November 13, 2002

OMB BULLETIN NO. 03-01

TO THE HEADS OF EXECUTIVE DEPARTMENTS AND AGENCIES

SUBJECT: Fiscal Year 2003 Information Collection Budget

1. **What is the purpose of this bulletin?** This bulletin instructs your Chief Information Officer (CIO) how to prepare and submit information to the OMB Office of Information and Regulatory Affairs (OIRA) that will be the basis for the Fiscal Year 2003 Information Collection Budget (ICB). This annual report describes the information collection burden imposed by the Federal government on the public, progress of the agencies towards the burden reduction goals set forth in the Paperwork Reduction Act of 1995 (PRA), and agency activities to improve the public’s access to Federal information resources.

2. **When are responses to the bulletin due?** Submissions are due to OIRA no later than Friday, January 10, 2003.

3. **Who must respond to this bulletin?** The Chief Information Officers from the following agencies must comply with the requirements of this bulletin:

   Department of Agriculture  
   Department of Commerce  
   Department of Defense  
   Department of Education  
   Department of Energy  
   Department of Health and Human Services  
   Department of Housing and Urban Development  
   Department of the Interior  
   Department of Justice  
   Department of Labor  
   Department of State  
   Department of Transportation  
   Department of the Treasury  
   Department of Veterans Affairs  
   Environmental Protection Agency  
   Federal Acquisition Regulation (FAR Secretariat)  
   Federal Communications Commission  
   Federal Deposit Insurance Corporation  
   Federal Emergency Management Agency  
   Federal Energy Regulatory Commission  
   Federal Trade Commission
National Aeronautics and Space Administration  
National Science Foundation  
Nuclear Regulatory Commission  
Securities and Exchange Commission  
Small Business Administration  
Social Security Administration

If your agency is not listed here, you do not need to comply with this bulletin.

4. **How does the ICB fit into OMB’s ‘zero tolerance’ approach to violations of the Paperwork Reduction Act?** OMB has been working closely with agencies throughout the year to address violations of the PRA in order to reach our goal of zero violations. This bulletin requires you to take concrete steps to resolve all existing violations prior to submission of your response, including the publication of 60-day Federal Register notices by December 13, 2002. In the past, we have also required agencies to provide us with a description of the system used to track current packages, initiate the clearance process, and avoid PRA violations. We expect that each agency has modified its system in the past year if necessary to address any systemic problems with PRA clearance procedures. The bulletin is accompanied by a memo to all CIOs and GCs further detailing our expectations for resolving current violations and avoiding violations in the future.

5. **How does the ICB fit into OMB’s initiatives under the Federal Financial Assistance Management Improvement Act of 1999 ("Grants Streamlining") and the Government Paperwork Elimination Act (GPEA)?** Two government-wide statutes, grant streamlining and GPEA, have obvious implications for information collections covered by the Paperwork Reduction Act. Though this Bulletin does not require agencies to submit additional information about compliance with these statutes, agencies should be cognizant of these statutes when preparing their ICB submission and work to coordinate agency efforts under the PRA, GPEA, and grants streamlining requirements.

6. **What must my agency’s submission include?** Your CIO is required to submit the following information:

   a. A detailed description of agency initiatives or a summary progress report on initiatives identified in last year’s ICB, in accordance with the instructions in Appendix A;

   b. Your agency’s comprehensive burden accounting, including aggregate burden totals, program changes broken into several categories, and examples of significant burden changes prepared in accordance with the instructions in Appendix B; and
c. Data regarding your agency’s compliance with the information collection provisions of the Paperwork Reduction Act, prepared in accordance with the instructions in Appendix C.

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

7. **In what format should the CIO provide this information to OMB?** The information required under this bulletin should be sent electronically to Nathan Knuffman (nknuffma@omb.eop.gov). Please use the following file formats.
   
a. Where this Bulletin instructs you to prepare a table, you should submit the table in one of the following formats, in order of preference:
   
i. Microsoft Excel;
   
ii. Lotus 1-2-3; or
   
iii. A dot-delimited ASCII file (a “.” separates each cell in a row).

b. Otherwise, you should submit the information requested in one of the following formats, in order of preference:
   
i. WordPerfect; or
   
ii. Microsoft Word.

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

9. **Will OMB conduct hearings on my agency’s submission?** OMB will schedule, as needed, hearings with an agency on its progress toward burden reductions goals and agency compliance with the Paperwork Reduction Act.

10. **Who should I contact for further information?** Questions about specific agency matters should be directed to your agency's Desk Officer within OMB's Office of Information and Regulatory Affairs.

    Questions about this Bulletin should be directed to Nathan Knuffman, tel. (202) 395-6466, email: nknuffma@omb.eop.gov.

11. **When does this bulletin expire?** This bulletin expires September 30, 2003.

12. **What changes has OMB made to this bulletin since last year?**

    a. More agencies are included this year. Note that the agencies included are the same as in the FY 1999, 2000, and 2001 bulletins. Please refer to question 3 to check whether your agency is required to respond to this bulletin.
b. When preparing descriptions of significant burden changes ("exhibits"), please do not use Microsoft Access. Microsoft Word or WordPerfect are preferred.

c. For each violation that remains unresolved, you must provide a Federal Register citation and publication date for the public notice required under the PRA to adequately respond to this bulletin. If Federal Register information is not provided for all unresolved violations, your response to this bulletin will be considered incomplete.

d. Similar to previous years, we are asking each agency to report aggregate burden totals and break out program changes into various categories.

Mitchell E. Daniels, Jr.
Director

Attachments
BURDEN REDUCTION INITIATIVE

1. **What is the purpose of this Appendix?** In the FY 2002 Information Collection Budget (ICB), we asked each agency to “identify at least two major initiatives to improve program performance by enhancing the efficiency of information collections and to reduce paperwork burden on the public.” We also asked you to provide bi-monthly progress reports on the steps taken to move forward with your agency’s initiatives. This year, we are asking that you provide a summary report on the progress made over the past year on each of these initiatives that you identified. If your agency’s initiatives are not yet completed, progress reports are still required. However, instead of bi-monthly, these reports should be submitted quarterly starting January 1, 2003. If you have identified new initiatives, please provide additional information on each. While we encourage you to identify additional paperwork burden reduction initiatives, it is not required. For agencies not included in the FY 2002 ICB (last year’s ICB), we are asking you to propose or identify planned initiatives to improve program performance by enhancing the efficiency of information collections and reducing burden on the public. This appendix also requires a regular progress report on these initiatives. These reports should be submitted quarterly, due on the first of the month starting January 1, 2003.

**For Agencies that Participated in the FY 2002 ICB:**

2. **What information should be included in the summary progress reports?** For each initiative identified, we ask that your report include the following:

   a. title of the initiative;

   b. a brief description of the initiative, including the programs affected;

   c. a description of how the initiative improves program performance and reduces burden;

   d. measurable objectives you have achieved or expect to achieve (i.e., burden change); and

   e. a description of the current status of the initiative, including an updated timetable and a discussion of any difficulties experienced in accomplishing the initiative.
3. **How should I report this information?** You should use either Microsoft Word or WordPerfect and follow the format provided below.

   Agency:
   Initiative Title:
   Abstract:
   How Performance Improved:
   Measurable Objective:
   Current Status/Progress Made:

   These descriptions should be more detailed than the significant burden changes discussed in Part 4 of Appendix B. Each summary report should be about 1 page in length.

   Quarterly progress reports on these initiatives are required.

   **For Agencies that did not Participate in the FY 2002 ICB:**

4. **What is an appropriate initiative in response to this bulletin?** We ask you to identify at least two major initiatives to improve program performance by enhancing the efficiency of information collections and to reduce paperwork burden on the public. We seek initiatives that:

   a. Improve program performance by enhancing the efficiency of agency information collections (both within the agency and, in the case of related information collection activities, among agency components or across agencies);

   b. Significantly reduce the burden per response on the public; or

   c. Lead to a comprehensive review of an entire program (both within the agency and, in the case of related information collection activities, among agency components or across agencies), including regulations and procedures.

5. **What information about these initiatives must we submit?** We ask that your initial submission include the following:

   a. A complete description of the programs that you will be affecting, including statutory and regulatory citations, a description of the affected public, and the agency structure that implements the program (both within the agency and, in the case of related information collection activities, among agency components or across agencies).

   b. Measurable objectives you expect to achieve through this initiative.

   c. Proposed timeline for actions that you will take.
d. Perceived difficulties in accomplishing this initiative, including statutory or policy barriers.

6. **What information must we include in the quarterly progress reports?** We ask that your quarterly progress report include a status report based on your initial timetable, any new information that will affect your ability to complete the initiative, and, reflecting this progress, an updated timetable.

**Note:** For both agencies that reported initiatives last year and those reporting initiatives this year, once the goals for an initiative have been fully realized, and the agency is no longer pursuing the initiative, agencies should submit a final summary report and may cease providing progress reports for that initiative.
1. **What is the purpose of this Appendix?** This appendix explains what information you will need to gather from within your agency to develop your Information Collection Budget (ICB) submission for FY 2003 and what you must submit to OMB.

   a. Part 1 discusses how you should begin working on your ICB submission and offers general ideas we would like you to keep in mind.

   b. Part 2 describes how to prepare a chart which lists all of the transactions that affected your burden totals for FY 2002 and a chart that lists all of the expected transactions which you used to estimate your FY 2003 total burden.

   c. Part 3 describes how to prepare a chart showing the changes in your agency’s total burden from FY 2001 to FY 2003, broken down into different kinds of program changes and adjustments.

   d. Part 4 instructs you to describe a limited number of significant examples of your agency’s paperwork reductions and increases for FY 2002 and planned reductions and increases for FY 2003, grouped by how or why the change occurred.
Part 1: Preparation

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

   a. Burden Reduction Goals: While the PRA does not specify a statutory burden reduction goal for FY 2002, you still need to make every effort to ensure that your agency will achieve the “maximum practicable” reductions given your agency’s statutory and programmatic responsibilities.

   b. Categorizing Burden Changes: We are working to improve the quality of the information you provide to us and we provide to Congress and the public. One way is by breaking down changes from one year to the next. In parts 2 and 3, we ask you to designate changes in burden for each collection as either adjustments and or one of three different kinds of program changes. In part 4, we ask you to break program changes down even further for the purpose of giving greater detail on your agency’s most significant burden changes.

   c. Dollar Costs: Many agencies now report paperwork burden in terms of dollar costs, as well as burden hours. For example, the burden of a regulatory recordkeeping requirement is more readily estimated in terms of the dollar cost (e.g., for the space and equipment needed for storage) than time. Similarly, the burden of a third-party disclosure (e.g., the table describing the nutritional content of packaged foods on food containers) is also more readily estimated in terms of cost. (These dollar costs are separate from hour burdens and are not hour burdens that are converted into dollars.) Starting with the 1999 ICB, we reported both the hour and financial burdens of information collections as you reported them in your information collection requests. Thus, when discussing burden, you should include, as appropriate, both burden hours and dollar costs.

3. What do I need to do before I start working on the ICB submission? The first thing you should do, upon receipt of these instructions, is review the monthly inventory of information collections that you receive from OMB. We intend to publish our database’s number for September 30, 2002, as the burden total for FY 2002. Therefore, you need to make sure our database records are accurate and consistent with your records. If there are discrepancies between your agency’s records and our database, you will need to work with your OIRA desk officer to determine the cause of the discrepancy and the appropriate remedy. Please pay special attention to the cost estimates. (Remember the 83-I and our computer tracking system record costs in thousands of dollars, not dollars.) Submit any corrections to our database to your OIRA desk officer on a Form 83-C with a complete explanation.

4. How do I begin working on the ICB? There are always two parts to the ICB, a review of the previous fiscal year (FY 2002) and a look toward the next (FY 2003).
Work with the program officials in your agency to identify all potential changes in information collection activities in FY 2003. Make sure you have, for each change, an OMB number (if assigned), the expected program change and/or expected adjustment for burden hours and costs. You will need this information to estimate your agency’s FY 2003 total hour burden.

For the most important changes in burden, ask the program officials for the additional information required in Part 4.
Part 2: A Comprehensive Accounting

5. **How is this accounting different than in previous years?** This year’s instructions are the same as those contained in the FY 2001 Bulletin.

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

   a. **Net Program Change**, which is the sum of:
      
      i. **Change in burden due to new statutory requirements** (see below);
      
      ii. **Change in burden due to lapses in OMB approval** (see below);
      
      iii. **Change in burden due to other agency actions**; and

   b. **Adjustment** (see below).

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

6. **When can we attribute a program change to a new statutory requirement?** You should only attribute a program change to a new statutory requirement when the information collection directly related to a statute enacted within the last five years (i.e., after January 1, 1998). This should not include increases in burden due to long-standing statutory mandates or recurring statutory requirements. You may, however, include changes if this is the first time your agency is implementing a statute that has been law for many years. Please consult your OIRA desk officer if you are uncertain.

7. **What changes in burden should be listed under lapses of OMB approval?** You should list under this category any change in burden that occurred when:

   a. your agency allowed an OMB approval for a collection to expire even though your agency continued to conduct or sponsor the collection; or

   b. OMB approved a collection that your agency has been conducting or sponsoring without prior OMB approval or under an expired OMB control number.

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

8. **What changes in burden should be listed as changes due to other agency actions?** Under this category, you should list any other program changes that do not result from statutory obligation or a lapse in OMB approval. For example, these changes may include intentional expirations, reinstatements, and other agency actions that affected burden.
9. **What changes in burden should be counted as adjustments?** Adjustments are changes in burden hours due to factors over which your agency has no control, such as population growth or economic expansion, or that do not affect what information your agency collects or how.

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

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

10. **How do I report to OMB all transactions that affected burden during FY 2002?** You should report every transaction that affected hour or cost burden in two tables in formats similar to Figure 1 (for changes to burden hours) and Figure 2 (for changes to costs).

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

**Example:** If a collection expired during FY 2002 and was later reinstated in FY 2002, you will list the collection twice for FY 2002, one transaction for the expiration and one transaction for the reinstatement.

11. **What should go in each column?** We will provide to you Microsoft Excel files containing these two tables with columns 1, 2, 6, and 7 completed. (If you are unable to
<table>
<thead>
<tr>
<th>OMB #</th>
<th>Date</th>
<th>PROGRAM CHANGES</th>
<th>NET PROGRAM CHANGES</th>
<th>ADJUSTMENTS</th>
<th>EXHIBIT</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>Due to Statutory Changes</td>
<td>Due to Lapse of OMB Approval</td>
<td>Due to Agency Actions</td>
<td></td>
</tr>
<tr>
<td>1</td>
<td>2</td>
<td>3</td>
<td>4</td>
<td>5</td>
<td>6</td>
</tr>
<tr>
<td></td>
<td></td>
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<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>TOTAL</td>
<td></td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
</tbody>
</table>

Figure 2

use Microsoft Excel files, please contact your OIRA desk officer for alternate arrangements.) You will need to complete the rest of the table by dividing the burden changes listed in column 6 (net program changes) into burden changes for column 3, 4, and 5 and indicating for which changes you will prepare a exhibit under Part 4. For each transaction, the following information goes in the following columns:

a. Columns 1 and 2 present the OMB number and the date of the OMB Notice of Action, respectively. OMB will provide this information.

b. In column 3, the change in hour or cost burden due to changes in statutory requirements for each transaction (see question 6);

c. In column 4, the change in hour or cost burden due to lapses in OMB approval (enter a negative number for expirations and a positive number for new collections or reinstatements);

d. In column 5, the change in hour or cost burden due to program changes by the agency that were not attributed to statutory changes or lapses in OMB approval.

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

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

Note: Cost burden is reported in thousands of dollars, just as in the OMB computer tracking system and on the OMB Form 83-I.
12. **How do I report to OMB transactions that we expect will affect burden during FY 2003?** You should report every transaction that you expect will affect burden during FY 2003 in two tables in formats similar to Figures 1 and 2, excluding column 2 (Date). Please list expected transactions in order by OMB number. List new collections not yet assigned an OMB number at the bottom of the list with the appropriate four digit prefix. We will provide empty Excel charts to complete along with the information for FY 2002.

13. **Do I need to provide an entry for every transaction we expect during FY 2003?** No, you only need to provide an entry for transactions that will affect your total burden for FY 2003.
Part 3: Aggregate Burden Totals

14. **How do I report aggregate burden totals for FY 2002?** Complete a table similar to that shown in Figure 3, which we will provide as part of the Microsoft Excel spreadsheet file that we provide to complete Part 2. The totals in the tables in Part 2 should be transferred to the appropriate spreadsheet cells. *(The numbers in Figure 3 correspond to the appropriate cells in figures 1 and 2.)*

Next, you will check to make sure your totals reflect the change between the FY 2001 and FY 2002 totals. The “9” cells will have the published totals from the *Information Collection Budget of the United States, FY 2002*. The “10” cells will have the totals generated by our database at the end of FY 2002. If cells 9, 6, and 7 do not add up to cell 10, you will need to revisit your charts prepared for Part 2 to ensure that program changes or adjustments listed there were not already included in the FY 2001 total. Otherwise, please discuss any discrepancies with OIRA.

15. **How do I report expected aggregate burden totals for FY 2003?** Again, use the information you collected for FY 2003 in Part 2 to complete the corresponding cells in Figure 3. Add the aggregate burden total for FY 2002 to the expected net program change for FY 2003 and the expected net adjustments for FY 2003 to get an expected aggregate burden total for FY 2003.
<table>
<thead>
<tr>
<th>Summary Table of Burden Changes</th>
<th>Burden Hours (millions)</th>
<th>Cost Burden ($,000,000)</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>FY 2001 Total Burden</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>FY 2002 Program Changes Due to New Statutes</td>
<td>3</td>
<td></td>
</tr>
<tr>
<td>FY 2002 Program Changes Due to Lapses in OMB Approval</td>
<td>4</td>
<td></td>
</tr>
<tr>
<td>FY 2002 Program Changes Due to Agency Actions</td>
<td>5</td>
<td></td>
</tr>
<tr>
<td><strong>SUBTOTAL: FY 2002 Total Program Changes</strong></td>
<td>6</td>
<td></td>
</tr>
<tr>
<td>FY 2002 Adjustments</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>FY 2002 Total Burden</strong></td>
<td></td>
<td>10</td>
</tr>
<tr>
<td>Expected FY 2003 Program Changes Due to New Statutes</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Expected FY 2003 Program Changes Due to Lapses in OMB Approval</td>
<td></td>
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<tr>
<td>Expected FY 2003 Program Changes Due to Agency Actions</td>
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</tr>
<tr>
<td><strong>SUBTOTAL: Expected FY 2003 Total Program Changes</strong></td>
<td></td>
<td></td>
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<tr>
<td>Expected FY 2003 Adjustments</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Expected FY 2003 Total Burden</strong></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Figure 3**
Part 4: Examples of Significant Burden Changes

16. What does “significant” mean? Significant burden reductions are those that demonstrate the agency’s adherence to the principles of the Paperwork Reduction Act and have a meaningful impact on the burden imposed on the public. Significant burden increases are generally those that have attracted attention and/or have a meaningful impact on the public. **Significant burden changes do not include adjustments, only program changes.** We request that you limit discussion to program changes of 10,000 hours and/or $10,000,000 or greater.

17. What kinds of burden reductions and increases should I describe? We are splitting information on program changes into several categories. Please assign each change to only one of the following categories. If two or more categories could apply to a single change, select the category that is most appropriate.

a. Burden reductions should be placed into one of the following six categories.

   i. **Changing Regulations:** reducing information collection burden by revising existing regulations to eliminate unnecessary requirements or by completely changing the way you regulate;

   ii. **Cutting Redundancy:** reducing information collection burden by raising reporting thresholds to reduce the number of reports that need to be submitted, cutting the frequency of periodic reporting requirements, consolidating information collections, or working together with other agencies to share information across programs;

   iii. **Changing Forms:** reducing burden by simplifying and streamlining forms, making them easier to read and fill out and by making programs easier to apply for;

   iv. **Using Information Technology:** reducing burden by putting in place electronic systems that can speed the exchange of information between the government and the public and allow respondents to use their own information technology to ease reporting burdens;

   v. **Statutory Reductions:** reducing burden because of recently enacted statutes; and

   vi. **Other:** reducing burden through other agency efforts.

b. Burden increases should be placed into one of the following two categories:

   i. **Statutory Increases:** Increasing burden due to new statutory requirements (see question 6 for more information; and

   ii. **Other:** Increasing burden due to other factors.
18. **What information do I need to describe these changes?** At a minimum you will need:

   a. title of the collection and/or title of the initiative;

   b. purpose of the collection (including from whom you collect the information, what information you collect prior to the change, and, if the collection is not a recordkeeping requirement or a third-party disclosure, how your agency uses the information collected);

   c. what is/was changed, how it affected burden, and if part of a broader agency initiative;

   d. the change in burden (hours and costs, program changes only); and

   e. for statutory increases and reductions, the full name of the statute and public law number.

19. **How should I report this information?** Use the format provided below for FY 2002. Repeat for FY 2003. **Unlike last year, please do not use Microsoft Access to prepare these exhibits.** Microsoft Word or WordPerfect are the preferred formats. Each entry should be no more than 100 words and should be in plain language understandable to a member of the public not familiar with your programs. Avoid the use of acronyms or “jargon.”

**Reductions:**

**Changing Regulations**

OMB #:

Title:

Purpose of the Collection:

How Reduction Achieved:

Change in Burden:

**Cutting Redundancy**

OMB #:

Title:

Purpose of the Collection:

How Reduction Achieved:

Change in Burden:
Changing Forms

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

Using Information Technology

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

Statutory Reductions

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

Other

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

Increases:

Statutory Increases

OMB #:
Title:
Purpose of the Collection:
Why Increase Occurred:

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20. May I include more than one example for each category? Do I need to include one example for each category? You may include more than one example under each category, but you should try to have at least one example for your agency in each category. Do not include any examples more than once. Please try to limit the total number of examples to 15 per fiscal year.

21. How does this tie in to the charts in Part 2? For each example, identify the corresponding transaction in the charts for Part 2 by placing an “X” in column 8.
Compliance with the Information Collection Provisions of the Paperwork Reduction Act of 1995 and 5 C.F.R. 1320

In a November 14, 2001 “violations memo” to all agencies covered by the Paperwork Reduction Act (PRA), we set a goal of zero PRA violations by the end of FY 2002. While most agencies have made significant progress in reducing the number of violations, we have not yet reached our goal of zero violations. We are still working hard toward our goal of eliminating all PRA violations as quickly as possible, and avoiding any violations of the PRA in the future.

On June 6, 2002, we asked agencies to identify progress on violations reported in the ICB for FY 2001 and report any new violations. While most agencies have done a very good job of resolving the existing violations, some agencies are still having significant problems in clearing up these old violations. Agencies also reported a significant number of new violations that had occurred in FY 2002. This situation is unacceptable and must be remedied.

With the issuance of this bulletin, we are again asking agencies to immediately take steps to resolve any existing violations and avoid any future PRA violations.

1. **What does this Appendix require?** This appendix explains what you must submit to OMB to report violations of the information collection provisions of the Paperwork Reduction Act (PRA) of 1995 and OMB’s implementing regulations, 5 C.F.R. 1320, over the last fiscal year and what actions you have been taking to resolve violations identified in past years and this year. OMB is required to report PRA violations to Congress and will report the information you submit in the *Information Collection Budget of the United States, Fiscal Year 2003*. See Appendix B of the *Information Collection Budget of the United States, Fiscal Year 2002*.

2. **What information do I need to collect?** Compile information on all of the violations of the PRA committed by your agency, intentionally or unintentionally, during Fiscal Year 2002. This includes violations listed in previous Information Collection Budgets that had been unresolved as of September 30, 2001. For those agencies not included in the FY 2002 ICB (last year’s ICB), please include violations occurring during FY 2001 as well. For this year, we are also asking agencies to review their records and make an extra effort to identify collections that expired in previous fiscal years and remain in violation of the PRA, as well as collections that have never obtained OMB clearance (“bootleg” collections). We are asking all agencies to undertake an inventory of all forms in use, including those posted on their internet website for public use, to determine if the appropriate OMB approval has been obtained.
For each violation you should know:

a. why the violation occurred;
b. when the violation occurred;
c. how the violation was discovered;
d. what actions have been or will be taken to remedy the violation; and
e. when the violation was or will be remedied.

For each unresolved violation, please send us the citation and date for the 60-day Federal Register notice that was published. Failure to publish a Federal Register notice for any unresolved violation will be considered an incomplete response to this ICB bulletin. If there is some extenuating circumstance precluding a Federal Register notice prior to submitting your ICB response, you must petition OMB by December 13th for an exemption to this requirement. Please contact Lauren Wittenberg at 395-4718 or lwittenb@omb.eop.gov to discuss any such information collections.

3. How do I report this information to OMB? Compile the information in question 2 into two tables. The first table will list only those violations due to the accidental expiration of an OMB approval while the collection was still being conducted. The second table will list all other violations.

a. Create the first table with a column for each of the following items in this order: OMB number; title; date of expiration; date of reinstatement; date discontinued; Federal Register notice citation; and Federal Register notice publication date. List each collection in numerical order by OMB number. If the collection has been reinstated, leave the last three columns blank. If the collection was discontinued instead of reinstated, leave the “date of reinstatement” column blank and give the date the collection was discontinued, leaving the final two columns blank. If the violation is not yet resolved by reinstatement or discontinuation, please place the Federal Register citation and date in the appropriate columns. Please refer to the following table as a model for your submission.

<table>
<thead>
<tr>
<th>OMB Number</th>
<th>Title</th>
<th>Date of Expiration</th>
<th>Date of Reinstatement</th>
<th>Date Discontinued</th>
<th>FR Notice Citation</th>
<th>FR Notice Pub. Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>1000-0001</td>
<td>Please place full title here.</td>
<td>1/31/98</td>
<td>2/2/02</td>
<td>N/A</td>
<td>N/A</td>
<td>N/A</td>
</tr>
<tr>
<td>2000-0002</td>
<td>Please place full title here.</td>
<td>2/28/02</td>
<td>N/A</td>
<td>5/1/02</td>
<td>N/A</td>
<td>N/A</td>
</tr>
<tr>
<td>3000-0003</td>
<td>Please place full title here.</td>
<td>3/3/00</td>
<td>N/A</td>
<td>N/A</td>
<td>30 FR 3000</td>
<td>7/1/02</td>
</tr>
</tbody>
</table>
b. Create the second table with a column for each of the following items in order: OMB number; title; description of the violation; and how discovered and remedied. Again, list each collection in order of OMB number. Give the four digit prefix under which the collection would have been listed if an OMB number was never assigned. Under “description of the violation,” give a brief phrase which says what was done wrong. Under “how discovered and remedied,” briefly describe how the violation was discovered and what actions are being or were taken to correct the violation. Also in this column, indicate if an information collection request has been submitted to OMB or, if OMB has already taken action, give the action date. If the violation has not yet been submitted to OMB, include the Federal Register citation and date of the 60-day notice. **Note:** if you do not use Microsoft Excel, please use a word processor to create this table. Please refer to the following table as a model for your submission.

<table>
<thead>
<tr>
<th>OMB Number</th>
<th>Title</th>
<th>Description of Violation</th>
<th>How Discovered and Remedied</th>
</tr>
</thead>
<tbody>
<tr>
<td>1000-0001</td>
<td>Please place full title here.</td>
<td>Please describe type of violation here (e.g., unapproved collection, modification of an approved form without OMB approval, expiration of ongoing collection, etc.)</td>
<td>Please indicate here the following: how the violation was discovered; if the collection has been submitted to OMB; the OMB action date, if any; and the FR citation and publication date for any unapproved collection not yet approved by OMB.</td>
</tr>
<tr>
<td>2000-xxxx</td>
<td>Please place full title here.</td>
<td>See above.</td>
<td>See above.</td>
</tr>
</tbody>
</table>

4. **What additional materials will we provide you?** To assist you in reviewing your agency’s actions over FY 2002 for PRA violations, OMB will send at the end of FY 2002 a list generated from the official computer records. The list will detail collections that expired during the last fiscal year and had not been reinstated as of September 30, 2002, and collections that were reinstated during the fiscal year. For those agencies not included in the FY 2002 ICB (last year’s ICB), we will also provide a list of collections the expired or were reinstated during FY 2001. These lists are for your information only. They will include expirations that were intentional (i.e., the information is no longer being collected). Do not report on collections that are not in violation.