



Paperwork Reduction Act

NASA Program Overview and Compliance Strategy

Office of the Chief Information Officer

***NASA IT Vision:** The NASA IT Organization is the **very best** in government*

February 2014
NASA PRA Clearance Officer

AGENDA

- The Federal Government's Need for Information
- Paperwork Reduction Act(PRA) Drivers
- PRA Purpose and Key Definitions
- Federal Burden Reduction Initiatives are Necessary
- Do All Questions Trigger the PRA?
- It Takes A Team To Achieve Compliance/Roles and Responsibilities
- Nine Types of Information Collection Requests
- Timeline to Obtain OMB Approval to Collect Information from the Public
- PRA and Grants/Cooperative Agreements
- Contact the NASA PRA Clearance Officer



The Federal Government's Need for Information

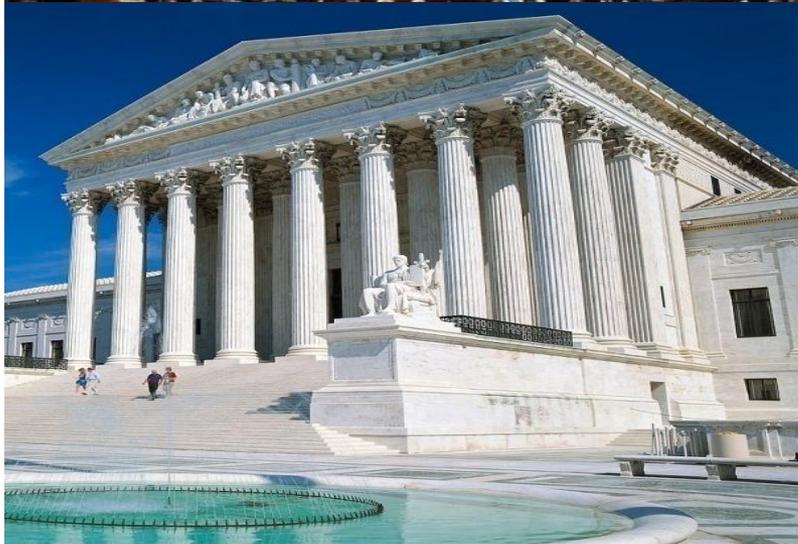
The federal government provides a wide array of protections and services to meet the needs of the American people include but not limited to education, training, health care, safety, finance (financial stability of banks) environmental protection and American armed forces.

Federal agencies collect information from citizens, organizations, businesses, and other entities to ensure the successful completion of agency missions.

Federal agencies use information collected for several purposes to include budget requests, program development/expansion, and enabling access to federal facilities (owned or leased.)

Federal agencies must **balance** their reliance on information and the associated burden imposed. Information requests can be timely and costly.

Paperwork Reduction Act Drivers



The key drivers for the federal Paperwork Reduction Act Program are:

- The Paperwork Reduction Act (PRA) of 1980, as amended by the Paperwork Reduction Act of 1995 (44 U.S.C. Chapter 35)
- The Office of Management and Budget (OMB) regulations on information collections (5 CFR 1320, “Controlling Paperwork Burdens on the Public”)



PRA Purpose and Key Definitions

- The Paperwork Reduction Act is a United States law enacted to ensure information collected from the public:
 - Satisfies a programmatic need
 - Minimizes duplication
 - Improves the quality and practical utility of information collected from the public by the federal government
 - Reduces the paperwork burden on persons/members of the public

Information Collection	<p>The obtaining, causing to obtain, soliciting, or requiring the disclosure to third parties or the public, of facts or opinions by or for an agency.</p> <ul style="list-style-type: none">• Answers to identical questions or data elements by ten or more respondents in a calendar year• Regardless of form or format (oral, maintained on paper, electronic, telephone, focus groups, etc)• Whether voluntary, mandatory, or required to obtain a benefit (e.g., job, grant, contract) <p><i>NOTE: Includes federal employees of the United States when collected for general statistical purposes</i></p>
Practical Utility	<p>The ability of an agency to use the information collected and the capacity to process such information in a timely, useful fashion.</p>
Persons/Members of the Public	<p>An individual, partnership, association, corporation, business trust, or legal representative, an organized group of individuals, a State, territory, tribal, or local government or branch thereof, or a political subdivision of a State, territory, tribal, or local government of a branch of a political subdivision.</p> <p><i>Note: Federal contractors are not employees of the government, they are members of the public</i></p>
Burden	<p>The time, effort, or financial resources expended by persons to generate, maintain, or provide information to or for the Federal government, including the resources expended for--</p> <ul style="list-style-type: none">• reviewing instructions;• acquiring, installing, and utilizing technology and systems;• searching data sources;• completing and reviewing the collection of information; and• transmitting, or otherwise disclosing the information



PRA Purpose (con't)

- The PRA was established to:
 - (1) **Minimize the paperwork burden** for individuals, small businesses, educational and nonprofit institutions, Federal contractors, State, local and tribal governments, and other persons resulting from the collection of information by or for the Federal Government;
 - (2) **Ensure the greatest possible public benefit** from and maximize the utility of information created, collected, maintained, used, shared and disseminated by or for the Federal Government; **(identify problems that should be regulated such as vehicle emissions.)**
 - (3) **Improve the quality and use of Federal information** to **strengthen decision making**, accountability, and openness in Government and society;
 - (5) **Minimize the cost to the Federal Government** for the creation, collection, maintenance, use, dissemination, and disposition of information;
 - (6) **Strengthen the partnership between the Federal Government and State, local, and tribal governments** by minimizing the burden and maximizing the utility of information created, collected, maintained, used, disseminated, and retained by or for the Federal Government;
 - (8) **Ensure the creation, collection, maintenance, use, dissemination, and disposition of information by or for the Federal Government is consistent with applicable laws**, including laws relating to--
 - (A) privacy and confidentiality
 - (B) security of information
 - (C) access to information
 - (9) **Ensure the integrity, quality, and utility of the Federal statistical system;**
 - (10) **Improve responsibility and accountability** (to the public, to Federal agencies reporting to Congress, etc) :
PCAT helps to improve responsibility and accountability.



Federal Burden Reduction Initiatives Are Necessary

- Congress establishes burden reduction goals, however, the actual federal agency reporting burden continues to increase.
- Burden reduction can be achieved only to the extent that it does not interfere with an agency's ability to meet their programmatic responsibilities. The federal government needs information to carry out its responsibilities and measure success.
- E-Gov initiatives have made significant contributions to burden reduction.
- In 2012, NASA was tasked to identify burden reducing initiatives totaling **50,000** hours.



It Takes a Team to Achieve Compliance - Roles

- OMB Office of Internal Regulatory Affairs/ OIRA Desk Officer Assigned to NASA
- Agency Certifying Official
- Agency PRA Clearance Officer
- Agency Federal Register Liaison Officer
- Agency Information Collection Sponsoring Office
- NASA Center PRA Liaisons (coming soon)

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OMB/Office of Internal Regulatory Affairs must approve information collection requests covered by the PRA BEFORE information can be collected.

- ▶ Without an approved OMB control number, information covered by the PRA cannot be collected from the public.
- ▶ The PRA established the **Office of Information and Regulatory Affairs (OIRA)** within the Office of Management and Budget (OMB) with the authority to regulate matters regarding information collected from members of the public by/on behalf of the federal government.





Role of the OMB/OIRA

- Serves as the **central clearinghouse** for federal information collections.
- Designates an **OIRA Desk Officer** for each federal agency.
- Assigns the OMB control number each federal agency **must** display on all approved information collections.
 - Each agency has a unique control number, comprised of two four-digit numbers separated by a hyphen.
 - the first four digits identify the sponsoring agency (**the NASA 4-digit agency code is 2700**)
 - the second four digits identify the particular collection (for multiple forms within an approved collection will almost always contain the same OMB control number)
- Validates that FRNs are published to enable members of the public to comment on proposed information collections.
- Provides a process for the public to review/validate OIRA approved information collections www.reginfo.gov

Paperwork Reduction Act Statement - This information collection meets the requirements of 44 U.S.C. § 3507, as amended by section 2 of the Paperwork Reduction Act of 1995. You do not need to answer these questions unless we display a valid Office of Management and Budget (OMB) control number. The control number for this collection is (2700-XXXX) and expires on XX/XX/XXXX. We estimate that it will take about <INSERT NUMBER> minutes to read the instructions, gather the facts, and answer the questions. ***Send only comments relating to our time estimate to (NASA email address is preferred.)***

- OMB/OIRA evaluates agency performance in minimizing paperwork burdens, assesses the impact of the government's information collection efforts involving members of the public, and publishes findings in the *Information Collection Budget (ICB) of the United States Government*.

“In FY2011, it is estimated that the public spent 9.14 billion hours responding to Federal information collections. This total represents a new increase of 355 million burden hours, or about 4 percent, from the estimated 8.78 billion hours the public spend responding to Federal information collections in FY2010.”



NASA Team

- **NASA CIO**
 - Serves as the Senior NASA Official responsible for ensuring prompt, efficient, and effective implementation of the NASA PRA Program.
 - Establishes applicable NASA policy.
 - Designates a NASA PRA Clearance Officer.
- **NASA Office of the General Counsel /Center Office of the Chief Counsel**
 - When necessary, provides legal advice on issues related to the PRA and laws that affect information collections.
- **NASA PRA Clearance Officer**
 - Serves as the liaison between NASA and the OMB/OIRA Desk Officer.
 - Assists program/project offices obtain OMB/OIRA approval to collect information from the public (as demonstrated by the issuance of an OMB control number), renew information collections when applicable, identify burden reduction initiatives, and report/reconcile violations.
 - Reviews sponsoring offices information collection instrument(s) and supporting statement(s) or fast track forms to ensure PRA compliance.
 - Collaborates with Center Privacy Managers when applicable regarding compliance with laws, regulations, and policies.
 - Prepares 60-day and 30-day Federal Register Notices based on information extracted from the supporting statement **submitted by the IC sponsoring office. (Sponsoring offices often provide draft FRNs.)**
 - Tracks and monitors expiring collections.
 - Certifies information collections submitted to OMB/OIRA on behalf of the NASA CIO (following certification by the NASA office sponsoring the information collection. See back-up slide)



NASA Team

- **NASA Federal Register Notice (FRN) Liaison Officer**

- Processes/published 60-day and 30-day FRNs submitted by the NASA PRA Clearance Officer for NASA information collections covered by the PRA.

- **NASA Sponsoring Offices**

- [Ensure information collections that trigger the PRA are processed through the NASA PRA Clearance Officer](#) and approved instruments/forms display the required PRA statement with the applicable OMB control number and expiration date.
- Draft/develop information collection (IC) instrument(s), [consulting with Center Forms Managers](#) in accordance with NPD 1420.1A as applicable.
- [Understand and enforce NASA certification requirements.](#)
- [Consult with Privacy Managers](#) to ensure a Privacy Impact Assessment is processed if required.
- [Consult with the Center Records Managers](#) to identify the applicable records retention schedule.
- [Consult with Contracting Officers and COTRS](#) to ensure an IC scope is included in applicable contracts and PRA rules/requirements are clearly understood by support contractors collecting information on behalf of NASA.
- [Make appropriate use of information technology](#) to reduce burden on the public.
- [Report changes](#) to the NASA PRA Clearance Officer:
 - changes are made to active IC instrument(s) or burden hours (increase or decrease) following OMB/OIRA approval.
 - an approved IC is no longer needed.
- Seek opportunities to reduce IC burden on the public by conducting [annual reviews of approved ICs](#).
- Track and monitor expiring ICs and initiate renewal of approved information collections no less than 7 months prior to the scheduled expiration date. [Ensure expired IC instruments are no longer used.](#)
- [Own up to violations](#), notify the Agency PRA Clearance Officer, and take steps to reconcile.



Nine Types of Information Collection (IC) Requests

1) New Information Collection(IC)

- 60-day and 30-day FRNs are required to allow for public comment, along with IC instruments and supporting statement.
- 30-day OMB/OIRA review/approval window, begins after all windows for public comment have closed, comments received are dispositioned, and all documents are submitted to OIRA.

2) Revision of an approved IC

- Involves substantive revision to an approved IC). Such revisions are generally a result of changes required by law or agency action (program budget cuts.) OMB review/approval is required **before** revisions can be implemented.
- Public comment via 60-day and 30-day FRN is required.
- **Must be initiated before the approved IC expires.**

3) Extension of an approved IC without change

- 60-day and 30-day FRNs are required
- IC PRA statement must be updated with new expiration date.
- Must be *initiated* before the approved IC expires.

4) Reinstatement without Change

- Reinstatement of a discontinued IC. Original OMB control number , and IC instrument can be re-used (PRA statement must be updated.)



Nine Types of Information Collection (IC) Requests

5. Existing Collection In Use Without OMB Control Number:

- FRNs and all supporting documentation must be processed for OMB/OIRA approval.
- Must be identified as a violation in NASA annual report to OMB/OIRA.

6. Discontinued Information:

- Request to discontinue IC is usually a result of an agency decision that the IC is no longer needed.

7. Requests for Non-Material or Non-Substantive Changes to Currently Approved ICs

- Agency is not required to seek public comment.

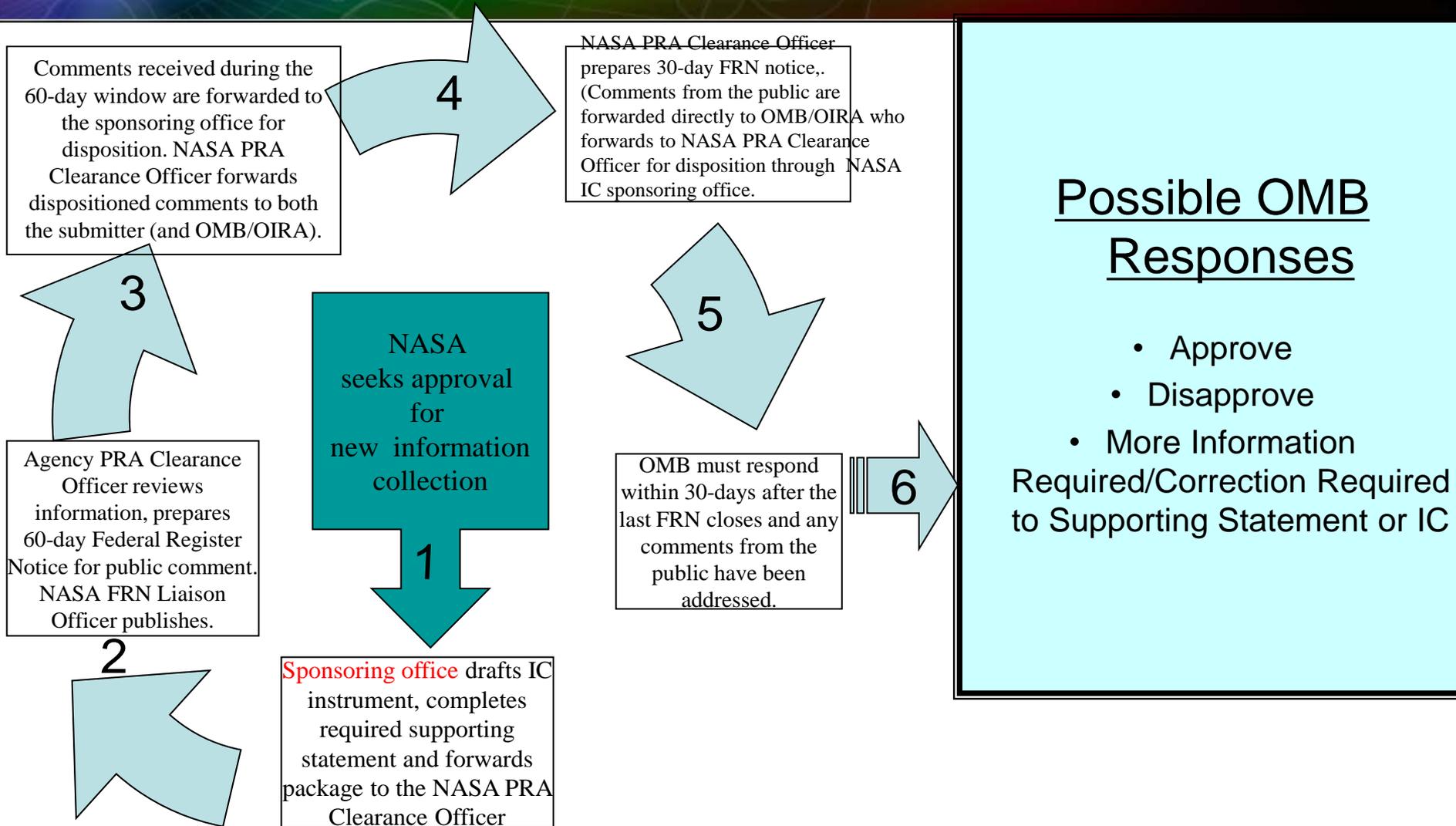
8. Common Form (NEW – typically a 30-day approval window.)

- Request to use another Agency's approved IC instrument.
- Minimal changes allowed such as inserting NASA logo, NASA POCS/submittal information.
- Annual burden hours must be calculated and reported at time of request.
- **NASA must obtain approval from the Agency sponsoring the form, through the OMB common form clearance process.**

9. Fast Track/Generic Clearance, currently limited to:

- testing IC instruments for clarity, comprehensibility, and burden hour validation
- focus groups
- customer satisfaction surveys
- OMB response within 5 business days. FRNs are not required for each IC covered under the NASA FastTrack Generic Clearance..

OMB Approval Timeline to Approve a NASA Information Collection





Do Grants and Cooperative Agreements Trigger the PRA

The need for PRA clearance is dependent on the level of control the government has over the information collection.

Q. Does the recipient of a “Cooperative Agreement” need PRA clearance to conduct surveys under the agreement?

A. In **Cooperative Agreements**, PRA review and approval is required if NASA has significant input/control into the design, methodology, and analysis of the data collection. Because the need for PRA clearance is dependent on the level of control the government has over the collection, if the need for PRA clearance is not clearly evident, questions about whether a cooperative agreement requires PRA review and approval should be directed to the NASA PRA Clearance Officer.

▪ **Q. Do we need PRA clearance for a collection conducted by a NASA contractor?**

A. Generally, NASA owns the data collected through contracts. If the scope of the contract includes a requirement for the contractor to collect information on behalf of/for the federal government from ten or more members of the public using structured questions, the PRA is most likely triggered. Check with the NASA PRA Compliance Officer to verify.



Contact the NASA PRA Clearance Officer

Help is available:

NASA PRA CLEARANCE OFFICER

(202) 358-2225

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Back-Up Slide

Information Collection Certification Requirement

On behalf of this Federal agency, I certify that the collection of information encompassed by this request complies with [5 CFR 1320.9](#) and the related provisions of [5 CFR 1320.8\(b\)\(3\)](#).

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 language that is understandable to respondents;
(e)	Its implementation will be consistent and compatible with current reporting and recordkeeping practices;
(f)	It indicates the retention periods for recordkeeping requirements;
(g)	It informs respondents of the information called for under 5 CFR 1320.8 (b)(3) about:
	(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.
(i)	It uses effective and efficient statistical survey methodology (if applicable); and
(j)	It makes appropriate use of information technology.

If you are unable to certify compliance with any of these provisions, identify the item(s) and explain the reason in the Supporting Statement.