
	1905-0149	Financial Reporting System
Department of Health and Human Services		
	0910-0641	Guidance for Industry on Labeling for Products Approved Application as Required by the Dietary Supplement and Nonprescription Drug Consumer Act: Questions and Answers
	0938-0035	Social Security Office (SSO) Report of State Buy-in Problems
	0938-0165	Prepaid Health Plan Cost Report
	0938-0246	Certification of Medicaid Eligibility Quality Control (MEQC) Payment Error Rates and Supporting Regulations at 42 CFR.431.800 through 431.865
	0938-0345	Medicaid Statistical Information System (CMS-R-284)
	0938-0426	ICR Req's in HSQ-110, Acquisition, Protection and Disclosure of PRO Information and Supporting Regulations in 42 CFR 480.104, 480.105, 480.116, 480.134
	0938-0443	Information Collection Requirements in 42 CFR 473.18, 473.34, 473.36, and 473.42, PRO Reconsiderations and Appeals
	0938-0454	Physician Certifications/Recertifications in Skilled Nursing Facilities Manual Instructions and Supporting Regs.
	0938-0456	Indirect Medical Education (IME) and Supporting Regulations 42 CFR 412.105
	0938-0626	Electronic Funds Transfer Authorization Agreement
	0938-0679	Durable Medical Equipment Medicare Administrative Contractors (MAC) Regional Carrier, Certificate of Medical Necessity and Supporting Documentation
	0938-0697	Medicaid Report on Payables and Receivables
	0938-0887	Matching Gants to States for the Operation of High Risk Pools and Supporting Regulations at 42 CFR 148.316, 148.318, and 148.320 *CMS-10078)
	0938-0997	Medicare Uniform Institutional Provider Bill and Supporting Regulations in 42 CFR 424.5
	0938-1077	Notice of Research Exception under the Genetic Information Nondiscrimination Act
	0938-1079	Grandfathering Provisions of the Medicare DMEPOS Competitive Bidding Program in the Physician Fee Schedule and Other Revisions to Part B for CY 2010
	0938-1086	Health Care Reform Insurance Web Portal and Supporting Authority Contained in Sections 1103 and 10102 of The Patient Protection and Affordability Care Act, P.L. 111-148 (PPACA)

	0955-0002	Facts for Consumers About Health
	0985-0006	Performance (Progress) Report for AoA Grantees
Department of Housing and Urban Development		
	2502-0483	Debt Resolution Program
	2502-0538	Application for Fee or Roster Personnel (Appraisers and Inspectors) Designation and Appraisal Report Forms
	2506-0089	EMERGENCY SHELTER GRANTS PROGRAM -- FR 2562
	2506-0181	Tax Credit Assistance Program (TCAP)
	2506-0185	Neighborhood Stabilization Program 2 Reporting
	2539-0008	Healthy Home and Lead Hazard Control Grant Programs Data Collection -- Progress Reporting
	2577-0230	Public Housing Reform; Change in Admission and Occupancy Requirements
	2577-0266	Enterprise Income Verification (EIV) System - Debts owed to Public Housing Agencies and Terminations
Department of Justice		
	1110-0026	Federal Firearms Officer/Employee Acknowledgment of Responsibilities Form Federal Firearms Licensee/E-Check Enrollment Form
	1117-0052	National Drug Threat Survey
	1121-0140	OJP Standard Assurance form
	1121-0170	Crime Victim Compensation State Certification Form
	1121-0309	International Terrorism Victim Expense Reimbursement Program Application
	1121-0329	OJP Solicitation Template
	1121-0333	Teen Dating Relationships Opportunities for Youth to Define What's Healthy and Unhealthy (Pilot study)
Department of the Treasury		
	1545-0162	Credit for Federal Tax Paid on Fuels
	1545-1850	REG-140930-02 (Final) Testimony or Production of Records in a Court or Other Proceeding (TD 9178)
	1545-2001	Rev. Proc. 2006-16, Renewal Community Depreciation Provisions
Department of Transportation		
	2126-0042	COMPASS Portal Customer Satisfaction Assessment
	2127-0003	23 CFR Parts Uniform Safety Program Cost Summary Form for Highway Safety Plan
Department of Veterans Affairs		
	2900-0335	Dental Record Authorization and Invoice for Outpatient Service
	2900-0358	Supplemental Information for Change of Program or Re-enrollment After Unsatisfactory Attendance, Conduct or Progress

	2900-0376	Agent Orange Registry Code Sheet
	2900-0518	Income Verification
	2900-0523	Loan Analysis
	2900-0742	Survey of Chronic Gastrointestinal Illness in Persian Gulf Veterans (Irritable Bowel Syndrome - Diarrhea)
	2900-0747	Fully Developed Claims- Applications for Compensation, Pension, DIC, Death Pension, and/or Accrued Benefits
	2900-0774	Compensation and Pension Examination Program (CPEP) Veterans Satisfaction Survey
	2900-0775	Patient Satisfaction Survey Michael E. DeBakey Home Care Program
Federal Deposit Insurance Corporation		
	3064-0153	Basel II Capital: Disclosures and Recordkeeping
Federal Energy Regulatory Commission		
	1902-0140	FERC-714, annual Electric Balancing Authority Area and Planning Area Report
	1902-0240	FERC-607, Report on Decision or Action on Request for Federal Authorization
Grants.gov		
	4040-0001	SF-424 Research & Related (R&R)
Small Business Administration		
	3245-0201	Compensation Agreement;
	3245-0205	8(a) Annual Update

B.1.3. Collections that expired before FY 2013 and were reinstated during FY 2013 (lapses in renewal or discontinuation)

Agency	OMB Control #	Title
Consumer Product Safety Commission		
	3041-0019	Ban of Certain Articles Known as Baby-Bouncers, Walker-Jumpers, and Baby Walkers, 16 CFR Section 1500.18(a)(6) and Section 1500.86(a)(4)
Corporation for National and Community Service		
	3045-0047	All AmeriCorps Application Instructions: State, National Direct, State Education Award Program, Direct Education Award Program, National Professional Corps, Indian Tribes, State & Territories..
Department of		

Defense	
0701-0101	Air Force ROTC College Scholarship Application
0704-0125	Post-election Survey of Local Election Officials
0704-0207	Militarily Critical Technical Data Agreement
0704-0320	Procurement Technical Assistance Center Cooperative Agreement Performance Report
0704-0382	End Use Certificate
0704-0453	Application for a Review by the Physical Disability Board of Review
0704-0456	DoDEA Sure Start Parent Questionnaire
0704-0457	Department of Defense Education Activity (DoDEA) Research Approval Process
0730-0008	Application for Former Spouse Payments from Retired Pay Revitalizing Base Closure Communities, Economic Development
0790-0004	Conveyance Annual Financial Statement
0790-0005	Informal DoD Review of Energy Projects
Department of Energy	
1905-0186	Generic Clearance of Questionnaire Testing, Evaluating, and Research
Department of Health and Human Services	
0910-0117	New Animal Drugs for Investigational Use
0910-0583	Recommendations for Early Food Safety Evaluation of New Non-Pesticidal Proteins Produced by New Plant Varieties Intended for Food Use
0910-0699	Applications for Food and Drug Administration Approval to Market a New Drug; Revision of Postmarketing Reporting Requirements--Discontinuance
0938-0301	Medicare Provider Cost Report Reimbursement Questionnaire and Supporting Regulations in 42 CFR 413.20, 413.24, and 415.60
0938-0338	Conditions of Participation for Portable X-ray Suppliers and Supporting Regulations in 42 CFR Sections 486.104, 486.106, 486.110
0938-0534	Attending Physician's Certification of Medical Necessity for Home Oxygen Therapy and Supporting Regulations 42 CFR 410.38 and 42 CFR 424.5
0938-0600	Medicare Credit Balance Reporting Requirements and Supporting Regulations in 42 CFR 405.371, 405.378, and 413.20
0938-0685	Medicare Enrollment Application
0938-0702	Information Collection Requirements Referenced in HIPAA for the Group Market, Supporting Regulations 45 CFR 146, and forms/instructions
0938-0776	Medicare Program: Process for Making National Coverage Determinations

0938-0818	Expanded Coverage for Diabetes Outpatient Self-Management Training Services and Supporting Regulations Contained in 42 CFR 410.141, 410.142, 410.143, 410.144, 410.145, 410.146....
0938-0866	ICRs Contained in 45 CFR Part 162; HIPAA Standards for Electronic Transactions
0938-0878	Collection of Diagnostic Data from Medicare Advantage Organizations for Risk Adjusted Payments Supporting Reg 42 CFR Part 422 & 423 Subparts F and G
0938-0929	FEDERAL REIMBURSEMENT OF EMERGENCY HEALTH SERVICES FURNISHED TO UNDOCUMENTED ALIENS (SECTION 1011) PROVIDER ENROLLMENT APPLICATION
0938-0949	Health Insurance Reform Security Standards - Final Rule
0938-0952	Federal Funding of Emergency Health Services (Section 1011); Provider Payment Determination and On-Call Cost Forms
0938-0958	Monthly State File of Medicaid/Medicare Dual Eligible Enrollees (CMS-10143)
0938-0967	Data Collection for Medicare Beneficiaries Receiving Implantable Cardioverter-defibrillators for Primary Prevention of Sudden Cardiac Death
0938-0968	Data collection for Medicare Beneficiaries Receiving FDG Positron Emission Tomography (PET) for Brain, Cervical, Ovarian, Pancreatic, Small Cell Lung, and All Other Cancers
0938-0969	Medicare Fee-for-Service Early Review of Medical Records
0938-0974	Payment Error Rate Measurement in Medicaid and the State Children Health Insurance Program
0938-0983	Medicare EDI Enrollment Form and EDI Registration
0938-0999	Insurance Common Claims Form and Supporting Regulations at 42 CFR Part 424 Subpart C
0938-1022	Additional Quality Measures and Procedures for Hospital Reporting of Quality Data for the FY 2008 IPPS Annual Payment Update (Surgical Care Improvement Project & Mortality Measures)
0938-1052	Consolidated Renal Operations in a Web Enabled Network (CROWNWeb) Third-party Submission Authorization Form
0938-1093	Disclosure and Recordkeeping Requirements for Grandfathered Health Plans under the Affordable Care Act
0938-1099	Affordable Care Act Internal Claims and Appeals and External Review Procedures for Non-grandfathered Group Health Plans and Issuers and Individual Market Issuers
0938-1161	Pre-Existing Condition Insurance Plan (PCIP) HIPAA Authorization Form
0990-0281	Prevention Communication Formative Research
Department of Homeland Security	
1652-0032	Transportation Security Officer Medical Questionnaire
Department of Housing and Urban	

Development		
	2502-0261	Housing Counseling Program
		HUD-Administered Small Cities Program Performance Assessment Report
	2506-0020	Report
	2506-0179	Congressional Earmark Grants
		Continuum of Care Homeless Assistance Grant Application- Technical Submission
	2506-0183	
	2535-0116	Generic Customer Satisfaction Surveys
		Public Housing Agency (PHA), Lease Requirements, Recordkeeping Requirements
	2577-0006	
	2577-0200	Loan Guarantees for Indian Housing
	2577-0232	Screening and Eviction for Drug Abuse and Other Criminal Activity
Department of Justice		
		Victim of Crime Act, Victim Assistance Grant Program, Subgrant Award Report
	1121-0142	
	1121-0240	2008 Census of State and Local Law Enforcement Agencies
	1125-0009	Application for Suspension of Deportation
	1140-0091	Customer Satisfaction Surveys
Department of State		
	1405-0088	Affidavit of Identifying Witness
Department of the Treasury		
	1513-0111	COLAs Online Access Request
Department of Transportation		
	2105-0538	Disclosure of Change-of-gauge Services
		Counseling Information Form; Regional Center Intake Form and Monthly Report of Operations Form.
	2105-0554	
	2105-0555	Short-term Lending Program Online Application
	2105-0556	Individual Complaint of Employment Discrimination
	2138-0041	Airline Service Quality Performance -- Part 234
Environmental Protection Agency		
		Participation by Disadvantaged Business Enterprises in Procurement under EPA Assistance Agreements
	2090-0030	
Grants.gov		
	4040-0004	SF-424 Discretionary
	4040-0010	SF-424 Project/Performance Site Location(s) Form
Merit Systems Protection Board		
	3124-0009	E-Appeal/US Merit Systems Protection Board Appeal Form
National Indian Gaming Commission		

	3141-0014	Process for certification of Electronic, Computer, or other Technologic Aids used in the play of Class II Games.
National Mediation Board		
	3140-0001	Application for Investigation of Representative Dispute
	3140-0002	Application for Mediation Services
Small Business Administration		
	3245-0270	Representatives Used and Compensation Paid for Services in Connection with Obtaining Federal Contracts

B.1.4. Collections that expired during FY 2013 and were not renewed or discontinued in FY 2013 (lapses in renewal or discontinuation)

Agency	OMB Control #	Title
Corporation for National and Community Service		
	3045-0099	Administrative, Program Development Assistance and Training, Disability Funds
Department of Defense		
	0702-0110	Application and Agreement for Establishment of a National Defense Cadet Corps Unit
	0703-0012	Personal Information Questionnaire
	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
	0720-0006	TRICARE DoD/CHAMPUS Medical Claim Patient's Request for Medical Payment
	0720-0028	TRICARE Plus Enrollment Application TRICARE Plus Disenrollment Request
	0720-0034	Department of Defense (DoD) Patient Safety Culture Survey
	0720-0035	TRICARE Dental Program (TDP) Claim Form
Department of Energy		
	1901-0296	Monthly Electricity Import and Export Survey
	1910-5167	Electric Sector Cybersecurity Risk Management Maturity Initiative
Department of Health and Human Services		
	0920-0669	Monitoring State Nutrition, Physical Activity and Obesity Programs
	0925-0609	Parental Knowledge, Attitudes, and Behaviors Related to Pediatric Cardiovascular Health
	0930-0309	Fetal Alcohol Spectrum Disorder (FASD) Center for Excellence

	Parent-Child Assistance Program (P-CAP)
0930-0310	Jail Diversion and Trauma Recovery- Priority to Veterans Program Evaluation
0935-0165	Collection of Information for Agency for Healthcare Research and Quality's (AHRQ) Consumer Assessment of Healthcare Providers and Systems (CAHPS) Health Plan Survey Comparative Database
0935-0184	Connecting Primary Care Practices with Hard-to-Reach Adolescent Populations
0938-0025	Request for Termination of Premium-Hospital and or Supplementary Medical Insurance and Supporting Regulations in 42 CFR Sections 406.13 and 407.27
0938-0062	Intermediate Care Facility for the Mentally Retarded or Persons with Related Conditions ICF/MR Survey Report Form (3070G-I) and Supporting Regulations at 42CFR 442.30, 483.410, 483.420,...
0938-0080	Application for Hospital Insurance Benefits Medicare for Individuals with End Stage Renal Disease and Supporting Regulations in 42 CFR 406.7 and 406.13
0938-0146	State Medicaid Eligibility Quality Control Sampling Plan
0938-0147	State Medicaid Eligibility Quality Control Sample Selection Lists and Supporting Regulations at 42 CFR 431.800 - 431.865
0938-0214	Medicare Secondary Payer Informaiton Collection and Supp. Regs. in 42 CFR 489.20, 411.25, 489.2
0938-0334	Conditions for Coverage for Rural Health Clinics -- 42 CFR Section 491.9 and 491.10
0938-0355	Home Health Agency Survey and Deficiencies Report, Home Health Functional Assessment Instrument and Supporting Regulations in 42 CFR 488.26 and 442.30 (CMS-1515 & 1572)
0938-0691	Medicare Disproportionate Share Adjustment Procedures and Criteria and Supporting Regulations in 42 CFR 412.106
0938-0781	Home Health Advance Beneficiary Notices and Supporting Regulations in 42 CFR, Section 411.404 and 484.10(a) and (e)
0938-0993	State Plan preprints to implement Sections of the Deficit Reduction Act of 2006 (CMS-10190)
0938-0994	Medicaid and Children's Health Insurance Plan (CHIP) Managed Care
0938-1000	Medicare Parts C and D Universal Audit Guide
0938-1013	CREDITABLE COVERAGE DISCLOSURE TO CMS ON-LINE FORM AND INSTRUCTIONS
0938-1062	Recovery Act of 2009 - Request for Review If You Have Been Denied Premium Assistance
0938-1071	Ambulatory Surgical Centers Conditions of Coverage
0938-1074	Mandatory Insurer Reporting Requirements of Section 111 of the Medicare, Medicaid and SCHIP Act of 2007
0938-1080	Medical Necessity Disclosure under MHPAEA and Claims Denial

	Disclosure under MHPAEA
0938-1082	Option to Cover Certain Children and Pregnant Women Lawfully Residing in the U.S. State Plan Amendment Template (CMS-10299)
0938-1084	Additional State Plan Option for Providing Premium Assistance State Plan Templates under Title XIX and XXI (CMS-10300)
0938-1091	Comprehensive Outpatient Rehabilitation Facilities (CORFs) Conditions of Participation (CoP) and Supporting Regulations
0938-1158	Medicare and Medicaid Programs; Electronic Health Record Incentive Program
0985-0018	AoA Uniform Project Description
0985-0022	Alzheimer's Disease Supportive Services Program (ADSSP) Data Collection
0990-0169	Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments
0990-0208	Applicant Background Survey
Department of Homeland Security	
1625-0011	CG-2554 Private Aids to Navigation Application. CG-4143 Application for Class I Private Aids to Navigation Artificial Islands/Fixed Structures
1653-0019	Emergency Federal Law Enforcement Assistance
1660-0022	Community Rating System (CRS) Program-Application Worksheets and Commentary
1660-0034	Emergency Management Institute Residential Course Evaluation Form
Department of Housing and Urban Development	
2501-0021	Federal Labor Standards Payee Verification and Payment Processing
2502-0539	Home Mortgage Disclosure Act (HMDA) Loan/Application Register
2529-0013	Affirmative Fair Housing Marketing Plan
2577-0062	Energy Conservation for PHA-owned or Leased Projects - Audits, Utility Allowances
2577-0161	Public Housing, Contracting with Resident-Owned Businesses
Department of Justice	
1110-0035	State POC Final Determination Electronic Submission
1110-0046	Arrest and Information (Criminal) Fingerprint Card; Applicant Fingerprint Card and Personal Fingerprint Card
1117-0042	National Clandestine Laboratory Seizure Report
1121-0166	Report of Public Safety Officers' Permanent and Total Disability
1121-0220	Application for Public Safety Officers' Educational Assistance
1121-0235	Bulletproof Vest Partnership Act 1998
1121-0270	Southwest Border Prosecution Initiative

	1121-0330	LAW ENFORCEMENT OFFICERS CONGRESSIONAL BADGE OF BRAVERY
Department of the Treasury		
	1545-1976	Profit or Loss From Farming
	1545-2157	REG-155929-06, Payout Requirements for Type III Supporting Organizations that are not Functionally Integrated
	1545-2185	REG- 128841-07 - Public Approval Guidance for Tax-Exempt Bonds
Department of Transportation		
	2105-0560	ARRA OST National Surface Transportation System
	2105-0561	14 CFR Parts 234, 259, and 399 Enhancing Airlines Protections
	2105-0566	Tarmac Delays Report Filing and Posting to Websites
	2125-0625	Proposal for SAFETEA-LU Section 6009 Phase 2 Implementation Study Survey
	2125-0632	USDOT Survey of the Use of Categorical Exclusions in Transportation Projects Since 2005, is required by Moving Ahead for Progress in the 21st Century (MAP-21) section 1318
	2127-0501	Certification Requirements for State Grants for Drunk Driving Prevention Programs
	2127-0687	National Priority Safety Programs
Environmental Protection Agency		
	2005-0001	Great Lakes Accountability System
National Aeronautics and Space Administration		
	2700-0010	Patent License Report
	2700-0039	Application for a Patent License
	2700-0048	Patents - Grants and Cooperative Agreements
	2700-0063	NASA Safety Reporting System
	2700-0064	Locator and Information Services Tracking System (LISTS) Form
	2700-0078	Mentor Protege Program Small Business and Small Disadvantaged Business Concerns
	2700-0093	Grants & Cooperative Agreements with State and Local Governments
	2700-0095	NASA Small Business Innovation Research Commercial Metrics
	2700-0114	GLOBE Program Evaluation
	2700-0119	NASA Centennial Challenges Idea Submission Web Forms
	2700-0122	NASA Foreign National Access Information
	2700-0124	Small Business Innovative Research/Small Business Technology Transfer Contractor Re-certification of Program Compliance
	2700-0138	LERCP (Lewis Educational Research and Collaborative Internship Program)

	2700-0140	Biennial NextGen Safety Issue Survey
	2700-0152	NASA Explorer Schools
Small Business Administration		
	3245-0016	Applications for Business Loans
	3245-0101	Information for Small Business Size Determination
	3245-0183	SBA Counseling Evaluation
	3245-0368	Lenders Disbursement & Collection Report
Social Security Administration		
	0960-0616	Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals and Other Non-profit Organizations

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 Agencies²⁸ and 6 Independent Agencies.²⁹ 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,³⁰ OMB has added this appendix to show all agencies with paperwork burdens greater than one million hours. Table 4 lists the eight additional agencies with paperwork burdens greater than one million hours in FY 2013. Though including these agencies in the baseline total affects comparability across ICBs, OMB intends to improve reporting completeness by officially including the agencies with greater than one million burden hours in its baseline total for the 2015 ICB. This Appendix serves as a notice of this future change.

In total, these eight agencies add about 94.55 million hours to the total amount of time the public spent responding to Federal information collections. Accounting for all of the remaining agencies, including those eight agencies as well as the very small agencies under the one million hour threshold, would add about 98 million additional hours to the total burden. Thus, agencies outside of the group of 28 “ICB agencies” historically presented in Chapter 1 account for about one percent of the total paperwork burden imposed by the Federal government; these agencies’ totals would increase the FY 2012 total from about 9.45 billion to 9.55 billion hours.

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

Agency	FY 2012 Total Paperwork Burden	FY 2013 Total Paperwork Burden	% Change from FY '12
Consumer Financial Protection Bureau	37.17	39.31	5.8%
Federal Reserve System	12.64	13.48	6.6%
Equal Employment Opportunity Commission	13.26	13.25	-0.1%
Consumer Product Safety Commission	0.76	7.47	882.9%
Commodity Futures Trading Commission	3.14	7.42	136.3%
Office of Personnel Management	6.42	6.43	0.2%
General Services Administration	5.12	6.17	20.5%
Corporation for National and Community Service	0.99	1.02	3.0%

²⁸ 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.

²⁹ 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.

³⁰ Major legislative changes include the Dodd–Frank Wall Street Reform and Consumer Protection Act, which created the CFPB and amended the Commodity Exchange Act. Major program changes include the USA Jobs 3.0 update, which lowered the burden imposed by OPM.

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

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