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Office of the Chief Information Officer & High Performance Computing and Communications

Paperwork Reduction Act General Information for the Public Information FROM THE NOAA CLEARANCE OFFICER

1. What is the Paperwork Reduction Act All About?

Your office, as a representative of the Federal Government, cannot ask the general public to provide information just because you have decided that you need the information. In response to public concern about the burden of Federal paperwork, the Paperwork Reduction Act (PRA) and its implementing regulations require OMB clearance for any planned information collections. This document attempts to explain what information collections require clearance and the procedures involved in obtaining the clearances. **Clearance is needed for voluntary collections as well as for mandatory ones.**

2. What Information Collections Need Clearance?

An information collection needs clearance if you do any of the following:

- a. Obtain facts or opinions from ten or more persons by the use of standard questions presented by telephone or personal interviews, World-Wide-Web Home Pages, requests for narrative responses, or almost any other means; The "ten or more" rule is irrelevant for *any requirement or a substantial majority of an industry*; e.g. *if there are only five main companies in a particular industry, approval is required for collection of information from them*.
- b. Require members of the public to provide information to the general public or to some third party.
- c. Impose any requirements to label or mark items (e.g. boxes of fish, fishing gear, etc.) or vessels (e.g. identification numbers).
- d. Require any use of technological methods to monitor public compliance with government regulations, as well as to use automated collection techniques. Plans to put transponders on fishing vessels to help determine their location, for instance, now need PRA clearance.

OMB is using an extremely broad definition of "information requirement", especially when considering information collection for regulation, so it is safest to assume that any action collecting information from or regarding the general public needs PRA clearance unless a determination to the contrary has been made by clearance.

3. What Doesn't Need PRA Clearance?

An information collection consisting of **one** open-ended question to the public, e.g. "What do you think about _____?" does not require OMB approval.

Information Collected by Grantees: IF they, on their own, decide to use an information collection to achieve a broader goal defined in the grant language. However, YOU are the sponsor of an information collection conducted by a grantee if the grant is specifically given to conduct an information collection and you must approve any plans for an information collection.

You do not need to obtain a clearance for a collection aimed at Federal agencies or federal cor federal capacity – only if the information is asked as them as private individuals, e.g. members public.”

4. Who are “Persons” Under the PRA?

In the PRA the term “persons” includes more than individual people: corporations, universities, agencies, associations, etc., as well as individuals. Foreign citizens or companies must also be “persons”.

5. Who Requests the OMB Clearance?

Clearance is requested by the “sponsor” of the collection. You are regarded as the sponsor if:

The information being gathered is for your use, even if it is gathered by a contractor or another State agency;

You pay someone, e.g. a contractor, to collect specific information; or

You require that information be submitted or disclosed to anyone else.

6. What About Information Gathered by a State Agency?

The National Marine Fisheries Service often relies upon data collected by a state agency. Num cooperative statistics agreements have been established. Such an approach has minimized the private costs of data collection by avoiding Federal duplication of existing state activities. The a clearance requirements to these collections depends upon the circumstances of the collection.

OMB policy is that the Federal government imposes a burden (i.e., triggers PRA approval) whe causes another entity to impose or request a collection of information to meet a Federal reques requirement. Specific tests are used by OMB to determine whether data collections by a State cooperative agreement with NMFS are subject to clearance requirements.

A cooperative agreement does not trigger the PRA if:

a. The State already gathers the information in question for its own use, and you are just gainir by making Federal data available to the State;

b. The State is instituting a new collection as a result of an agreement with NOAA to avoid the data-gathering efforts, but the State acts under its own authority and will use the information ot own purposes, not just provide it to NOAA; OR

c. Any Federal money given to the State is for processing fishery data, or continuing its current efforts, and does not constitute payment for conducting specified information collections.

A cooperative agreement triggers the PRA if:

a. You specifically request the State to institute a data collection for Federal use; or

b. You give money to a State for the express purpose of collecting specific types of fishery data approval authority for any collection conducted.

For National Marine Fisheries Service information collections, determination of the need for OM state-collected data should be made early in the Fishery Management Plan process. If request Clearance Officer will help the sponsoring office to determine, during the draft FMP or amendr OMB approval is needed.

7. How Do You Make a Clearance Request?

The process for making a request depends upon whether or not a proposed rule is involved.

a. Clearance Requests for New Collections Contained in a Proposed Rule: If a proposed information collection or information requirement that needs clearance under the PRA, a clearance request needs to be submitted to OMB on or no more than a few days after the date the proposed rule is published in the Federal Register (it will not be accepted before the publication date). **This is vital: public information collections proposed rule will be delayed if you have not anticipated and planned for preparing an approval request.** Consult with the NOAA Clearance Officer about whether your actions trigger the PRA. Once OMB receives the request it has 60 days to review and act upon it, and except for special emergency submissions they are prohibited from acting for the first 30 days in order to give time for public comment. The OMB review process takes from 30-60 days, and 60 days (or more if the PRA submission is the norm).

The guidance for making a PRA request is available from these Web sites (see [PRA overview instructions](#) and [supporting statement instructions](#)). See also an explanation of "change in rule" on these links on the [PRA guidance page](#). You will be informed by the NOAA PRA Clearance Officer if OMB has approved or disapproved your clearance request, or if OMB has questions that must be answered for approval.

b. Clearance Requests for Collections NOT Contained in a Proposed Rule: The timeline for rule-related PRA requests is similar to that for the rule-related PRA request, but the process itself has some different steps. The process applies to new collections, to renewals of existing clearances and to revised collections not directly related to a rule. If you have an approved collection, the NOAA Clearance Officer or your line office PRA Coordinator will let you know when the renewal process needs to begin. You should plan on allowing at least six months before the publication of a federal register notice announcing the planned information collection to the OMB for approval. The steps are:

1. Draft and send to your line office PRA coordinator a Federal Register Notice (FRN) that informs you of your intent to ask for clearance for a collection and that solicits comments for 60 days. The information is described step-by-step at <http://www.cio.noaa.gov/itmanagement/prafpr.htm>. Your PRA Coordinator or the NOAA PRA Clearance Officer will send you a reminder at least one month before a notice for a new collection should be submitted, or at least seven months before approval for an existing collection will expire.

Note: FRN templates in Word Perfect and Word may be downloaded from the above site. Please use the current templates, approved by the Office of the Federal Register. The OFR prefers notices in Word Perfect; this converts better to the publishable format, but if you do not have Word Perfect, your PRA Coordinator can do the conversion for you.

After the PRA Coordinator and the NOAA Clearance Officer make any changes in consultation with the NOAA Clearance Officer, the NOAA Clearance Officer arranges publication of the notice. You should expect publication within two weeks after submitting the notice. For NMFS notices, the PRA Coordinator includes the publication date in status reports. You may go to the Federal Register website to check if your notice has been published. You can download it to include in the PRA submission: go to [PRA status](#) and click on "Access to GPO's Federal Register Site" (updated daily). Go to "Advanced Search".

- On the second question on the advanced search page, choose "notice".
- In the keyword search blank, type in: "0648" and " (the rest of the OMB comment assigned to your collection" separated by the word "and"; e.g.: "0648" and " (the rest of the OMB comment assigned to your collection".
- If an item with "summary" and "pdf" comes up, click on the pdf option.

An alternative way to find your notice is to go to this website:

http://www.access.gpo.gov/su_docs/fedreg/frcont08.html, (and replace the "08" with the appropriate year) and click on a date, scroll down to Dept. of Commerce, then to NOAA, and click on individual notice.

You submit the clearance request to your PRA coordinator, cc'ing the NOAA Clearance Officer. The NOAA Clearance Officer's submission cannot be made to OMB until the 60 day comment period has ended, and there is no

reducing the comment period, but you can get your request processed through NOAA and DOI end of the 60 days.

After receiving the submission OMB lets it sit for 30 days to allow for additional public comment prohibited by law from acting for 30 days, and generally do not act before 60 days have passed.

You will be informed by the NOAA PRA Clearance Officer when OMB has approved or disapproved a clearance request, or if OMB has questions that must be answered before approval. *Note: As a renewal request is at OMB before the expiration date, the information collection approval period automatically extends month to month until OMB acts on the renewal submission.*

8. What If You Don't Have Time for the Normal Clearance Process?

The PRA recognizes that the normal clearance process doesn't fit all situations. There is a provision for an "Emergency Submission". It removes the need to have any public comment period, and OMB must act within a time frame requested by the agency. An emergency approval is limited to six months for an ongoing collection, a regular clearance process needs to be started immediately after an emergency request is received.

Emergency procedures by-pass one of the prime objectives of the normal PRA clearance process: to allow the public ample time for comment before the government conducts an information collection. This, emergency requests should be limited to unforeseeable situations and/or situations where obtaining regular clearance would have adverse effects on the public or on natural resources. Government embarrassment of the agency is not a justification; so if you made promises you cannot keep because you failed to plan properly, you should plan on being embarrassed and not request an emergency clearance. **Overall process for an emergency request is basically the same as for a regular request,**

- a. The line office PRA Coordinator must request line office approval for an emergency submission. Emergency requests at NMFS must be approved by the DAA for Regulations.
- b. The sponsor develops and forwards to the line office PRA Coordinator: 1) an emergency transmittal for line office-level signature and forwarding to DOC and 2) a letter with the same content, adding DOC to OMB. The line office PRA Coordinator will provide the proper format for both documents to the sponsor.
- c. The line office PRA Coordinator prints the emergency transmittal memo on letterhead and obtains line office-level signature.
- d. The memo and letter are forwarded to NOAA with the submission.
- e. NOAA faxes the signed memo to DOC; DOC prints the letter on its letterhead and obtains the DOC signature.
- f. The letter is forwarded to OMB with the emergency submission.

A FRN is developed by NOAA and published while OMB reviews the PRA submission (i.e., OMB review of the PRA submission without delay due to the fact that there is no comment period). For a 30-day time period being given, comments are requested to be sent before the date on which approval is requested.

9. How Do You Address the PRA in Rulemakings?

Any rulemaking containing a proposed or approved information collection must address the PRA classification section of the preamble. Specific guidance on the wording can be found on this [guidance on preambles](#).

10. What Do You Need to Do After Getting PRA Clearance?

The PRA requires that you provide the public with certain information about your clearance request in a "Paperwork Reduction Act statement", which you have already included on the forms submitted.

clearance request, following the instructions for making a request in *Attachment A*. If OMB app request you must make sure that this information is actually incorporated into your collection – forms, online or printed, or in the instructions for them. Here is the format and required content statement, with the information to be filled in by the sponsor indicated in parentheses:

Public reporting burden for this collection of information is estimated to average ____ (minutes/h response, including the time for reviewing instructions, searching existing data sources, gather maintaining the data needed, and completing and reviewing the collection of information. Send regarding this burden estimate or any other suggestions for reducing this burden to (name), NC (email address).

(Statement on: 1) confidentiality of the information, citing the statute your guarantee is based o anonymity will be maintained or 3) the information collected is public information and not confic will be included in reports in aggregate form only, always state so. *What you say here will refle request's supporting statement, Part A, #10*). Notwithstanding any other provisions of the law, i required to respond to, nor shall any person be subjected to a penalty for failure to comply with information subject to the requirements of the Paperwork Reduction Act, unless that collection displays a currently valid OMB Control Number

11. What Do You Need to Do if You Want to Change Your Collection After Obtaining OMI

It depends. You can make minor changes to a collection – using a change worksheet - without additional OMB approval, but the changes must really be minor. You need OMB approval (thro complete clearance process) if you are significantly adding to the number of respondents involv adding substantial questions (even if you are dropping other questions so that the overall burde unchanged). Ask the NOAA Clearance Officer for advice.

12. Who Can Provide Me with Advice and Assistance?

This guidance was prepared by the former NOAA Clearance Officer, Richard Roberts and revis Brabson, the current clearance officer. This position's role is to help answer any questions that on clearance requirements, to provide you with the guidance needed to prepare and submit a c request when that is necessary, to ensure that the submission made meets OMB's standards fi to inform you of OMB action and what final steps may be needed to comply with OMB requirem NOAA Clearance Officer can be reached at 301-713-3333, ext. 204 and the email is <mailto:sarah.brabson@noaa.gov>.

PAPERWORK REDUCTION ACT SUBMISSION

Please read the instructions before completing this form. For additional forms or assistance in completing this form, contact your agency's Paperwork Clearance Officer. Send two copies of this form, the collection instrument to be reviewed, the Supporting Statement, and any additional documentation to: **Office of Information and Regulatory Affairs, Office of Management and Budget, Docket Library, Room 10102, 725 17th Street NW, Washington, DC 20503.**

1. Agency/Subagency originating request	2. OMB control number b. <input type="checkbox"/> None a. _____ - _____
3. Type of information collection (<i>check one</i>) a. <input type="checkbox"/> New collection b. <input type="checkbox"/> Revision of a currently approved collection c. <input type="checkbox"/> Extension, without change, of a currently approved collection d. <input type="checkbox"/> Reinstatement, without change, of a previously approved collection for which approval has expired e. <input type="checkbox"/> Reinstatement, with change, of a previously approved collection for which approval has expired f. <input type="checkbox"/> Existing collection in use without an OMB control number	4. Type of review requested (<i>check one</i>) a. <input type="checkbox"/> Regular b. <input type="checkbox"/> Emergency - Approval requested by: ____/____/____ c. <input type="checkbox"/> Delegated
3a. Public Comments Has the agency received public comments on this information collection? _____ Yes _____ No	5. Small entities Will this information collection have a significant economic impact on a substantial number of small entities? <input type="checkbox"/> Yes <input type="checkbox"/> No
6. Requested expiration date a. <input type="checkbox"/> Three years from approval date b. <input type="checkbox"/> Other Specify: ____/____	
7. Title	
8. Agency form number(s) (<i>if applicable</i>)	
9. Keywords	
10. Abstract	
11. Affected public (<i>Mark primary with "P" and all others that apply with "X"</i>) a. <input type="checkbox"/> Individuals or households d. <input type="checkbox"/> Farms b. <input type="checkbox"/> Business or other for-profit e. <input type="checkbox"/> Federal Government c. <input type="checkbox"/> Not-for-profit institutions f. <input type="checkbox"/> State, Local or Tribal Government	12. Obligation to respond (<i>Mark primary with "P" and all others that apply with "X"</i>) a. <input type="checkbox"/> Voluntary b. <input type="checkbox"/> Required to obtain or retain benefits c. <input type="checkbox"/> Mandatory
13. Annual reporting and recordkeeping hour burden a. Number of respondents _____ b. Total annual responses _____ 1. Percentage of these responses collected electronically _____ % c. Total annual hours requested _____ d. Current OMB inventory _____ e. Difference _____ f. Explanation of difference 1. Program change _____ 2. Adjustment _____	14. Annual reporting and recordkeeping cost burden (<i>in thousands of dollars</i>) a. Total annualized capital/startup costs _____ b. Total annual costs (O&M) _____ c. Total annualized cost requested _____ d. Current OMB inventory _____ e. Difference _____ f. Explanation of difference 1. Program change _____ 2. Adjustment _____
15. Purpose of information collection (<i>Mark primary with "P" and all others that apply with "X"</i>) a. <input type="checkbox"/> Application for benefits e. <input type="checkbox"/> Program planning or management b. <input type="checkbox"/> Program evaluation f. <input type="checkbox"/> Research c. <input type="checkbox"/> General purpose statistics g. <input type="checkbox"/> Regulatory or compliance d. <input type="checkbox"/> Audit	16. Frequency of recordkeeping or reporting (<i>check all that apply</i>) a. <input type="checkbox"/> Recordkeeping b. <input type="checkbox"/> Third party disclosure c. <input type="checkbox"/> Reporting 1. <input type="checkbox"/> On occasion 2. <input type="checkbox"/> Weekly 3. <input type="checkbox"/> Monthly 4. <input type="checkbox"/> Quarterly 5. <input type="checkbox"/> Semi-annually 6. <input type="checkbox"/> Annually 7. <input type="checkbox"/> Biennially 8. <input type="checkbox"/> Other (describe) _____
17. Statistical methods Does this information collection employ statistical methods? _____ Yes _____ No	18. Agency contact (<i>person who can best answer questions regarding the content of this submission</i>) Name: _____ Phone: _____

19. Certification for Paperwork Reduction Act Submissions

On behalf of this Federal agency, I certify that the collection of information encompassed by this request complies with 5 CFR 1320.9.

Note: The text of 5 CFR 1320.9, and the related provisions of 5 CFR 1320.8(b)(3), appear at the end of the instructions.
The certification is to be made with reference to those regulatory provisions as set forth in the instructions.

The following is a summary of the topics, regarding the proposed collection of information, that the certification covers:

- (a) It is necessary for the proper performance of agency functions;
- (b) It avoids unnecessary duplication;
- (c) It reduces burden on small entities;
- (d) It uses plain, coherent, and unambiguous terminology that is understandable to respondents;
- (e) Its implementation will be consistent and compatible with current reporting and recordkeeping practices;
- (f) It indicates the retention period for recordkeeping requirements;
- (g) It informs respondents of the information called for under 5 CFR 1320.8(b)(3):
 - (i) Why the information is being collected;
 - (ii) Use of information;
 - (iii) Burden estimate;
 - (iv) Nature of response (voluntary, required for a benefit, or mandatory);
 - (v) Nature and extent of confidentiality; and
 - (vi) Need to display currently valid OMB control number;
- (h) It was developed by an office that has planned and allocated resources for the efficient and effective management and use of the information to be collected (see note in Item 19 of the instructions);
- (i) It uses effective and efficient statistical survey methodology; and
- (j) It makes appropriate use of information technology.

If you are unable to certify compliance with any of these provisions, identify the item below and explain the reason in Item 18 of the Supporting Statement.

Signature of Senior Official or designee

Date

Instructions For Completing OMB Form 83-I

Please answer all questions and have the Senior Official or designee sign the form. These instructions should be used in conjunction with 5 CFR 1320, which provides information on coverage, definitions, and other matters of procedure and interpretation under the Paperwork Reduction Act of 1995.

1. Agency/Subagency originating request

Provide the name of the agency or subagency originating the request. For most cabinet-level agencies, a subagency designation is also necessary. For non-cabinet agencies, the subagency designation is generally unnecessary.

2. OMB control number

- If the information collection in this request has previously received or now has an OMB control or comment number, enter the number.
- Check "None" if the information collection in this request has not previously received an OMB control number. Enter the four digit agency code for your agency.

3. Type of information collection (check one)

- Check "New collection" when the collection has not previously been used or sponsored by the agency.
- Check "Revision" when the collection is currently approved by OMB, and the agency request includes a material change to the collection instrument, instructions, its frequency of collection, or the use to which the information is to be put.
- Check "Extension" when the collection is currently approved by OMB, and the agency wishes only to extend the approval past the current expiration date without making any material change in the collection instrument, instructions, frequency of collection, or the use to which the information is to be put.
- Check "Reinstatement without change" when the collection previously had OMB approval, but the approval has expired or was withdrawn before this submission was made, and there is no change to the collection.
- Check "Reinstatement with change" when the collection previously had OMB approval, but the approval has expired or was withdrawn before this submission was made, and there is change to the collection.
- Check "Existing collection in use without OMB control number" when the collection is currently in use but does not have a currently valid OMB control number.

4. Type of review requested (check one)

- Check "Regular" when the collection is submitted under 5 CFR 1320.10, 1320.11, or 1320.12 with a standard 60 day review schedule.
- Check "Emergency" when the agency is submitting the request under 5 CFR 1320.13 for emergency processing and provides the required supporting material. Provide the date by which the agency requests approval.
- Check "Delegated" when the agency is submitting the collection under the conditions OMB has granted the agency delegated authority.

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 which is deemed to be one that is independently owned and operated and that is not dominant in its field of operation; (2) a small organization that is any not-for-profit enterprise that is independently owned and operated and is not dominant in its field; or (3) a small government jurisdiction which is a 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 "Three years" if the agency requests a three year approval for the collection.
- Check "Other" if the agency requests approval for less than three years. Specify the month and year of the requested expiration date.

7. Title

Provide the official title of the information collection. If an official title does not exist, provide a description which will distinguish this collection from others.

8. Agency form number(s) (if applicable)

Provide any form number the agency has assigned to this collection of information. Separate each form number with a comma.

9. Keywords

Select and list at least two keywords (descriptors) from the "Federal Register Thesaurus of Indexing Terms" that describe the subject area(s) of the information collection. Other terms may be used but should be listed after those selected from the thesaurus. Separate keywords with commas. Keywords should not exceed two lines of text.

10. Abstract

Provide a statement, limited to five lines of text, covering the agency's need for the information, uses to which it will be put, and a brief description of the respondents.

11. Affected public

Mark all categories that apply, denoting the primary public with a "P" and all others that apply with "X."

12. Obligation to respond

Mark all categories that apply, denoting the primary obligation with a "P" and all others that apply with "X."

- Mark "Voluntary" when the response is entirely discretionary and has no direct effect on any benefit or privilege for the respondent.
- Mark "Required to obtain or retain benefits" when the response is elective, but is required to obtain or retain a benefit.
- Mark "Mandatory" when the respondent must reply or face civil or criminal sanctions.

13. Annual reporting and recordkeeping hour burden

- Enter the number of respondents and/or recordkeepers. If a respondent is also a recordkeeper, report the respondent only once.
- Enter the number of responses provided annually. For recordkeeping as compared to reporting activity, the number of responses equals the number of recordkeepers.
 - Enter the estimated percentage of responses that will be submitted/collected electronically using magnetic media (i.e., diskette), electronic mail, or electronic data interchange. Facsimile is **not** considered an electronic submission.
 - Enter the total annual recordkeeping and reporting hour burden.
 - Enter the burden hours currently approved by OMB for this collection of information. Enter zero (0) for any new submission or for any collection whose OMB approval has expired.
 - Enter the difference by subtracting line d from line c. Record a negative number (d larger than c) within parentheses.
 - Explain the difference. The difference in line e must be accounted for in lines f.1. and f.2.

f.1. "Program change" is the result of deliberate Federal government action. All new collections and any subsequent revision of existing collections (e.g., the addition or deletion of questions) are recorded as program changes.

f.2. "Adjustment" is a change that is not the result of a deliberate Federal government action. Changes resulting from new estimates or action not controllable by the Federal government are recorded as adjustments.

14. Annual reporting and recordkeeping cost burden (in thousands of dollars)

The costs identified in this item must exclude the cost of hour burden identified in Item 13.

- Enter the total dollar amount of annualized cost for all respondents of any associated capital or start-up costs.
 - Enter recurring annual dollar amount of cost for all respondents associated with operating or maintaining systems or purchasing services.
 - Enter total (14.a. + 14.b.) annual reporting and recordkeeping cost burden.
 - Enter any cost burden currently approved by OMB for this collection of information. Enter zero (0) if this is the first submission after October 1, 1995.
 - Enter the difference by subtracting line d from line c. Record a negative number (d larger than c) within parenthesis.
 - Explain the difference. The difference in line e must be accounted for in lines f.1. and f.2.
- f.1. "Program change" 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.

f.2. "Adjustment" 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.

15. Purpose of information collection

Mark all categories that apply, denoting the primary purpose with a "P" and all others that apply with "X."

a. Mark "Application for benefits" when the purpose is to participate in, receive, or qualify for a grant, financial assistance, etc., from a Federal agency or program.

b. Mark "Program evaluation" when the purpose is a formal assessment, through objective measures and systematic analysis, of the manner and extent to which Federal programs achieve their objectives or produce other significant effects.

c. Mark "General purpose statistics" when the data is collected chiefly for use by the public or for general government use without primary reference to the policy or program operations of the agency collecting the data.

d. Mark "Audit" when the purpose is to verify the accuracy of accounts and records.

e. Mark "Program planning or management" when the purpose relates to progress reporting, financial reporting and grants management, procurement and quality control, or other administrative information that does not fit into any other category.

f. Mark "Research" when the purpose is to further the course of research, rather than for a specific program purpose.

g. Mark "Regulatory or compliance" when the purpose is to measure compliance with laws or regulations.

16. Frequency of recordkeeping or reporting

Check "Recordkeeping" if the collection of information explicitly includes a recordkeeping requirement.

Check "Third party disclosure" if a collection of information includes third-party disclosure requirements as defined by 1320.3(c).

Check "Reporting" for information collections that involve reporting and check the frequency of reporting that is requested or required of a respondent. If the reporting is on "an event" basis, check "On occasion."

17. Statistical methods

Check "Yes" if the information collection uses statistical methods such as sampling or imputation. Generally, check "No" for applications and audits (unless a random auditing scheme is used). Check "Yes" for statistical collections, most research collections, and program evaluations using scientific methods. For other types of data collection, the use of sampling, imputation, or other statistical estimation techniques should dictate the response for this item. Ensure that supporting documentation is provided in accordance with Section B of the Supporting Statement.

18. Agency contact

Provide the name and telephone number of the agency person best able to answer questions regarding the content of this submission.

19. Certification for Paperwork Reduction Act Submissions

The Senior Official or designee signing this statement certifies that the collection of information encompassed by the request complies with 5 CFR 1320.9. Provisions of this certification that the agency cannot comply with should be identified here and fully explained in item 18 of the attached Supporting Statement. NOTE: The Office that "develops" and "uses" the information to be collected is the office that "conducts or sponsors" the collection of information. (See 5 CFR 1320.3(d)).

Certification Requirement for Paperwork Reduction Act Submissions

5 CFR 1320.9 reads "As part of the agency submission to OMB of a proposed collection of information, the agency (through the head of the agency, the Senior Official, or their designee) shall certify (and provide a record supporting such certification) that the proposed collection of information--

"(a) is necessary for the proper performance of the functions of the agency, including that the information to be collected will have practical utility;

"(b) is not unnecessarily duplicative of information otherwise reasonably accessible to the agency;

"(c) reduces to the extent practicable and appropriate the burden on persons who shall provide information to or for the agency, including with respect to small entities, as defined in the Regulatory Flexibility Act (5 U.S.C. § 601(6)), the use of such techniques as:

"(1) establishing differing compliance or reporting requirements or timetables that take into account the resources available to those who are to respond;

"(2) the clarification, consolidation, or simplification of compliance and reporting requirements; or collections of information, or any part thereof;

"(3) an exemption from coverage of the collection of information, or any part thereof;

"(d) is written using plain, coherent, and unambiguous terminology and is understandable to those who are to respond;

"(e) is to be implemented in ways consistent and compatible, to the maximum extent practicable, with the existing reporting and recordkeeping practices of those who are to respond;

"(f) indicates for each recordkeeping requirement the length of time persons are required to maintain the records specified;

"(g) informs potential respondents of the information called for under §1320.8(b)(3); [see below]

"(h) has been developed by an office that has planned and allocated resources for the efficient and effective management and use of the information to be collected, including the processing of the information in a manner which shall enhance, where appropriate, the utility of the information to agencies and the public;

"(i) uses effective and efficient statistical survey methodology appropriate to the purpose for which the information is to be collected; and

"(j) to the maximum extent practicable, uses appropriate information technology to reduce burden and improve data quality, agency efficiency and responsiveness to the public."

NOTE: 5 CFR 1320.8(b)(3) requires that each collection of information:

"(3) informs and provides reasonable notice to the potential persons to whom the collection of information is addressed of:

"(i) the reasons the information is planned to be and/or has been collected;

"(ii) the way such information is planned to be and/or has been used to further the proper performance of the functions of the agency;

"(iii) an estimate, to the extent practicable, of the average burden of the collection (together with a request that the public direct to the agency any comments concerning the accuracy of this burden estimate and any suggestions for reducing this burden);

"(iv) whether responses to the collection of information are voluntary, require to obtain or retain a benefit (citing authority) or mandatory (citing authority);

"(v) the nature and extent of confidentiality to be provided, if any (citing authority); and

"(vi) the fact that an agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number."

Supporting Statement for Paperwork Reduction Act Submissions

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 Section A below. If an item is not applicable, provide a brief explanation. When Item 17 of the OMB Form 83-I is checked "Yes", Section B of the Supporting Statement must be completed. OMB reserves the right to require the submission of additional information with respect to any request for approval.

Specific Instructions

A. Justification

1. Explain the circumstances that make the collection of information necessary. Identify any legal or administrative requirements that necessitate the collection. Attach a copy of the appropriate section of each statute and regulation mandating or authorizing the collection of information.
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.
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, e.g., permitting electronic submission of responses, and the basis for the decision for adopting this means of collection. Also describe any consideration of using information technology to reduce burden.
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.
5. If the collection of information impacts small businesses or other small entities (Item 5 of OMB Form 83-I), describe any methods used to minimize burden.
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 burden.
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 three 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 which 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. Summarize public comments received in response to that notice and describe actions taken by the agency in response to these comments. Specifically address comments received on cost and hour burden.

Describe efforts to consult with persons outside the agency to obtain their views on the availability of data, frequency of collection, the clarity of instructions and recordkeeping, disclosure, or reporting format (if any), and on the data elements to be recorded, disclosed, or reported.

Consultation with representatives of those from whom information is to be obtained or those who must compile records should occur at least once every 3 years - even if the collection of information activity is the same as in prior periods. There may be circumstances that may preclude consultation in a specific situation. These circumstances should be explained.

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

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

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 persons from whom the information

is requested, and any steps to be taken to obtain their consent.

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

- * 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 (fewer than 10) of potential respondents 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.
- * If this request for approval covers more than one form, provide separate hour burden estimates for each form and aggregate the hour burdens in Item 13 of OMB Form 83-I.

- * 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 in Item 13.

13. Provide an estimate for the total annual cost burden to respondents or recordkeepers resulting from the collection of information. (Do not include the cost of any hour burden shown in Items 12 and 14).

- * The cost estimate should be split into two components: (a) a total capital and start-up cost component (annualized over its expected useful life) and (b) 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 rate(s), 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), utilize 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 thereof, 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. Also, provide a description of the method used to estimate cost, which should include quantification of hours, operational expenses (such as equipment, overhead, printing, and support staff), and any other expense that would not have been incurred without this collection of information. Agencies may also aggregate cost estimates from Items 12, 13, and 14 in a single table.

15. Explain the reasons for any program changes or adjustments reported in Items 13 or 14 of the OMB Form 83-1.

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.

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

18. Explain each exception to the certification statement identified in Item 19, "Certification for Paperwork Reduction Act Submissions," of OMB Form 83-1.

B. Collections of Information Employing Statistical Methods

The agency should be prepared to justify its decision not to use statistical methods in any case where such methods might reduce burden or improve accuracy of results. When Item 17 on the Form OMB 83-1 is checked, "Yes," the following documentation should be included in the Supporting Statement 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.

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

3. Describe methods to maximize response rates and to deal with issues of non-response. 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.

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.

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