

PAPERWORK REDUCTION ACT OF 1995



Transformation
through Partnerships

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- Paperwork Reduction Act Overview
- Information Collection Request Process and Requirements
- Information Management Program Overview
- Information Collection Budget and Requirements
- Information Management Program's Path Forward

- ❑ The Paperwork Reduction Act (PRA) of 1995 requires each Federal agency to seek and obtain approval from the Office of Management and Budget (OMB) before undertaking a collection of information directed to 10 or more persons (including operations of Government-owned, contractor-operated facilities).
- ❑ PRA link: <http://www.archives.gov/federal-register/laws/paperwork-reduction/>

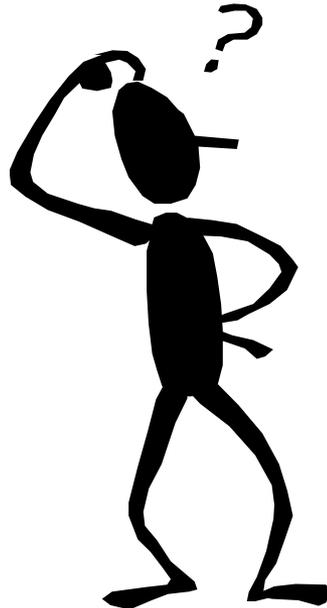


□ The purpose of the PRA:

- ❖ Minimize the Federal paperwork burden imposed on the public.
- ❖ Ensure the greatest possible public benefit.
- ❖ Minimize the cost to the Federal Government.
- ❖ Ensure that information technology is acquired, used, and managed to improve performance of the agency.



What is an Information Collection Request (ICR)?



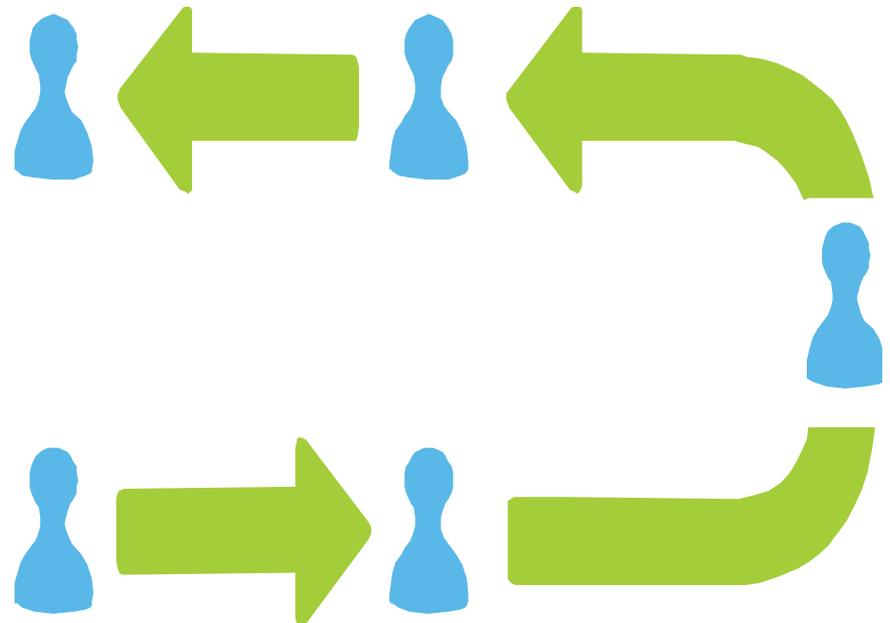
❑ When a Federal entity intends to collect information from 10 or more persons of the general public, an ICR must be submitted to OMB requesting approval.

❖ An information collection may be in any form or format, such as:

- Reports
- Applications
- Schedules
- Questionnaires
- Surveys
- Forms
- Contracts
- Agreements
- Policy
- Plans
- Rules/Regs
- Circulars
- Directives
- Instructions
- Bulletins
- RFPs
- Procurement
- Tech. Collections
- Recordkeeping

- ❑ An ICR Submission should contain the following electronic documentation:
 - ❖ OMB Form 83-I, Paperwork Reduction Act Submission signed by program designee.
 - ❖ Supporting Statement to the 83-I.
 - ❖ Copy of all collection instruments.
 - ❖ Copy of statute authorizing the collection of the information.
 - ❖ Inventory list of individual information collection contained in the ICR (table format).
 - ❖ Summary of any comments received and responses to comments received on the 60-day Federal Register Notice.

Information Management Program Overview



❑ A determination must be made if a Federal entity has an ICR. Determining factors are as follows:

- ❖ Who will the information be collection from?
- ❖ How many people will asked to provide information?
- ❖ What information is needed?



❑ Once it's determined a program requires an ICR, the PRA Office assists the program in the following:

- ❖ Program prepares a draft 60-day Federal Register Notice (FRN).
 - PRA Office provides draft templates.
 - POC should review and concur draft notice.
 - Once POC concurs, draft is sent to General Counsel (GC) for review & concurrence.
 - Once GC concurs, the program collaborates with the FRN Office for publication.
 - After the 60-day FRN has published, the program develops the ICR package.

❖ Collaboration between PRA office and program offices

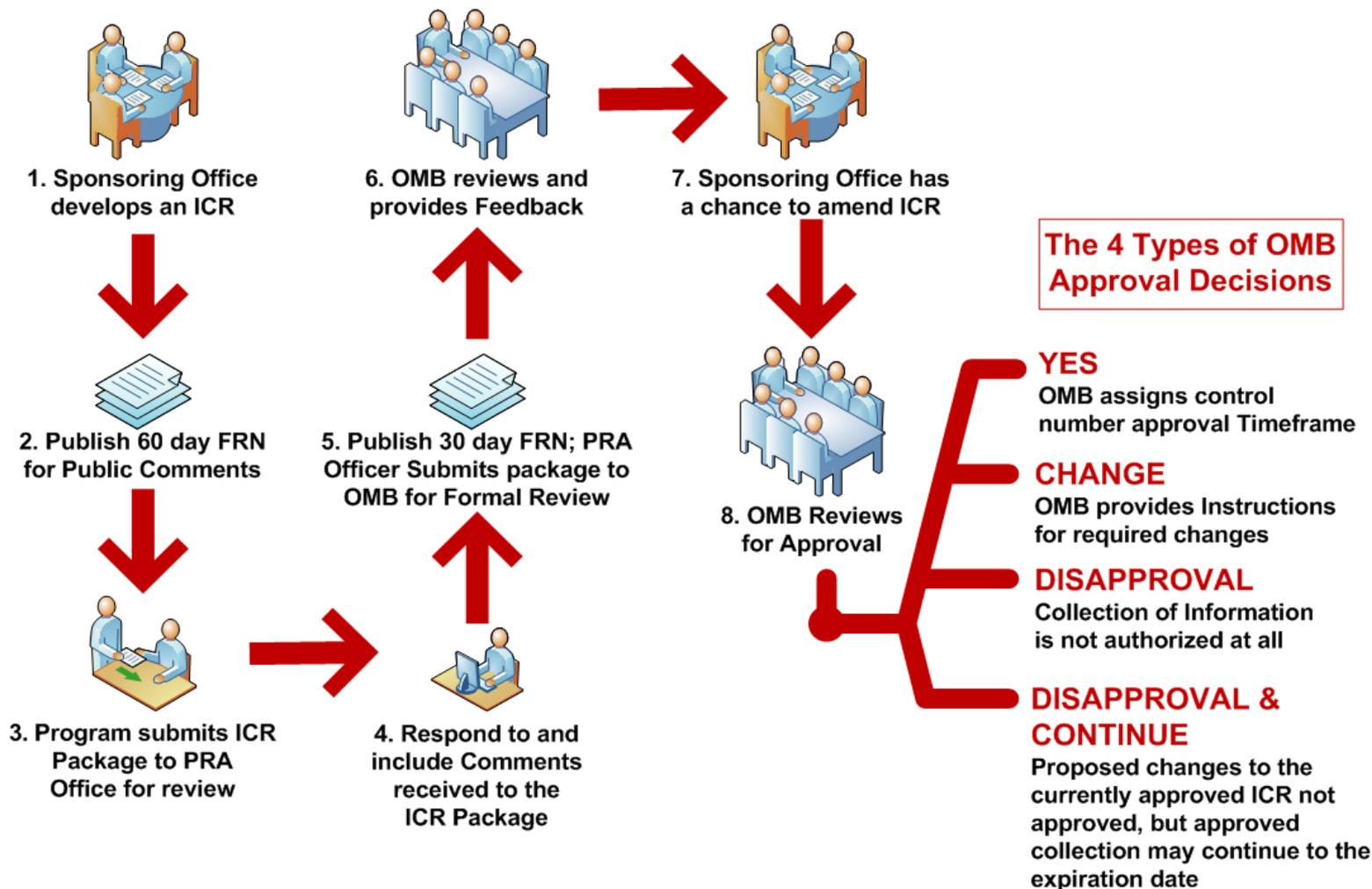
- PRA Office provides ICR package templates as needed.
 - ✓ Supporting Statement
 - ✓ OMB form 83I
 - ✓ 60 & 30-day FRN for new or renewal ICRs
- Program POC will review ICR for completeness. After review, the POC will electronically send the ICR to the PRA Officer for review.
- The PRA Office assists the program, ensuring the ICR is complete and correct during the active period of the 60-day notice.
 - ✓ Maintain communication via email, conference calls, and face to face meetings
 - ✓ ICR package review
 - ✓ Provide edits and recommendations



- ❖ The program begins to develop the 30-day FRN, following the same process as the 60-day notice.

- ❖ After the 30-day FRN has published, the PRA Officer submits the complete ICR electronically to OMB for review.

ICR Process Flow Chart



□ Title 5 Code of Federal Regulations

- ❖ Implements provisions of the Paperwork Reduction Act of 1995 concerning the collection of information.
- ❖ Provides requirements and procedures for submission of information collection requests to OMB for review and approval.

□ DOE O 200.2 Information Collection Program.

- ❖ Establishes responsibilities, requirements, and procedures for implementation of the PRA and OMB's implementing regulation (5 CFR 1320) for the information collection clearance process.
- ❖ Authorizes the Office of the CIO (OCIO) to manage and oversee the Department's overall program.

- ❑ **Chief Information Officer:** Provides overall leadership and management of the DOE Information Collection Management Program as required by Federal laws, Executive Orders, regulations, DOE directives, and Departmentally-established or accepted standards.
- ❑ **Paperwork Reduction Act Officer:** Manages DOE information Collection Program by reviewing OMB guidance, completing the Information Collection Budget, ensuring that information collections are updated when necessary or renewed prior to their expiration, providing oversight, guidance, and support, and serve as Departmental POC for the program.
- ❑ **Point of Contact:** Serves as the program liaison with the PRA Officer, coordinate information collection activities within their respective organizations, and review and submit complete ICRs to the PRA Officer.
- ❑ **Information Collection Clearance Manager:** Serves as liaison with program POC, ensure ICR packages are complete to include: the supporting statement, signed 83-I, collection instrument, copies of all applicable documentation, and authorizing laws, statues, and regulations.

Generic Clearance for Qualitative Feedback Fast Track Overview

- ❑ The President's Executive Order (EO) 13571, on "Streamlining Service Delivery and Improving Customer Service," issued on April 27, 2011, emphasized agencies are to work continuously to ensure their programs are effective and meet their customers' needs.
- ❖ To assist in these efforts, OMB created a new Fast Track Process that allows agencies to obtain timely feedback on service delivery. This process applies to collections focused on:

-Awareness

-Understanding

-Attitudes

-Preferences

-Customer experiences: existing/future services, products, communication materials.

- ❑ OMB has 5 days to render a decision. If OMB does not respond within 5 days of submission, the collection is automatically approved.



- ❑ The following voluntary collections qualify for the Fast Track Process:
 - ❖ Focus Groups.
 - ❖ One-time or panel discussion groups.
 - ❖ Customer satisfaction qualitative surveys.
 - ❖ Post-transaction customer surveys.
 - ❖ Online surveys.
 - ❖ Comment cards or complaint forms.
 - ❖ Moderated, un-moderated, in-person, and remote usability studies.
 - ❖ Testing of a survey or other collection to refine questions.

❑ ADMINISTRATIVE RECORDS SCHEDULE 16.6

➤ Reports Control Files. (GRS 16, item 6)

- ❖ Case files maintained for each Department report created or proposed, including public use reports. Included are clearance forms, including OMB 83 (formerly SF83); copies of pertinent forms or descriptions of format; copies of authorizing directives; preparation instructions; and documents relating to the evaluation, continuation, revision, and discontinuance of reporting requirements.
- ❖ Destroy 2 years after the report is discontinued.

What is the Annual Information Collection Budget?

□ The Information Collection Budget (ICB) is OMB's annual report to Congress, providing a detailed accounting of the information collection activities and the burden imposed on the public. This report also identifies efforts Federal agencies are making to reduce burden and collect information more effectively and efficiently.

- Information collected
- Purpose of the collected information
- Benefits to the public and Federal Government
- Requirements: New reduction initiatives

What is the ICB? Continued

- ❑ Each agency is required to submit an annual ICB to OMB providing information on how they have decreased the burden by at least 5% as required by the PRA. To ensure agency participation, OMB request agencies to provide two or more new Burden Reduction Initiatives (BRI).

- ❑ Each BRI should:
 - ❖ Significantly reduce the burden per response and/or overall on the public.
 - ❖ Lead to a comprehensive review of an entire program, including regulations and procedures, with the goal of burden reduction.
 - ❖ Improve program performance by enhancing the efficiency of agency information collections.

□ Areas to consider when developing a BRI:

- ❖ Use of “Short Form” options.
- ❖ Use of electronic communication and “fillable fileable” forms.
- ❖ Reducing frequency of information collections.
- ❖ Maximizing the re-use of data that are already collected.



□ ADMINISTRATIVE RECORDS SCHEDULE 16.12

➤ Information Collection Budget Files. (GRS 16, item 12)

- ❖ Reports required by the Office of Management and Budget under the Paperwork Reduction Act about the number of hours the public spends fulfilling Departmental reporting requirements. Included are associated feeder reports, report exhibits, correspondence, directives, and statistical compilations.
- ❖ Destroy after 7 years.

□ PRA Path Forward:

- **Revitalize the Department's Point of Contact (POC) list**
 - ❖ Collaborate with program managers to officially designate a program POC.
 - ❖ Provide information detailing POC responsibilities.
- **Develop POC training**
 - ❖ Explain the POC role and responsibilities.
 - ❖ Enable POC's to train program staff as necessary.
- **Organize quarterly POC meetings**
 - ❖ Provide guidance and support to the POC group.
 - ❖ Share information on current PRA activities, provide updates, and training refreshers.

