



EXECUTIVE OFFICE OF THE PRESIDENT
OFFICE OF MANAGEMENT AND BUDGET
WASHINGTON, D.C. 20503

September 17, 1999

THE DIRECTOR

OMB BULLETIN NO. 99-06

TO THE HEADS OF EXECUTIVE DEPARTMENTS AND AGENCIES

SUBJECT: Fiscal Year 2000 Information Collection Budget

- 1. What is the purpose of this Bulletin?** This bulletin instructs your Chief Information Officer (CIO) how to prepare and submit information to the OMB Office of Information and Regulatory Affairs (OIRA) that will be the basis for the Fiscal Year 2000 Information Collection Budget. This annual report describes the information collection burden imposed by the Federal government on the public, progress of the agencies towards the burden reduction goals set forth in the Paperwork Reduction Act of 1995 (PRA), and agency activities to improve the public's access to Federal information resources.
- 2. When are responses to the Bulletin due?** Submissions are due to OIRA no later than Friday, December 17, 1999.
- 3. Who must respond to this Bulletin?** The Chief Information Officers from the following agencies must comply with the requirements of this Bulletin:

Department of Agriculture
Department of Commerce
Department of Defense
Department of Education
Department of Energy
Department of Health and Human Services
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)
Federal Communications Commission

Federal Deposit Insurance Corporation
Federal Emergency Management Agency
Federal Energy Regulatory Commission
Federal Trade Commission
National Aeronautics and Space Administration
National Science Foundation
Nuclear Regulatory Commission
Securities and Exchange Commission
Small Business Administration
Social Security Administration

If your agency is not listed here, you do not need to do anything under this Bulletin.

4. **What is the governmentwide Paperwork Reduction Goal for FY 2000?** The Paperwork Reduction Act of 1995 requires OMB to “set an annual Government-wide goal for the reduction of information collection burdens by at least . . . 5 percent during each of the fiscal years 1998, 1999, 2000, and 2001.” 44 U.S.C. 3505(a)(1). In accordance with the Act, and in light of the agencies’ statutory and programmatic requirements as reflected in prior ICBs, OMB is setting a “Government-wide goal for the reduction of information collection burdens” for FY 2000 of 5%.

5. **What must my agency’s submission include?** Your CIO is required to submit the following information:
 - A. a cover letter describing agency initiatives that have resulted or will result in specific reductions of burden on the public, with special consideration for reductions through changes to regulations, particularly where it affects small business, and through electronic commerce;
 - B. your agency’s Information Collection Budget submission and supporting material, prepared in accordance with the instructions in Appendix A;
 - C. data regarding your agency’s compliance with the information collection provisions of the Paperwork Reduction Act, prepared in accordance with the instructions in Appendix B; and
 - D. a narrative description of your agency’s current plans for the provision of agency services electronically, including a proposed timetable for implementation, prepared in accordance with the instructions in Appendix C.

All submissions should be consistent with OMB fiscal and policy guidance.

6. **In what format should the CIO provide this information to OMB?** OMB would like this information electronically on a 3.5" diskette along with one paper copy. Please label

the disk with the agency name and the filenames of the submission. Please use the following file formats.

- A. Where this Bulletin instructs you to prepare a table, you should submit the table in one of the following formats, in order of preference:
- (1) Microsoft Excel 97 or earlier;
 - (2) Lotus 1-2-3, Release 9 or earlier; or
 - (3) A dot-delimited ASCII file (a “.” separates each cell in a row).
- B. Otherwise, you should submit the information requested in one of the following formats, in order of preference:
- (1) WordPerfect, version 8.0 or earlier; or
 - (2) Microsoft Word 97 or earlier.

7. **What is the legal authority under which OMB is requiring this information?** This Bulletin is issued pursuant to the Budget and Accounting Act of 1921, as amended; the Budget and Accounting Procedures Act of 1950, as amended; and the Paperwork Reduction Act of 1995.

8. **Where must these submissions be delivered?** The information required under this Bulletin must be delivered no later than **December 17, 1999**, to:

David Rostker
The Office of Information and Regulatory Affairs
The Office of Management and Budget
725 17th Street, NW - Room 10202
Washington, D.C. 20503

9. **Will OMB conduct hearings on my agency’s submission?** OMB will schedule, as needed, hearings with an agency on its progress toward burden reductions goals and agency compliance with the Paperwork Reduction Act.
10. **Who should I contact for further information?** Questions about specific agency matters should be directed to the agency's Desk Officer in OMB's Office of Information and Regulatory Affairs.

Questions about this Bulletin should be directed to David Rostker, tel. (202) 395-3897, E-mail: David_Rostker@omb.eop.gov.

11. **When does this Bulletin expire?** This Bulletin expires September 30, 2000.

/s/

Jacob J. Lew
Director

Attachments

INFORMATION COLLECTION BUDGET (ICB)

1. **What is the purpose of this Appendix?** This appendix explains what information you will need to gather from within your agency to develop your Information Collection Budget (ICB) submission for FY 2000 and what you must submit to OMB and how.
 - A. Part 1 discusses how you should prepare to begin working on your ICB submission and some general ideas we would like you to keep in mind.
 - B. Part 2 describes how to prepare a chart which lists all of the transactions which affected your burden totals for FY 1999 and a chart which lists all of the expected transactions which you used to estimate your FY 2000 total burden.
 - C. Part 3 describes how to prepare a chart showing the changes in your agency's total burden from FY 1998 to FY 2000, broken down into different kinds of program changes and adjustments.
 - D. Part 4 instructs you to describe a limited number of significant examples of your agency's paperwork reductions and increases for FY 1999 and planned reductions and increases for FY 2000, grouped by how or why the change occurred.

Part 1: Preparation

2. What do I need to know before I start working on the ICB submission?

- A. **Burden Reduction Goals:** The governmentwide burden reduction goal for FY 2000 is five percent of the FY 1999 total burden. To help in this regard, you need to make every effort to ensure that your agency will achieve the “maximum practicable” reductions given your agency’s statutory and programmatic responsibilities.
- B. **Agency Initiatives:** In the cover letter to your agency’s submission under this Bulletin, the CIO should describe agency initiatives which have resulted or will result in specific burden reduction. These initiatives should be reflected in your ICB submission. We are especially interested this year in two specific kinds of burden reduction.
- (1) *Burden reduction through the use of electronic systems to collect and process information.* The electronic provision of services by the Federal government is becoming increasingly important, and with the passage of the Government Paperwork Elimination Act, we want to ensure that information collection burden is considered when these new systems are designed and come online.
- (2) *Burden reduction through changes in regulation, especially as it affects small businesses.* We want to encourage you to work with program officials to further examine your agency’s regulatory paperwork burden and find additional ways to relieve the paperwork burden on small businesses.
- C. **Categorizing Burden Changes:** We are working to improve the quality of the information you provide to us and we provide to the public. One way is by breaking down changes from one year to the next. In parts 2 and 3, we ask you to break the change in burden for each collection into adjustments and three different kinds of program changes. In part 4, we ask you to break program changes down even further for the purpose of giving greater detail on your agency’s most significant burden changes. You should look at these categories and keep them in mind when you request information from your agency.
- D. **Dollar Costs:** Many agencies now report paperwork burden in terms of dollar costs, as well as burden hours. For example, the burden of a regulatory recordkeeping requirement is more readily estimated in terms of the dollar cost (e.g., for the space and equipment needed for storage) than time. Similarly, the burden of a third-party disclosure (e.g., the table describing the nutritional content of packages foods on food containers) is also more readily estimated in terms of cost. (These dollar costs are separate from hour burdens and are not hour burdens that are converted into dollars.)

Starting with the last ICB, we reported both the hour and financial burdens of information collections as you reported them in your information collection requests. Thus, when discussing burden, you should include, as appropriate, both burden hours and dollar costs.

3. **What do I need to do before I start working on the ICB submission?** The first thing you should do, upon receipt of these instructions, is review the monthly inventory of information collections that you receive from OMB. We intend to publish our database's number for September 30, 1999, as the burden total for FY 1999. Therefore, you need to make sure our database records are accurate and consistent with your records. Please pay special attention to the cost estimates. (Remember the 83-I and our database track costs in thousands of dollars, not dollars.) Submit any corrections to your desk officer on a Form 83-C with an explanation.
4. **How do I begin working on the ICB?** There are always two parts to the ICB, a review of the previous fiscal year (FY 1999) and a look toward the next (FY 2000). You should begin working on the look toward FY 2000. You may wish to wait to begin the review of FY 1999 until after September 30, 1999.

Work with the program officials in your agency to identify all potential changes in information collection activities in FY 2000. Make sure you have, for each change, an OMB number (if assigned), the expected program change and/or expected adjustment for burden hours and costs. You will need this information to estimate your agency's FY 2000 total hour burden.

For the most important changes in burden, ask the program officials for the additional information required in Part 4.

Important: given the governmentwide burden reduction goal of 5% for FY 2000, you should make every effort to ensure that your agency does all that it can to contribute to achieving this goal.

Part 2: A Comprehensive Accounting

5. **How is this accounting different than in previous years?** In previous ICB submissions, we simply requested that you prepare an aggregate total burden for the fiscal years in question. This year we are asking you to provide details on all of the transactions (anything which generated a “Notice of Action” signed by the Deputy Administrator of OIRA and any expiration of an OMB control number) that occurred or will occur during the year to explain the fiscal year burden totals. We believe this change will make it easier to reconcile OMB and agency records as well as make it easier to provide descriptive details about governmentwide changes in burden.

In particular, you will need to break out for each transaction the following information:

- A. Net Program Change, which is the sum of:
- (1) Change in burden due to new statutory requirements (see below);
 - (2) Change in burden due to new, reinstated, or expired collections (see below);
 - (3) Change in burden due to other agency actions; and
- B. Adjustment (see below).

If your agency conducts information collections on a regular basis with a frequency of less than once a year, you should contact your OIRA desk officer to discuss how you should account for these net program changes.

6. **When can we attribute a program change to a new statutory requirement?** You should only attribute a program change to a new statutory requirement when the information collection directly related to a change in statute within the last five years (after January 1, 1995). This should not include increases in burden due to long-standing statutory mandates or recurring statutory requirements. You may however include changes if this is the first time your agency is implementing a statute that has been law for many years. Please consult your OIRA desk officer if you are uncertain.
7. **What changes in burden should be listed under new, reinstated, or expired?** You should list under this category any change in burden due to:
- A. An approved request for a new OMB control number (including approval of collections previously existing without OMB approval);

- C. In column 5, the change in hour or cost burden due to program changes by the agency that were not attributed to statutory changes or new, reinstated or expired collections;

Columns 3, 4, and 5 should sum up to the burden total OMB provided in column 6. You should total columns 3 through 7 and enter the total at the bottom of each column.

In column 8, place an "X" for each transaction for which you have written a description in Part 4 of this Appendix.

12. **How do I report to OMB transactions that we expect will affect burden during FY 2000?** You should report every transaction that you expect will affect burden during FY 2000 in two tables in formats similar to Figures 1 and 2, excluding column 2 (Date). Please list expected transactions in order by OMB number. List new collection not yet assigned an OMB number at the bottom of the list with the appropriate four digit prefix. We will provide empty charts to complete along with the information for FY 1999.
13. **Do I need to provide an entry for every transaction we expect during FY 2000?** No, you only need provide an entry for transactions that will affect your total burden for FY 2000. You also have the discretion to ignore very small transactions, but then you should not include these changes in your FY 2000 expected total burden.

Part 3: Aggregate Burden Totals

- 14. How do I report aggregate burden totals for FY 1999?** You will complete a table similar to that shown in Figure 3, which we will provide as part of the Microsoft Excel spreadsheet file we will provide to complete Part 2. The totals for the tables in Part 2 should be directly transferred the appropriate spreadsheet cells. **(The numbers in Figure 3 correspond to the appropriate cells in figures 1 and 2.)**

Next, you will check to make sure your totals reflect the change between the FY 1998 and FY 1999 totals. The “9” cells will have the published totals from the *Information Collection Budget of the United States, FY 1999*. The “10” cells will have the totals generated by our database at the end of FY 1999. If cells 9, 6, and 7 do not add up to cell 10, you will need to revisit your charts prepared for Part 2 to ensure that program changes or adjustments listed there were not already included in the FY 1998 total. Otherwise, please discuss any discrepancies with OIRA.

- 15. How do I report expected aggregate burden totals for FY 2000?** Again, use the information you collected for FY 2000 in Part 2 to complete the corresponding cells in Figure 3. Add the aggregate burden total for FY 1999 to the expected net program change for FY 2000 and the expected net adjustments for FY 2000 to get an expected aggregate burden total for FY 2000.

SUMMARY TABLE OF BURDEN CHANGES	Burden Hours	Cost Burden (\$,000)
FY 1998 Total Burden	9	
FY 1999 Program Changes Due to New Statutes	3	
FY 1999 Program Changes Due to New Reinstated or Expired Collections	4	
FY 1999 Program Changes Due to Other Agency Actions	5	
SUBTOTAL: FY 1999 Total Program Changes	6	
FY 1999 Adjustments	7	
FY 1999 Total Burden	10	
Expected FY 2000 Program Changes Due to New Statutes		
Expected FY 2000 Program Changes Due to New Reinstated or Expired Collections		
Expected FY 2000 Program Changes Due to Other Agency Actions		
SUBTOTAL: Expected FY 2000 Total Program Changes		
Expected FY 2000 Adjustments		
Expected FY 2000 Total Burden		

Figure 4

Part 4: Examples of Significant Burden Changes

16. **What does “significant” mean?** Significant burden reductions are those which demonstrate the agency’s adherence to the principles of the Paperwork Reduction Act and have a meaningful impact on the burden imposed on the public. Significant burden increases are generally those that have attracted controversy and/or have a meaningful impact on the public. Significant burden changes do not include adjustments, only program changes. For simplicity sake, we are requesting that you limit discussion to burden changes of 10,000 hours and/or \$10,000,000 or greater.
17. **What kinds of burden reductions and increases should I describe?** We are splitting information on program changes into several categories. Please include each change in only one of the following categories. If two or more categories could apply to a single change, select the category that is most appropriate.
- A. Burden reductions should be placed into one of the following six categories.
- (1) **Changing Regulations:** Reducing information collection burden by revising existing regulations to eliminate unnecessary requirements or completely changing the way you regulate;
 - (2) **Cutting Redundancy:** Reducing information collection burden by raising reporting thresholds to reduce the number of reports that need to be submitted, or cutting the frequency of periodic reporting requirements, or consolidating information collections, or working together with other agencies to share information across programs;
 - (3) **Changing Forms:** Reducing burden by simplifying and streamlining forms, making them easier to read and fill out and by making programs easier to apply for;
 - (4) **Using Information Technology:** Reducing burden by putting in place electronic systems that can speed the exchange of information between the government and the public and allow respondents to use their own information technology to ease reporting burdens;
 - (5) **Statutory Reductions:** Reducing burden because of recently enacted statutes; and
 - (6) **Other:** Reducing burden through other agency efforts.
- B. Burden increases should be placed into one of the following two categories:

- (1) **Statutory Increases:** Increasing burden due to new statutory requirements (see question VI for more information; and
- (2) **Other:** Increasing burden due to other factors.

18. What information do I need to describe these changes? At a minimum you will need:

- A. title of the collection and/or title of the initiative;
- B. what information is/was collected prior to the change from whom for what purpose;
- C. what is/was changed, how it affected burden, and if part of a broader agency initiative;
- D. the change in burden (hours and costs, program changes only); and
- E. for statutory increases and reductions, the full name of the statute and public law number.

19. How should I report this information? Use the format provided below for FY 1999. Repeat for FY 2000. Each entry should be no more than 100 words.

Reductions:

Changing Regulations

OMB #:
Title:
Purpose of the
Collection:
How Reduction
Achieved:
Change in Burden:

Cutting Redundancy

OMB #:
Title:
Purpose of the
Collection:
How Reduction
Achieved:
Change in Burden:

Changing Forms

OMB #:
Title:
Purpose of the
Collection:
How Reduction
Achieved:
Change in Burden:

Using Information Technology

OMB #:
Title:
Purpose of the
Collection:
How Reduction
Achieved:
Change in Burden:

Statutory Reductions

OMB #:
Title:
Purpose of the
Collection:
How Reduction
Achieved:
Change in Burden:
Statute Title and
P.L. #:

Other

OMB #:
Title:
Purpose of the
Collection:
How Reduction
Achieved:
Change in Burden:

Increases:

Statutory Increases

OMB #:
Title:
Purpose of the
Collection:

Why Increase
Occurred:
Change in Burden:
Statute Title and
P.L. #:

Other

OMB #:
Title:
Purpose of the
Collection:
Why Increase
Occurred:
Change in Burden:

- 20. Do I need to include one example for each category? May I include more than one example for each category?** You may include more than one example under each category, but you should try to have at least one example for your agency for each. Do not include any examples more than once. Please try to limit the total number of examples to 15 per fiscal year.
- 21. How does this tie in to the charts in Part 2?** For each example, identify the corresponding transaction in the charts for Part 2 by placing an “X” in column 8.

**Compliance with the Information Collection Provisions of the
Paperwork Reduction Act of 1995 and 5 C.F.R. 1320**

1. **What does this Appendix require?** This appendix explains what you must submit to OMB to report violations of the information collection provisions of the Paperwork Reduction Act (PRA) of 1995 and OMB's implementing regulations, 5 C.F.R. 1320, over the last fiscal year. OMB is required to report PRA violations to Congress and will report the information you submit in the *Information Collection Budget of the United States, Fiscal Year 2000*. See Appendix A of the *Information Collection Budget of the United States, Fiscal Year 1998* and Appendix B of the *Information Collection Budget of the United State, Fiscal Year 1999*.
2. **What information do I need to collect?** You must compile information on all of the violations of the PRA committed by your agency, intentionally or unintentionally, during Fiscal Year 1999. This includes violations listed in previous Information Collection Budgets that were still uncorrected as of September 30, 1998.

For each violation you should know:

- A. why the violation occurred;
 - B. when the violation occurred;
 - C. how the violation was discovered;
 - D. what actions have or will be taken to remedy the violation; and
 - E. when the violation was or will be remedied.
3. **How do I report this information to OMB?** You will compile this information into two tables. The first table will list only those violations due to the accidental expiration of a OMB approval while the collection was still being conducted. The second table will list all other violations.
 - A. Create the first table with a column for each of the following items in this order: OMB number; title; date of expiration; date of reinstatement; and date discontinued. List each collection in numerical order by OMB number. If the collection has or will be reinstated, leave the last column blank. If the collection was discontinued instead of reinstated, leave the "date of reinstatement" column blank and give the date the collection was discontinued in the final column.

- B. Create the second table with a column for each of the following in order: OMB number; title; description of the violation; and how discovered and remedied. Again, list each collection in order of OMB number. Give the four digit prefix under which the collection would have been listed if an OMB number was never assigned. Under “description of the violation,” give a brief phrase which says what was done wrong. Under “how discovered and remedied,” briefly describe how the violation was discovered and what actions are being or were taken to correct the violation. Indicate if an information collection request has been submitted to OMB or, if OMB has already taken action, give the action date. **Note:** if you do not use Microsoft Excel, please use a word processor to create this table.

See Table A-2 of the *Information Collection Budget of the United States, Fiscal Year 1998* and Table B-2 of the *Information Collection Budget of the United States, Fiscal Year 1999* as models for the tables.

4. **How do I indicate violations listed in the previous Information Collection Budgets that were not violations?** You are welcome to include in your submission a list of collections, sorted by OMB number, of collections that should not have been listed in Table B-1 of the *Information Collection Budget of the United States, Fiscal Year 1999*.
5. **What additional materials will you provide us?** To assist you in reviewing your agency’s actions over FY 1999 for PRA violations, OMB will send at the end of FY 1999 a list generated from the official computer records. The list will detail collections that expired during the last fiscal year and had not been reinstated as of September 30, 1999, and collections that were reinstated during the fiscal year. These lists are for your information only. You are not required to report on collections that are **not** in violation.

Information Dissemination, Electronic Government and Paperwork Reduction

1. **What does this Appendix require?** You are required to update last year's report on electronic information dissemination and describe your agency's current plans for expanding these initiatives into fully-electronic service delivery.
2. **What is the purpose of this requirement?** In 1998, Congress passed the Government Paperwork Elimination Act (GPEA) which expanded the goal of broad-based electronic information dissemination contained in the Paperwork Reduction Act (PRA) to include interactive service delivery. Specifically, the GPEA recognized that electronic government initiatives, e.g. regulatory reporting, tax filing, benefit administration, grants and contracts, combine the elements of electronic information collection and dissemination into a seamless whole.

The GPEA requires you to have systems available for electronic interactions with the public to the extent practicable by October 2003. It also requires us to promulgate implementing guidance by April 2000, and to perform an ongoing study of agency progress. We published proposed guidance on March 5, 1999. This report will update last year's report on electronic information dissemination and describe your agency's current plans for expanding these initiatives into fully-electronic service delivery.

3. **How is this requirement different from last year's?** In OMB Bulletin 98-09, we requested information on how your agency managed the dissemination of information, as required by OMB Circular A-130 and the PRA. As many of your responses demonstrated, electronic dissemination of a broad range of information has revolutionized the way government interacts with citizens. This report will update last year's report on electronic information dissemination and describe your agency's current plans for expanding these initiatives into fully-electronic service delivery.
4. **What do I need to include in this narrative?** Your report should include:
 - A. An update of your major electronic information collection and dissemination activities ongoing and planned; and
 - B. A summary of your plans to expand your electronic information collection and dissemination activities, including your expected timetable.
 - C. Budgetary figures for electronic information collection and dissemination activities where such activities have a corresponding entry as either a "major" or "significant" information technology investment in OMB Circular A-11, Section 53.

Your report need not be in any particular format, and may be organized by agency component, functional area, or individual major projects, as most relevant to your agency. Agency reports will be combined into a single government-wide report for the Congress and the general public.

5. **Will you provide an example for me to follow?** We will make available a sample report prepared by the Social Security Administration. However, we provide this only as an indication of the kind of information we want. You should not feel constrained by this example.