

UNITED STATES OFFICE OF PERSONNEL MANAGEMENT



Paperwork Reduction Act (PRA) Guide

Version 2.0

April 2011

a New Day for Federal Service

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Revision History

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1.0	September 2006	Initial Release
1.1	11/15/2010	Document updated and revised in its entirety
2.0	4/27/2011	Document finalized and published for release.

Executive Summary

The Paperwork Reduction Act (PRA) of 1995 gives the Office of Management and Budget (OMB) authority over the collection of certain information by Federal agencies. It is intended, “among other things, to ‘ensure the greatest possible public benefit from and maximize the utility of information created, collected, maintained, used, shared and disseminated by or for the Federal Government’ and to ‘improve the quality and use of Federal information to strengthen decision-making, accountability, and openness in Government and society.’” See *Information Collection under the Paperwork Reduction Act* (April 7, 2010), a Memorandum for the Heads of Executive Departments and Agencies, and Independent Regulatory Agencies from Cass R. Sunstein, Administrator, Office of Information and Regulatory Affairs, Office of Management and Budget at http://www.whitehouse.gov/sites/default/files/omb/assets/inforeg/PRAPrimer_04072010.pdf, quoting 44 U.S.C. § 3501. The Act requires agencies to plan for the development of new collections of information and the extension of ongoing collections well in advance of sending an information collection request to OMB. Agencies must:

- Seek public comment on proposed collections of information by placing a notice in the Federal Register.
- Certify to OMB that efforts have been made to reduce the burden of the collection.
- Review and approve information collection requests internally before submitting them to OMB.

Although the scope of the PRA has changed over the years, its underlying policy standards remain the same. The PRA seeks to:

- Minimize the paperwork burden on the public and other entities.
- Ensure the greatest possible public benefit from and maximize the utility of information created, collected, maintained, used, shared, and disseminated by or for the Federal Government.
- Improve the quality and use of Federal information to strengthen decision making, accountability, and openness in Government and society.
- Minimize the cost to the Federal Government of creating, collecting, maintaining, using, disseminating, and disposing of information.

- Ensure the integrity, quality, and utility of the Federal statistical system.

All information collections subject to the PRA must be submitted to OMB for approval. OMB must review and clear the information collection request (ICR) before OPM begins to collect the information. Clearance must be obtained regardless of whether responding to the collection is voluntary or mandatory.

The version of this document that is posted to the Web is the official, authoritative version.

1. INTRODUCTION

It is OPM policy to ensure that all information collected from the public adheres to the requirements of the Paperwork Reduction Act (PRA) of 1995, as amended. All OPM program offices must determine if an information collection¹ requires clearance from the Office of Management and Budget (OMB) under the PRA and, if it does, obtain OMB clearance before beginning to collect the information. OPM cannot and will not make exceptions to legal requirements.

1.1 Purpose

The PRA Guide is designed to assist OPM program offices in determining if an existing or new information collection meets the requirements of the Paperwork Reduction Act (PRA) of 1995, as amended by the Clinger-Cohen Act, and in preparing the documents needed to obtain clearance from the Office of Management and Budget (OMB).

1.2 Scope and Applicability

This guide covers how to determine if an information collection requires clearance under the PRA, defines the roles and responsibilities of OPM staff for purposes of the PRA, and details the procedures required to obtain OMB approval to collect the information.

All OPM program offices planning to initiate or extend an information collection must adhere to the policies and procedures in this guide.

1.3. Compliance, Enforcement, and Exceptions

Compliance with the PRA Guide is mandatory. Enforcement and monitoring of this policy is the responsibility of the Chief Information Officer (CIO). The CIO continually reviews and monitors the status of OPM's information collections by monitoring:

- The effectiveness of the PRA process.
- Compliance with existing policies, procedures, standards, and guidelines.
- User awareness of the PRA.
- Active adoption of the PRA Guide requirements.

Violations of the requirements in the PRA Guide may result in the expiration of an information collection or the use of an unapproved collection. All expired information collections are reported to Congress and the President of the United States. Anyone who violates the requirements also may face administrative action ranging from counseling to removal from the agency.

Only the OPM PRA Clearance Officer may grant exceptions to the PRA Guide, and only OMB may grant exceptions to the PRA.

¹ See Appendix B, Glossary, for the definition of “information collection.”

2. RESPONSIBILITIES

The following stakeholders have responsibilities in implementing this guide:

- OPM Director
- Chief Information Officer (CIO)
- OPM PRA Clearance Officer
- Associate Directors (ADs)
- Division PRA Coordinators
- General Counsel (GC)
- Publications Management

2.1 OPM Director

The OPM Director is responsible for providing signature and approval, or assigning a designee approval and signature authority, for 60-Day and 30-Day Federal Register Notices.

2.2 Chief Information Officer (CIO)

Responsibilities of the Chief Information Officer (CIO) include:

- Ensuring the prompt, efficient, and effective implementation of the information policies and information collection responsibilities established under the Paperwork Reduction Act of 1995, as amended.
- Establishing a program office to review, evaluate, and process information collection requests to determine their suitability for submission to OMB.
- Providing signature and approval, or assigning a designee approval and signature authority, for information collection requests before they are submitted to OMB.

2.3 OPM PRA Clearance Officer

Responsibilities of the OPM PRA Clearance Officer include:

- Implementing the OPM information collection process to ensure OPM information collection requests meet OMB requirements.
- Providing guidance and assistance to Division PRA Coordinators and program offices to ensure compliance with the Paperwork Reduction Act of 1995, as amended.

- Reviewing and finalizing information collection requests, accompanying certifications, and documentation before submission to OMB for review and approval, and to the Federal Register for the publishing of the 60-Day and 30-Day Federal Register Notices.
- Acting as designee on behalf of the Chief Information Officer for submitting information collection requests to OMB.

2.4 Associate Directors (ADs)

Responsibilities of Associate Directors include:

- Ensuring that their respective programs comply with the Paperwork Reduction Act of 1995, as amended, and implement the procedures in this guide.
- Ensuring that their programs have no delinquent information collections.
- Designating a Division PRA Coordinator.

2.5 Division PRA Coordinators

Responsibilities of Division PRA Coordinators include:

- Ensuring that all information collections are identified and reported to the OPM PRA Clearance Officer for their respective divisions and programs.
- Ensuring that all collection instruments, paper and electronic, are properly formatted according to OPM standards and OMB requirements.
- Ensuring that all supporting documentation that constitutes an information collection request (ICR) submission package to OMB is complete.
- Creating the 60-Day and 30-Day Federal Register Notice packages in OPM's Document Management System (DMS) for internal approval and publishing in the Federal Register.
- Responding to questions from the OPM PRA Clearance Officer and the Office of the General Counsel regarding 60-Day and 30-Day Federal Register Notices in coordination with the program office that owns the collection of information.
- Entering the complete ICR submission package into the Regulatory Information Service Center (RISC) and Office of Information and Regulatory Affairs (OIRA) Consolidated Information System (ROCIS) for approval by the OPM PRA Clearance Officer and submission to OMB for approval.

- Responding to questions from the OMB Desk Officer for OPM during the 30-day comment process and OMB approval process regarding ICRs submitted through ROCIS, in coordination with the program office that owns the collection of information.
- Responding to questions from the public when the approved 60-Day Federal Register Notice is published.

2.6 General Counsel (GC)

Responsibilities of the General Counsel (GC) include reviewing and approving Federal Register notices before submission to the Federal Register for publishing.

2.7 Facilities, Security and Contracting (FSC) /Publications Management

Publications Management is responsible for publishing approved 60-Day and 30-Day Notices to the Federal Register and notifying the OPM PRA Clearance Officer and Division PRA Coordinator when the notice is published.

3. INFORMATION COLLECTION POLICIES AND PROCEDURES

3.1 What Is a “Collection of Information”?

At OPM, the terms “information collection” and “collection of information” mean the same and are used interchangeably.

Per 5 CFR 1320.3(c), a “collection of information” is a technical term that means:

“[T]he 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.

‘Collection of information’ includes any requirement or request for persons to obtain, maintain, retain, report, or publicly disclose information. As used in this Part, ‘collection of information’ refers to the act of collecting or disclosing information, to the information to be collected or disclosed, to a plan and/or an instrument calling for the collection or disclosure of information, or any of these, as appropriate.”

An information collection may consist of one or many collection mechanisms (called “instruments”) in any form or format, including:

- Report forms
- Application forms
- Schedules

- Questionnaires
- Surveys
- Reporting or recordkeeping requirements
- Contracts
- Agreements
- Policy statements
- Plans
- Rules or regulations
- Planning requirements
- Circulars
- Directives
- Instructions
- Bulletins
- Requests for proposal or other procurement requirements
- Interview guides
- Oral communications
- Posting, notification, labeling, or similar disclosure requirements
- Telegraphic or telephonic requests
- Automated, electronic, mechanical, or other technological collection techniques
- Standard questionnaires used to monitor compliance with agency requirements
- Any other techniques or technological methods used to monitor compliance with agency requirements.²

3.1.1 Surveys

Surveys are considered to be information collections. Surveys may consist of many different collection instruments; for example, Web surveys, Web exit surveys, online surveys, focus groups, and benefits surveys. However, all surveys must meet OMB Standards and Guidelines.³

3.2 What Information Collections Require OMB Clearance?

OMB must clear an information collection if the agency conducts or sponsors the collection of information from **10 or more members of the public**, regardless of whether the collection is mandatory, voluntary, or required to obtain or retain a benefit, when the information is obtained by means of identical questions or identical reporting, recordkeeping, or disclosure requirements.

² See 5 CFR 1320.3(c)(1).

³ See Office of Management and Budget Standards and Guidelines for Statistical Surveys (September 2006) and Questions and Answers When Designing Surveys For Information Collections, Office of Information and Regulatory Affairs, Office of Management and Budget (January 2006).

However, when the information is required to be submitted in response to a rule that is applicable to the general public rather than any specific entities, OMB clearance is required **regardless of the anticipated number of respondents**.

Generally, any information that the public is asked to provide should be presumed to require OMB clearance unless OMB makes a determination to the contrary.

Under the PRA, “**the public**” includes individuals, partnerships, corporations, universities, nonprofit organizations, State, local, and tribal governments and agencies, and other associations and organizations, whether foreign or domestic. **Federal agencies are not included** in the definition of the public. OMB clearance is not required to collect information from other Federal agencies unless the information will be used for general statistical purposes. Under the PRA, OMB is responsible for identifying and managing the collection and use of statistical data throughout the Federal Government.

3.3 What Is Not Considered To Be “Information” Under the PRA?

OMB implementing guidance⁴ excludes from the definition of “information” disclosures that require people to provide only facts that “entail no burden other than that necessary to identify the respondent, the date, the respondent’s address, and the nature of the instrument.” This includes:

- Affidavits, oaths, affirmations, certifications, receipts, changes of address, and consents or acknowledgements.
- Samples of products.
- Facts or opinions obtained through direct observation by an employee or agent of the sponsoring agency.
- Facts or opinions submitted in response to general solicitations of comments from the general public.
- Information from individuals under treatment or clinical examination in connection with research to prevent a clinical disorder.
- Facts or opinions requested from a single person.
- Examinations designed to test the aptitude, abilities, or knowledge of the person tested for a collection.
- Facts or opinions solicited in connection with public hearings or meetings.
- Information solicited through nonstandardized follow-up questions designed to clarify responses to approved collections of information.
- Similar items as designated by OMB.

Additionally, the PRA exempts from its provisions the collection of information during the conduct of a Federal criminal investigation or prosecution; during the disposition of

⁴ See 5 CFR 1320.3(h)).

other litigation or investigative activities; and during the conduct of intelligence activities and cryptologic activities that are communications security activities.⁵

3.4 Overview of the PRA Process at OPM

PRA approval at OPM involves two processes.

1. The first process is initiated by the PRA Coordinator in the program office (Division PRA Coordinator) that is sponsoring the information collection. The PRA Coordinator obtains internal approval through the OPM Document Management System (DMS) to publish the required 60-Day and 30-Day Federal Register Notices informing the public of the proposed collection of information. **The procedures for creating DMS packages for 60-Day and 30-Day Notices are described below.**

After both notices have been approved through DMS and published in the Federal Register, the PRA Coordinator initiates the second process.

2. The second process involves creating the information collection request (ICR) submission package for OMB approval in the external Regulatory Information Service Center (RISC) and Office of Information and Regulatory Affairs (OIRA) Consolidated Information System (ROCIS). **The procedures for creating the ICR submission package in ROCIS are described below.**

After the ICR has been entered in ROCIS, the OPM PRA Clearance Officer reviews and approves it. The Clearance Officer then submits the package to OMB for final approval.

3.5 Information Collection Request (ICR) Approval Process Timeline

The ICR approval process can vary depending on the complexities of the collection. Below is a timeline estimate (in business days) for an ICR to undergo OPM approval and OMB approval. Based on this estimation of approval time, we recommend that Division PRA Coordinators begin renewing their expiring collections and submitting any new or anticipated information collections at least 10 months out to allow for internal program review and approval before entering the package into DMS.

The ICR approval process timeline in business days is outlined below:

1. Approval of 60-Day Notice via DMS. **(60 days)**
2. Publication of 60-Day Notice in the Federal Register. **(4 days)**
3. Public comment period for 60-Day Federal Register Notice. **(60 days)**

⁵ See 44 U.S.C. 3518.

4. Approval of 30-Day Federal Register Notice via DMS. **(60 days)**
5. Publication of 30-Day Notice in the Federal Register. **(4 days)**
6. Creation of ICR submission package in ROCIS (after 30-Day Federal Register Notice is published). **(10 days)**
7. Review and submission of ICR package to OMB. **(10 days, although this varies depending on the completeness of the ICR submission package)**
8. OMB review and OPM passback period. The total OMB review period is 60 days, which includes the 30-day public comment period and OMB's formal 30-day review period. OMB's formal 30-day review period does not begin until the 30-day public comment period has lapsed. During the 60-day OMB review period, discussions or negotiations concerning the ICR may occur between the OPM PRA Clearance Officer, the Division PRA Coordinator, the sponsoring program office, and OMB. Comments received by OMB from the public during the 30-day comment period may also be discussed at this time. **(60 days)**
9. OMB action. At the conclusion of the 60-day OMB review, OMB issues a Notice of Action (NOA) through ROCIS. The OMB NOA contains one of three responses: Approval, Disapproval with a process for appeal, or Withdrawal. Additionally, terms of clearance may be attached to the ICR.

TOTAL TIME REQUIRED = 208 days maximum from beginning to end.

3.6 Information Collection Request (ICR) Requirements

Every new ICR submitted to OMB for PRA approval requires an OMB Form 83-I, Paperwork Reduction Act Submission. See appendix H for complete instructions on how to fill out an OMB 83-I. A fillable 83-I is available for download at <http://www.whitehouse.gov/omb/inforeg/83i-fill.pdf>

Along with the 83-I, a number of documents need to be submitted to OMB for PRA approval. The documents are described below:

1. Proposed information collection instruments with the appropriate Public Burden Statement, and any additional forms, documents, or pamphlets issued with the information collection. If this is an electronic application, you must provide screenshots of the entire online form.
2. Published 60-Day Federal Register Notice.
3. Published 30-Day Federal Register Notice.
4. Supporting Statement Part A – Justification.
5. Supporting Statement Part B (if the collection is a statistical survey).

6. All applicable Code of Federal Regulations (CFR), U.S. Code (U.S.C.), Executive Orders (EO), and Public Laws (Pub. L.) that establish the need for the collection of information and the legal authority for OPM to collect it.

If the ICR involves the collection of personally identifiable information (PII),⁶ a privacy impact assessment (PIA) may need to be included in the ICR submission package. Please contact your designated security officer (DSO) to obtain a copy of the most current PIA that covers the information collection. Even if no PIA was completed for a particular collection in the past, if the form implicates PII, then OMB may not approve a renewal or amendment to the collection form unless a PIA has been completed. Therefore, a PIA must be created and approved **BEFORE** submitting the ICR for PRA approval. See OPM's Privacy Impact Assessment (PIA) Guide at <http://theo.opm.gov/policies/ispp/PIAGuide.pdf>.

If the ICR involves the collection of PII **AND** the IT system associated with the information collection uses an element of PII, such as an ID number, social security number, date of birth, or other element, to retrieve the PII being collected, a system of records notice (SORN) must be published in the Federal Register **BEFORE** submitting the ICR package for PRA approval. See OPM's System of Records Notice (SORN) Guide at <http://www.opm.gov/privacy/SORNGuide.pdf>.

3.7 Collection Instrument Requirements

OMB will not approve collection instruments for PRA unless they contain the following:

1. Public Burden Statement with:
 - a. Burden estimate
 - b. Program office name
 - c. Agency name
2. OMB control number
3. Expiration date
4. Form number

See appendix J for a sample approved OPM Public Burden Statement.

3.8 Federal Register Notice Requirements

A 60-Day and 30-Day Notice for public comment must be published in the Federal Register for every ICR. Emergency notices are posted only when OPM is requesting an emergency ICR clearance from OMB and must meet certain legal criteria before they can be granted. Emergency approvals are thus granted only rarely, and such requests are discouraged by OMB.

⁶ Personally identifiable information (PII) is information that can be used to discern or trace a person's identity; and alone, or combined with other information, can be used to compromise the integrity of records relating to a person by permitting unauthorized access to or unauthorized disclosure of these records.

3.8.1 60-Day Federal Register Notice

The 60-Day Federal Register Notice is posted to alert the public that OPM plans to conduct an information collection and submit it to OMB for PRA approval. This notice includes:

- A description of the information collection.
- A description of the intended audience.
- An estimate of how many respondents are expected to participate.
- An estimate of the time it will take to complete the information collection.
- An estimate of the burden hours on the public.

See the sample 60-Day Federal Register Notice in appendix D for the correct language and format.

When the notice is published, the public has 60 calendar days to comment on it.

NOTE: Public comments on the 60-Day Notice are sent only to the OPM program office conducting the information collection. The program office is responsible for responding to all comments received. The comments must also be sent to OMB as part of the ICR submission package via ROCIS. OPM offices can only solicit comments via email or written letter. Phone calls received from the public cannot be recorded accurately; therefore, the Federal Register notice only lists the contact email and address of the sponsoring program office.

3.8.2 30-Day Federal Register Notice

The 30-Day Federal Register Notice is posted to alert the public that OPM has submitted an information collection to OMB for PRA approval. This notice should be identical to the 60-Day Notice unless there were changes to the collection due to:

- Comments received during the 60-day comment period.
- Program adjustments.
- Changing respondent numbers.
- Internal OPM review and approval.

The 30-Day Notice also includes the date, volume number, and page number of the published 60-Day Federal Register Notice. In addition, it must indicate whether any comments were received during the 60-day period.

When the 30-Day Notice is published, the public has 30 calendar days to comment on it. Unlike the 60-Day Notice, comments are directed to the OMB desk officer for OPM and not the OPM program office.

See the sample 30-Day Federal Register Notice in appendix E for the correct language and format.

NOTE: The ICR is created in ROCIS when the 30-Day Notice is published. Contact the OPM PRA Clearance Officer to obtain a ROCIS account and training and to coordinate the uploading of appropriate documents.

3.8.3 Request for Emergency Clearance of an Information Collection and Emergency Federal Register Notice

An agency may request emergency clearance only when it needs to begin collecting the information more quickly than the time a full clearance will require. In every case, the agency must show that⁷:

- (1) The collection of information must be needed prior to the expiration of the normal time periods; and
- (2) The collection of information is essential to the mission of the agency.

In addition to those two criteria, the agency must, in every case, demonstrate that one of the following four circumstances is present:

- (1) Public harm is likely if normal procedures are followed; or
- (2) An unanticipated event has occurred; or
- (3) The use of normal procedures is likely to prevent or disrupt the collection; or
- (4) The use of normal procedures is likely to cause a statutory or court ordered deadline to be missed.

Before OMB will take action, the agency must publish an Emergency Federal Register Notice with a shortened timeframe for public comment and with reduced time for OMB to take action. In addition, the OPM Chief Information Officer must send a memorandum to the OPM Desk Officer at OMB explaining the reasons for the emergency clearance request. OMB may grant emergency clearance for up to 6 months or 180 days. Emergency clearances, if granted, must be followed by re-initiating the normal OMB clearance process, i.e., by publishing a 60-Day Federal Register notice and, subsequently preparing a 30-Day Federal Register Notice and re-requesting clearance by OMB if the information collection is intended to be used beyond the emergency approval period. Any comments received during the Emergency Federal Register Notice comment period must be addressed in the subsequent review process.

⁷ 5 C.F.R. § 1320.13(a)(1).

See the sample Emergency Federal Register Notice in appendix F for the correct language and format.

3.9 Supporting Statement Requirements

While the 60-Day Notice is clearing DMS, the Division PRA Coordinator should develop the Supporting Statement. It includes narrative information explaining the purpose, scope, and benefits of the collection. The Supporting Statement is divided into two parts: Part A (Justification) and Part B (Statistical Methodology). Part A is mandatory for all ICRs, and Part B is required for ICRs that involve statistical methods.

See the instructions on how to create a Supporting Statement in appendix I.

3.10 OPM DMS Procedures

All requests for PRA clearance of information collections must be submitted through OPM's Document Management System (DMS) for internal OPM review and approval before they are submitted to the OPM PRA Clearance Officer for submission to OMB.

Internal OPM approval must be obtained as early as possible because this internal process can take an indeterminate amount of time. OMB is not concerned with OPM internal review processes, so failure to clear DMS can never be used as an excuse for an expiring information collection.

This section explains how to create the OPM DMS internal approval routing list for a 60-Day Federal Register Notice, a 30-Day Federal Register Notice, and an Emergency Federal Register Notice, including the documents required for internal clearance of each type of notice. When submitting the DMS request, please be sure that all forms and information collection instruments, revised forms and information collections, other attachments, and citations are in electronic format and uploaded into DMS.

3.10.1 How to Enter a PRA Clearance Request into DMS

Follow the 16 steps below to enter your PRA clearance request into DMS:

1. Log in to DMS.
2. Select the Priority Correspondence Folder.
3. The Intake screen will open. In the **Subject** box, type the OMB clearance number (3206-####) and the title of the form or information collection.
4. In the **Document Date** box, select the default date that the request is entered into DMS.

5. In the **Responsible Office** box, select the submitting office.
6. In the **Date Received** box, select the default date.
7. In the **Category** box, select one of the following as appropriate:
 - 60-Day PRA Information Collection
 - 30-Day PRA Information Collection
 - Emergency PRA Information Collection

NOTE: The Emergency PRA Information Collection option can only be used when it has been preapproved by the OPM PRA Clearance Officer and OMB. These are rarely granted, and OMB frowns upon unjustified or overly frequent requests.

8. In the **Date Due to OD** box, select the date the Office of the Director must receive the package to take action. This date *must be before* the **Final Due Date**.
9. In the **Final Due Date** box, select the date by which the Federal Register notice must be printed. NOTE: For 30-Day and Emergency Notices, this date must be before the package can be routed to OMB through ROCIS.
10. In the **Recurrence** box, select No Recurrence.
11. In the **External Obligation** box:
 - For 60-Day PRA Information Collection – select None.
 - For 30-Day PRA Information Collection – select OMB.
 - For Emergency PRA Information Collection – select OMB.
12. In the **Responsible Office Contact** box, select as appropriate.
13. In the **Authority** box, select as appropriate depending on the information collection source.
14. In the **Handling** box, select as appropriate.
15. In the **Type** box, select as appropriate.
16. In the **POC** boxes, provide the information indicated.

DMS Routing List

For the DMS routing list, include the following in this order:

- Originator and any required program or division approvals.
- Associate Director or Division head – Approver.
- Chief Information Officer – Approver.

- General Counsel – Approver
- Facilities, Security and Contracting/Publications Management– Reviewer.
- Office of the Director – Approver.
- Facilities, Security and Contracting/Publications Management– Reviewer.
- Chief Information Officer – Reviewer.
- Originator or whoever needs to receive the approved package in the program office.

3.10.2 DMS 60-Day Federal Register Notice Requirements

The 60-Day Notice should start through the DMS approval process at least a full 13 months before the expiration date of the ICR.

Include the following items with the 60-Day Notice:

1. Draft **60-Day Federal Register Notice**.
2. Any **legal citation or document** that authorizes you to collect the information (CFR, U.S. Code, Executive Order, etc.).
3. A **copy of the form or information collection and any materials that are issued with it**. This may include an additional form, separate instructions, a pamphlet, or an explanatory sheet. If you have revised your form or information collection since your last OMB clearance, provide a copy of the old and new editions **highlighting** the changes.

3.10.3 DMS 30-Day Federal Register Notice Requirements

The 30-Day Notice should be initiated in DMS as soon as the 60-day comment period ends.

Include the following items with the 30-Day Notice:

1. Draft **30-Day Federal Register Notice**.
2. A **copy of the form or information collection and any materials that are issued with it**. This may include an additional form, separate instructions, a pamphlet, or an explanatory sheet. If you have revised your form or information collection since the 60-Day Federal Register Notice approval, provide a copy of the old and new editions **highlighting** the changes.

3.10.4 DMS Emergency Clearance Federal Register Notice Requirements

Include the following items in the DMS approval package for Emergency Federal Register Notices:

1. Emergency Federal Register Notice.
2. Proposed information collection instrument and any additional forms, documents, or pamphlets issued with the information collection.
3. Previous information collection if this is a revision.
4. All citations.
5. Memorandum from the OPM CIO to the OPM Desk Officer at OMB. See the sample memorandum in appendix G.

After all internal approvals are obtained via DMS, the OPM Director will sign the Emergency Federal Register Notice and forward it in DMS to Publications Management Group for publication in the Federal Register. When the Emergency Federal Register Notice is published, the Division PRA Coordinator will create the ICR in ROCIS and send it to the OPM PRA Clearance Officer for submission to OMB.

3.11 Submitting Information Collection Requests (ICRs) to OMB

Federal agencies are required to use the Regulatory Information Service Center (RISC) and Office of Information and Regulatory Affairs (OIRA) Consolidated Information System (ROCIS) to create and submit their ICRs to OMB for review. ROCIS is an Internet-based system developed to improve the ability of OMB and individual Federal agencies to meet their collection of information responsibilities under the PRA. ROCIS also provides Federal agencies with the ability to:

- Track the receipt and status of OIRA's review of individual ICRs.
- View current and historical OIRA decisions and related records on its reviews of agency collections of information.
- Identify, search, segment, aggregate, and analyze burden data.
- Use information stored in the ROCIS database to prepare the agency's annual information collection budget.

A login ID and training are required to access ROCIS. Contact the OPM PRA Clearance Officer to schedule training.

3.12 ROCIS Submission Requirements

Once you receive your ROCIS training and login ID from GSA, please download the ROCIS How To Guide for Agency Users, available on the ROCIS login screen at <http://www.rocis.gov>. This will act as a training refresher and assist you with your submissions.

You will need to have the following items when you submit your ICR package in ROCIS:

1. Form 83-I, Paperwork Reduction Act Submission.
2. Supporting Statement Part A – Justification.

3. Supporting Statement Part B (if the collection constitutes a statistical survey).
4. Published 60-Day Federal Register Notice.
5. Published 30-Day Federal Register Notice.
6. All applicable Code of Federal Regulations (CFR), U.S. Code (U.S.C.), Executive Orders (EO), and Public Laws (Pub. L.) that legalize the collection of information.
7. Proposed information collection instruments with appropriate Public Burden Statement and any additional forms, documents, or pamphlets issued with the information collection. If this is an electronic application, you must provide screenshots of the entire online form.
8. Privacy Impact Assessment (if the ICR involves the collection of personally identifiable information (PII)).
9. System of Records Notice (if the collection is creating a system of records).
10. Summary of all comments received and responses to comments during the 60-day notice period.

APPENDIX A: ACRONYMS

CFR	Code of Federal Regulations
CIO	Chief Information Officer
DMS	Document Management System at OPM
FR	Federal Register
GSA	General Services Administration
ICR	information collection request
IT	information technology
OIRA	Office of Information and Regulatory Affairs
OMB	Office of Management and Budget
OPM	Office of Personnel Management
PII	personally identifiable information
PIA	privacy impact assessment
PRA	Paperwork Reduction Act
Pub. L.	public law
RISC	Regulatory Information Service Center (GSA)
ROCIS	RISC and OIRA Consolidated Information System
SORN	system of records notice
SSN	social security number
U.S.C.	United States Code

APPENDIX B: GLOSSARY

information collection: 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 CFR 1320.3).

personally identifiable information (PII): Information that can be used to discern or trace a person's identity; and alone, or combined with other information, can be used to compromise the integrity of records relating to a person by permitting unauthorized access to or unauthorized disclosure of these records.

APPENDIX C: REFERENCES

C.1 Authorities

- Paperwork Reduction Act of 1995, as amended (44 U.S.C. 3501-3520).
- Clinger-Cohen Act of 1996, Information Technology Management Reform Act (Pub. L. 104-106).
- 5 CFR 1320, Controlling Paperwork Burdens on the Public.
- Executive Order 12291, Federal Regulation.

C.2 External and Internal Issuances Incorporated by Reference

C.2.1 External References

- Office of Management and Budget Standards and Guidelines for Statistical Surveys.
- Questions and Answers When Designing Surveys For Information Collections, Office of Information and Regulatory Affairs, Office of Management and Budget.
- Christopher and Schmitt, Environmental Monitoring and Sampling Primer, 1997

C.2.2 OPM Internal References

- Privacy Impact Assessment (PIA) Guide
- System of Records Notice (SORN) Guide

C.2.3 Forms

- OMB 83-I, Paperwork Reduction Act Submission

APPENDIX D: SAMPLE 60-DAY FEDERAL REGISTER NOTICE**Publication Date:** _____**6325-38****U.S. OFFICE OF PERSONNEL MANAGEMENT****Submission for Review: Federal Cyber Service: Scholarship For Service (SFS)
Registration Website****AGENCY:** U.S. Office of Personnel Management.**ACTION:** 60-Day Notice and request for comments.

SUMMARY: The Human Resources Solutions, Office of Personnel Management (OPM) offers the general public and other federal agencies the opportunity to comment on an existing information collection request (ICR) 3206-0246, SFS Registration. As required by the Paperwork Reduction Act of 1995, (Pub. L. 104-13, 44 U.S.C. chapter 35) as amended by the Clinger-Cohen Act (Pub. L. 104-106), OPM is soliciting comments for this collection. The Office of Management and Budget is particularly interested in comments that:

1. Evaluate whether the proposed collection of information is necessary for the proper performance of the functions of the agency, including whether the information will have practical utility;
2. Evaluate the accuracy of the agency's estimate of the burden of the proposed collection of information, including the validity of the methodology and assumptions used;
3. Enhance the quality, utility, and clarity of the information to be collected; and
4. Minimize the burden of the collection of information on those who are to respond, including through the use of appropriate automated, electronic, mechanical, or

other technological collection techniques or other forms of information technology, e.g., permitting electronic submissions of responses.

DATES: Comments are encouraged and will be accepted until [INSERT DATE 60 DAYS AFTER DATE OF PUBLICATION IN THE FEDERAL REGISTER]. This process is conducted in accordance with 5 CFR 1320.1.

ADDRESS: Interested persons are invited to submit written comments on the proposed information collection to U.S. Office of Personnel Management, San Antonio Office, 8610 Broadway, Rm. 305, San Antonio, TX 78217, Attention: Kathryn Roberson or sent via electronic mail to sfs@opm.gov.

FOR FURTHER INFORMATION CONTACT: A copy of this ICR, with applicable supporting documentation, may be obtained by contacting the San Antonio Services Branch, Office of Personnel Management, 8610 Broadway, Rm. 305, San Antonio, TX 78217, Attention: Kathryn Roberson or sent via electronic mail to sfs@opm.gov.

SUPPLEMENTARY INFORMATION:

The SFS Program was established by the National Science Foundation in accordance with the Federal Cyber Service Training and Education Initiative as described in the President's *National Plan for Information Systems Protection*. This program seeks to increase the number of qualified students entering the fields of information assurance and computer security in an effort to respond to the threat to the Federal Government's information technology infrastructure. The program provides selected 4-year colleges and universities scholarship grants to attract students to the information assurance field. Participating students who receive scholarships from this program are required to serve a 10-week internship during their studies and complete a post-graduation employment

commitment equivalent to the length of the scholarship or one year, whichever is longer. Approval of the webpage is necessary to facilitate the timely registration, selection and placement of program-enrolled students in Federal agencies.

ANALYSIS:

Agency: Federal Cyber Service: Scholarship For Service Program, Office of Personnel Management

Title: Scholarship For Service (SFS) Program Internet Site

OMB Number: 3206-0246

Frequency: Annually

Affected Public: Individuals or Households

Number of Respondents: 630

Estimated Time Per Respondent: 1 hour

Total Burden Hours: 630 hours

U.S. Office of Personnel Management.

John Berry,
Director.

6325-38

APPENDIX E: SAMPLE 30-DAY FEDERAL REGISTER NOTICE**Publication Date:** _____**6325-38****U.S. OFFICE OF PERSONNEL MANAGEMENT****Submission for Review: OPM Form 1203-FX, Occupational Questionnaire, 3206-0040****AGENCY:** U.S. Office of Personnel Management.**ACTION:** 30-Day Notice and request for comments.

SUMMARY: The Automated Services Management Group, Office of Personnel Management (OPM) offers the general public and other federal agencies the opportunity to comment on an existing information collection request (ICR) 3206-0040, Occupational Questionnaire, OPM Form 1203-FX. As required by the Paperwork Reduction Act of 1995, (Pub. L. 104-13, 44 U.S.C. chapter 35) as amended by the Clinger-Cohen Act (Pub. L. 104-106), OPM is soliciting comments for this collection. The information collection was previously published in the Federal Register on September 18, 2009 at Volume 74 FR 47981 allowing for a 60-day public comment period. No comments were received for this information collection. The purpose of this notice is to allow an additional 30 days for public comments. The Office of Management and Budget is particularly interested in comments that:

5. Evaluate whether the proposed collection of information is necessary for the proper performance of the functions of the agency, including whether the information will have practical utility;
6. Evaluate the accuracy of the agency's estimate of the burden of the proposed collection of information, including the validity of the methodology and

assumptions used;

7. Enhance the quality, utility, and clarity of the information to be collected; and
8. Minimize the burden of the collection of information on those who are to respond, including through the use of appropriate automated, electronic, mechanical, or other technological collection techniques or other forms of information technology, e.g., permitting electronic submissions of responses.

DATES: Comments are encouraged and will be accepted until [INSERT DATE 30 DAYS AFTER DATE OF PUBLICATION IN THE FEDERAL REGISTER]. This process is conducted in accordance with 5 CFR 1320.1.

ADDRESS: Interested persons are invited to submit written comments on the proposed information collection to the Office of Information and Regulatory Affairs, Office of Management and Budget, 725 17th Street, NW, Washington, DC 20503, Attention: Desk Officer for the Office of Personnel Management or sent via electronic mail to oir_submission@omb.eop.gov or faxed to (202) 395-6974.

FOR FURTHER INFORMATION CONTACT: A copy of this ICR, with applicable supporting documentation, may be obtained by contacting the Office of Information and Regulatory Affairs, Office of Management and Budget, 725 17th Street, NW, Washington, DC 20503, Attention: Desk Officer for the Office of Personnel Management or sent via electronic mail to oir_submission@omb.eop.gov or faxed to (202) 395-6974.

SUPPLEMENTARY INFORMATION: The Occupational Questionnaire is an optical scan form designed to collect applicant information and qualifications in a format suitable for automated processing and to create applicant records for an automated examining

system. The 1203 series was commonly referred to as the “Qualifications and Availability Form C.” OPM has re-titled the series as “Occupational Questionnaire” to fit a more generic need. OPM uses this form to carry out its responsibility for open competitive examining for admission to the competitive service in accordance with section 3304, of title 5, United States Code.

ANALYSIS:

Agency: Automated Systems Management Group, Office of Personnel Management

Title: Occupational Questionnaire, OPM Form 1203-FX

OMB Number: 3260-0040

Frequency: On occasion

Affected Public: Individuals or households

Number of Respondents: 3,484,764

Estimated Time Per Respondent: 45 minutes

Total Burden Hours: 2,613,573

U.S. Office of Personnel Management.

John Berry,
Director.

6325-38

APPENDIX F: SAMPLE EMERGENCY FEDERAL REGISTER NOTICE**Publication Date:** _____**6325-38****OFFICE OF PERSONNEL MANAGEMENT****Submission for OMB Emergency Review: OPM Form 1203-FX, Occupational Questionnaire, 3206-0040****AGENCY:** Office of Personnel Management.**ACTION:** Emergency Clearance Notice and request for comments.

SUMMARY: The Human Resources Solutions, Office of Personnel Management (OPM) submitted a request to the Office of Management and Budget (OMB) for emergency clearance and review for OPM Form 1203-FX, Occupational Questionnaire, 3206-0040. As required by the Paperwork Reduction Act of 1995, (Pub. L. 104-13, 44 U.S.C. chapter 35) as amended by the Clinger-Cohen Act (Pub. L. 104-106), OPM is soliciting comments for this collection. The Office of Management and Budget is particularly interested in comments that:

1. Evaluate whether the proposed collection of information is necessary for the proper performance of the functions of the agency, including whether the information will have practical utility;
2. Evaluate the accuracy of the agency's estimate of the burden of the proposed collection of information, including the validity of the methodology and assumptions used;
3. Enhance the quality, utility, and clarity of the information to be collected; and
4. Minimize the burden of the collection of information on those who are to respond, including through the use of appropriate automated, electronic, mechanical, or

other technological collection techniques or other forms of information technology, e.g., permitting electronic submissions of responses.

DATES: Comments on this proposal for emergency review should be received within [INSERT DATE 10 DAYS AFTER DATE OF PUBLICATION IN THE FEDERAL REGISTER]. We are requesting OMB to take action within 10 calendar days from the close of this Federal Register Notice on the request for emergency review. This process is conducted in accordance with 5 CFR 1320.1.

ADDRESS: Interested persons are invited to submit written comments on the proposed information collection to the Office of Information and Regulatory Affairs, Office of Management and Budget, 725 17th Street, NW, Washington, DC 20503, Attention: Desk Officer for the Office of Personnel Management or sent via electronic mail to oir_submission@omb.eop.gov or faxed to (202) 395-6974.

SUPPLEMENTARY INFORMATION: The Occupational Questionnaire is an optical scan form designed to collect applicant information and qualifications in a format suitable for automated processing and to create applicant records for an automated examining system. The 1203 series was commonly referred to as the “Qualifications and Availability Form C.” OPM has re-titled the series as “Occupational Questionnaire” to fit a more generic need. OPM uses this form to carry out its responsibility for open competitive examining for admission to the competitive service in accordance with section 3304, of title 5, United States Code.

Agency: Automated Systems Management Group, Office of Personnel Management

Title: Occupational Questionnaire, OPM Form 1203-FX

OMB Number: 3260-0040

Frequency: On occasion

Affected Public: Individuals or households

Number of Respondents: 3,484,764

Estimated Time Per Respondent: 45 minutes

Total Burden Hours: 2,613,573

U.S. Office of Personnel Management.

John Berry,
Director.

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APPENDIX G: SAMPLE OMB MEMORANDUM FOR EMERGENCY CLEARANCE

MEMORANDUM FOR:

OMB Designee
OPM Desk Officer
Office of Management and Budget

FROM:

OPM Designee
Deputy Associate Director
Chief Information Officer

SUBJECT: Request for Emergency Clearance

This is to request emergency clearance for [briefly describe the information collection and provide the current or former OMB clearance number if applicable]. [If true, include the following statement] In addition to the emergency clearance, we will also complete the normal OMB review process and post the 60-Day and 30 Day Federal Register Notices following the Emergency Federal Register Notice.

[Describe in detail why OPM is requesting emergency clearance, and include the following information:

- Why emergency clearance is essential to the agency mission.
- Why the agency cannot reasonably comply with normal clearance procedures, and show how:
 - a. Public harm is likely to result if normal clearance procedures are followed,
 - b. An unanticipated event has occurred, or
 - c. Use of normal clearance procedures is reasonably likely to prevent or disrupt the collection of information or is likely to cause a statutory or court-ordered deadline to be missed.
- The time period within which OMB should approve or disapprove the information collection.
- How OPM has taken all practicable steps to consult with interested agencies and members of the public to minimize the burden of the information collection.]

APPENDIX H: INSTRUCTIONS FOR COMPLETING OMB FORM 83-I

1. Agency/Subagency originating request – Enter **OPM** and the program office name.

2. OMB control number – If the information collection has previously been approved by OMB, enter the control number that was assigned (whether current or expired). For OPM, it will always start with 3206 and have 4 additional digits. Check **b** for None for new collections that have never been assigned a control number.

3. Type of information collection – Check only one block, as follows:

- a. Check **New Collection** when the collection has not previously been used by OPM.
- b. Check **Revision** when the collection is currently approved by OMB and you wish to make a change in the questions asked, the manner of the collection, the burden estimate, or the way in which the information will be used.
- c. Check **Extension** when the collection currently has OMB approval, you wish to extend that approval past the current OMB expiration date (generally, renew for another 3 years), and no change is proposed for the collection.
- d. Check **Reinstatement, without change** when you are submitting a collection that previously had OMB approval, the approval expired, and no major change has been made in the previously approved collection.
- e. Check **Reinstatement, with change** when the collection is like d above, but has been changed since the prior approval.
- f. Check **Existing collection in use without an OMB control number** if the collection has been in use without ever having received OMB approval. If you check this block, your request must be accompanied by a memo explaining why this violation of the Paperwork Reduction Act took place.

4. Type of review requested – Block a, Regular Submission, should always be checked unless instructed otherwise by the OPM PRA Clearance Officer. If you have a situation that requires OMB approval in less than 60 days to avoid some damaging effect on the public or the environment, contact the OPM PRA Clearance Officer or your Division PRA Coordinator to discuss the situation. Not meeting a deadline because of lack of foresight is not regarded as an emergency by OPM or OMB.

5. Small Entities – Indicate whether this information collection will have a significant impact on a substantial number of small entities. A small entity may be (1) a small business that is independently owned and operated and that is not dominant in its field of operations; (2) a small organization that is any not-for-profit enterprise independently owned and operated and is not dominant in its field; or (3) a small government

jurisdiction that is the government of a city, county, town, township, school district, or special district with a population of less than 50,000.

6. Requested expiration date – Check block **a** for 3-year approval unless you know that the collection's life will be less than 3 years. In the latter case, check block **b** and enter a date. DO NOT request an expiration date beyond 3 years, as OMB is prohibited by law from giving such an approval. If the action is a revision to a currently approved collection, enter the existing expiration date for the collection.

7. Title – Provide a title for the information collection. If the submission is a revision to a currently approved collection, use the title for the overall collection rather than providing the title of the change to take place. Usually you should not use the title of any associated rulemaking, as it will not specifically identify the information collection itself.

8. Agency form numbers – Enter the numbers of any OPM numbered forms to be used in the collection. When multiple forms will be used, separate the numbers with commas. If the only number on the form is the OMB control number, do not list it here but put **NA**.

9. Keywords – Enter **OPM**, the name of the collection, and the program office.

10. Abstract – Provide a brief statement, in 5-10 lines of text, describing the need for the information and how it will be used.

11. Affected public – Mark all the categories that apply. Mark the primary respondent group with a **P** and the secondary respondent group with an **X**.

12. Obligation to respond –

- a. Check **Voluntary** when the response is entirely discretionary and has no direct effect on any benefit or privilege for the respondent.
- b. Check **Required to obtain or retain a benefit** when the response is elective but is required to obtain or retain a benefit (e.g., a loan).
- c. Check **Mandatory** when the respondent must respond by statute or regulation.

13. Annual recordkeeping and reporting burden – Enter the information described below. If you are requesting approval for 3 years, and the number of respondents, responses, or burden hours will vary significantly during that period, provide an annual average over the period rather than the maximum year's figures. If the submission is a revision to an existing collection, the numbers should reflect the new totals for the overall collection, and not just the changes being made. That is, if you are adding six respondents, 100 responses, and 25 burden hours per year, these are not your new annual totals; the new totals reflect the current numbers plus the added numbers (e.g., current hours of 500 plus added 25 hours equals 525).

If you do not have accurate data on the totals, contact the OPM PRA Clearance Officer or check the current totals for this collection in ROCIS:

Some reasons why the totals may have changed since the last renewal are a revision submitted through this same process, or a change worksheet that may have merged another collection into this one. *If you are not a new sponsor for this collection, you will have been the one doing the revising or merging, but it still never hurts to check your totals!*

- a. Enter the total number of respondents, annualized over the 3-year approval period. That is, if each respondent responds at least once per year, do not divide by 3 – your annual respondent total is the same as your overall total. If each respondent responds less often than annually in the 3-year period, divide the total by 3. *Do not double-count respondents: if 15 people file 3 reports per year, you have 15 respondents, not 45.*
- b. Enter the total number of responses provided annually. Provide the percentage of responses that will be submitted or collected using electronic media (other than telephones and facsimile submissions). Do not include the entering of submitted information into a computer after receipt in OPM.
- c. Enter the total annual reporting and recordkeeping burden in hours.
- d. Enter the total annual burden-hours currently approved by OMB. Enter **0** for a new collection or a collection for which OMB approval has expired.
- e. Enter the difference by subtracting line d from line c. Record a negative number in parentheses.
- f. Based on the reason for the difference (program change or adjustment), enter the amount of the difference shown in line e, in lines f1 and f2.

f1. Program change – This is the result of deliberate Federal Government action. All new collections and any subsequent revisions or changes resulting in cost changes are recorded as program changes.

f2. Adjustment – This is a change that is not the result of a deliberate Federal Government action. Changes resulting from new estimations or actions not controllable by the Federal Government are recorded as adjustments.

If appropriate, both program changes and adjustments can be used to explain applicable components of a burden-hour change. Examples: Of a total difference (increase) of 400, 300 could be due to program change and 100, to adjustment, OR you could have a decrease of 100 due to program change and an increase of 500 due to adjustment, which would still be a net increase of 400.

14. Annual reporting and recordkeeping cost burden – The costs identified in this item are those identified in item 13 of the Supporting Statement ONLY, that is, recordkeeping or reporting costs, NOT labor costs (labor costs are addressed ONLY in the Supporting Statement item 12, and do not appear on the 83-I).

- a. Enter the total dollar amount of annualized costs for all respondents of any associated capital or start-up costs (e.g., the cost of buying and setting up a computer needed to make the reports, divided by 3 years).
- b. Enter the recurring annual dollar amount of costs for all respondents associated with operating or maintaining systems or purchasing services. Include any money the respondent spends to comply with the information request or requirement (e.g., for attorney fees). Operations and maintenance costs include the costs of mailing, faxing, or calling in information, making paper copies, notary costs, and electronic transmissions. Regular maintenance of any equipment whose initial costs fall under “capital and start-up” would also belong here.
- c. Enter the total of 14a + 14b as requested annual reporting and recordkeeping cost burden.
- d. Enter the total cost burden currently approved by OMB for this collection of information. Enter zero (0) if this is a new submission.
- e. Enter the difference by subtracting line d from line c. Record a negative number within parentheses.
- f. If appropriate, both program changes and adjustments can be used to explain applicable components of a burden-hour change. Based on the reason for the difference (program change or adjustment), enter the amount of the difference shown in line e, in lines f1 and f2. *See #13 above for definitions and examples.*

15. Purpose of information collection – Check all that apply, using a **P** for the primary purpose and an **X** for all others.

16. Frequency of recordkeeping or reporting –

- a. Check **Recordkeeping** if the collection of information explicitly requires a person to maintain records that will not subsequently be submitted to the Federal Government.
- b. Check **Third party disclosure** if a collection of information requires a person to obtain or compile information for the purpose of disclosure to members of the public or the public at large, through posting, notification, labeling, or similar requirements.
- c. Check **Reporting** for information collections that involve reporting to the Federal Government and check the frequency of reporting that is requested or required of a respondent. If the reporting is triggered by an event, check **On occasion**.

17. Statistical methods – Many research collections and scientific program evaluations employ statistical methods, while applications and audits do not.

Check **Yes** if you are:

- a. Collecting data using any survey methods.
Note: OMB is now including census (collection from the entire respondent population) under “sampling”, and since sampling is a statistical method, for any information collection referred to as a “survey” you must check Yes (see below).
- b. Doing any kind of estimation, imputation, or weighting.
- c. Pretesting or field testing for a survey, including cognitive interviews or focus groups from a total of 10 or more people.

If you check Yes, you must also answer Part B in the Supporting Statement (see the instructions in appendix I, part B).

18. Agency contact – Provide the name and telephone number of someone able to answer questions regarding the content of the submission.

19. Certification – DO NOT SIGN THIS BLOCK! No entry is needed. However, you do need to review the certification standards on this page, and if the collection fails to meet one or more of those standards, item 18 of the Supporting Statement must explain the reason for that failure.

Agency Certification – OPM requires that the OMB Form 83-I be signed by an Associate Director, Deputy Associate Director or program manager.

APPENDIX I: HOW TO CREATE A SUPPORTING STATEMENT

General Instructions

A Supporting Statement, including the text of the notice to the public required by 5 CFR 1320.5(a)(i)(iv) and its actual or estimated date of publication in the Federal Register, must accompany each request for approval of a collection of information. The Supporting Statement must be prepared in the format described below, and must contain the information specified in part A below. If an item is not applicable, provide a brief explanation. When the question "Does this ICR contain surveys or censuses or employ statistical methods" is checked "Yes", part B of the Supporting Statement must also be completed. OMB reserves the right to require the submission of additional information with respect to any request for approval.

Specific Instructions

Start with the title of the collection, any associated forms used, and the control number for this collection.

Title:

Form names and numbers:

OMB Control Number: 3206-xxxx

PART A. JUSTIFICATION

1. Explain the circumstances that make the collection of information necessary.

Include a citation and brief description of any statute or Executive order that requires the collection, as well as any pending regulations on which revisions are based, if applicable. Copies of statutes mandating or authorizing a collection must be included with all submissions. Provide some background information on the program and describe how the collection supports it. Detail any specific program problems you hope to resolve.

2. Indicate how, by whom, and for what purpose the information is to be used. Except for a new collection, indicate the actual use the agency has made of the information received from the current collection.

For all but "New" collection requests, indicate the actual use OPM has made of the information received. This explanation of the proposed and any past use of the information is a key one and must be detailed. *Do not just make general statements about the overall use of the information, but address the specific items of information being collected. You should deal individually with each question or type of question being asked in your survey or on your form unless the purpose of the question is obvious to*

someone not familiar with your program. One of OMB's key standards under the Paperwork Reduction Act is whether the information has "practical utility"; you must demonstrate that you will be using all of the information collected for a practical and necessary program purpose.

3. Describe whether, and to what extent, the collection of information involves the use of automated, electronic, mechanical, or other technological collection techniques or other forms of information technology.

Explain the basis for the decision for adopting this means of collection. Also describe any consideration you have given or are giving to the use of improved information technology to reduce the burden on the public. You must address the following:

- Is the electronic submission of responses possible?
- If a form is involved, is it available on the Internet for public printing?
- Will the results of the information collection be made available to the public over the Internet?

If the answer to any of those questions is "no", are there plans to do so? If not, why not?

4. Describe efforts to identify duplication. Show specifically why any similar information already available cannot be used or modified for use for the purposes described in item 2 above.

Describe your efforts to identify duplication with other collections (under other OMB control numbers or collections by other agencies, etc.) that may be gathering the same or similar information. If the same or similar information is available, describe why it cannot be used or modified for the purposes described in item 2 above.

5. If the collection of information impacts small businesses or other small entities, describe any methods used to minimize burden.

If the collection will have a significant impact on small entities such as small businesses, organizations, or government bodies (see the instruction above for item 5 of the OMB 83-I), describe the methods used to minimize the burden on them.

6. Describe the consequence to Federal program or policy activities if the collection is not conducted or is conducted less frequently, as well as any technical or legal obstacles to reducing the burden.

Address both parts of the question: not conducting the collection AND doing it less frequently. Generally one or two paragraphs are sufficient.

7. Explain any special circumstances that would cause an information collection to be conducted in a manner:

- Requiring respondents to report information to the agency more often than quarterly;
- Requiring respondents to prepare a written response to a collection of information in fewer than 30 days after receipt of it;
- Requiring respondents to submit more than an original and two copies of any document;
- Requiring respondents to retain records, other than health, medical, government contract, grant-in-aid, or tax records, for more than 3 years;
- In connection with a statistical survey, that is not designed to produce valid and reliable results that can be generalized to the universe of study;
- Requiring the use of a statistical data classification that has not been reviewed and approved by OMB;
- That includes a pledge of confidentiality that is not supported by authority established in statute or regulation, that is not supported by disclosure and data security policies that are consistent with the pledge, or that unnecessarily impedes sharing of data with other agencies for compatible confidential use; or
- Requiring respondents to submit proprietary trade secrets or other confidential information unless the agency can demonstrate that it has instituted procedures to protect the information's confidentiality to the extent permitted by law.

8. If applicable, provide a copy and identify the date and page number of publication in the Federal Register of the agency's notice, required by 5 CFR 1320.8(d), soliciting comments on the information collection prior to submission to OMB.

The first sentence should read: "On [indicate month, day, and year], a 60-Day Federal Register Notice was published at 73 FR 12746 [indicate volume and page number]. No comments were received." [If pertinent comments were received, state: "## comments were received and responded to".]

If you are submitting the request in association with a Notice of Proposed Rulemaking, eliminate the sentence about publication of a Federal Register notice and state that a proposed rule will be published for public comment. Please give the Regulation Identifier Number (RIN).

9. Explain any decision to provide any payment or gift to respondents, other than remuneration of contractors or grantees.

Payments or gifts are generally not permissible, so if you are proposing to do so, provide a justification, including your authority for making such payments or gifts.

10. Describe any assurance of confidentiality provided to respondents and the basis for the assurance in statute, regulation, or agency policy.

You must cite a specific authority for promising confidentiality. If there is no applicable authority, and you do plan to protect the information, please describe the management, operational, and technical safeguards, but do not state that information will be confidential.

If the Privacy Act (5 U.S.C. 552a) applies to a collection (see below), it can be used as a statutory authority for confidentiality. If there is another appropriate statutory authority in addition to the Privacy Act, it is best to cite that authority. However, if the Privacy Act applies, compliance with this Act is still necessary (see below).

This Act generally applies if records will be primarily retrieved by personally identifiable information, e.g., name, social security number (SSN), or date of birth. This Act “governs the collection, maintenance, and disclosure of information from or about identifiable individuals (not statistical or aggregate information).” For these purposes, corporations are not considered to be individuals, but persons acting as or for corporations are still considered individuals. Also, if a business does not have an employer identification number (EIN) and thus must supply an SSN, the SSN requires protection under the Privacy Act.

If an information collection falls under this Act, a Privacy Act system of records notice must be published in the Federal Register, which describes how and where the information is stored, and how it is secured. If a system of records already exists under which this collection would fall, you do not need to go through this process.

If you request a respondent’s SSN, this Privacy Act note (Section 7(a)(1)(b)) applies, **“Any Federal, State or local government agency which requests an individual to disclose his social security account number shall inform that individual whether that disclosure is mandatory or voluntary, by what statutory or other authority such number is solicited, and what uses will be made of it.”**

The applicable statement must be included along with the Paperwork Reduction Act statement on all forms that request an SSN.

11. Provide additional justification for any questions of a sensitive nature, such as sexual behavior and attitudes, religious beliefs, and other matters that are commonly considered private.

This justification should include the reasons why the agency considers the questions necessary, the specific uses to be made of the information, the explanation to be given to people from whom the information is requested, and any steps to be taken to obtain their consent. Finally, OMB has standards⁸ for asking questions about race or ethnicity. If you ask such questions, you must comply with those standards.

12. Provide estimates of the hour burden of the collection of information. The statement should:

⁸ See OMB Directive 15, Race and Ethnic Standards for Federal Statistics and Administrative Reporting.

- Indicate the number of respondents, frequency of response, annual hour burden, and an explanation of how the burden was estimated. Unless directed to do so, agencies should not conduct special surveys to obtain information on which to base hour burden estimates. Consultation with a sample of potential respondents (fewer than 10) is desirable. If the hour burden on respondents is expected to vary widely because of differences in activity, size, or complexity, show the range of estimated hour burden and explain the reasons for the variance. Generally, estimates should not include burden hours for customary and usual business practices. Note: If this request for approval covers more than one form, provide separate hour burden estimates for each form and aggregate the hour burdens.
- Provide estimates of annualized cost to respondents for the hour burdens for collections of information, identifying and using appropriate wage rate categories. The cost of contracting out or paying outside parties for information collection activities should not be included here. Instead, this cost should be included under item 13.

Form Name	Form Number	No. of Respondents	No. of Responses per Respondent	Average Burden per Response (in hours)	Total Annual Burden (in hours)	Average Hourly Wage Rate	Total Annual Respondent Cost
						\$	\$
Total						\$	\$

13. Provide an estimate for the total annual cost burden to respondents or record-keepers resulting from the collection of information. Do NOT include the labor cost (wage equivalent) of the burden-hours described in item 12 above. The information required here corresponds to that in item 14 on the 83-I (cost to the public).

The cost estimate should be split into two components:

1. A total capital and start-up cost component (annualized over its expected useful life).
2. A total operation and maintenance and purchase of services component.

The estimates should take into account costs associated with generating, maintaining, and disclosing or providing the information. Include descriptions of methods used to estimate major cost factors, including system and technology acquisition, expected useful life of capital equipment, the discount rates, and the time period over which costs will be incurred. Capital and start-up costs include, among other items, preparations for collecting information such as purchasing computers and software; monitoring, sampling, drilling and testing equipment; and record storage facilities.

If cost estimates are expected to vary widely, agencies should present ranges of cost burdens and explain the reasons for the variance. The cost of purchasing or contracting out information collections services should be a part of this cost burden estimate. In developing cost burden estimates, agencies may consult with a sample of respondents (fewer than 10), use the 60-day pre-OMB submission public comment process, and use existing economic or regulatory impact analysis associated with the rulemaking containing the information collection, as appropriate.

Generally, estimates should not include purchases of equipment or services, or portions of them, made (1) prior to October 1, 1995, (2) to achieve regulatory compliance with requirements not associated with the information collection, (3) for reasons other than to provide information or keep records for the Government, or (4) as part of customary and usual business or private practices.

14. Provide estimates of annualized costs to the Federal Government.

Include here a description of the method used to estimate costs to the Federal Government, which should show the quantification of hours, operational expenses (such as equipment, overhead, printing, and staff support), and any other expense that would not have been incurred without this collection of information. If there will be no costs beyond the normal labor costs for staff, state that here.

15. Explain the reasons for any program changes or adjustments reported on the burden worksheet.

Program changes are new collections or changes in requirements. Adjustments are re-estimates of the number of respondents, responses, or the response times for existing requirements. Please be more specific than, for example, "Changes were due to the requirement that ____". List at least net changes and the specific reasons for them; for example, "Increased reporting or recordkeeping costs are due to the capital costs of ...". If there are no changes, simply state, "There are no changes" with no further explanation. If this is a new program, obviously there can be no changes from a previous version, simply state "This is a new program".

16. For collections of information whose results will be published, outline plans for tabulation and publication. Address any complex analytical techniques that will be used. Provide the time schedule for the entire project, including beginning and ending dates of the collection of information, completion of report, publication dates, and other actions.

Address any complex analytical techniques that will be used. Provide a time schedule for the collection, publication, and other actions. Also, will the results of the collection be made available on your organization's Web site? If not, why not?

17. If you are seeking approval to not display the expiration date for OMB approval of the information collection, explain the reasons that display would be inappropriate.

If your collection consists of a paper form, you may request exemption from printing the expiration date on the forms based on the high cost of reprinting. However if you have an electronic application, for example, online data entry screens, you may not claim this exemption.

18. Explain each exception to the topics of the certification statement identified in Certification for Paperwork Reduction Act Submissions.

Self-explanatory. There are virtually never exceptions.

PART B. COLLECTIONS OF INFORMATION EMPLOYING STATISTICAL METHODS

If your collection does not employ statistical methods, state that and delete the following five questions from the format – UNLESS your proposed information collection is a survey. OMB recently clarified that Part B must be completed for all survey requests, whether or not statistical analysis will be applied. In addition to statistical analysis, Part B addresses the description of the target group of respondents, the sampling plan, and plans to maximize response rates and address nonresponse. When item 17 of the OMB 83-I is checked "Yes", the following documentation must be provided to the extent that it applies to the methods proposed.

1. Describe (including a numerical estimate) the potential respondent universe and any sampling or other respondent selection methods to be used. Data on the number of entities (e.g., establishments, State and local government units, households, or persons) in the universe covered by the collection and in the corresponding sample are to be provided in tabular form for the universe as a whole and for each of the strata in the proposed sample. Indicate expected response rates for the collection as a whole. If the collection had been conducted previously, include the actual response rate achieved during the last collection.

Response rate means -- Of those in your respondent sample, from what percentage do you expect to get the required information (if this is not a mandatory collection). The nonrespondents would include those you could not contact, as well as those you contacted but who refused to give the information.

2. Describe the procedures for the collection of information, including:

- Statistical methodology for stratification and sample selection.
- Estimation procedure.
- Degree of accuracy needed for the purpose described in the justification.
- Unusual problems requiring specialized sampling procedures,

- Any use of periodic (less frequent than annual) data collection cycles to reduce burden.

If you are selecting a uniform respondent universe, you may be using a simple random numbers table to select a sample.

Stratified sampling is often used when the sampling population can be split into nonoverlapping strata that individually are more homogeneous than the population as a whole (e.g., gender and age groups). If there are no obvious "dividing lines", grid lines can be used to divide the population. Random samples are taken from each stratum (or class) and the results are combined to estimate a population mean. Stratified sampling is most successful when the variance within each stratum is less than the overall variance of the population.⁹

3. Describe methods to maximize response rates and to deal with issues of nonresponse. The accuracy and reliability of information collected must be shown to be adequate for intended uses. For collections based on sampling, a special justification must be provided for any collection that will not yield "reliable" data that can be generalized to the universe studied.

Any aspect of your plan that makes it easier and more attractive to comply with the request for information would tend to maximize response rate. This would include:

- Such steps as prenotification and various types of followup with those who did not respond at the first opportunity (give details, e.g., intervals for followup, types of followup, how many times you will follow up).
- Making the questions as simple and brief as possible.
- Already having a good working relationship with this group or the group's perception that actions based on the information collected would be helpful to them.

A lower response rate than 75% would definitely require a plan to address nonresponse, according to OMB's standards. This means that a large enough number of respondents didn't give information so that there is a possibility that their answers as a group might have differed significantly from those who did respond. Following up with nonrespondents – resending surveys or sending a shorter version of the survey, trying a phone interview if possible, etc. – are all effective strategies.

4. Describe any tests of procedures or methods to be undertaken. Testing is encouraged as an effective means of refining collections of information to minimize burden and improve utility. Tests must be approved if they call for answers to identical questions from 10 or more respondents. A proposed test or set of test may be submitted for approval separately or in combination with the main collection of information.

⁹ Christopher and Schmitt, Environmental Monitoring and Sampling Primer, 1997: <http://ewr.cee.vt.edu/environmental/teach/smprimer/design/sample.html#stratified>.

If you are employing testing, please describe it here.

5. Provide the name and telephone number of individuals consulted on statistical aspects of the design and the name of the agency unit, contractors, grantees, or other person(s) who will actually collect or analyze the information for the agency.

Self-explanatory.

OIRA has produced a number of documents that may serve as useful reference material for completing Supporting Statement Part B. These can be found at http://www.whitehouse.gov/omb/inforeg_statpolicy/.

APPENDIX J: SAMPLE APPROVED PUBLIC BURDEN STATEMENT**Public Burden Statement**

The public reporting burden for this information collection is estimated to be 30 minutes. This burden estimate includes time for reviewing instructions, researching existing data sources, gathering and maintaining the needed data, and completing and submitting the information. Send comments regarding the accuracy of this burden estimate and any suggestions for reducing the burden to: U.S. Office of Personnel Management, Federal Investigative Services, Attn: OMB Number (3206-0246), 1900 E Street NW, Washington, DC 20415-7900. You are not required to respond to this collection of information unless a valid OMB control number is displayed.



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