

Subject: MANAGING INFORMATION COLLECTIONS UNDER THE PAPERWORK REDUCTION ACT

1. PURPOSE

This document establishes the U.S. Department of Transportation (DOT) policy and assigns responsibilities for compliance with the information collection requirements of the Paperwork Reduction Act of 1995 (PRA), the Government Paperwork Elimination Act (GPEA), the Foundations for Evidence-Based Policymaking Act of 2018, and the Office of Management and Budget's (OMB) implementation guidelines for the requirements of Title 5, Code of Federal Regulations (CFR), Part 1320.

Taken together, these regulations and implementation guidance outline processes and practices Federal agencies must follow when they plan and conduct information collection activities. These requirements emphasize transparency, minimize paperwork burdens on the public, and improve the efficiency and effectiveness of Federal government information collections.

This policy provides high-level directives to DOT Operating Administrations and Secretarial Offices (Components)¹ to follow before conducting or sponsoring a collection of information while allowing flexibility in the implementation of procedures and processes to meet specific needs of Components' missions and programs. Consistent adherence to this policy will minimize the cost of collecting, maintaining, and using information and increase the quality, utility, and openness of information and data used for evidence-based policy and decision-making.

1. CANCELLATIONS

This policy cancels and replaces DOT Order 1351.29, Paperwork Reduction Act and Information Collection, of September 21, 2009.

2. BACKGROUND

- a. The PRA grants the OMB, through the Office of Information and Regulatory Affairs (OIRA), authority over all information collections from the public. The PRA and related regulations ensure the greatest possible public benefit and utility of information the Federal Government collects and improves the transparency, accountability of Government decision-making.
- b. Compliance with the PRA is mandatory. Collecting information without clearance can open that work, and any decisions made based on the data, to legal challenge. If uncleared collections or changes are discovered, OIRA may require that the collections be stopped. OMB reports these violations to Congress and the President in the Information Collection Budget (ICB).

¹ DOT Order 1351.1A, *IT Policy Management*; January 2, 2020

- c. DOT relies on the public to provide information necessary for the performance of its mission and is accountable for how that information is received, utilized, and managed.
- d. Information Collection Lifecycle

To maximize the utility and efficiency of information collections, DOT follows a lifecycle approach that manages collections through the following phases: planning, public engagement, OMB approval, managing collections, and discontinuance.

1) Planning

DOT is required to plan for the implementation of new information collections and the renewal of ongoing collections well in advance of sending proposals to OMB.

Specifically, prior to submitting proposed information collections to OMB, DOT must evaluate the need for the collection, plan how the information will be collected, test the information collection instrument (where appropriate), and provide an informed estimate of the burden imposed on respondents. DOT is also required to plan for the efficient and effective management of the information the Department collects, as well as the for the resources required.

2) Public Engagement

DOT is committed to the principles of transparency and collaboration with the public. Public engagement fosters a responsive dialog and helps maximize the utility and public benefit from information collection activities. All PRA activities must include notice and comment periods managed through notices published in the Federal Register. DOT encourages further collaboration with the public through appropriate channels such as webinars and forums to improve government transparency and public trust and gather feedback on proposed collections. This dialogue helps minimize the burden of collections on respondents and increases the effectiveness and efficiency of DOT information collections.

3) OMB Approval

Through the information collection approval process, OIRA helps DOT balance between the collection of information necessary to fulfill our mission and the prevention of duplicative or unnecessary collections that impose unjustified costs on the public. OIRA reviews each Information Collection Request (ICR) to determine whether DOT has established that the collection is necessary for the proper performance of the agency's functions, minimizes the burden imposed on the public, and maximizes the practical utility and public benefit the information provides. ICRs are also reviewed for consistency with applicable laws and regulations related to privacy, information quality, and statistical standards.

4) Managing Collections

OIRA may approve an information collection for a maximum of three years, after which DOT must seek approval to continue the activity.² Between approvals, collections are monitored and managed to ensure that the collection activity meets its intended purpose and does not exceed its authorization. Information collections must be renewed and approved by OIRA prior to their expiration, otherwise they must be discontinued.

5) Discontinuance

When a collection is no longer needed, it must be discontinued. DOT must formally notify OIRA of its decision to terminate an information collection through a notice of discontinuance as soon as practicable and prior to the collection's expiration date.

6) Reporting

The PRA requires that OMB report to Congress annually on the Federal Government's major activities under the Act. The ICB is the vehicle through which OMB, in consultation with each agency, sets annual agency goals for reduction of information collection burden. The ICB serves as a DOT management oversight tool in conjunction with management reviews, to assess information collection priorities and opportunities to reduce collection burdens on the public.

2. REFERENCES

See Appendix A.

3. DEFINITIONS

See Appendix B.

4. SCOPE AND APPLICABILITY

- a. This Order is applicable to all DOT Operating Administrations and Secretarial Offices (Components) but only to the extent that such requirements and recommendations are consistent with 49 U.S.C. §§ 106 and 40110. The Federal Aviation Administration (FAA) and Office of Inspector General (OIG) may issue internal policies consistent with this policy and work with the DOT Chief Information Officer unless specifically prohibited by law.
- b. The information collection requirements of the PRA apply whenever the Department, "obtain[s], caus[es] to be obtained, solicit[s], or requir[es] the disclosure to third parties or the public" of information "regardless of form or format" calling for either:
 - 1) "answers to identical questions posed to, or identical reporting or recordkeeping requirements imposed on, ten or more persons other than agencies, instrumentalities, or employees of the United States," within a 12-month period, or

² Collections may be approved for fewer than three years at the discretion of OMB/OIRA.

- 2) “answers to questions posed to agencies, instrumentalities, or employees of the United States which are to be used for general statistical purposes.”
- c. The PRA applies to both voluntary and mandatory information collections as well as collections used to obtain a Federal benefit (e.g., applications). PRA requirements apply to grant recipients if:
- 1) the grantee is conducting the collection of information at the specific request of the agency; or
 - 2) the terms and conditions of the grant require specific approval by the agency of the collection of information or the collection procedures.
- d. The OMB specifies many categories of items which are not regarded as “information” under the PRA. These categories include:
- 1) affidavits, oaths, affirmations, certifications, receipts, changes of address, consents, or acknowledgments; provided that they entail no burden other than that necessary to identify the respondent, the date, the respondent's address, and the nature of the instrument,
 - 2) samples of products or of any other physical objects;
 - 3) facts or opinions obtained through direct observation by an employee or agent of the sponsoring agency or through oral communication in connection with such direct observations as long as the agency is not asking identical questions to 10 or more participants,
 - 4) facts or opinions submitted in response to general solicitations of comments from the public, published in the Federal Register or other publications, regardless of form or format, provided that no person is required to supply specific personal information, other than that necessary for self-identification, as a condition of the agency's full consideration of the comment,
 - 5) examinations designed to test the aptitude, abilities, or knowledge of the persons tested and the collection of information for identification or classification in connection with such examinations,
 - 6) general or unstructured solicitations for public views or feedback. This includes, but is not limited to in-person public meetings, hearings, and requests for comments,
 - 7) social media comments, websites, blogs, and online message boards so long as the agency does not post surveys of any kind that pose identical, specific questions,
 - 8) information needed for the selection, payment, or delivery of an item, or to identify the person ordering an item so long as this information is used solely for completing a commercial transaction. If further information is requested or required to participate in the transaction (e.g., employment status, sex, or age), the information is subject to the PRA,

- 9) facts or opinions obtained or solicited through follow-up questions designed to clarify responses to approved collections of information, as long as the same questions are not asked of 10 or more persons, and
 - 10) addresses collected for mailing addresses, email, or online accounts unless the agency requests additional information (e.g., employment status, sex, or age) beyond what is necessary to ensure proper transmission of messages.
- e. By statute, the PRA does not apply to certain types of information collections:
- 1) during a Federal criminal investigation or prosecution, or during the disposition of a criminal matter,
 - 2) during an administrative action or investigation involving an agency against specific individuals or entities, or
 - 3) during the conduct of intelligence activities, or during cryptologic activities that are communications security activities.

5. POLICY

DOT's mission requires the cooperation of the public to obtain the information necessary for decision-making. It is essential that DOT minimizes the burden that information collections impose on the public, minimizes the cost of its collections, and maximizes the utility of the information collected.

a. Planning

Planning an information collection occurs on two levels: the overall planning of the information collection program done at the Department and Component levels; and the planning of individual information collections within a program office. At all levels, planning should involve consultation with all stakeholders, including the public as appropriate.

- 1) DOT shall ensure that information collections:
 - (a) are necessary for the agency to achieve its goals,
 - (b) are of practical utility, and
 - (c) minimize cost to the Department.
- 2) DOT shall minimize the burden information collections impose on the public.
- 3) DOT shall use the ICB to plan and implement yearly information collection priorities and strategies.
- 4) DOT shall issue a yearly evaluation plan which includes key information collections the Department plans to begin in the following fiscal year.
- 5) DOT shall ensure that information collection instrument designs are consistent with the intended use of the information. Considerations include but are not limited to:

- (a) type of clearance requested,
 - (b) statistical methods,
 - (c) number and type of respondents, and
 - (d) mechanism for collection.
- 6) DOT will not implement information collections that are duplicative of existing Federal information collections or that solicit data already available.
 - 7) DOT shall only collect personally identifiable information (PII) if such information is relevant and necessary to perform Departmental statutory duties.
 - 8) DOT shall, to the extent feasible and appropriate, pretest or pilot information collections to ensure that they are not unnecessarily complex, burdensome, or confusing and to obtain an accurate estimate of the burden imposed by the collection.
 - 9) DOT shall use information collection instruments such as electronic forms or similar information technology that allows electronic submission of information where ever possible.
 - (a) DOT shall use electronic information collection instruments which store data in industry-recognized, machine-readable, and open formats.
 - (b) DOT shall use and accept electronic signatures where possible.
 - (c) DOT shall ensure that electronic information collection instruments meet relevant privacy and security standards.

b. Public Engagement

Notices in the Federal Register are the minimal level of public engagement required when proposing or renewing information collections. DOT public notices must provide accurate and sufficient information for the public to make meaningful comments and have confidence in the agency's ability to manage and minimize burden.

- 1) DOT shall publish 60-day notices in the Federal Register requesting public comment prior to submitting ICRs to OMB.³
- 2) DOT shall publish 30-day notices in the Federal Register after the conclusion of the 60-day notice comment period and prior to submitting the ICR to OMB for approval.⁴

³ 60-day notices must solicit public feedback on the need for the information, practical utility of the information, accuracy of the burden statement, and ways to minimize burden. (44 U.S.C. 3506 (c)(2)(A))

⁴ 30-day notices must include: the title of the information collection; summary of the information collected; description of the need for the information and how it will be used; description of the likely respondents, an estimate of the number of respondents, and proposed frequency of responses; estimate of the burden placed on respondents; remarks on how public comments from the 60-day notice have been addressed; and direction that comments be submitted to OMB. (44 U.S.C. 3507 (a)(1)(D) and (b))

c. Approval

OMB must approve all collections of information before the Department may collect or use any of the information sought.

- 1) DOT shall receive OMB approval prior to initiating or changing an information collection subject to the PRA before the Department collects or makes use of information sought.

d. Managing Collections

- 1) DOT shall follow OMB Notices of Action (NOA) issued with collection approvals and complete all necessary actions as directed. If no date is given in the NOA, DOT will complete actions included in the NOA prior to seeking information collection renewal.
- 2) DOT shall display the required elements on all collection instruments (unless otherwise explicitly authorized by OMB). These elements include:
 - (a) OMB issued control number,
 - (b) expiration date of the collection,
 - (c) public burden statement, and
 - (d) Privacy Act notice (as required for collections protected by the Privacy Act).
- 3) DOT shall ensure public access to current versions of collection instruments and that discontinued instruments are unavailable for use.
- 4) DOT shall continuously review and monitor approved information collections for compliance violations and alignment with DOT policy and standards.
- 5) DOT shall continuously evaluate approved information collections for opportunities to increase efficiency and utility and reduce burden.
- 6) DOT shall submit all changes to a previously approved information collection to OMB for approval prior to altering the collection or implementing proposed changes.
 - (a) Substantive Changes (changes which introduce new concepts or requirements not included in the original approval, e.g., adding new questions shall be managed in the same manner as an ICR renewal (see Modification and Renewal).⁵
 - (b) Non-Substantive Changes shall be submitted to OMB as needed.⁶

⁵ Approval of a substantive change will result in the change in the expiration date of the IRC.

⁶ Non-substantive changes are not renewals and do not alter the expiration date of the collection.

e. Violations

Failure to obtain OMB approval for an active collection, a lapse of approval, or collection exceeding approved burden is a violation of the PRA. The public is not required to respond to any unauthorized information collection.

- 1) DOT shall take no enforcement action against regulated parties for failure to comply with mandatory collections which are not authorized.⁷
- 2) DOT shall immediately report all PRA violations to OMB during the ICR renewal process and will include all violations in the annual ICB.

b. Modification and Renewal

As an information collection nears its expiration date, a decision must be made as to whether to renew or discontinue it. Collections needed beyond their expiration date must be renewed using the same planning and approval process required of new information collections. OMB automatically and continuously extends the expiration date by one-month increments for any collection under their review that has exceeded the approved expiration date.

- 1) DOT shall submit ongoing collections for renewal not later than the expiration date.
- 2) If a renewal introduces a new or expanded burden, DOT shall not implement the burden until approved by OMB.

f. Discontinuance

A formal notice of discontinuance must be submitted to OMB to terminate an information collection as soon as it is determined to be no longer needed and not later than its expiration date. Collections which are not renewed or terminated prior to their expiration date trigger a PRA violation even if the collection is no longer used. Once a collection is discontinued it is no longer valid. Discontinued mandatory collections cannot be enforced.

- 1) DOT shall notify OMB of its decision to discontinue an information collection as soon as the collection is no longer needed and not later than its expiration date.
- 2) DOT must ensure that automated collection instruments associated with a discontinued collection are shut down or otherwise made inoperable.
- 3) Requests to reinstate a discontinued collection will be submitted for OMB approval using the same process as for new collections.

⁷ Some violations may serve as, “a complete defense, bar, or otherwise at any time during the agency administrative process or judicial action applicable thereto.” (44 U.S.C. 3512 (b))

g. Emergency Clearances

The Emergency Clearance process is appropriate in limited circumstances where the Department cannot fulfill its normal PRA public engagement obligations prior to the implementation of an information collection. An information collection approved using the emergency clearance process provides temporary relief from the public notice and comment requirements of the PRA.

- 1) DOT will only request an Emergency Clearance under the following circumstances:
 - (a) A collection of information is needed prior to the expiration of time periods established under the PRA and the collection is essential to the mission of the agency, AND
 - (b) The agency cannot reasonably comply with normal clearance procedures because:
 - (i) Public harm is reasonably likely to result if normal procedures are followed.
 - (ii) An unanticipated event has occurred, such as a natural disaster.
 - (iii) The use of normal clearance procedures is reasonably likely to prevent or disrupt the collection of information or is reasonably likely to cause a statutory or court ordered deadline to be missed.
- 2) All requests for emergency clearance must be made in writing by a Component Head, the Departmental CIO, or their designees.
- 3) DOT shall publish notice in the Federal Register notifying the public that an Emergency clearance is being sought unless OMB waives this requirement.
- 4) DOT shall not request relief from standard public notice and comment requirements for more than 180 days.
 - (a) DOT shall coordinate with OMB on all emergency requests prior to formal submission of such requests.
 - (b) DOT shall not request emergency relief from PRA requirements due to lack of planning.

h. Rulemaking

- 1) DOT shall receive OMB clearance for all information collection activities established by a Rulemaking prior to the effective date of the information collection portion of the rule.
- 2) To the extent practicable, DOT shall use the Rulemaking public engagement processes, including public notices in the Federal Register and comment periods, to inform the public of and receive comment on any PRA burden imposed by the Rulemaking.

- 3) If use of the Rulemaking process is not possible to address PRA requirements, PRA specific public engagement processes must be established, including, but not limited to, issuance of notices in the Federal Register. This action might be required if collection activity is anticipated to be initiated more than three years after the issuance of a Final Rule.
- 4) The burden identified in the Final Rule must match the burden identified in the ICR Final Clearance Package.

6. RESPONSIBILITIES

This section defines roles for implementing the DOT PRA information collection compliance program and responsibilities associated with each role. Provided below is a list of the roles and levels in the Department in which they reside. The Departmental Chief Information Officer (DOT CIO) is the designated office of primary responsibility for the DOT PRA information collection compliance program.

a. Department level

- 1) Accountability for directing DOT's enforcement of PRA Federal regulations, OMB guidance, and DOT directives, and for all information collection activities, resides with the **DOT CIO**. The DOT CIO will:
 - (a) Ensure the effective implementation of information collection policies and responsibilities established under the Paperwork Reduction Act of 1995 (PRA), the Government Paperwork Elimination Act (GPEA), and the Foundations for Evidence-Based Policymaking Act of 2018.
 - (b) Establish a DOT PRA program office to review ICRs to assess their necessity, utility, and compliance with Federal law and OMB guidelines.
 - (c) Ensure the PRA program is supported and appropriately resourced.
 - (d) Promote the use of technology to improve the effectiveness and efficiency of DOT data collection activities.
 - (e) Designate a Departmental **PRA Clearance Officer** to oversee and manage the DOT PRA Program. The DOT PRA Clearance Officer will:
 - (i) Review and coordinate with the support of the Component Information Collection Clearance Officers the submission of all ICRs to ensure that they meet the standards established by PRA, OMB, and DOT guidelines;
 - (ii) Coordinate, review, and finalize inputs from DOT Components to prepare annual ICB submission to OMB;
 - (iii) Liaise with DOT Components, OMB, other Federal agencies, and the public sector for issues concerning communications and operations of the DOT PRA program;

- (iv) Enhance the efficiency of collections, reduce burden, and reduce DOT costs, as appropriate;
 - (v) Report PRA violations to the Departmental CIO and OMB;
 - (vi) Coordinate as needed with Bureau of Transportation Statistics (BTS) to ensure information collection methodology is statistically sound (49 USC 6302(b); 49 USC 6304);
 - (vii) Review DOT Rulemakings for PRA and GPEA applicability and provide comments as appropriate to the DOT Office of General Counsel; and
 - (viii) Provide necessary training and tools to Component Information Collection Clearance Officers and Component staff as appropriate to implement this policy.
- 2) **The Departmental Chief Data Officer (CDO)** is responsible for the Department wide governance and utilization of data as an asset. The DOT CDO will establish data standards to promote interoperability and utility of information collections across the Department.
 - 3) **The Departmental Chief Privacy Officer (DOT CPO)** is responsible for establishing standards and processes for assessing the privacy risk. The DOT CPO will assess the privacy risk and ensure appropriate mitigations and compliance activities are implemented for any collection of information creating privacy risk prior to the submission of the collection to OMB for approval.
 - 4) **The Director, Bureau of Transportation Statistics (BTS)**, exercising authorities already delegated in statute and 49 CFR Part 1 and acting as the primary statistical agency at DOT, will evaluate all ICRs employing statistical methods for use of accepted statistical techniques.
 - 5) **The General Counsel** is the chief legal officer for the Department, legal advisor to the Secretary, and final authority on questions of law within the DOT. The Office of the DOT General Counsel (OGC) Counsel will:
 - (a) Provide legal advice and counsel on all matters arising in the administration of this policy.
 - (b) Notify DOT OCIO concerning proposed or final rulemakings to ensure PRA compliance.
- b. Component Level
- 1) The **Heads of DOT Components** will:
 - (a) Review reporting and information collection burden imposed by programs to ensure that it is the minimum required to perform the mission of the Component.

- (b) Establish a Component PRA program to review, evaluate, and process information collection requests to assess their necessity, utility, and compliance with Federal law and OMB guidelines.
- (c) Ensure that the Component PRA program is supported and sufficiently resourced.
- (d) Appoint **Component Information Collection Clearance Officers (ICCOs)** to oversee and manage the Component PRA program.⁸ Component ICCOs will coordinate PRA programs within their Components to ensure compliance with Federal regulations, OMB guidance, and DOT policies. Component ICCOs will:
 - (i) Plan and manage all ICR Packages for compliance with PRA regulations, OMB guidance, and DOT policy and standards throughout the ICR lifecycle.
 - (ii) Coordinate all ICRs with Departmental PRA Clearance Officer and OMB, as necessary.
 - (iii) Prepare and submit annual Component ICB Report to the DOT PRA Clearance Officer.
 - (iv) Provide training and guidance to Component staff for the creation of public notices and ICRs.
 - (v) Liaise with other DOT Components, other Federal agencies, and the public as needed to resolve questions or issues arising from the Component PRA program.
 - (vi) Report PRA violations to the DOT PRA Clearance Officer.
- 2) The **Component Chief Counsel**, as the legal advisor to the Head of the Component will, work with Component ICCOs and other Component and Departmental officials to:
 - (a) Approve all notices published in the Federal Register, as necessary.
 - (b) Coordinate rulemakings with Component ICCO and OGC to ensure compliance with PRA regulations, OMB guidance, and DOT directives.
- 3) **Component Privacy Officers** information collection responsibilities include, but are not limited to:
 - (a) Coordinating with information program offices and Component ICCOs to ensure that information collections include required privacy risk analysis and compliance documentation.
 - (b) Ensuring that information collection instruments request personally identifiable information (PII) only if relevant and necessary to perform the statutory duties of the Department.

⁸ This policy does not establish the organizational placement of the ICCO, however the PRA is the responsibility of the Departmental CIO; therefore, Components are encouraged to place the ICCO in their IT organizations.

4) **Component Contracting Offices** will:

- (a) Ensure that all solicitations and contracts, where applicable, include appropriate PRA clauses and provisions
- (b) Work with ICCOs and collection sponsors to ensure covered information collection activities are not initiated by contracted parties prior to OMB/OIRA approval of the applicable ICR.

i. Program Level

1) The **Information Collection Owners** that sponsor information collections are responsible for their management and will:

- (a) Administer an information collection through its lifecycle.
 - (i) Oversee the planning and design for information collections;
 - (ii) Coordinate with Component ICCO to determine the appropriate clearance type;
 - (iii) Initiate ICR public notice and approval processes;
 - (iv) Ensure information collections are not in violation.
 - (v) Appropriately engage with the public regarding information collections which affect them to increase government transparency and foster public trust.
 - (vi) Identify themselves as the individual of record responsible for information collection requests.
- (b) Coordinate with BTS for review of information collections which contain statistical methods prior to starting the public notice and OMB approval processes.
- (c) Provide timely responses to requests by the Component ICCO and OMB.
- (d) Report PRA violations to the Component ICCO.

7. DATES

- a. The effective date of this Order is the date that it is signed.

8. COMPLIANCE

- a. The Heads of DOT Components shall review their respective PRA practices annually to verify appropriate actions have been taken to reduce the burden on the public.
- a. This policy does not supersede any other applicable law or higher-level agency policy in place as of the effective date of this policy. Compliance with this Order is mandatory.

Cordell Schachter
Chief Information Officer
U.S. Department of Transportation

APPENDIX A: REFERENCES**a. Legislation**

- 1) Foundations for Evidence-Based Policymaking Act of 2018 (Public Law No: 115-435), January 14, 2019
- 2) Government Paperwork Elimination Act (Pub. L 105-277 Title XVII), October 21, 1998
- 3) Paperwork Reduction Act of 1995 (codified at 44 U.S.C. Chapter 35), October 1, 1995

b. Regulation

- 1) Controlling Paperwork Burdens on the Public (Title 5 CFR, Part 1320)

c. National Policy, Directives, and Memoranda

- 1) OMB Circular A-130: Managing Information as a Strategic Resource, July 27, 2016
- 2) OMB Memorandum: Flexibilities under the Paperwork Reduction Act for Compliance with Information Collection Requirements, July 22, 2016
- 3) OMB Memorandum: Behavioral Science Insights and Federal Forms, September 15, 2015
- 4) OMB Memorandum: Reducing Reporting and Paperwork Burdens, June 22, 2012
- 5) OMB Memorandum M-11-26: New Fast-Track Process for Collecting Service Delivery Feedback Under the Paperwork Reduction Act, June 15, 2011
- 6) OMB Memorandum: Paperwork Reduction Act – Generic Clearances May 28, 2010
- 7) OMB Memorandum: Social Media, Web-Based Interactive Technologies, and the Paperwork Reduction Act, May 7, 2010
- 8) OMB Memorandum: Information Collection under the Paperwork Reduction Act, April 7, 2010

d. DOT Regulations and Policies

- 1) DOT Order 1351.39, Information Technology Governance Policy, August 3, 2017
- 2) 49 CFR § 1.48, Office of the Chief Information Officer, April 26, 2017
- 3) DOT Order 1351.18, Privacy Risk Management Policy, September 30, 2014

e. Other

- 1) A Guide to the Paperwork Reduction Act, <https://pra.digital.gov> .

APPENDIX B: DEFINITIONS

- a. **Burden** - the total time, effort, or financial resources expended by persons to generate, maintain, retain, disclose, or provide information to or for a Federal agency, including: (i) Reviewing instructions; (ii) Developing, acquiring, installing, and utilizing technology and systems for the purpose of collecting, validating, and verifying information; (iii) Developing, acquiring, installing, and utilizing technology and systems for the purpose of processing and maintaining information; (iv) Developing, acquiring, installing, and utilizing technology and systems for the purpose of disclosing and providing information; (v) Adjusting the existing ways to comply with any previously applicable instructions and requirements; (vi) Training personnel to be able to respond to a collection of information; (vii) Searching data sources; (viii) Completing and reviewing the collection of information; and (ix) Transmitting, or otherwise disclosing the information.⁹
- f. **Collection of Information** – the obtaining, causing to be obtained, soliciting, or requiring the disclosure to an agency, third parties or the public of information by or for an agency by means of identical questions posed to, or identical reporting, recordkeeping, or disclosure requirements imposed on, ten or more persons, whether such collection of information is mandatory, voluntary, or required to obtain a benefit, of facts or opinions by or for an agency, regardless of form or format.¹⁰
- g. **Electronic Signature** - a method of signing an electronic message that— (A) identifies and authenticates a person as the source of the electronic message; and (B) indicates such person’s approval of the information contained in the electronic message.
- h. **Information** - any communication or representation of knowledge such as facts, data, or opinions in any medium or form, including textual, numerical, graphic, cartographic, narrative, electronic, or audiovisual forms.
- i. **Information Collection Budget (ICB)** - Total amount of hours an agency/program office is allowed (has budgeted) to impose on the public for collection/reporting of information.
- j. **Information Collection Request (ICR)** - Formal packet prepared by a Federal Agency and submitted to OMB for review and approval to collect information from 10 or more respondents (people, businesses, entities, etc.).
- k. **Information Resource** - information and related resources, such as personnel, equipment, funds, and information technology.
- l. **Person** - an individual, partnership, association, corporation (including operations of government-owned contractor-operated facilities), business trust, or legal representative, an organized group of individuals, a State, territorial, tribal, or local government or

⁹ 5 CFR Part 1320.3

¹⁰ 5 CFR Part 1320.3

branch thereof, or a political subdivision of a State, territory, tribal, or local government or a branch of a political subdivision.¹¹

- m. **Practical Utility** - the actual, not potential, usefulness of information to or for an agency, as well as the agency's capability to process such information in a timely and useful fashion.
- n. **Public Information** - any information, regardless of form or format, that an agency discloses, disseminates, or makes available to the public.
- o. **Non-Substantive Changes** (to an information collection) - Changes to an already approved information collection which do not introduce new concepts or requirements that have not received public comment. Non-Substantive changes do not require public notice.
- p. **Substantive Changes** (to an information collection) - Changes which introduce new concepts or requirements not included in the original public notice and approval.

¹¹ 5 CFR 1320.3 (k)