

U.S. DEPARTMENT OF AGRICULTURE
WASHINGTON, D.C. 20250

DEPARTMENTAL MANUAL	NUMBER: DM 3410-001
SUBJECT: Information Collection Procedures	DATE: August 25, 2023
OPI: Office of the Chief Information Officer, Information Resource Management Center	EXPIRATION DATE: August 25, 2026

<u>Section</u>	<u>Page</u>
1. Purpose	1
2. Special Instructions/Cancellations	1
3. Scope	2
4. Procedures	2
5. Roles and Responsibilities	8
6. Inquiries	14
Appendix A – Acronyms and Abbreviations	A-1
Appendix B – Definitions	B-1
Appendix C – Authorities and References	C-1
Appendix D – Public Burden Statement	D-1
Appendix E – Privacy Act Statement (5 U.S.C. § 552a)	E-1

1. PURPOSE

This Departmental Manual (DM) provides processes and procedures in support of the United States Department of Agriculture (USDA) policy provided in [Departmental Regulation \(DR\) 3410-001](#), *Information Collection Request Activities: Collection of Information from the Public*, dated January 26, 2022.

2. SPECIAL INSTRUCTIONS/CANCELLATIONS

- a. This DM is effective immediately and remains in effect until it is superseded, or it expires.
- b. All Mission Areas, agencies, and staff offices must align their policies and procedures with this DM within 6 months of the publication date.

3. SCOPE

This DM applies to all USDA Mission Areas, agencies, staff offices, employees, appointees, contractors, and others who work for, or on behalf of, USDA that are involved with developing or processing information collection requests (ICR).

4. PROCEDURES

a. Clearance Types

The following are the eight types of clearances that require an information collection (IC).

(1) Full ICR

(a) New Collections

For new collections, 60 and 30 calendar day Federal Register Notices (FRN) are required to allow for public comment, along with IC instruments and supporting statements.

(b) Revisions

Revisions involve substantive changes to an approved IC. Such revisions are generally a result of changes required by law or Mission Area, agency, or staff office action (e.g., program budget cuts). Office of Management and Budget (OMB), Office of Information and Regulatory Affairs (OIRA) review and approval is required before revisions can be implemented.

(c) Extensions without Change

In this case, there are no changes to an approved IC's information, such as the respondents, responses, or burden.

(d) Reinstatement

There can be reinstatement of an expired or discontinued IC. It is acceptable to reuse the original OMB control number and IC instrument.

(2) Non-Substantive Change

Verify with the Mission Area, agency, or staff office *Paperwork Reduction Act of 1995* (PRA), [Public Law \(P.L.\) 104-13](#), Clearance Officer or the OMB Desk Officer that the request will be accepted as a change versus a revision.

(3) Substantive Change

Per OMB discretion (the OMB Desk Officer), a Mission Area, agency, or staff office may be allowed to publish a 30-day FRN instead of a 60-day FRN for a substantive change.

(4) Emergency Extensions

These must be discussed and determined by the OMB Desk Officer. If granted, an emergency extension cannot exceed 90 calendar days.

(5) Emergency Requests

Some extenuating circumstances may be considered grounds for justifying an emergency approval. These include circumstances that result or may result in public harm; that prevent the Mission Area, agency, or staff office from responding to an unanticipated event; or that cause the Mission Area, agency, or staff office to miss a statutory or court-ordered deadline.

(6) Discontinuation Requests

Requests to discontinue IC is usually a result of a Mission Area, agency, or staff office decision that the IC is no longer needed.

(7) Generic IC

The OMB response is within 5 business days. FRNs are not required for each IC covered under the USDA, Mission Area's, agency's, or staff office's fast track generic clearance.

(8) Request for Common Forms (RCF)

Use for a common form must be obtained through approval from the Host agency sponsoring the form within or outside of USDA. Prior to submitting the RCF, the program office must check with their Mission Area, agency, or staff office forms manager and the USDA Departmental Forms Management Officer (DFMO). This process can be found in the Regulatory Information Service Center and Office of Information and Regulatory Affairs Consolidated Information System (ROCIS) document [*ROCIS How to Guide for Agency Users of the Information Collection Request \(ICR\) Module*](#) ("ROCIS Guide").

b. Clearance Process Steps

(1) Step 1 – Development of Information

The Mission Area, agency, or staff office along with the Agency Information Collection Officer (AICO) develops the information request and follows the instructions below.

(a) Step 1(a) – Construct the Supporting Statement A

The Supporting Statement A is required for all ICRs. It is comprised of 18 questions (see the *ROCIS Guide*, Section 26, *Creating a Supporting Statement*) that address the need for collecting the information from the public, how the information will be utilized by USDA, and how USDA will account for the burden on the public, whether by means of forms, surveys, or focus groups.

Note: The OMB Form 83-I, *Paperwork Reduction Act Submission*, is no longer used because the information contained on that form is now collected in ROCIS.

(b) Step 1(b) – Construct the Supporting Statement B

The Supporting Statement B is used for statistical methods only. It is a document that consists of five questions (see the *ROCIS Guide*, Section 26, *Creating a Supporting Statement*) that allows the Mission Area, agency, or staff office to address statistical methods they plan to use within a survey.

Note: The National Agricultural Statistics Service (NASS) needs to review the completed package before it is forwarded to the Office of the Chief Information Officer (OCIO), Information Resource Management Center (IRMC), Information Management Division (IMD), Departmental Information Clearance Officers (DICO). NASS only reviews the package if a Supporting Statement B is needed.

(c) Step 1(c) – Information Collection Instruments (e.g., Forms, Surveys, Questionnaires)

These instruments must contain the OMB control number, expiration date, public burden statement, and [Privacy Act](#) statement (see Appendices D, *Public Burden Statement*, and E, *Privacy Act Statement*, respectively).

Note: After the completion of Steps 1(a), 1(b), and 1(c) of the clearance process, forward the completed documents to the DICO and the USDA DFMO for review.

(2) Step 2 – Publish the 60-day FRN

The Mission Area, agency, or staff office develops the 60-day FRN and follows the Mission Area, agency, or staff office process for its completion.

(3) Step 3 – Consideration of Public Comments

The Mission Area, agency, or staff office receives and reviews comments from the public and provides responses as needed.

Note: Response to comments must be added to Question 8 in the Supporting Statement A (see the *ROCIS Guide*, Section 26, *Creating a Supporting Statement*), whether the comments are related to the collection or not. They must also be added to the collection in ROCIS under the supplementary comments section.

(4) Step 4 – Outside Agency Consultation

The Mission Area, agency, or staff office consults with three individuals regarding burden estimates, time it takes to complete the forms and surveys, etc. Upon completion of the consultations, the feedback is integrated into the Supporting Statement, forms, or surveys.

(5) Step 5 – Publish the 30-day FRN as a Final Package Submission

Once the Mission Area, agency, or staff office has finalized the information collection packet the DICO prepares and submits the 30-day notice to the [Federal Register](#) for comment.

Note: For this notice, the AICO and the Mission Area, agency, or staff office must respond to comments if a response is warranted. These responses may be required by their Desk Officer to be added to the collection in ROCIS.

(6) Step 6 – Submission of the ICR

Upon publication of the 30-day FRN and the uploading of all required documents to ROCIS, the DICO submits the ICR to OMB.

(7) Step 7 – OMB Review and Decision

OMB reviews and engages with the Mission Area, agency, or staff office on any questions or comments prior to issuing a decision.

Note: During or after the 30-day comment period OMB may provide comments to the DICO and AICO for adjudication. Once these comments have been adjudicated, the ICR will move to Step 8 below in the clearance process.

(8) Step 8 – OMB Final Approval of the ICR

This is a 3-year approval, unless otherwise directed by OMB within the notice of approval (NOA).

c. Privacy Requirements

Personally Identifiable Information (PII) – If an ICR collects PII, the responsible Mission Area, agency, or staff office must consult with their respective privacy office to ensure that the correct privacy information is incorporated into the collection and the necessary steps are taken to determine the following: whether a privacy impact assessment (PIA) is required; whether a privacy threshold analysis (PTA) is required; and whether an existing system of records notice (SORN; see the USDA [System of Records Notices](#) web page) covers the information being collected.

Note: The Departmental Chief Privacy Officer (CPO) will only be consulted if the Mission Area, agency, or staff office does not have a Privacy Officer or if the Mission Area, agency, or staff office Privacy Officer seeks additional assistance from the CPO regarding PII in the collection.

d. Estimating Burden

(1) Calculating Burden Time

Include the time needed to read instructions, gather records, complete a response, and submit the information to the Mission Area, agency, or staff office.

(2) Financial Cost

Mission Areas, agencies, and staff offices must account for the time it takes for the respondents to complete the information. To develop respondents' cost, they must obtain current hourly wage information from the United States (U.S.) Bureau of Labor Statistics (BLS). This can be found at:

- (a) [Occupational Employment and Wages – May 2022](#); and
- (b) [Employer Costs for Employee Compensation – December 2022](#).

(3) Burden Conversion

To request a Portable Document Format (PDF) copy of the burden conversion chart, contact the DICO at usda.pra@usda.gov.

(4) Burden Calculation

To request a copy of the burden spreadsheet, contact the DICO at usda.pra@usda.gov.

e. Information Collection Budget (ICB) Activities

OMB requires each Federal agency to submit an annual ICB estimating the hours of burden to be imposed on the public in the next fiscal year (FY) and verifying accomplishments in prior FYs. Each FY, OMB determines the ICB format, reduction goals, and other required inputs. It is the responsibility of the AICO and program leadership to provide the information to the IRMC Associate Chief Information Officer (ACIO) for the ICB.

f. Forms, Surveys, Questionnaires, and Other Instruments

(1) Forms

All Mission Area-, agency-, or staff office-specific forms must be reviewed by the respective Mission Area, agency, or staff office forms manager. All Agriculture Department (AD) forms must be received and reviewed by the USDA DFMO in the Departmental Forms Office within the Office of Budget and Program Analysis. This must be done before OIRA submission, and again once OMB approval is received prior to finalization and publication of the form. These forms must include the OMB control number and expiration date in the upper right corner of the form, the OMB public burden statement, and the *Privacy Act* statement (if PII is being collected).

(2) Standard Forms (SF)

Standard forms are common forms. In the event that a Mission Area, agency, or staff office must create an SF form, they must go through their forms manager and the USDA DFMO to obtain approval for use. The Mission Area, agency, or staff office must submit an RCF in the ROCIS.

(3) Optional Forms (OF)

Optional forms are not always common forms. In the event that a Mission Area, agency, or staff office must create an OF form as a common form, they must go through their forms manager and the USDA DFMO.

(4) Surveys and Questionnaires

Surveys and questionnaires must include the OMB control number and expiration date in the upper right corner of the form, the OMB public burden statement, and the *Privacy Act* statement (if PII is being collected).

(5) Instruments

The instruments category constitutes any other type of system or web-based instrument that the Mission Area, agency, or staff office will use to collect information from the public. Instruments must include the OMB control number

and expiration date in the upper right corner of the form, the OMB public burden statement, and the *Privacy Act* statement (if PII is being collected).

- (6) All forms being utilized for USDA ICs must be Plain Language and Section 508 compliant.

5. ROLES AND RESPONSIBILITIES

a. The Secretary, USDA, will:

- (1) Comply with the requirements of the PRA and related policies as established by the OMB Director; and
- (2) Delegate the responsibility for IC activities to the USDA Chief Information Officer (CIO), serving as the Senior Agency Official (SAO) for IC within USDA.

b. The USDA CIO will:

- (1) Serve as the delegated SAO for IC activities and reports directly to the Secretary;
- (2) Serve as the focal point for all Departmentwide matters relating to ICRs, privacy, paperwork reduction, and burden reduction where applicable;
- (3) Establish an office to manage USDA's compliance with and implementation of the information policies and information resources management responsibilities, including the reduction of IC burdens on the public; and
- (4) Review and approve the Departmental ICR management policy, procedures, objectives, standards, and guidelines for the establishment and use of ICRs in accordance with governing statutes, regulations, policies, and procedures.

c. The OCIO ACIO for the IRMC will:

- (1) Designate one or two staff members to serve as the DICO; and
- (2) Submit the ICB to OMB in a timely manner to meet assigned due dates.

d. The OCIO-IRMC IMD Director will:

- (1) Review and approve the ICB for submission to the IRMC ACIO;
- (2) Review the Departmental ICR management policy, procedures, objectives, standards, and guidelines for the establishment and use of ICRs in accordance with governing statutes, regulations, policies, and procedures;

- (3) Assist the DICOs with any issues or concerns related to an ICR the DICOs may have with any Mission Area, agency, or staff office or OMB.
- e. The DICO within OCIO-IRMC-IMD will:
- (1) Serve as the central point of contact (POC) for communications with OMB concerning the ICR;
 - (2) Ensure that the ICR contains all required information;
 - (3) Serve as the liaisons to OMB on ICR management clearances and activities;
 - (4) Develop, establish, and publish Departmental ICR management policy, procedures, objectives, standards, and guidelines for the establishment and use of ICRs in accordance with governing statutes, regulations, policies, and procedures;
 - (5) Ensure that ICRs comply with the legal requirements of the PRA; *E-Government Act of 2002*, [P.L. 107-347](#); and *Privacy Act*, as applicable, to reduce, minimize, and control burden; protect sensitive information; and maximize practical use and public benefit;
 - (6) Consolidate responses from the AICOs for the ICB and submit it to IMD Director for review and approval before submission to the IRMC ACIO;
 - (7) Provide monthly reports to AICOs and the USDA DFMO showing ICRs expiring within the next 12 months;
 - (8) Review each ICR to ensure consistency with USDA and OMB policy, appropriateness of the statistical designs for proposed ICs, and practical utility of the information being collected, as well as:
 - (a) Ensure that an ICR is necessary; and
 - (b) Encourage consolidation of collections and forms when practicable;
 - (9) Review and submit new ICRs in ROCIS to OMB, and extensions and revisions of currently approved ICRs before their expiration dates;
 - (10) Prepare and forward a notice with a 30-calendar-day comment period to the *Federal Register* of all new and expiring ICRs. Upon publication of the notice, submit the ICR to OMB in ROCIS for review and approval;
 - (11) Respond to inquiries from OMB, maintain records of transmittals and clearances, and notify Mission Areas, agencies, and staff offices of OMB action;

- (12) Ensure that each ICR is inventoried, displays an OMB control number, and discloses all necessary information as described in [44 United States Code \(U.S.C.\) § 3506](#), *Federal Agency Responsibilities*;
 - (13) Provide training and technical assistance to Mission Area, agency, and staff office personnel in the development and clearance of ICR submissions; and
 - (14) Notify the Mission Area, agency, and staff office clearance contacts of the requirements and current procedures to prepare and submit its ICB information to the IRMC ACIO.
- f. Mission Area Under Secretaries, and Agency and Staff Office Heads will:
- (1) Establish and implement an effective Mission Area, agency, or staff office ICR management program within their respective organizations to meet the requirements of this DM;
 - (2) Designate an AICO who will serve as a single POC within their Mission Area, agency, or staff office on ICR matters. This individual interacts with program managers to ensure that ICRs are submitted in the time frames required to prevent ICR violations or require emergency or extension approvals from OMB. The Mission Area, agency, or staff office will report any changes in this designation immediately to the DICOs within OCIO, including the name, title, email address, and telephone number of the designee;
 - (3) Ensure that Mission Area, agency, and staff office program managers understand and comply with all laws including the PRA, *E-Government Act*, and *Privacy Act* as it relates to information collected from the public, including individuals and entities;
 - (4) Ensure that new and existing ICRs meet the time frames outlined in this DM; and
 - (5) Ensure that ICR needs within their Mission Area, agency, or staff office are analyzed, including a periodic review of all regulations that result in paperwork burden, to ensure that an ICR is necessary.
- g. Mission Area, agency, and staff office AICO Supervisors will request, through the DICO, the ROCIS training course to obtain login privileges to access ROCIS.
- h. Mission Area, Agency, and Staff Office AICOs will:
- (1) Coordinate ICR management activities with the DICO;
 - (2) Ensure that each ICR meets the requirements of DR 3140-001, this DM, and [5 Code of Federal Regulations \(CFR\) Part 1320](#), *Controlling Paperwork Burdens on the Public*;

- (3) Assist program managers or specialists by providing training, technical assistance, and guidance in preparing ICRs to keep public burden to a minimum;
- (4) Monitor Mission Area, agency, or staff office ICR activities to ensure compliance with applicable statutes, regulations, policies, procedures, and standards on all ICRs:
 - (a) Review and clear the PRA section in regulatory actions for any paperwork burden;
 - (b) Review and monitor Mission Area, agency, or staff office ICRs to ensure that the 60-day FRN is published 6 months prior to the expiration date of an existing ICR, or the use date of a new ICR; and
 - (c) Begin inputting the ICR data into ROCIS and notify the DICO 4 months prior to the ICR expiration date of an existing ICR, or the use date of a new ICR.
- (5) Review the monthly reports generated by the DICO and OMB in ROCIS to coordinate the preparation of renewal ICRs;
- (6) Identify and resolve PRA violations;
- (7) Ensure that an up-to-date inventory is maintained for all Mission Area, agency, or staff office ICRs, submissions, approvals, burden hours, total responses, and supporting materials;
- (8) Ensure that Mission Area, agency, or staff office program managers are in compliance with the PRA and verify their adherence to the *Privacy Act* and *E-Government Act*;
- (9) Coordinate with the USDA DFMO to ensure that AD, SF, and OF compliance requirements are met, or with the Mission Area, agency, and staff office forms managers and webmasters for USDA component forms to ensure that all public use forms, surveys, or non-forms (collections of standardized information on the internet) contain instructions, the OMB-approved control number, the burden disclosure statement, and the expiration date, unless otherwise exempted. This information should be on the first page or as close to the front as possible, when posted on the internet or used with a web-based system;
- (10) Consult with the Mission Area, agency, or staff office records management officer about ICRs to ensure that records have an authorized disposition per the applicable records retention schedule as indicated by the National Archives and Records Administration (NARA) *General Records Schedule (GRS)*, other posted [USDA Records Schedules](#), and [DR 3080-001](#), *Records Management*; and

- (11) As necessary, and at the request of the DICO, the Mission Area, agency, or staff office AICO should provide the NASS AICO with a copy of any ICR containing statistical methodology for review and comments before submitting to the DICO.
- i. The NASS Director will delegate to the NASS AICO to submit the Mission Area, agency, or staff office's ICR Supporting Statement B to the assigned statistical reviewer for review and comments.
- j. Mission Area, agency, and staff office Records Management Officers will, regarding ICRs, ensure that records have an authorized disposition per the applicable records retention schedule as indicated by the NARA GRS, other posted USDA Records Schedules, and DR 3080-001.
- k. Webmasters will:
 - (1) Ensure that all public use forms, surveys, or non-forms (collections of standardized information on the internet) contain instructions, the OMB approved control number, the burden disclosure statement, and the expiration date, unless otherwise exempted; and
 - (2) Ensure that this information is on the first page or as close to the front as possible, when posted on the internet or used with a web-based system.
- l. Program Managers will:
 - (1) Coordinate ICR activities with AICOs when developing a new or renewing an existing ICR;
 - (2) Ensure that the ICR is necessary for the proper performance of the Mission Area, agency, or staff office's function and has practical use;
 - (3) Prepare and initiate publication of the 60-day FRN 6 to 8 months prior to the expiration date of an existing ICR or the use date of a new ICR;
 - (4) Submit the ICR package to the AICO;
 - (5) Comply with the *Privacy Act*, *E-Government Act*, and PRA;
 - (6) Ensure that all employees, and those who act on behalf of USDA (including contractors), do not disclose PII. For more information regarding the handling of PII, please refer to [DR 3515-002](#), *Privacy Policy and Compliance for Personally Identifiable Information (PII)*;
 - (7) Institute procedures to protect the information's confidentiality as required by law when respondents submit proprietary or other confidential information;

- (8) Coordinate ICRs with the USDA DFMO per [DM 3020-001](#), *Departmental Forms Manual*, or with the Mission Area, agency, and staff office forms managers and webmasters for USDA component forms, and USDA CIO for those ICRs that will be posted on the internet;
 - (9) Prepare an ICR for any collection of information contained in a proposed rule; and
 - (10) Notify AICO of any upcoming proposed rules containing a collection of information.
- m. The USDA DFMO will:
- (1) Ensure that [AD-687](#), *Forms Action Request and Notice*, accompanies the Departmental form submission and contains the appropriate approvals;
 - (2) Verify that Section 508 accessibility requirements are met; however, final Section 508 edits and corrections will remain the responsibility of the sponsoring Mission Area, agency, or staff office's Section 508 staff;
 - (3) Confirm that form submissions meet grammar, spelling, and Plain Language requirements; however, final Plain Language edits and corrections will remain the responsibility of the sponsoring Mission Area, agency, or staff office forms staff;
 - (4) Validate that form numbers, OMB control numbers, revision information, publication dates, and expiration dates are accurate and meet any Departmental formatting requirements;
 - (5) Finalize and publish forms to the Departmental forms website ([Electronic Forms](#)) once they are approved by OMB; and
 - (6) Contact the DICO to notify their AICOs about the form's availability.
- n. The Departmental CPO will ensure that the correct privacy information is incorporated into the collection and the necessary steps are taken to determine the following: whether a PIA is required, whether a PTA is required, and whether an existing SORN covers the information being collected.
- o. Mission Area, Agency, and Staff Office Privacy Officers will ensure that privacy requirements are met as detailed in Section 4c, *Privacy Requirements*.
- p. Mission Area, Agency, and Staff Office Forms Managers will ensure that the specifications of Sections 4f, 5h(8), and 5h(9) are followed.
- q. Mission Area, Agency, and Staff Office staff and Section 508 Compliance Officers will ensure that any forms or documents associated with the ICR are Plain Language and Section 508 compliant.

- r. The General Counsel will ensure that the specifications of Section 5h(4)(a) are followed and review 60-day FRNs for the Mission Areas, agencies, and staff offices that require it.

6. INQUIRIES

Direct all questions concerning this DM to the OCIO IRMC IMD via email to usda.pra@usda.gov.

-END-

APPENDIX A

ACRONYMS AND ABBREVIATIONS

ACIO	Associate Chief Information Officer
AD	Agriculture Department (Departmental form number prefix)
AICO	Agency Information Collection Officer
BLS	Bureau of Labor Statistics (Department of Labor component)
CFR	Code of Federal Regulations
CIO	Chief Information Officer
CPO	Chief Privacy Officer
CUI	Controlled Unclassified Information
DFMO	Departmental Forms Management Officer
DICO	Departmental Information Clearance Officer
DG	Departmental Guidebook
DM	Departmental Manual
DR	Departmental Regulation
EEOC	Equal Employment Opportunity Commission
E-Gov	Electronic Government
EIT	Electronic and Information Technology
E.O.	Executive Order
FRN	Federal Register Notice
FY	Fiscal Year
GAO	Government Accountability Office
GRS	General Records Schedule
IC	Information Collection
ICB	Information Collection Budget
ICR	Information Collection Request
IMD	Information Management Division (OCIO-IRMC component)
IRMC	Information Resource Management Center (OCIO component)
NARA	National Archives and Records Administration
NASS	National Agricultural Statistics Service
NOA	Notice of Approval
OASCR	Office of the Assistant Secretary for Civil Rights
OCIO	Office of the Chief Information Officer
OF	Optional Form
OIRA	Office of Information and Regulatory Affairs
OMB	Office of Management and Budget
PDF	Portable Document Format
PIA	Privacy Impact Assessment
PII	Personally Identifiable Information
P.L.	Public Law
POC	Point of Contact
PRA	Paperwork Reduction Act
PTA	Privacy Threshold Analysis

RCF	Request for Common Forms
ROCIS	Regulatory Information Service Center and Office of Information and Regulatory Affairs Consolidated Information System
SAO	Senior Agency Official
SF	Standard Form
SORN	System of Records Notice
U.S.	United States
U.S.C.	United States Code
USDA	United States Department of Agriculture

APPENDIX B

DEFINITIONS

Burden. The total time, effort, or financial resources expended by persons to generate, maintain, or provide information to, or for, a Federal agency, including:

- a. Reviewing instructions;
- b. Acquiring, installing, and using technology and systems;
- c. Adjusting the existing ways to comply with any previously applicable instructions and requirements;
- d. Searching data sources;
- e. Completing and reviewing the collection of information; and
- f. Transmitting or otherwise disclosing the information.

(Source: [44 U.S.C. § 3502](#), *Definitions*)

Common Form. A “common form” is an information collection that can be used by two or more [Federal] agencies, or Governmentwide, for the same purpose. The new [ROCIS] Common Forms Module allows a “host” agency to obtain Office of Management and Budget approval of an information collection for use by one or more “using” agencies. After OMB grants approval, any prospective using agency that seeks to collect identical information for the same purpose can obtain approval to use the “common form” by providing its agency-specific information to OMB (e.g., burden estimates and number of respondents). (Source: The White House, [Frequently Asked Questions Related to Common Forms](#))

Data. Information in a specific representation, usually as a sequence of symbols that have meaning.

Electronic Government (E-Gov). The use by the Government of internet-based applications and other digital technologies, combined with processes that implement these technologies to:

- a. Enhance the access to, and delivery of, Government information and services to the public, other agencies, and other Government entities; and
- b. Leverage investments in information technology to eliminate unnecessary duplication and improve effectiveness, efficiency, and service quality.

This includes addressing the people and process changes associated with transformed business delivery. (Source: USDA, [Departmental Guidebook \(DG\) 0100-002](#), *USDA Departmental Directives Definitions Glossary*)

Information. Any communication or representation of knowledge such as facts, data, or opinions in any medium or form, including textual, numerical, graphic, cartographic, narrative, or audiovisual. An instance of an information type.

Information Collection Budget (ICB). OMB's annual report to Congress, providing a detailed accounting of the ICR activities of the Federal Government in a given FY.

Information Collection Request (ICR). Obtaining, causing to be obtained, soliciting, or requiring the disclosure to third parties or the public of facts or opinions regardless of the form or format. Typical formats include written report forms, application forms, schedules, questionnaires, reporting or recordkeeping requirements, or similar methods calling for the collection of information. The following are methods used to collect information under an ICR:

- a. Mail (forms);
- b. Personal or telephone interviews or group interviews (such as focus group sessions);
- c. Communication via a web-based application;
- d. Automated, electronic, mechanical, or other technological collection techniques (such as electronic transmissions from airplanes or boats, to ground or satellite receiving stations); and
- e. Any other approach through which the respondent or potential respondent can provide the response, recordkeeping, or disclosure requested.

(Source: 44 U.S.C. § 3502).

Practical Utility. The ability of an agency to use information, particularly the capability to process such information in a timely and useful fashion. (Source: 44 U.S.C. § 3502)

Privacy Impact Assessment (PIA). A tool for identifying and assessing privacy risks throughout the development life cycle of a program or system. A PIA states what personally identifiable information (PII) is collected and explains how that information is maintained, how it will be protected, and how it will be shared.

Personally Identifiable Information (PII). Any information about an individual maintained by an agency, including:

- a. Any information that can be used to distinguish or trace an individual's identity, such as name, social security number, date and place of birth, mother's maiden name, or biometric records; and

- b. Any other information that is linked or linkable to an individual, such as medical, educational, financial, and employment information.

(Source: USDA, DG 0100-002)

Plain Language or Plain Writing. The term “plain writing” means writing that is clear, concise, well-organized, and follows other best practices appropriate to the subject or field and intended audience. Covered documents include any document that:

- a. Is necessary for obtaining any Federal Government benefit or service or filing taxes;
- b. Provides information about any Federal Government benefit or service;
- c. Explains to the public how to comply with a requirement the Federal Government administers or enforces; and
- d. Includes (whether in paper or electronic form) a letter, publication, form, notice, or instruction.

(Source: *Plain Writing Act of 2010*, [P.L. 111-274](#))

Recordkeeping Requirement. A requirement imposed by or for an agency on persons to maintain specified records, including a requirement to:

- a. Retain such records;
- b. Notify third parties, the Federal Government, or the public of the existence of such records;
- c. Disclose such records to third parties, the Federal Government, or the public; or
- d. Report to third parties, the Federal Government, or the public regarding such records.

(Source: 44 U.S.C. § 3502)

Regulatory Information Service Center and Office of Information and Regulatory Affairs Consolidated Information System (ROCIS). The electronic database system used to input the ICR documentation and submissions to OMB.

Section 508. Section 508 of the *Rehabilitation Act of 1973*, as amended, requires that Federal agencies’ electronic and information technology (EIT) be accessible to people with disabilities, including employees and members of the public. (Source: [29 U.S.C. § 794d](#), *Electronic and Information Technology*)

APPENDIX C

AUTHORITIES AND REFERENCES

[5 CFR Part 1320](#), *Controlling Paperwork Burdens on the Public*

[29 CFR Part 1614](#), *Federal Sector Equal Employment Opportunity*

[44 U.S.C. § 3502](#), *Definitions*

[44 U.S.C. § 3506](#), *Federal Agency Responsibilities*

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APPENDIX D

PUBLIC BURDEN STATEMENT

(This statement must go on every form, survey, or instrument that the agency will require the public to complete. It should go at the top or bottom of the document, per the agency's discretion.)

A Federal agency may not conduct or sponsor, and a person is not required to respond to, nor shall a person be subject to a penalty for failure to comply with an information collection subject to the requirements of the *Paperwork Reduction Act of 1995* unless the information collection has a currently valid Office of Management and Budget (OMB) Control Number. The approved OMB Control Number for this information collection is 05XX-XXX. Without this approval, we could not conduct this (survey or information collection). Public reporting for this information collection is estimated to be approximately XX (minutes or hours) per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the information collection. All responses to this information collection are (voluntary or mandatory or required) to obtain benefits. Send comments regarding this burden estimate or any other aspect of this information collection, including suggestions for reducing this burden, to the BUREAU Name at: address, Attn: Title or Point of Contact Name, and email if desired.

APPENDIX E

PRIVACY ACT STATEMENT (5 U.S.C. § 552a)

(This statement must go on every form, survey, or instrument that the agency will require the public to complete. It should go at the top or bottom of the document, per the agency's discretion.)

Purpose: The *Privacy Act of 1974* requires that the Office of the Assistant Secretary for Civil Rights (OASCR) provide the following statements to each individual from whom it requests information.

Authority: Collection of this information is authorized by the regulations of the Equal Employment Opportunity Commission (EEOC), 29 CFR § 1614. The submission of this information is voluntary, but the failure to do so may hamper the investigation of a claim and could also lead to dismissal of the complaint.

Routine Uses: The information collected will be used to determine whether your complaint is acceptable for investigation and in connection with any subsequent investigation and processing of your complaint.

Disclosure: A copy of this complaint will be provided to the Civil Rights office of the agency against whom it is filed. This form may be shown to any individual who may be required by regulations, policies or procedures of the EEOC or OASCR to provide information in connection with this complaint. Other disclosures may be: (a) to respond to a request from a Member of Congress regarding the status of the complaint or appeal; (b) to respond to a court subpoena or refer to a district court in connection with a civil suit; (c) to disclose information to authorized officials or personnel to adjudicate a complaint or appeal; or (d) to disclose information to another Federal agency or to a court or third party in litigation when the Government is party to a suit before court.