



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

August 4, 2000

THE DIRECTOR

**OMB BULLETIN NO. 00-05**

**TO THE HEADS OF EXECUTIVE DEPARTMENTS AND AGENCIES**

**SUBJECT: Fiscal Year 2001 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 2001 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, November 17, 2000.
- 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 2001?** 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 2001 of 5 percent.
  
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;
  - B. your agency’s Information Collection Budget submission and supporting material, prepared in accordance with the instructions in Appendix A; and
  - 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, including your agency’s plan for remedying any current PRA violations and an evaluation of your agency’s performance during the past year in remedying PRA violations.

Your CIO must also comply with the memorandum from John Spotila, Administrator of OMB’s Office of Information and Regulatory Affairs, regarding your agency’s plans for implementing electronic government and the Government Paperwork Elimination Act (GPEA). The plans under this memorandum are due by October 31, 2000, but your agency should prepare them in coordination with the submission under this Bulletin. A copy of the memorandum is included as 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 submission electronically on a 3.5" diskette with a hard copy of the cover letter from your CIO. Please label the diskette 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 **November 17, 2000**, 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 your agency's Desk Officer within OMB's Office of Information and Regulatory Affairs.

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

- 11. When does this Bulletin expire?** This Bulletin expires September 30, 2001.



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 2001 and what you must submit to OMB and how.
  - A. Part 1 discusses how you should begin working on your ICB submission and offers 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 that affected your burden totals for FY 2000 and a chart that lists all of the expected transactions which you used to estimate your FY 2001 total burden.
  - C. Part 3 describes how to prepare a chart showing the changes in your agency's total burden from FY 1999 to FY 2001, 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 2000 and planned reductions and increases for FY 2001, grouped by how or why the change occurred.

This appendix is very similar to last year's. The only significant difference is discussed in question 5.

## 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 2001 is five percent of the FY 2000 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 that have resulted or will result in specific burden reduction. These initiatives should be reflected in your ICB submission.
- 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 designate changes in burden for each collection as either adjustments and or one of 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 packaged 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, 2000, as the burden total for FY 2000. Therefore, you need to make sure our database records are accurate and consistent with your records. If there are discrepancies between your agency’s records and our database, you will need to work with your OIRA desk officer to determine the cause of the discrepancy and the appropriate remedy. Please pay special attention to the cost estimates. **(Remember the 83-I and our**

**computer tracking system record costs in thousands of dollars, not dollars.)** Submit any corrections to our database to your OIRA desk officer on a Form 83-C with a complete 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 2000) and a look toward the next (FY 2001). You should begin working on the look toward FY 2001. You may wish to wait to begin the review of FY 2000 until after September 30, 2000.

Work with the program officials in your agency to identify all potential changes in information collection activities in FY 2001. 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 2001 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 2001, 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?** This year's instructions are very similar to last year's. The only difference is that we ask you to break out net program changes into slightly different categories.

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 lapses in OMB approval (see below);
  - (3) Change in burden due to other agency actions; and
- B. Adjustment (see below).

As before, 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 statute enacted within the last five years (i.e., after January 1, 1996). 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 lapses of OMB approval?** You should list under this category any change in burden that occurred when:
- A. your agency allowed an OMB approval for a collection to expire even though your agency continued to conduct or sponsor the collection; or
  - B. OMB approved a collection that your agency has been conducting or sponsoring without prior OMB approval or under an expired OMB control number.

Do not include collections that your agency has discontinued and for which OMB approval has expired. These changes should be listed as changes due to other agency actions.

FY 2000 CHANGES IN BURDEN HOURS							
OMB #	Date	PROGRAM CHANGES			NET PROGRAM CHANGES	ADJUSTMENTS	EXHIBIT
		Due to Statutory Changes	Due to Lapse of OMB Approval	Due to Agency Actions			
①	②	③	④	⑤	⑥	⑦	⑧
					0		
					0		
					0		
					0		
<b>TOTAL</b>		0	0	0	0	0	

**Figure 1**

8. **What changes in burden should be counted as adjustments?** Adjustments are changes in burden hours due to factors over which your agency has no control, such as population growth or economic expansion, or that do not affect what information your agency collects or how.

**Example:** If burden increased because your agency took an action to collect information from a new segment of the economy, that would be a **program change**. If, instead, burden went up because more businesses entered a segment of the economy from which your agency already collected information, that would be an **adjustment**.

**Example:** If you reported an increase in burden because your agency changed the way it estimates burden, that would be an **adjustment**.

9. **How do I report to OMB all transactions that affected burden during FY 2000?**

You should report every transaction that affected hour or cost burden in two tables in formats similar to Figure 1 (for changes to burden hours) and Figure 2 (for changes to costs).

**Example:** If you received multiple Notices of Action from OMB affecting hour and cost burden for a single OMB number, you should have one line in each table for each notice of action.

**Example:** If a collection expired during FY 2000 and was later reinstated in FY 2000, you will list the collection twice for FY 2000, one transaction for the expiration and one transaction for the reinstatement.

10. **What information will OMB provide to complete these tables?** Soon after the end of Fiscal Year 2000, we will provide to you Microsoft Excel files containing these two tables with columns 1, 2, 6, and 7 completed. (If you are unable to use Microsoft Excel files, please contact your OIRA desk officer for alternate arrangements.) You will need to

FY 2000 CHANGES IN COST BURDEN (\$,000)							
OMB#	Date	PROGRAM CHANGES			NET PROGRAM CHANGES	ADJUSTMENTS	EXHIBIT
		Due to Statutory Changes	Due to Lapse of OMB Approval	Due to Agency Actions			
					0		
①	②	③	④	⑤	⑥	⑦	⑧
					0		
					0		
					0		
					0		
<b>TOTAL</b>		0	0	0	0	0	

**Figure 2**

complete the rest of the table by dividing the burden changes listed in column 6 (net program changes) into burden changes for column 3, 4, and 5 and indicating for which changes you will prepare a exhibit under Part 4.

11. **What should go in each column?** For each transaction, the following information goes in the following columns:
  - A. In columns 1 and 2, enter the OMB number and the date of the OMB Notice of Action, respectively.
  - B. In column 3, the change in hour or cost burden due to changes in statutory requirements for each transaction (see question 6);
  - C. In column 4, the change in hour or cost burden due to lapses in OMB approval (enter a negative number for expirations and a positive number for new collections or reinstatements);
  - D. 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 lapses in OMB approval.

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.

**Note: Cost burden is reported in thousands of dollars, just as in the OMB computer tracking system and on the OMB Form 83-I.**

12. **How do I report to OMB transactions that we expect will affect burden during FY 2001?** You should report every transaction that you expect will affect burden during FY 2001 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 collections not yet assigned an OMB number at the bottom of the list with the appropriate four digit prefix. We will provide empty Excel charts to complete along with the information for FY 2000.
  
13. **Do I need to provide an entry for every transaction we expect during FY 2001?** No, you only need provide an entry for transactions that will affect your total burden for FY 2001. You also have the discretion to ignore very small transactions, but then you should not include these changes in your FY 2001 expected total burden.

### Part 3: Aggregate Burden Totals

- 14. How do I report aggregate burden totals for FY 2000?** Complete a table similar to that shown in Figure 3, which we will provide as part of the Microsoft Excel spreadsheet file that we provide to complete Part 2. The totals in the tables in Part 2 should be transferred to 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 1999 and FY 2000 totals. The “9” cells will have the published totals from the *Information Collection Budget of the United States, FY 2000*. The “10” cells will have the totals generated by our database at the end of FY 2000. 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 1999 total. Otherwise, please discuss any discrepancies with OIRA.

- 15. How do I report expected aggregate burden totals for FY 2001?** Again, use the information you collected for FY 2001 in Part 2 to complete the corresponding cells in Figure 3. Add the aggregate burden total for FY 2000 to the expected net program change for FY 2001 and the expected net adjustments for FY 2001 to get an expected aggregate burden total for FY 2001.

SUMMARY TABLE OF BURDEN CHANGES	Burden Hours (millions)	Cost Burden (\$,000,000)
<b>FY 1999 Total Burden</b>	9	
FY 2000 Program Changes Due to New Statutes	3	
FY 2000 Program Changes Due to Lapses in OMB Approval	4	
FY 2000 Program Changes Due to Agency Actions	5	
SUBTOTAL: FY 2000 Total Program Changes	6	
FY 2000 Adjustments	7	
<b>FY 2000 Total Burden</b>	10	
Expected FY 2001 Program Changes Due to New Statutes		
Expected FY 2001 Program Changes Due to Lapses in OMB Approval		
Expected FY 2001 Program Changes Due to Agency Actions		
SUBTOTAL: Expected FY 2001 Total Program Changes		
Expected FY 2001 Adjustments		
<b>Expected FY 2001 Total Burden</b>		

**Figure 3**

## Part 4: Examples of Significant Burden Changes

16. **What does “significant” mean?** Significant burden reductions are those that 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 attention and/or have a meaningful impact on the public. **Significant burden changes do not include adjustments, only program changes.** We request that you limit discussion to program 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 assign each change to 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 by 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, cutting the frequency of periodic reporting requirements, 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 6 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. purpose of the collection (including from whom you collect the information, what information you collect prior to the change, and, if the collection is not a recordkeeping requirement or a third-party disclosure, how your agency uses the information collected);
- 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 2000. Repeat for FY 2001. Each entry should be no more than 100 words and should be in plain language understandable to a member of the public not familiar with your programs. Avoid the use of acronyms or “jargon.”

**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. May I include more than one example for each category? Do I need to include 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 and what actions you have been taking to resolve violations identified in past years and this 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 2001*. See Appendix B of the *Information Collection Budget of the United States, Fiscal Year 2000*.

2. **What information do I need to collect?**

A. Compile information on all of the violations of the PRA committed by your agency, intentionally or unintentionally, during Fiscal Year 2000. This includes violations listed in previous Information Collection Budgets that had been unresolved as of September 30, 1999.

For each violation you should know:

- (1) why the violation occurred;
- (2) when the violation occurred;
- (3) how the violation was discovered;
- (4) what actions have been or will be taken to remedy the violation; and
- (5) when the violation was or will be remedied.

B. Compile information to followup on the timetable and plan your agency submitted to OMB in response to Donald R. Arbuckle's memorandum to Chief Information Officers dated May 4, 1999. (See Appendix C of the *Information Collection Budget of the United States, Fiscal Year 2000*.)

- (1) For each violation on the timetable, report whether your agency met the proposed timetable and explain any deviations.
- (2) Confirm that all violations reported in response to that memo have been resolved.

- (3) Evaluate your agency's compliance with the plan submitted to OMB and explain any measures your agency will take, if necessary, to improve your agency's compliance with the PRA.

**3. How do I report this information to OMB?**

- A. Compile the information in question 2A 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.
  - (1) 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.
  - (2) Create the second table with a column for each of the following items 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 B.3 of the *Information Collection Budget of the United States, Fiscal Year 2000* as a model for this table.
- B. Report on the information requested in question 2B by doing the following:
  - (1) Include a copy of the timetable, marked to show the actual dates of Federal Register notices and OMB approval;
  - (2) Report in a narrative whether your agency has resolved all of the violations reported in your response (which includes all violations reported in the *Information Collection Budget of the United States, Fiscal Year 1998*) and, if it hasn't, why; and
  - (3) Report in a narrative on your agency's compliance with its plan to prevent violations and any changes your agency will make to improve compliance, if necessary.

4. **What additional materials will you provide us?** To assist you in reviewing your agency's actions over FY 2000 for PRA violations, OMB will send at the end of FY 2000 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, 2000, and collections that were reinstated during the fiscal year. These lists are for your information only. Do not report on collections that are **not** in violation.

**Memorandum from John Spotila regarding GPEA Planning and Compliance**



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

JUL 25 2000

ADMINISTRATOR  
OFFICE OF  
INFORMATION AND  
REGULATORY AFFAIRS

MEMORANDUM FOR CHIEF INFORMATION OFFICERS

FROM: John T. Spotila

SUBJECT: Achieving Electronic Government: Instruction for Plans to Implement the Government Paperwork Elimination Act

This memorandum outlines the plan each agency must submit under OMB Memorandum M-00-10, "OMB Procedures and Guidance on Implementing the Government Paperwork Elimination Act." These plans will be an important component in our collective efforts to promote electronic government that improves efficiency and customer service through the use of information technology. The Federal government's overall transition to electronic government relies heavily on agency use of the Internet and other electronic methods to receive and deliver information and services. Careful agency planning is critical to ensure that this transition succeeds. As part of this planning, agencies should reevaluate how they do business by updating business processes to take advantage of the automation. Agencies should also consider automating groups of processes that serve a common customer together, and coordinating with other agencies, to achieve customer-centric approaches to electronic government.

**Background.** OMB M-00-10 requires that each agency must submit to OMB, by October 31, 2000, its plan for implementing the Government Paperwork Elimination Act (the Act) 105-277. You can access a copy of the memorandum on OMB's web page at <http://www.whitehouse.gov/OMB/memoranda/m00-10.html>. As the Director explained in the memorandum, "each agency must build on their existing efforts to implement electronic government"; "prioritize agency implementation ... based on achievability and net benefit"; and "coordinate the plan and schedule with their strategic IT planning activities that support program responsibilities consistent with the budget process." Section 3 of the Director's guidance describes other factors that agencies need to consider. Guidance on other implementation issues covered by the Act will follow shortly from the Departments of Treasury, Justice, and Commerce, and the National Archives and Records Administration.

**What transactions must your agency address in its plan?** Under the Act, agencies must offer the option, when practicable, for the maintenance, submission, or disclosure of information by electronic means by October 2003. To implement the Act, and electronic government more broadly, your plan must address how your agency will rely on information technology to carry out the following types of transactions:

- C Information collections under the Paperwork Reduction Act (PRA) (Attachment A). This is important because providing for optional electronic reporting, recordkeeping, and disclosure, and related processing of that information can decrease the public's paperwork burden and can increase the practical utility of the information.
- C Non-PRA covered transactions (Attachment B). This includes:
  - C Interagency reporting requirements. This is important because electronic reporting between Federal agencies can reduce costs and increase information's practical utility.
  - C Information products that agencies disseminate to the public. This is important because agencies can distribute information more widely, more efficiently, and at a lower cost by making it available electronically.
  - C Other transactions. If your agency identifies any other transactions important in implementing electronic government it may report them here.

Attachment A and Attachment B outline the content and format of the plan. Attachment C requests supplemental information for any transactions that your agency has determined pose a "high risk" (based on a risk analysis). For guidance on high risk transactions, see Part II, Sections 3 and 5, of OMB Memorandum M-00-10. Because your plan will explain how your agency will expand its use of electronic methods to carry out its business, it does not need to address those transactions that already provide a fully electronic option.

**What must your agency's submission include?** You must submit the following information to OMB by October 31, 2000:

- C a brief (e.g., one to two pages) cover letter on your agency's overall strategy and efforts to comply with the Act;
- C your agency's plan for PRA collections (Attachment A);
- C your agency's plan for interagency reporting, information dissemination activities, and other agency identified transactions (Attachment B); and
- C your agency's plan for any high risk transactions identified (Attachment C).

**How should your agency's plan relate to strategic IT planning in the budget process?** You should ensure that the plan is consistent with OMB fiscal and policy guidance. If your agency will need additional resources to implement the plan, your agency's budget request under OMB Circular A-11 (e.g., through Exhibit 300B) should reflect that need and tie to the plan. Agency Government Performance and Results Act (GPRA) reports should address, as appropriate, progress in implementing the Act and electronic government.

**Do agencies need to include issues related to the Electronic Signatures in Global and National Commerce Act (ESIGN)?** ESIGN covers most business, consumer, and commercial transactions and overlaps with some transactions covered by the Act, primarily with regard to regulated transactions. ESIGN requires some additional analysis and a more rapid

implementation schedule but has the same fundamental goal as the Act in promoting electronic government. OMB will promulgate guidance on E-SIGN in consultation with the agencies.

**In what format should the CIO provide this information to OMB?** You should submit this information via e-mail. If this is not possible, provide the information on a 3.5” diskette, labeled with the agency name and the filenames of the submission. You should submit the cover letter and the information requested in Attachment C as word processor or simple text files. You should submit the tables called for in Attachments A and B as separate tabular files 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;
3. Microsoft Word 97 or earlier; or
4. WordPerfect, version 8.0 or earlier.

**When and to whom should your agency respond and where should it send the responses?**

You must transmit plans to OIRA no later than Tuesday, October 31, 2000. Please transmit the plans to:

Jonathan Womer: [jwomer@omb.eop.gov](mailto:jwomer@omb.eop.gov)  
Office of Information and Regulatory Affairs  
Office of Management and Budget  
725 17th Street, NW - Room 10236  
Washington, DC 20503

**Whom should you contact for further information?** Should you have any questions regarding this memorandum, contact Jonathan Womer in OIRA at (202) 395-3785.

Attachments

## **Attachment A – Collections of Information under the Paperwork Reduction Act (PRA).**

**What is the purpose of this Attachment?** This Attachment explains what information your agency must submit regarding plans for providing a fully electronic option for transactions that are part of the information collection process, consistent with OMB Memorandum M-00-10 on implementing the Act. Under the Paperwork Reduction Act (PRA, 44 U.S.C. 3501-20), the collection of information is:

“the obtaining, causing to be obtained, soliciting, or requiring the disclosure to an agency, third parties or the public of information by or for an agency by means of identical questions posed to, or identical reporting, recordkeeping, or disclosure requirements imposed on, ten or more persons, whether such collection of information is mandatory, voluntary, or required to obtain or retain a benefit.” (5 C.F.R. 1320.4)

In providing an electronic option by October 2003, you will need to assess the practicability of optional electronic reporting and further electronic correspondence with the respondents for its collections of information that require OMB approval. If you determine that optional electronic reporting and/or electronic communication with the respondents is not practicable, you must explain why to OMB in the table below.

Your plan should focus on its recurring information collections. You do not need to address one-time, non-recurring collections (e.g., a one-time research survey) in the plans your agency submits to OMB.

**Does OMB have information on PRA collections that already have been automated?** Your agency does not need to report existing fully electronic transactions in the table. A fully electronic option for a PRA collection is one that has no compulsory paper-based reporting requirements, signatures, correspondence, or dissemination to or with the respondents. To help you identify any such collections, OIRA will provide you a list of your agency’s collections that our PRA system indicates currently allow for at least some electronic reporting. Each agency should review this list to determine which of the collections provide a fully electronic option (you can access OMB’s listing of all currently approved collections at <http://www.whitehouse.gov/library/omb/OMBINV.html>). In addition, a recent memorandum from the President’s Management Council is gathering information on “Meeting the Requirements of the December 17, 1999 Presidential Memorandum on Electronic Government.” The information reported under this memorandum on placing on-line the forms for the top 500 government services will be made available to the agencies to build upon in developing the required plan and schedule.

**What does your agency need to report in Attachment A?** Submit the following information as a separate electronic file and in tabular format.

**1. Agency:** The name of the Federal department or agency responsible for the collection.

2. **Bureau:** The name of the bureau or office responsible for the collection. If none exists, or if the transaction spans more than one bureau, leave this field blank.
3. **Name:** The name of the collection (or group of related collections). As appropriate you may report related collections together as one record in the table below. For example, if three forms are required to apply for and receive a grant from your agency, you may report all three collections together. This is especially useful to demonstrate how automation can help to provide customer-centric approaches to electronic government that integrate discrete collections. As another example, if a specific reporting requirement in a regulation requires four different submissions of related information you may report those collections together.

Further, you may list separate groups of related collections as one record in the table if they are functionally similar and will be automated together on-line in the same time frame. For example, if your agency has multiple grants with multiple applications and all the applications will be put on-line at the same time, then the “application for agency grants in program area X” may be aggregated as one collection category.

4. **Description:** A short description of the nature of the collection(s). Please be brief.
5. **Description of respondents:** The respondents to the collection(s). Use broad categories (e.g., banks, individuals, State governments, etc.).
6. **Number of Respondents:** A numerical estimate of the total number of separate persons or entities that will respond to the information collections listed in #7 below.
7. **OMB control numbers:** Provide the collections’ OMB PRA control number(s), separated by a comma and a space if there is more than one (i.e., 0354-0123, 0354-0143, 0354-0432, etc.). Some groups of collections may have more than one control number, and these may be reported as one entry with multiple OMB control numbers. Conversely, a control number may cover a number of separate collections; thus, a single OMB control number may be repeated.
8. **Completion Date:** Indicate when your agency will offer a fully electronic reporting option for the collection(s) in question (format: mm/yyyy). If there are no current plans for a fully electronic option, indicate “Unknown”.
9. **Post 10/2003:** If the date in the previous field is “Unknown” or later than 10/2003, describe in 1-2 sentences why the transaction will not be automated by 10/2003. Identify any statutory, practicability, or other barriers. If the date in the previous field is 10/2003 or earlier leave this field blank.
10. **Electronic Signature:** Indicate whether the agency plans to use electronic signatures with this collection(s) (“YES”/”NO”). For guidance on electronic signatures, see Part II, Section 2 and 7, of OMB Memorandum M-00-10.

**What is an example of the table that your agency must prepare under Attachment A?**

Agency	Bureau	Name	Description	Description of Respondents	Number of Respondents	OMB Control Numbers	Completion Date	Post 10/2003	Electronic Signature
Agency of Federal Government	Bureau of Grant Making	Medical research grants	The agency accepts and reviews applications for medical research.	Universities, Research Institutes, Hospitals	3,000	####-####-#### ####-####-#### ####-####-####	06/2002		YES
Agency of Federal Government	Bureau of Benefit Program	Application for benefit program	Citizens apply for the benefit program and the agency judges if they meet the qualifications and delivers the benefits.	Citizens	65,000	####-####-####	Unknown	Because of their situation it is unlikely that applicants will be able to use an electronic option by October 2003.	NO
Agency of Federal Government	Bureau of Oversight	Pollution filings of regulated entities	Required firms report on pollution measurements and their work to comply with regulations	Firms in the regulated industry.	10,000	####-####-#### ####-####-#### ####-####-#### ####-####-####	07/2002		YES

## Attachment B – Interagency Reporting Requirements

**What is the purpose of this Attachment?** This Attachment explains what information your agency must submit regarding its plans for offering an electronic option for interagency reporting, information dissemination activities, and other agency-identified transactions, consistent with OMB Memorandum M-00-10 on implementing the Act.

- C Interagency reporting encompasses ongoing, periodic reports among agencies. Examples of interagency reporting are the exchange of personnel and pay-roll reports between agencies or the annual reporting of information to another agency.
- C Information dissemination activities refer to the dissemination of “information dissemination products,” publications that are intended for the general public. OMB guidance on “information dissemination products” can be found in Circular A-130, Sections 6.c, 6.h, 8.a(5), 8.a(6), and 8.a(8). An example of an “information dissemination product” is the ongoing and periodic release of labor statistics.
- C Agency-identified transactions are any other transactions that your agency believes are important to address and that are not captured elsewhere in the plan.

Fully electronic transactions do not need to be reported in this table. If your agency already fully reports (or receives if an interagency reporting requirement is from your agency) in an electronic form, you do not need to identify that transaction in your plans.

**What does your agency need to report in this section?** Submit the following information as a separate electronic file and in tabular format.

1. **Agency:** The name of the Federal department or agency responsible for the reporting or dissemination products.
2. **Bureau:** The name of the bureau or office responsible for the report or dissemination. If none exists, or if the report or dissemination product spans more than one bureau, leave this field blank.
3. **Name:** The name of the interagency report or information dissemination product (or group of similar reports or products). You may report on categories of similar reports or dissemination products instead of specific reports or dissemination products if the reports or products are functionally similar and would be automated together on-line in the same time frame.
4. **Description:** A short description of the interagency report or information dissemination product (or groups of reports or products). Please be brief.
5. **Description of Partners:** Federal agencies or Dissemination product users. For an interagency report, indicate which Federal agencies submit reports to the agency listed in #1 above, or if interagency forms are used (e.g. personnel information) for administrative tasks simply put “Federal Agencies.” For information dissemination, describe who receives the information dissemination product. Use broad categories (e.g., banks, individuals, State governments, etc.).
6. **Number of Respondents:** A rough numerical estimate of the number of separate agencies, persons, or entities described in #5 above.

- 7. Completion Date:** Indicate when the reports or products will offer a fully electronic reporting or dissemination option (format: mm/yyyy). If there are no current plans for a fully electronic option, indicate “Unknown”.
- 8. Past 10/2003:** If the date in the previous field is “Unknown” or later than 10/2003 describe in 1-2 sentences why the transaction will not be automated by 10/2003. Identify any statutory, practicability, or other barriers. If the date in the previous field is 10/2003 or earlier leave this field blank.
- 9. Electronic Signature:** Indicate whether the agency plans to use electronic signatures with this transaction(s) (“YES”/”NO”). For guidance on electronic signatures, see Part II, Sections 2 and 7, of OMB Memorandum M-00-10.

**What is an example of the table your agency must prepare under Attachment B?**

Agency	Bureau	Name	Description	Description of Partners	Number of Respondents	Completion Date	Post 10/2003	Electronic Signature
Agency of Federal Government	Bureau of Personnel	Interagency reporting on personnel transfer	The agency sends personnel information to another agency when an employee transfers to that agency.	Federal Agencies	73	04/2002		YES
Agency of Federal Government	Bureau of Analysis	Report on Projected Manufacturing Growth in Economy from 2002-2007	Providing the report to business and academic community.	Manufacturing Businesses, Academics	500	06/2001		NO

## **Attachment C - High Risk Transactions**

**What is the purpose of this Attachment?** This Attachment explains the additional information you must provide for those transactions listed in Attachments A or B that you have identified as high risk, consistent with OMB Memorandum M-00-10 on implementing the Act. Section 3(a)(2) of OMB M-00-10 states:

"Agency considerations of cost, risk, and benefit, as well as any measures taken to minimize risks, should be commensurate with the level of sensitivity of the transaction. Low-risk information processes may need only minimal consideration, while high-risk processes may need extensive analysis."

This Attachment covers those high risk collections that require additional risk management measures. We expect that in most cases, your agency will only need to address a small number of particularly sensitive information collections or those involving very large numbers of respondents.

**What should the additional report contain?** For each high risk transaction listed in Attachments A or B that requires additional risk management measures, please submit a separate page to answer the following:

1. What is the name of the related information collection(s)? Use the exact "Name" used in the table submission outline in Attachment A or B.
2. Describe the transaction. What information is being exchanged? What is the value of this transaction to the government and the transaction partners?
3. If it is not practicable to automate the transaction as part of the plan, why? What is your strategy to make such conversion practicable?
4. How sensitive is the transaction? How is your agency managing the risk (e.g., management or legal controls, information security practices, authentication techniques, or other business processes)? Please describe the measures being taken.
5. Is your agency considering/using more than one electronic signature option? If the transaction involves more than 50,000 responses per year and your agency will not offer multiple electronic signature options, why not?

**What should be the format of the response to Attachment C?** Please indicate clearly which response relates to which question. You may determine the length and specific format of this information.