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Council of Economic Advisers

Hubbard, R. Glenn - Subject Files

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DOCUMENT NO.	FORM	SUBJECT/TITLE	PAGES	DATE	RESTRICTION(S)
001	Memorandum	Memorandum - To: Andrew Card - From: Don Arbuckle	2	12/09/2002	P5;
002	Memorandum	Memorandum - To: Andrew Card - From: John D. Graham	2	12/06/2002	P5;
003	Memorandum	Memorandum - To: Andrew Card - From: John D. Graham	2	12/04/2002	P5;
004	Memorandum	Memorandum - To: Andrew Card - From: John D. Graham	2	09/16/2002	P5;
005	Memorandum	Memorandum - To: Andrew Card - From: John D. Graham	2	08/27/2002	P5;
006	Memorandum	Memorandum - To: Andrew Card - From: John D. Graham	2	08/07/2002	P5;

COLLECTION TITLE:

Council of Economic Advisers

SERIES:

Hubbard, R. Glenn - Subject Files

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FRC ID:

5648

RESTRICTION CODES

Presidential Records Act - [44 U.S.C. 2204(a)]

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- P2 Relating to the appointment to Federal office [(a)(2) of the PRA]
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PRM. Personal record misfile defined in accordance with 44 U.S.C. 2201(3).

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007	Memorandum	Memorandum - To: Andrew Card - From: John D. Graham	2	07/16/2002	P5;
008	Memorandum	Memorandum - To: Department Heads and Agencies - From: Mitch Daniels	5	07/19/2002	P5;

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EXECUTIVE OFFICE OF THE PRESIDENT
OFFICE OF MANAGEMENT AND BUDGET
WASHINGTON, D.C. 20503

THE DIRECTOR

M-03-06

January 14, 2003

MEMORANDUM FOR THE HEADS OF EXECUTIVE DEPARTMENTS AND AGENCIES

FROM: Mitchell E. Daniels, Jr. *MED. J*

SUBJECT: Program Assessment Rating Tool (PART) – Presentation in
Congressional Justifications

Program performance assessments developed using the program assessment rating tool (PART) are an integral component of the President's budget. Agencies have dedicated considerable time and effort to develop program effectiveness and accountability ratings using the PART. This rating process generated a great deal of interesting and useful information. OMB and Agencies conducted assessments on over 20 percent of Federal programs and in many cases these assessments helped inform budget decisions. The FY 2004 Budget will include the results of these ratings and the detailed ratings will be available to the public on the OMB website.

To ensure the best available information is included in program justifications sent to the Congress, summaries of completed PARTs and their relation to the Administration's proposals should now be incorporated into the rationale for the budget request for all pertinent activities. In particular, they should be incorporated into your agency's Congressional justification materials. Performance information should enhance the Congressional Justifications without overwhelming the reader. And, this addition to the Congressional Justification will also provide agency performance data in a single document to the Congress.

We appreciate the work that has gone in to developing program ratings and the effort to further incorporate performance information in the allocation of resources. Please contact your OMB representative if you have any questions.

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OA Num.:

1551

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FOIA IDs and Segments:

2014-0342-F

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OFFICE OF MANAGEMENT AND BUDGET
WASHINGTON, D.C. 20503

December 9, 2002

MEMORANDUM FOR ANDREW CARD

THROUGH: Mitchell E. Daniels, Jr. *MDJ*
FROM: Don Aronick
SUBJECT: Heads Up on *Regulatory Plan and Unified Agenda of Regulatory Actions*

Today the Administration is publishing its 2002 *Regulatory Plan and Unified Agenda of Federal Regulatory and Deregulatory Actions*. The *Regulatory Plan* contains descriptions of agencies' most important upcoming regulations for the next year. This year's *Regulatory Plan* includes 168 entries from 27 agencies. The *Unified Agenda* is a compendium of all regulations agencies expect to issue in the next year. This edition contains 4,321 entries (the lowest number since 1992) from 61 agencies.

The *Regulatory Plan* serves as a statement of the Administration's regulatory and deregulatory policies and priorities. Its purpose is to make the regulatory process more accessible to the public and to ensure the planning and coordination necessary for a well-functioning regulatory process. The *Plan* identifies regulatory priorities and contains information about the most significant regulatory actions that agencies expect to take in the coming year. We asked agencies to include regulatory actions that relate to five national policy objectives: (1) strengthening economic performance, (2) reducing barriers to the growth of small businesses, (3) improving public health and safety, (4) enhancing environmental protection, and (5) ensuring homeland security.

Publication of the *Plan and Agenda* is likely to be of some interest to specific interest or trade groups, but it seldom receives mainstream medium coverage.

Please let me know if you have any questions.

cc: Dan Bartlett
Josh Bolten
Carlos Bonilla
Christine Burgeson
Nick Calio
Amy Call
Jim Capretta
Alicia Peterson Clark
Robin Cleveland
Cesar Conda
Jim Connaughton
Suzy DeFrancis
Nancy Dorn
Liz Dougherty
Trent Duffy
David Dunn
Rob Fairweather
Ari Fleischer
Diana Furchtgott-Roth
Alan Gilbert
Dylan Glenn
John Graham
Keith Hennessey
Glenn Hubbard
Ed Ingle
Daryl Joseffer
Joel Kaplan
Karen Knutson
Randy Kroszner
Jay Lefkowitz
Lewis Libby
Larry Lindsey
Stephanie Lundberg
Ado Machida
Steve McMillin
Bob McNally
Ken Mehlman
Dan Murphy
John Oxford
Marcus Peacock
Eric Pelletier
Phil Perry
Josephine Robinson
Beth Rossman
Richard Russell
Diana Schacht
Matt Schlapp
Kristen Silverberg
Danielle Simonetta
Elizabeth Stolpe
Aquiles Suarez
Sam Thernstrom
Tevi Troy
Helgi Walker
Kevin Warsh
Bess Weaver
John Wood

Diana Furchtgott-Roh



EXECUTIVE OFFICE OF THE PRESIDENT
OFFICE OF MANAGEMENT AND BUDGET
WASHINGTON, D.C. 20503

ADMINISTRATOR
OFFICE OF
INFORMATION AND
REGULATORY AFFAIRS

December 10, 2002

MEMORANDUM FOR ANDREW CARD

THROUGH: Mitchell E. Daniels, Jr. *MEJ*
FROM: John D. Graham *JDG*
SUBJECT: Heads-Up on 2002 Report to Congress on the Costs and Benefits of Federal Regulation

We are ready to release the Final 2002 Report to Congress on the Costs and Benefits of Federal Regulation. This Final Report to Congress on regulatory policy was prepared in response to the Regulatory Right-to-Know Act, the Unfunded Mandates Reform Act, and OMB's general responsibility to inform Congress and the public about developments in regulatory policy.

The Report provides: (a) a summary of Federal regulatory actions taken due to the events of September 11th and their aftermath; (b) an overview of the OIRA's centralized oversight of Federal regulatory policy; (c) an accounting statement of the costs and benefits of Federal regulations, including assessments of their impact on State, local and tribal governments, small businesses, wages and economic growth; (d) a summary of regulatory reform activities in other developed countries, with a particular focus on the European Union; and (e) a discussion of public nominations for regulatory improvements.

This Final Report reflects revisions made to a Draft Report that was subjected to public comment, external peer review, and interagency review. The Draft Report solicited public comments and nominations of regulations, guidance documents, and paperwork requirements that should be expanded, modified, or rescinded. We received approximately 1,700 comments nominating 316 regulations and guidance documents for reform. Unlike last year's report, which included a ranking of the nominations, this year's report refers the nominations to the agencies for evaluation.

The exact date of release has not been determined. Please let me know if you have any questions.

cc:

Dan Bartlett
Josh Bolten
Carlos Bonilla
Christine Burgeson
Nick Calio
Amy Call
Jim Capretta
Alicia Peterson Clark
Robin Cleveland
Cesar Conda
Jim Connaughton
Suzy DeFrancis
Nancy Dorn
Liz Dougherty
Trent Duffy
David Dunn
Rob Fairweather
Ari Fleischer
Diana Furchtgott-Roth
Alan Gilbert
Dylan Glenn
John Graham
Keith Hennessey
Glenn Hubbard
Ed Ingle
Daryl Joseffer
Joel Kaplan
Karen Knutson

Randy Krozner
Jay Lefkowitz
Lewis Libby
Larry Lindsey
Stephanie Lundberg
Ado Machida
Steve McMillin
Bob McNally
Dan Murphy
John Oxford
Marcus Peacock
Eric Pelletier
Phil Perry
Josephine Robinson
Beth Rossman
Richard Russell
Diana Schächt
Matt Schlapp
Kristen Silverberg
Danielle Simonetta
Elizabeth Stolpe
Aquiles Suarez
Sam Thornstrom
Tevi Troy
Helgi Walker
Kevin Warsh
Bess Weaver
John Wood

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OFFICE OF MANAGEMENT AND BUDGET
WASHINGTON, D.C. 20503

*cc'd Catty
Jibich*

November 13, 2002

OMB BULLETIN NO. 03-01

TO THE HEADS OF EXECUTIVE DEPARTMENTS AND AGENCIES

SUBJECT: Fiscal Year 2003 Information Collection Budget

1. **What is the purpose of this bulletin?** This bulletin instructs your Chief Information Officer (CIO) how to prepare and submit information to the OMB Office of Information and Regulatory Affairs (OIRA) that will be the basis for the Fiscal Year 2003 Information Collection Budget (ICB). This annual report describes the information collection burden imposed by the Federal government on the public, progress of the agencies towards the burden reduction goals set forth in the Paperwork Reduction Act of 1995 (PRA), and agency activities to improve the public's access to Federal information resources.
2. **When are responses to the bulletin due?** Submissions are due to OIRA no later than **Friday, January 10, 2003.**
3. **Who must respond to this bulletin?** The Chief Information Officers from the following agencies must comply with the requirements of this bulletin:

Department of Agriculture
Department of Commerce
Department of Defense
Department of Education
Department of Energy
Department of Health and Human Services
Department of Housing and Urban Development
Department of the Interior
Department of Justice
Department of Labor
Department of State
Department of Transportation
Department of the Treasury
Department of Veterans Affairs
Environmental Protection Agency
Federal Acquisition Regulation (FAR Secretariat)
Federal Communications Commission
Federal Deposit Insurance Corporation
Federal Emergency Management Agency

Federal Energy Regulatory Commission
Federal Trade Commission
National Aeronautics and Space Administration
National Science Foundation
Nuclear Regulatory Commission
Securities and Exchange Commission
Small Business Administration
Social Security Administration

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

4. **How does the ICB fit into OMB's 'zero tolerance' approach to violations of the Paperwork Reduction Act?** OMB has been working closely with agencies throughout the year to address violations of the PRA in order to reach our goal of zero violations. This bulletin requires you to take concrete steps to resolve all existing violations prior to submission of your response, including the publication of 60-day Federal Register notices by December 13, 2002. In the past, we have also required agencies to provide us with a description of the system used to track current packages, initiate the clearance process, and avoid PRA violations. We expect that each agency has modified its system in the past year if necessary to address any systemic problems with PRA clearance procedures. The bulletin is accompanied by a memo to all CIOs and GCs further detailing our expectations for resolving current violations and avoiding violations in the future.
5. **How does the ICB fit into OMB's initiatives under the Federal Financial Assistance Management Improvement Act of 1999 ("Grants Streamlining") and the Government Paperwork Elimination Act (GPEA)?** Two government-wide statutes, grant streamlining and GPEA, have obvious implications for information collections covered by the Paperwork Reduction Act. Though this Bulletin does not require agencies to submit additional information about compliance with these statutes, agencies should be cognizant of these statutes when preparing their ICB submission and work to coordinate agency efforts under the PRA, GPEA, and grants streamlining requirements.
6. **What must my agency's submission include?** Your CIO is required to submit the following information:
 - a. A detailed description of agency initiatives or a summary progress report on initiatives identified in last year's ICB, in accordance with the instructions in Appendix A;
 - b. Your agency's comprehensive burden accounting, including aggregate burden totals, program changes broken into several categories, and examples of significant burden changes prepared in accordance with the instructions in Appendix B; and

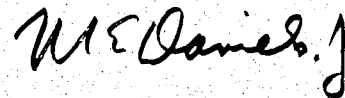
- c. Data regarding your agency's compliance with the information collection provisions of the Paperwork Reduction Act, prepared in accordance with the instructions in Appendix C.

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

7. **In what format should the CIO provide this information to OMB?** The information required under this bulletin should be sent electronically to Nathan Knuffman (nknuffma@omb.eop.gov). Please use the following file formats.
 - a. Where this Bulletin instructs you to prepare a table, you should submit the table in one of the following formats, in order of preference:
 - i. Microsoft Excel;
 - ii. Lotus 1-2-3; or
 - iii. A dot-delimited ASCII file (a "." separates each cell in a row).
 - b. Otherwise, you should submit the information requested in one of the following formats, in order of preference:
 - i. WordPerfect; or
 - ii. Microsoft Word.
8. **What is the legal authority under which OMB is requiring this information?** This bulletin is issued pursuant to the Budget and Accounting Act of 1921, as amended; the Budget and Accounting Procedures Act of 1950, as amended; and the Paperwork Reduction Act of 1995, as amended.
9. **Will OMB conduct hearings on my agency's submission?** OMB will schedule, as needed, hearings with an agency on its progress toward burden reductions goals and agency compliance with the Paperwork Reduction Act.
10. **Who should I contact for further information?** Questions about specific agency matters should be directed to your agency's Desk Officer within OMB's Office of Information and Regulatory Affairs.

Questions about this Bulletin should be directed to Nathan Knuffman, tel. (202) 395-6466, email: nknuffma@omb.eop.gov.
11. **When does this bulletin expire?** This bulletin expires September 30, 2003.
12. **What changes has OMB made to this bulletin since last year?**
 - a. More agencies are included this year. Note that the agencies included are the same as in the FY 1999, 2000, and 2001 bulletins. Please refer to question 3 to check whether your agency is required to respond to this bulletin.

- b. When preparing descriptions of significant burden changes (“exhibits”), please do not use Microsoft Access. Microsoft Word or WordPerfect are preferred.
- c. For each violation that remains unresolved, you must provide a Federal Register citation and publication date for the public notice required under the PRA to adequately respond to this bulletin. If Federal Register information is not provided for all unresolved violations, your response to this bulletin will be considered incomplete.
- d. Similar to previous years, we are asking each agency to report aggregate burden totals and break out program changes into various categories.



Mitchell E. Daniels, Jr.
Director

Attachments

Appendix A

BURDEN REDUCTION INITIATIVE

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

For Agencies that Participated in the FY 2002 ICB:

2. **What information should be included in the summary progress reports?** For each initiative identified, we ask that your report include the following:
 - a. title of the initiative;
 - b. a brief description of the initiative, including the programs affected;
 - c. a description of how the initiative improves program performance and reduces burden;
 - d. measurable objectives you have achieved or expect to achieve (i.e., burden change); and
 - e. a description of the current status of the initiative, including an updated timetable and a discussion of any difficulties experienced in accomplishing the initiative.

3. **How should I report this information?** You should use either Microsoft Word or WordPerfect and follow the format provided below.

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

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

Quarterly progress reports on these initiatives are required.

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

4. **What is an appropriate initiative in response to this bulletin?** We ask you to identify at least two major initiatives to improve program performance by enhancing the efficiency of information collections and to reduce paperwork burden on the public. We seek initiatives that:
- a. Improve program performance by enhancing the efficiency of agency information collections (both within the agency and, in the case of related information collection activities, among agency components or across agencies);
 - b. Significantly reduce the burden per response on the public; or
 - c. Lead to a comprehensive review of an entire program (both within the agency and, in the case of related information collection activities, among agency components or across agencies), including regulations and procedures.
5. **What information about these initiatives must we submit?** We ask that your initial submission include the following:
- a. A complete description of the programs that you will be affecting, including statutory and regulatory citations, a description of the affected public, and the agency structure that implements the program (both within the agency and, in the case of related information collection activities, among agency components or across agencies).
 - b. Measurable objectives you expect to achieve through this initiative.
 - c. Proposed timeline for actions that you will take.

d. Perceived difficulties in accomplishing this initiative, including statutory or policy barriers.

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

Note: For both agencies that reported initiatives last year and those reporting initiatives this year, once the goals for an initiative have been fully realized, and the agency is no longer pursuing the initiative, agencies should submit a final summary report and may cease providing progress reports for that initiative.

Appendix B

INFORMATION COLLECTION BUDGET (ICB)

1. **What is the purpose of this Appendix?** This appendix explains what information you will need to gather from within your agency to develop your Information Collection Budget (ICB) submission for FY 2003 and what you must submit to OMB.
 - a. Part 1 discusses how you should begin working on your ICB submission and offers general ideas we would like you to keep in mind.
 - b. Part 2 describes how to prepare a chart which lists all of the transactions that affected your burden totals for FY 2002 and a chart that lists all of the expected transactions which you used to estimate your FY 2003 total burden.
 - c. Part 3 describes how to prepare a chart showing the changes in your agency's total burden from FY 2001 to FY 2003, broken down into different kinds of program changes and adjustments.
 - d. Part 4 instructs you to describe a limited number of significant examples of your agency's paperwork reductions and increases for FY 2002 and planned reductions and increases for FY 2003, grouped by how or why the change occurred.

Part 1: Preparation

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

- a. **Burden Reduction Goals:** While the PRA does not specify a statutory burden reduction goal for FY 2002, you still need to make every effort to ensure that your agency will achieve the "maximum practicable" reductions given your agency's statutory and programmatic responsibilities.
- b. **Categorizing Burden Changes:** We are working to improve the quality of the information you provide to us and we provide to Congress and the public. One way is by breaking down changes from one year to the next. In parts 2 and 3, we ask you to designate changes in burden for each collection as either adjustments and or one of three different kinds of program changes. In part 4, we ask you to break program changes down even further for the purpose of giving greater detail on your agency's most significant burden changes.
- c. **Dollar Costs:** Many agencies now report paperwork burden in terms of dollar costs, as well as burden hours. For example, the burden of a regulatory recordkeeping requirement is more readily estimated in terms of the dollar cost (e.g., for the space and equipment needed for storage) than time. Similarly, the burden of a third-party disclosure (e.g., the table describing the nutritional content of packaged foods on food containers) is also more readily estimated in terms of cost. (These dollar costs are separate from hour burdens and are not hour burdens that are converted into dollars.) Starting with the 1999 ICB, we reported both the hour and financial burdens of information collections as you reported them in your information collection requests. Thus, when discussing burden, you should include, as appropriate, both burden hours and dollar costs.

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

4. **How do I begin working on the ICB?** There are always two parts to the ICB, a review of the previous fiscal year (FY 2002) and a look toward the next (FY 2003).

Work with the program officials in your agency to identify all potential changes in information collection activities in FY 2003. Make sure you have, for each change, an OMB number (if assigned), the expected program change and/or expected adjustment for burden hours and costs. You will need this information to estimate your agency's FY 2003 total hour burden.

For the most important changes in burden, ask the program officials for the additional information required in Part 4.

Part 2: A Comprehensive Accounting

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

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

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

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

6. **When can we attribute a program change to a new statutory requirement?** You should only attribute a program change to a new statutory requirement when the information collection directly related to a statute enacted within the last five years (i.e., after January 1, 1998). This should not include increases in burden due to long-standing statutory mandates or recurring statutory requirements. You may, however, include changes if this is the first time your agency is implementing a statute that has been law for many years. Please consult your OIRA desk officer if you are uncertain.
7. **What changes in burden should be listed under lapses of OMB approval?** You should list under this category any change in burden that occurred when:
- a. your agency allowed an OMB approval for a collection to expire even though your agency continued to conduct or sponsor the collection; or
 - b. OMB approved a collection that your agency has been conducting or sponsoring without prior OMB approval or under an expired OMB control number.

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

8. **What changes in burden should be listed as changes due to other agency actions?** Under this category, you should list any other program changes that do not result from statutory obligation or a lapse in OMB approval. For example, these changes may include intentional expirations, reinstatements, and other agency actions that affected burden.

FY 2002 CHANGES IN BURDEN HOURS							
OMB #	Date	PROGRAM CHANGES			NET PROGRAM CHANGES	ADJUSTMENTS	EXHIBIT
		Due to Statutory Changes	Due to Lapse of OMB Approval	Due to Agency Actions			
①	②	③	④	⑤	⑥	⑦	⑧
					0		
					0		
					0		
					0		
					0		
					0		
TOTAL		0	0	0	0	0	

Figure 1

9. **What changes in burden should be counted as adjustments?** Adjustments are changes in burden hours due to factors over which your agency has no control, such as population growth or economic expansion, or that do not affect what information your agency collects or how.

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

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

10. **How do I report to OMB all transactions that affected burden during FY 2002?**

You should report every transaction that affected hour or cost burden in two tables in formats similar to Figure 1 (for changes to burden hours) and Figure 2 (for changes to costs).

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

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

11. **What should go in each column?** We will provide to you Microsoft Excel files containing these two tables with columns 1, 2, 6, and 7 completed. (If you are unable to

FY 2002 CHANGES IN COST BURDEN (\$,000)							
OMB #	Date	PROGRAM CHANGES			NET PROGRAM CHANGES	ADJUSTMENTS	EXHIBIT
		Due to Statutory Changes	Due to Lapse of OMB Approval	Due to Agency Actions			
①	②	③	④	⑤	⑥	⑦	⑧
					0		
					0		
					0		
					0		
					0		
					0		
TOTAL		0	0	0	0	0	

Figure 2

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

- a. Columns 1 and 2 present the OMB number and the date of the OMB Notice of Action, respectively. OMB will provide this information.
- b. In column 3, the change in hour or cost burden due to changes in statutory requirements for each transaction (see question 6);
- c. In column 4, the change in hour or cost burden due to lapses in OMB approval (enter a negative number for expirations and a positive number for new collections or reinstatements);
- d. In column 5, the change in hour or cost burden due to program changes by the agency that were not attributed to statutory changes or lapses in OMB approval.

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

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

Note: Cost burden is reported in thousands of dollars, just as in the OMB computer tracking system and on the OMB Form 83-1.

12. **How do I report to OMB transactions that we expect will affect burden during FY 2003?** You should report every transaction that you expect will affect burden during FY 2003 in two tables in formats similar to Figures 1 and 2, excluding column 2 (Date). Please list expected transactions in order by OMB number. List new collections not yet assigned an OMB number at the bottom of the list with the appropriate four digit prefix. We will provide empty Excel charts to complete along with the information for FY 2002.
13. **Do I need to provide an entry for every transaction we expect during FY 2003?** No, you only need to provide an entry for transactions that will affect your total burden for FY 2003.

Part 3: Aggregate Burden Totals

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

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

- 15. How do I report expected aggregate burden totals for FY 2003?** Again, use the information you collected for FY 2003 in Part 2 to complete the corresponding cells in Figure 3. Add the aggregate burden total for FY 2002 to the expected net program change for FY 2003 and the expected net adjustments for FY 2003 to get an expected aggregate burden total for FY 2003.

SUMMARY TABLE OF BURDEN CHANGES	Burden Hours (millions)	Cost Burden (\$,000,000)
FY 2001 Total Burden	9	
FY 2002 Program Changes Due to New Statutes	3	
FY 2002 Program Changes Due to Lapses in OMB Approval	4	
FY 2002 Program Changes Due to Agency Actions	5	
SUBTOTAL: FY 2002 Total Program Changes	6	
FY 2002 Adjustments	7	
FY 2002 Total Burden	10	
Expected FY 2003 Program Changes Due to New Statutes		
Expected FY 2003 Program Changes Due to Lapses in OMB Approval		
Expected FY 2003 Program Changes Due to Agency Actions		
SUBTOTAL: Expected FY 2003 Total Program Changes		
Expected FY 2003 Adjustments		
Expected FY 2003 Total Burden		

Figure 3

Part 4: Examples of Significant Burden Changes

16. **What does “significant” mean?** Significant burden reductions are those that demonstrate the agency’s adherence to the principles of the Paperwork Reduction Act and have a meaningful impact on the burden imposed on the public. Significant burden increases are generally those that have attracted attention and/or have a meaningful impact on the public. **Significant burden changes do not include adjustments, only program changes.** We request that you limit discussion to program changes of 10,000 hours and/or \$10,000,000 or greater.
17. **What kinds of burden reductions and increases should I describe?** We are splitting information on program changes into several categories. Please assign each change to only one of the following categories. If two or more categories could apply to a single change, select the category that is most appropriate.
- a. Burden reductions should be placed into one of the following six categories.
 - i. **Changing Regulations:** reducing information collection burden by revising existing regulations to eliminate unnecessary requirements or by completely changing the way you regulate;
 - ii. **Cutting Redundancy:** reducing information collection burden by raising reporting thresholds to reduce the number of reports that need to be submitted, cutting the frequency of periodic reporting requirements, consolidating information collections, or working together with other agencies to share information across programs;
 - iii. **Changing Forms:** reducing burden by simplifying and streamlining forms, making them easier to read and fill out and by making programs easier to apply for;
 - iv. **Using Information Technology:** reducing burden by putting in place electronic systems that can speed the exchange of information between the government and the public and allow respondents to use their own information technology to ease reporting burdens;
 - v. **Statutory Reductions:** reducing burden because of recently enacted statutes; and
 - vi. **Other:** reducing burden through other agency efforts.
 - b. Burden increases should be placed into one of the following two categories:
 - i. **Statutory Increases:** Increasing burden due to new statutory requirements (see question 6 for more information; and
 - ii. **Other:** Increasing burden due to other factors.

18. What information do I need to describe these changes? At a minimum you will need:

- a. title of the collection and/or title of the initiative;
- b. purpose of the collection (including from whom you collect the information, what information you collect prior to the change, and, if the collection is not a recordkeeping requirement or a third-party disclosure, how your agency uses the information collected);
- c. what is/was changed, how it affected burden, and if part of a broader agency initiative;
- d. the change in burden (hours and costs, program changes only); and
- e. for statutory increases and reductions, the full name of the statute and public law number.

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

Reductions:

Changing Regulations

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

Cutting Redundancy

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

Changing Forms

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

Using Information Technology

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

Statutory Reductions

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

Other

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

Increases:

Statutory Increases

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

Change in Burden:
Statute Title and
P.L. #:

Other

OMB #:
Title:
Purpose of the
Collection:
Why Increase
Occurred:
Change in Burden:

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

21. How does this tie in to the charts in Part 2? For each example, identify the corresponding transaction in the charts for Part 2 by placing an "X" in column 8.

**Compliance with the Information Collection Provisions of the
Paperwork Reduction Act of 1995 and 5 C.F.R. 1320**

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

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

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

1. **What does this Appendix require?** This appendix explains what you must submit to OMB to report violations of the information collection provisions of the Paperwork Reduction Act (PRA) of 1995 and OMB's implementing regulations, 5 C.F.R. 1320, over the last fiscal year and what actions you have been taking to resolve violations identified in past years and this year. OMB is required to report PRA violations to Congress and will report the information you submit in the *Information Collection Budget of the United States, Fiscal Year 2003*. See Appendix B of the *Information Collection Budget of the United States, Fiscal Year 2002*.
2. **What information do I need to collect?** Compile information on all of the violations of the PRA committed by your agency, intentionally or unintentionally, during Fiscal Year 2002. This includes violations listed in previous Information Collection Budgets that had been unresolved as of September 30, 2001. For those agencies not included in the FY 2002 ICB (last year's ICB), please include violations occurring during FY 2001 as well. For this year, we are also asking agencies to review their records and make an extra effort to identify collections that expired in previous fiscal years and remain in violation of the PRA, as well as collections that have never obtained OMB clearance ("bootleg" collections). We are asking all agencies to undertake an inventory of all forms in use,

including those posted on their internet website for public use, to determine if the appropriate OMB approval has been obtained.

For each violation you should know:

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

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

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

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

OMB Number	Title	Date of Expiration	Date of Reinstatement	Date Discontinued	FR Notice Citation	FR Notice Pub. Date
------------	-------	--------------------	-----------------------	-------------------	--------------------	---------------------

1000-0001	Please place full title here.	1/31/98	2/2/02	N/A	N/A	N/A
2000-0002	Please place full title here.	2/28/02	N/A	5/1/02	N/A	N/A
3000-0003	Please place full title here.	3/3/00	N/A	N/A	30 FR 3000	7/1/02

- b. Create the second table with a column for each of the following items in order: OMB number; title; description of the violation; and how discovered and remedied. Again, list each collection in order of OMB number. Give the four digit prefix under which the collection would have been listed if an OMB number was never assigned. Under "description of the violation," give a brief phrase which says what was done wrong. Under "how discovered and remedied," briefly describe how the violation was discovered and what actions are being or were taken to correct the violation. Also in this column, indicate if an information collection request has been submitted to OMB or, if OMB has already taken action, give the action date. If the violation has not yet been submitted to OMB, include the Federal Register citation and date of the 60-day notice. **Note:** if you do not use Microsoft Excel, please use a word processor to create this table. Please refer to the following table as a model for your submission.

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

4. **What additional materials will we provide you?** To assist you in reviewing your agency's actions over FY 2002 for PRA violations, OMB will send at the end of FY 2002 a list generated from the official computer records. The list will detail collections that expired during the last fiscal year and had not been reinstated as of September 30, 2002, and collections that were reinstated during the fiscal year. For those agencies not included in the FY 2002 ICB (last year's ICB), we will also provide a list of collections the expired or were reinstated during FY 2001. These lists are for your information only.

They will include expirations that were intentional (i.e., the information is no longer being collected). Do not report on collections that are **not** in violation.



EXECUTIVE OFFICE OF THE PRESIDENT
OFFICE OF MANAGEMENT AND BUDGET
WASHINGTON, D. C. 20503

October 15, 2002

THE DIRECTOR

Filed to Cathy
10-21

BULLETIN NO. 02-06, Supplement No. 2

TO THE HEADS OF EXECUTIVE DEPARTMENTS AND ESTABLISHMENTS

SUBJECT: Apportionment of the Continuing Resolution(s) for Fiscal Year 2003

1. Purpose and Background. P. L. 107-229 (H. J. Res. 111) and P.L 107-235 (H. J. Res. 112) together provided continuing appropriations for the period October 1 through October 11. Bulletins No. 02-06 and Supplement No. 1 to that Bulletin provided instructions on calculating the amount provided by that continuing resolution (CR) and the amount automatically apportioned. H. J. Res. 122 extends the CR through midnight on Friday, October 18. The portion of the year covered by the CR is now 4.93 percent. Through this Supplement (No. 2) I am providing an automatic apportionment for amounts provided by this continuing resolution (CR), and any extensions of this CR, as specified in section 2. This Bulletin supplements instructions for apportionment of CRs in OMB Circular No. A-11.

2. Automatic Apportionments. Calculate the amount automatically apportioned through the period ending October 18 (and any extensions of that period) by multiplying the rate (amount) provided by the CR by the lower of:

- the percentage of the year covered by the CR, or
- the historical seasonal rate of obligations for the period of the year covered by the CR.

See the Attachments A, B, C and D to this Bulletin for more detailed instructions on calculating the amount provided by the CR and the amount automatically apportioned. Under an automatic apportionment, all of the footnotes and conditions placed on the prior year apportionment remain in effect.

3. Written Apportionments. If a program requires an amount different from the total amount automatically apportioned, you must request a written apportionment.

4. Changes from Bulletin No. 02-06 Supplement No. 1: This Supplement provides additional guidance on OMB authority to grant exceptions to the automatic "Rate of operations not exceeding the current rate"/written apportionments.

Mitchell E. Daniels, Jr.
Director

Attachments

Calculating the Amount Made Available by the CR and the Automatic Apportionment

Calculate the amount automatically apportioned through the period ending October 18, 2002 (and any extensions of that period) by multiplying the **rate (amount) provided by the CR** by the lower of:

- the **percentage of the year** covered by the CR (rounded to the nearest hundredth); or
- the **historical seasonal rate** of obligations for the period of the year covered by the CR.

1) **What is the rate (amount) provided by the CR? The rate (amount) provided by the CR for all accounts is the rate of operations not exceeding the current rate, calculated as follows:**

- ▶ take the net amount enacted in FY 2002, i.e., add any supplemental appropriations and subtract any rescissions;
- ▶ add the unobligated balance carried forward to FY 2002 (if any) -- do not include any unobligated balance of funds appropriated in P.L. 107-38 other than funds transferred by division B of Public Law 107-117;
- ▶ subtract the unobligated balance at the end of FY 2002 (if any); and
- ▶ subtract any other unobligated balances carried forward into FY 2002 or enacted in FY 2002 that were available for one-time non-recurring purposes, as described in section 3 below.

Note: Agencies are required to use current estimates of unobligated balances. Use the most recent approved estimate for the unobligated balance at the end of FY 2002. Specifically, use the unobligated balances carried forward and apportioned to FY 2003. If you have a more recent estimate of actual unobligated balances carried forward, you must have the amount apportioned before you can use it to calculate the rate provided by the CR.

2) **Does the continuing resolution affect the availability of funds that would be available if H. J. Res. 122 had not been enacted?**

No. The availability of any part of the budgetary resources for an account that is not determined by current action of the Congress (such as permanent appropriations, public enterprise and other revolving funds, reimbursements and other income, and balances of prior year budget authority) are not affected by H. J. Res. 122.

Most of these budgetary resources must be apportioned by OMB before obligation.

3) Funds available for FY 2002 one-time non-recurring purposes should not be included in the calculated rate.

The intent of a CR is to fund on-going projects and activities in such a way as not to impinge on final funding prerogatives. See Attachment B for principles for determining one-time expenditures. See Attachment C for the list of one-time items that are required to be excluded from the calculated rate in accordance with section 135 of H. J. Res. 122. Additional funding for one-time recurring purposes that an agency determines should be excluded from the calculated rate should be discussed with your OMB representative. [Note: One-time projects may involve funds from P.L. 107-38 that are already excluded from the calculation of the rate, so, when deducting the one-timers, agencies should be sure to exclude any P.L. 107-38 funds to avoid deducting them from the rate twice.]

Specific questions on one-time expenditures should be addressed to your OMB representative.

Principles for Determining What is a One-Time, Non-Recurring Project/Activity

Continuing resolutions (CRs) are stop-gap measures that allow ongoing agency programs to function, generally at a level comparable to that in the previous fiscal year. CRs attempt to remain "policy neutral" by continuing the terms and conditions of the previous year's appropriations into the period covered by the CR. Agencies are prohibited from beginning new programs under the CR.

However, given the unprecedented investment in one-time recovery and emergency preparedness activities since September 11th, the CR does not compel agencies to spend money needlessly – i.e., to rebuild New York or the Pentagon twice or to stockpile small pox vaccines yet again.

The principles for determining whether a project is one-time and non-recurring in nature are:

- Specific projects/activities that are strictly limited in purpose and duration are one-time activities;
- Projects/activities that are an integral part of an ongoing activity are not one-time projects/activities, consistent with GAO's description below (GAO, Principles of Federal Appropriations Law, p. 8-19):

"... in the previous fiscal year funds were available generally for construction of buildings, including plans and specifications. However, a specific construction project was not actually underway during the previous year. Nonetheless, it was decided that, because funds were available generally for construction in the previous year, this specific project was not a new project or activity and thus could be funded under the continuing resolution."

- Supplemental appropriations to fund ongoing activities, such as wildland firefighting efforts, are also not one-time projects/activities.

One-Time Items That Are To Be Excluded
(BA in millions)

<u>Program/Account</u>	<u>Amount</u>
Department of Defense	
Pentagon Reconstruction.....	1,338
Funding provided to repair the damage to the Pentagon resulting from 9-11, to cover associated costs (rental space, relocation costs, replacing damaged equipment, etc.) and the construction of military command centers in the Pentagon.	
Department of Agriculture	
Office of the Secretary.....	81
Funding provided to support various Department of Agriculture activities to improve overall security. Most activities were related to purchasing equipment (x-ray machines, cameras, etc.), improving telecommunications, increasing cyber security, and performing risk reviews.	
Department of Health and Human Services	
Smallpox Vaccine Purchase.....	412
\$412 million is available as non-recurring because \$512 million was appropriated in FY 2002, but \$100 million was requested in the FY 2003 Budget to assist state efforts to distribute if necessary, and to purchase VIG in order to treat those who experience complications from the vaccine.	
National Pharmaceutical Stockpile.....	345
\$345 million is available as non-recurring because \$645 was appropriated in FY 2002 to increase to capacity of the stockpile, but only \$300 was requested in the FY 2003 Budget for improved state capacity to distribute stockpile allotments, and for stockpile maintenance.	
HHS Facilities Security.....	141
The CDC and NIH received a one-time appropriation of \$141 million for security upgrades to their facilities.	

One-Time Items That Are To Be Excluded
(BA in millions)

<u>Program/Account</u>	<u>Amount</u>
Department of State	
Embassy Construction (with emergency funds)..... State was given emergency funds to build two embassies (Kabul, Dushanbe). These one-time projects will not have to be repeated in 2003, and consequently the funds will not be needed in the CR.	201
Department of Justice	
Crime Victims Fund..... For victim counseling programs in New Jersey, Virginia, Pennsylvania, and other states affected the terrorist attacks.	31
District of Columbia	
Federal Payment for Emergency Planning and Security Costs..... \$200 million was provided to the District of Columbia, for the purchase of first responder equipment and training, improvements in emergency traffic management, and increased security at District facilities and the metropolitan subway and bus system.	200
Postal Service	
Payment to the Postal Service..... \$500 million in one-time expenditures were provided for irradiation equipment to sanitize the mail, protect personnel (gloves, masks, etc.), site clean-up and medical goods and services, and public education material.	500
Subtotal, One-Time Costs, Non-New York Funds	3,249
Subtotal, New York One-Time Costs	12,710
Total, One-Time Costs	15,959

**One-Time Items That Are To Be Excluded
New York Recovery**
(BA in millions of dollars)

FEMA

From Fall FY 2002 Supplemental (HR 3338)	4,357
From Summer FY 2002 Supplemental (HR 4775)	<u>2,651</u>
<i>Subtotal--FEMA</i>	7,008

HUD and SBA

From Fall FY 2002 Supplemental (HR 3338)	
SBA	75
CDBG	2,000
From Summer FY 2002 Supplemental (HR 4775)	<u>783</u>
<i>Subtotal--HUD and SBA</i>	2,858

DOT

From Fall FY 2002 Supplemental (HR 3338)	
Improvements to NYC area transit systems	100
Repairs to highways and for enhancing ferry service	175
Repairs to Amtrak tunnels under the Hudson and East Rivers	100
From Summer FY 2002 Supplemental (HR 4775)	
Transit upgrades	1,800
Federal Highways	<u>167</u>
<i>Subtotal--DOT</i>	2,342

Other Federal Agencies

From Fall FY 2002 Supplemental (HR 3338)	
Labor Worker compensation assistance	175
Labor Job training and retraining	32
Labor Unemployment Insurance admin	4
Labor Facilities	2
Labor OSHA safety/health monitoring	1
DOJ Crisis Counseling	37
HHS Reimbursements to hospitals	140
HHS CDC	12
HHS National Institute of Environmental Health Sciences	11
GSA Relocating/Enhancing Federal Facilities	41
Commerce TV/Radio Tower	8
CFTC Facilities	17
SEC Facilities	21
EEOC Facilities	<u>1</u>
<i>Subtotal--Other Federal Agencies</i>	502

Total

12,710

General Guidance on OMB Authority to Grant Exceptions to the Automatic “Rate of Operations Not Exceeding the Current Rate”/Written Apportionments

Under this bulletin agencies are automatically apportioned an amount equal to the proportional “rate for operations not exceeding the current rate.” (See Attachment A) Without other specific authority granted in a CR, OMB has limited authority to grant a higher rate of expenditure than the proportional rate.

Under general principles of appropriations law, the pattern of obligations in prior years provides a framework for determining the pattern of obligations under a CR. For example, OMB may grant a higher rate if the program’s past pattern of obligations, for cyclical or seasonal reasons, exceeds the proportional share and the higher rate is urgently required to meet existing program goals. This past pattern must be evident from historical data for the program or activity. If OMB concurs that the data justifies a higher rate, the program may be apportioned a higher rate. However, the program must remain within the annual total provided in the CR, e.g., if a program exceeds its proportional share in one period, the agency must be apportioned a rate lower than the proportional share in a later period (assuming the CR is still in effect). OMB cannot legally grant higher rates to allow for pressures created by ongoing programmatic factors. For example, OMB cannot grant a higher rate for exceptions for fiscal pressures, such as growth in discretionary program costs or an increase in the cost of salaries and expenses.

For more information about apportionments under a CR, please consult the GAO Red Book, *Principles of Federal Appropriations Law*, and your OMB representative.



EXECUTIVE OFFICE OF THE PRESIDENT
OFFICE OF MANAGEMENT AND BUDGET
WASHINGTON, D.C. 20503

THE DIRECTOR

M-03-02

October 15, 2002

MEMORANDUM FOR THE HEADS OF DEPARTMENTS AND AGENCIES

FROM: Mitchell E. Daniels, Jr. *meD.J.*
Director

SUBJECT: Increased Oversight for Government Purchase and Travel Cards

Nearly six months ago, Office of Management and Budget (OMB) Memorandum 02-05 requested agencies to effectively combat the increasing fraud and abuse related to the use of government-issued purchase and travel cards. Since then, agency plans to provide increased oversight have been submitted and revised. Although there is a long way to go, a few agencies have made some progress. Specifically:

- Cards have been canceled. By the end of this month, the Department of Defense (DoD) will have canceled approximately 400,000 travel cards, or nearly 20 percent of the total issued by the government. The Department of Energy has canceled 8 percent of purchase cards and over 5 percent of travel cards.
- Wages have been garnished from employees with long overdue bills at DoD and the Department of Interior.
- Delinquent accounts are down, in some cases, significantly. For example, the number of delinquent bills charged by Department of Housing and Urban Development employees dropped 96 percent in the past year. Government-wide delinquency rates have fallen from double-digit figures to 7 percent, according to the latest data.

Despite these gains, progress is uneven and isolated. All agencies should be implementing these types of remedial actions.

Under OMB leadership, an interagency task force has been working to ensure that charge card abuses are effectively addressed. Among the best practices found, thus far, are:

- Blocking of merchant category codes. The Department of Education, for instance, has pre-emptively blocked transactions with roughly 300 types of businesses to

prevent the use of government-issued cards for casino visits, limousine rentals, veterinary services, and other questionable goods and services.

- Automated data mining. Computer-driven techniques to identify suspect transactions are being applied at DoD and the Department of Education.
- Periodic reviews of accounts for cancellation. DoD, for example, will be reviewing cards twice a year to ensure that inactive card accounts are canceled on an ongoing basis.

The task force will make recommendations and ensure the implementation of best practices to prevent fraud and abuse. In the meantime, agencies need to move forward expeditiously to implement their own remedial action plans. Agencies should continue to take disciplinary actions and make appropriate civil and criminal referrals for employees who violate the public trust. We will monitor agencies' progress as the 2004 Budget is constructed.

You are requested to provide a quarterly report addressing your agency's purchase and travel card programs to Mr. Robert Burton, Office of Federal Procurement Policy (OFPP). The reports may be submitted by electronic mail (rburton@omb.eop.gov) or by facsimile (202-395-5105). The first quarterly report should be submitted to OFPP no later than January 15, 2003, and cover agency activities occurring between October 1, 2002 and December 31, 2002.

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FOLDER TITLE:

Office of Management and Budget [2]

FRC ID:

5648

OA Num.:

1551

NARA Num.:

1403

FOIA IDs and Segments:

2014-0342-F

RESTRICTION CODES**Presidential Records Act - [44 U.S.C. 2204(a)]**

- P1 National Security Classified Information [(a)(1) of the PRA]
- P2 Relating to the appointment to Federal office [(a)(2) of the PRA]
- P3 Release would violate a Federal statute [(a)(3) of the PRA]
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PRM. Personal record misfile defined in accordance with 44 U.S.C. 2201(3).

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EXECUTIVE OFFICE OF THE PRESIDENT
OFFICE OF MANAGEMENT AND BUDGET
WASHINGTON, D.C. 20503

cc Cathy

THE DIRECTOR
M-02-15

August 15, 2002

MEMORANDUM FOR HEADS OF EXECUTIVE DEPARTMENTS AND AGENCIES

FROM: Mitchell E. Daniels, Jr. *medj*
Director

SUBJECT: Revision of OMB Circular A-16

This memorandum announces the latest revision of OMB *Circular A-16: Coordination of Geographic Information and Related Spatial Data Activities*.

What is OMB Circular A-16?

Circular A-16 provides a government-wide approach to electronic development and management of spatial data, technology, standards, resources, and policies under the National Spatial Data Infrastructure (NSDI). The Circular applies to your agency if it collects, produces, acquires, maintains, distributes, uses, or archives analog or digital spatial data.

What are the benefits of the Circular?

Implementing this Circular will improve the availability and quality of spatial data, help federal agencies avoid redundant expenditures, and leverage partnerships with other levels of government and sectors of society. These factors are crucial for developing E-Government -- one of five elements of the President's Management Agenda. Due to the importance of spatial data activities, OMB assumes a leadership role under the Circular as Vice Chair of the Federal Geographic Data Committee.

What are the significant changes to the Circular?

- Describes agency roles and responsibilities for developing the NSDI.
- Links the management of geographic assets to budget and performance.
- Assigns lead agencies for specific data layers of the NSDI (see Appendix E).

What does the Circular require of your agency?

The Circular updates federal responsibilities in the management of geographic information and spatial data assets. Specifically, your agency or department is required to:

- Implement Federal Geographic Data Committee approved data standards.
- Document existing spatial data holdings through an online data clearinghouse.
- Demonstrate agency performance for maintaining spatial data assets.
- Support interoperable software applications.
- Search for data or coordinate with partners before acquiring data.

Please ensure that your agency or department understands and follows the guidance in the Circular. You may direct any questions about this Circular to your OMB Resource Management Office.

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Memorandum	Memorandum - To: Andrew Card - From: John D. Graham	2	08/27/2002	P5;

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cc'd
Cathy



EXECUTIVE OFFICE OF THE PRESIDENT
OFFICE OF MANAGEMENT AND BUDGET
WASHINGTON, D.C. 20503

THE DIRECTOR

July 29, 2002

BULLETIN NO. 02-05

TO THE HEADS OF EXECUTIVE DEPARTMENTS AND AGENCIES

SUBJECT: Rescissions of Funds in Administrative and Travel Accounts

Purpose. This bulletin provides guidance on the rescission of amounts from administrative and travel accounts required by section 1403 of the 2002 Supplemental Appropriations Act for Further Recovery From and Response to Terrorist Attacks on the United States (H.R. 4775). It is being issued in anticipation of enactment to permit orderly planning by agencies.

Background and coverage. Section 1403 of H.R. 4775 (Attachment A) rescinds \$350 million of the funds available from prior Appropriations Acts from administrative and travel accounts. It applies on a pro rata basis to funds available to every Federal agency, department, and office in the executive branch, including the Office of the President.

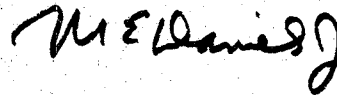
The bill also requires that, "Within 30 days after the date of enactment of this Act, the Director of the Office of Management and Budget shall submit to the Committees on Appropriations of the House of Representatives and the Senate a listing of the amounts by account of the reductions ..."

Required actions. Agencies will be separately provided with their pro rated rescission amounts in the format of Attachment B by their OMB representative. Agencies have the discretion to determine the allocation of their rescission amount by budget account and within accounts, provided that the rescissions are applied to expenses that that can be legitimately defined as administrative or travel expenses. OMB will review the agency allocations to ensure consistent application of this guidance. For computing each agency's share of the rescission, OMB used object classes 11.1 - 12.2 (salaries and benefits) and 21.0 - 26.0 (travel and other administrative expenses).

Agencies are required to submit their proposed allocation of the rescission by accounts and the amounts of the rescission in the same format as Attachment B, and any additional supporting information requested by their Resource Management Offices, to their OMB representative by Friday, August 9.

Agencies should reflect the proposed allocations in their FY 2002 reapportionments, which are due to OMB within three days of when the proposed allocations are submitted or by Wednesday, August 14, whichever is sooner.

Contact. Questions regarding this bulletin should be directed to the agency's OMB representatives.

A handwritten signature in black ink, appearing to read "M E Daniels Jr". The signature is written in a cursive, somewhat stylized font.

Mitchell E. Daniels, Jr.
Director

Attachments

FEDERAL ADMINISTRATIVE AND TRAVEL EXPENSES

(RESCISSIONS)

Sec. 1403. (a) Of the funds available to the agencies of the Federal Government from prior Appropriations Acts, \$350,000,000 are hereby rescinded: Provided, That rescissions pursuant to this subsection shall be taken only from administrative and travel accounts: Provided further, That rescissions shall be taken on a pro rata basis from funds available to every Federal agency, department, and office in the executive branch, including the Office of the President.

(b) Within 30 days after the date of the enactment of this Act, the Director of the Office of Management and Budget shall submit to the Committees on Appropriations of the House of Representatives and the Senate a listing of the amounts by account of the reductions made pursuant to the provisions of subsection (a) of this section: Provided, That the Office of Management and Budget shall also include with such listing an explanation of the methodology used to identify the offices, accounts, and amounts to be reduced.

H.R. 4775 Administrative and Travel Expense Rescissions

[Agency Name]

Total rescission amount, FY 2002 budgetary resources (dollars in thousands): \$xxxx

ALLOCATION BY ACCOUNT:

Account Identification Code

(Treasury agency and account symbol) Account Title Amount Rescinded

OFFICE OF MANAGEMENT AND BUDGET
 FY 2002 ADMINISTRATIVE EXPENSE \$350M RESCISSION
 Base Is Direct Obligations in Object Classes 11.1-12.2, 21.0-26.0
 Dollars In Thousands

Agency	Base Amount	Rescission
Department of Agriculture	17,127,000	-12,857
Department of Commerce	4,153,000	-3,118
Department of Defense--Military	272,800,000	-204,782
Department of Education	1,705,000	-1,280
Department of Energy	18,337,000	-13,765
Department of Health and Human Services	17,322,000	-13,003
Department of Housing and Urban Development	1,690,000	-1,269
Department of the Interior	8,500,000	-6,381
Department of Justice	21,199,000	-15,913
Department of Labor	2,874,000	-2,157
Department of State	5,340,000	-4,009
Department of Transportation	16,495,000	-12,382
Department of the Treasury	16,160,000	-12,131
Department of Veterans Affairs	23,399,000	-17,565
Corps of Engineers-Civil Works	3,675,000	-2,759
Other Defense Civil Programs	366,000	-275
Environmental Protection Agency	4,780,000	-3,588
Executive Office of the President	264,000	-198
Federal Emergency Management Agency	1,110,000	-833
General Services Administration	211,000	-158
International Assistance Programs	1,777,000	-1,334
National Aeronautics and Space Administration	13,339,000	-10,013
National Science Foundation	418,000	-314
Office of Personnel Management	411,000	-309
Small Business Administration	646,000	-485
Social Security Administration	6,760,000	-5,075

OFFICE OF MANAGEMENT AND BUDGET
 FY 2002 ADMINISTRATIVE EXPENSE \$350M RESCISSION
 Base Is Direct Obligations in Object Classes 11.1-12.2, 21.0-26.0
 Dollars In Thousands

Agency	Base Amount	Rescission
Advisory Council on Historic Preservation	2,000	-2
Appalachian Regional Commission	11,000	-8
Architectural and Transportation Barriers Compliance Board	3,000	-2
Broadcasting Board of Governors	385,000	-289
Central Intelligence Agency	79,000	-59
Chemical Safety and Hazard Investigation Board	8,000	-6
Commission on Civil Rights	9,000	-7
Commission on Ocean Policy	4,000	-3
Committee for Purchase from People who are Blind or Severely Disabled	2,000	-2
Commodity Futures Trading Commission	84,000	-63
Consumer Product Safety Commission	53,000	-40
Corporation for National and Community Service	223,000	-167
Court of Appeals for Veterans Claims	11,000	-8
Court Services and Offender Supervision Agency for the District	126,000	-95
Defense Nuclear Facilities Safety Board	19,000	-14
Delta Regional Authority	1,000	-1
District of Columbia	34,000	-26
Equal Employment Opportunity Commission	278,000	-209
Export-Import Bank of the United States	61,000	-46
Federal Communications Commission	38,000	-29
Federal Deposit Insurance Corporation	779,000	-585
Federal Drug Control Programs	236,000	-177
Federal Election Commission	43,000	-32
Federal Financial Institutions Examination Council Appraisal Sub.	1,000	-1
Federal Labor Relations Authority	27,000	-20
Federal Maritime Commission	15,000	-11
Federal Mediation and Conciliation Service	37,000	-28

OFFICE OF MANAGEMENT AND BUDGET
 FY 2002 ADMINISTRATIVE EXPENSE \$350M RESCISSION
 Base Is Direct Obligations in Object Classes 11.1-12.2, 21.0-26.0
 Dollars In Thousands

Agency	Base Amount	Rescission
Federal Mine Safety and Health Review Commission	7,000	-5
Federal Retirement Thrift Investment Board	89,000	-67
Institute of Museum and Library Services	6,000	-5
Intelligence Community Management Account	109,000	-82
International Trade Commission	52,000	-39
Marine Mammal Commission	1,000	-1
Merit Systems Protection Board	29,000	-22
Morris K. Udall Scholarship and Excellence in National Environment	2,000	-2
National Archives and Records Administration	239,000	-179
National Capital Planning Commission	8,000	-6
National Commission on Libraries and Information Science	1,000	-1
National Council on Disability	1,000	-1
National Credit Union Administration	99,000	-74
National Endowment for the Arts	19,000	-14
National Endowment for the Humanities	17,000	-13
National Labor Relations Board	224,000	-168
National Mediation Board	10,000	-8
National Transportation Safety Board	68,000	-51
National Veterans Business Development Corporation	4,000	-3
Nuclear Regulatory Commission	573,000	-430
Nuclear Waste Technical Review Board	2,000	-2
Occupational Safety and Health Review Commission	8,000	-6
Office of Government Ethics	9,000	-7
Office of Navajo and Hopi Indian Relocation	5,000	-4
Office of Special Counsel	11,000	-8
Pacific Charter Commission	2,000	-2
Railroad Retirement Board	102,000	-77

OFFICE OF MANAGEMENT AND BUDGET
FY 2002 ADMINISTRATIVE EXPENSE \$350M RESCISSION
Base Is Direct Obligations in Object Classes 11.1-12.2, 21.0-26.0
Dollars In Thousands

Agency	Base Amount	Rescission
Securities and Exchange Commission	448,000	-336
Smithsonian Institution	634,000	-476
United States Holocaust Memorial Museum	35,000	-26
United States Institute of Peace	10,000	-8
Vietnam Education Foundation	1,000	-1
GOVERNMENT TOTAL	466,252,000	-350,007

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Memorandum	Memorandum - To: Andrew Card - From: John D. Graham	2	08/07/2002	P5;

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Memorandum	Memorandum - To: Department Heads and Agencies - From: Mitch Daniels	5	07/19/2002	P5;

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Office of Management and Budget [2]

FRC ID:

5648

FOIA IDs and Segments:

2014-0342-F

OA Num.:

1551

NARA Num.:

1403

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EXECUTIVE OFFICE OF THE PRESIDENT
OFFICE OF MANAGEMENT AND BUDGET
WASHINGTON, D.C. 20503

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July 16, 2002

M-02-10

MEMORANDUM FOR HEADS OF EXECUTIVE DEPARTMENTS AND AGENCIES

FROM: Mitchell E. Daniels, Jr. *MDJ*
Director

SUBJECT: Program Performance Assessments for the FY 2004 Budget

Improving programs by focusing on results is an integral component of the President's budget and performance integration initiative. OMB's April 24, 2002 FY 2004 Budget planning memorandum emphasized the importance of program effectiveness ratings in formulating the FY 2004 Budget. It informed you that formal effectiveness ratings would be conducted for approximately 20 percent of Federal programs, and that the results of these ratings would be published in the FY 2004 Budget. Since then, and with valuable assistance from agency staff, we have progressed in this effort.

For instance, OMB and agencies have identified the programs that will be rated for FY 2004 (see Attachment). Programs listed total approximately \$480 billion, or over 24 percent of Federal spending, and reflect a diverse mix of discretionary and mandatory programs. Thank you for your serious commitment to this effort and for helping develop this list.

A critical goal for the FY 2004 Budget is to improve the program rating process by making ratings more consistent, objective, credible and transparent than they were for FY 2003. To this end, OMB, with advice from the President's Management Council's (PMC) subgroup on Budget and Performance Integration, developed the draft program assessment rating tool (PART). On May 17, 2002, the draft PART and instructions were officially provided to agencies through the PMC.

The PART was thoroughly tested by OMB and agency staff during OMB's Spring Review process. We also received excellent feedback from agencies, informal comments from Congressional and General Accounting Office staff, and advice from outside experts, including OMB's Performance Measurement Advisory Council of experts from outside the government. As a result, we have concluded that the PART is a useful and informative instrument that will help us achieve our objective for FY 2004.

The comments we received also identified improvements that could be made to the PART. In response to these comments we have revised the PART. PARTs for all program types, and revised guidance, can be found at <http://www.whitehouse.gov/omb/budintegration>.

The revised PART will be used by OMB, working closely with agency staff, to complete program effectiveness assessments for the FY 2004 Budget by September 30, 2002. I

have asked my staff to complete the PARTs by September 9, 2002, so that any issues regarding completed PARTs can be addressed by September 30.

Major Changes in Final PART

The revised PART includes the following major changes from the draft PART:

- *Four point scale in Section IV, Results* – We received many comments on the “Yes/No” format for responses. Many parties liked the certainty and forced choice of “Yes/No.” Others felt the format did not reveal adequate distinction between the performance of various programs, especially in the results section. In response, the PART has been revised to include four choices of responses in the results section (Section IV) only. Now, a program that achieves some of its goals, or that shows reasonable, but not complete progress toward goals, will receive partial credit in the results section, the most heavily weighted section. For Sections I – III, which focus more on processes than results, the “Yes/No” format is retained.
- *Questions Added in Sections II and III for corrective actions* – Many parties commented that the draft PART does not distinguish between programs that were taking action to address planning and management deficiencies, and those that were not. While the PART is primarily a snapshot of the current status of programs, it is important to recognize when significant efforts are underway to address deficiencies in a program. The revised PART contains new questions in sections II and III to address this issue. These new questions, combined with the new format for section IV described above, will result in more refined and meaningful distinctions between programs.
- *Better focus on performance and performance measures* – The PART format for Section IV has also been revised to explicitly require display of performance targets and actual performance on the key measures identified by the agencies and OMB. Guidance has also been revised to require that at least one of the key measures identified for the program be an efficiency measure.
- *Critical Federal Role question to be examined separately from the PART* – We received comments that question 3 in the Section I of the draft PART (“Is the Federal role critical?”) was too subjective and could vary depending on philosophical or political viewpoints. We also received many comments that this question is so important that it should not only be retained, but be elevated in importance in the overall score.

To keep the PART as objective as possible, this question has been eliminated, and the remaining questions in Section I have been adjusted to focus on objective, evidence-based criteria about program purpose and program design. The appropriateness of the Federal Role in addressing national interests, problems or needs will be specifically examined during OMB’s Fall Budget Reviews, but will not

be included in the PART.

The new PART includes additional revisions to specific questions in response to comments we received. In general, we have tried to reduce the number of questions, especially in Section III, without losing important information.

Subjectivity of PART Responses

During the PART testing and comment period, the issue of the subjectivity of PART responses, either on the part of OMB or agency staff, was raised repeatedly. While subjectivity can be minimized, it can never be completely eliminated regardless of the method or tool. In providing advice to OMB Directors, OMB staff have always exercised professional judgment with some degree of subjectivity. That will not change. As one of our Advisory Council members stated, the PART makes public and transparent the questions OMB asks in advance of making judgments, and opens up any subjectivity in that process for discussion and debate. The PART is a necessary step forward in systematizing and revealing OMB's deliberations.

Nonetheless, we are taking several steps to minimize subjectivity:

- *Clarified Guidance* - We have strengthened and clarified the PART instructions including the evidence required to support a "Yes" or "No" answer, with the specific goal of reducing the subjectivity of responses. Revised guidance can be found at <http://www.whitehouse.gov/omb/budintegration>.
- *Training* - OMB's Performance Evaluation Team (PET) will conduct training over the next several weeks for OMB examiners and agency staff aimed at achieving consistency of approaches and standards applied in answering questions. Additional information is available through your OMB RMO contact.
- *Review of Completed PARTs for Consistency* - OMB will initiate a process to selectively review questions on completed PARTs for consistency in application of instructions and standards. We will provide additional information on this process at a later time.
- *Potential Involvement of IGs, GAO or other third parties in the assessment* - We have met with the Inspector General community, the General Accounting Office, and other groups with expertise in program evaluation. All of these groups expressed interest not only in the process, but also in assisting OMB and agencies in completing the assessments. Knowledgeable third parties can help identify relevant information for consideration in the assessments. In addition, third parties can provide an objective viewpoint if disputes arise in considering PART questions. We will continue to discuss with these groups how they can most effectively participate in this process, including providing some level of independent review. I encourage all agencies to make the PART assessment process as open and inclusive as feasible.

Finalizing PARTs

As with many other aspects of the budget development process, disagreements between OMB and agency staff may remain after staff work on the PART is complete, and after a technical review for consistency. In these cases, agencies and OMB should resolve disagreements in the traditional manner, i.e., first through OMB branch chief and division director, and then through the OMB Program Associate Director. As noted above, all issues, questions and disagreements must be resolved and finalized by September 30.

Presentation of PART Results in the FY 2004 Budget

Final decisions have not yet been made regarding presentation of PART results in the FY 2004 Budget. We received good advice from the Performance Measurement Advisory Council (PMAC) on making sure the presentation highlights separately the results score and key measures. We also believe sections I – III scores should be displayed in some fashion, and an overall assessment (e.g., “effective” or “ineffective”) will be shown. One outstanding question is if or how to show the overall weighted numeric PART score for the program. Since this score will determine the overall assessment, we will almost certainly make the score and the basis for it (i.e., the completed PART) available to the public. The PMAC will discuss presentation options further at their September meeting.

Relationship to GPRA

Agencies expend considerable time and effort developing and updating their Government Performance and Results Act (GPRA) plans and reports on an annual basis. The program assessment effort presents an opportunity to inform and improve agency GPRA plans and reports, and establish a meaningful, systematic link between GPRA and the budget process. This effort will also help identify specific performance measures that could support budget and management recommendations and efforts. Through this process, OMB will work with agencies to maintain measures in GPRA materials that are useful and eliminate reporting burdens that have no utility.

How Ratings Will Be Used

Finally, many agencies expressed concern over how the ratings would be used during the Fall Budget Review, and specifically that a low PART score would automatically result in a funding reduction. OMB does not view the PART as an automated approach to making budget decisions. A low PART score does not, in itself, signify whether a program needs more or less funding. The PART provides a tool for diagnosing how programs can be improved and it is from such diagnosis, as well as other information regarding the program, that budget and management decisions will be made. FY 2004 decisions will be fundamentally grounded in program performance, but will also continue to be based on a variety of other factors, including policy objectives and priorities of the Administration, and economic and programmatic trends.

Attachment

Programs to be Assessed for FY 2004*

CABINET AGENCIES:

Department of Agriculture

Multifamily Housing Direct Loans and Rental Assistance Grants
 Rural Utilities Service Electric Loan Program (Not including
 Hardship loans)
 Wildland Fire Management
 Food Aid Programs (including P.L. 480 Title)
 Marketing Loans and Loan Deficiency Payments
 Farmland Protection Program
 Wildlife Habitat Improvement Program
 USDA Service Centers (FSA, NRCS, and RD, also includes CCE)
 Food Safety and Inspection Service (FSIS)
 APHIS: Agric. Quarantine and Inspection
 APHIS: Animal Welfare
 Water and Wastewater Grants
 Forest Service Operating Program
 National School Lunch Program

Department of Commerce

U.S. Patent Trademark Office-Patents
 EDA-Patents
 National Weather Service
 U.S. Patent Trademark Office-Trademarks
 NIST-In-house Labs
 Bureau of Economic Analysis
 Pacific Coastal Salmon Recovery Grants
 National Marine Fisheries Service
 Minority Business Development Agency

Department of Defense

NOTE: This is the original program list. It will be modified pending discussions between OMB and DoD

Defense Environmental Restoration Program (DERP)
 Defense Health Programs (DHP) including Milpers and Construction
 C-17 Strategic Airlift Aircraft
 Navy Marine Corps Intranet (NMCI)
 Recruiting
 Introductory Pilot Training
 Facilities Sustainment, Restoration, Modernization & Demolition
 - (O&M)
 Depot Level Maintenance
 Energy Conservation Improvement Program (ECIP)
 F-22 Fighter Aircraft
 Unmanned Combat Aerial Vehicles
 DDG-51 Destroyer
 F/A-18 E/F Navy Fighter/Attack Aircraft
 LPD-17 Amphibious Ship
 Joint Strike Fighter (JSF)
 Space-Based Infra-Red (SBIRS) High Missile Warning Satellite
 Ballistic Missile Defense System - Midcourse
 Chemical Demilitarization
 Future Combat System
 Interim Armored Vehicle (IAV)
 Y-22 Tilt Rotor Aircraft
 Basic Research
 Housing Privatization
 Cooperative Threat Reduction (CTR)

Department of Education

Even Start

Department of Education, continued

Safe and Drug Free Schools State Grants
 Vocational Rehabilitation State Grants
 TRIO Student Support Services
 TRIO Upward Bound
 Selected ESEA Programs
 All IDEA Programs
 All Vocational and Adult Education Programs
 Projects with Industry (PWI)
 Student Loan Programs
 Pell Grants
 Student Aid Administration
 GEAR UP
 Leveraging Education Assistance Partnerships (LEAP)
 Assessment & Statistics

Department of Energy

Environmental Management (EM)
 Weatherization Assistance Program
 Office of Science
 All applied R&D:
 -Fossil Energy
 -Energy Efficiency
 -Nuclear Energy
 -EM
 National Nuclear Security Administration (NNSA):
 Safeguards and Security
 Facilities and Infrastructure
 ASCI
 MPC&A

Power Marketing Administrations:

-Bonneville Power Administration
 -Southeastern Power Administration
 -Southwestern Power Administration
 -Western Area Power Administration
 -Falcon and Amistad Operating and Maintenance Fund

Department of Health and Human Services

FDA Center for Biologics Evaluation and Research
 FDA Center for Food Safety and Applied Nutrition
 FDA Center for Drug Evaluation and Research
 FDA Center for Devices and Radiological Health
 FDA Center for Veterinary Medicine
 HRSA Health Centers
 HRSA Ryan White
 HRSA Health Professions
 HRSA National Health Services Corps
 HRSA Nursing Loan Repayment
 HRSA Maternal Child Health (MCH) Block Grant
 IHS Federally-Administered Activities
 IHS Sanitation Facilities
 CDC Immunizations
 CDC Domestic HIV/AIDS Prevention
 CDC Chronic Disease Breast and Cervical Cancer
 CDC Chronic Disease - Diabetes
 NIH Overall
 SAMHSA Grants to States for the Homeless
 SAMHSA Children's Mental Health Services
 SAMHSA Substance Abuse Treatment Programs of Regional
 and National Significance

*This is a near-final list of programs to be assessed for FY 2004. Some programs may change as OMB and agencies continue discussions.

Department of Health and Human Services, continued

AHRQ Surveys (Medical Expenditure Panel Surveys, Healthcare Cost and Utilization Program, Consumer Assessment of Health Plans)
AHRQ Translating Research into Practice
CMS State Children's Health Insurance Program (SCHIP)
ACF Head Start
ACF Foster Care
ACF Refugee and Entrant Assistance
AoA Congregate Meals Program
Health Care Fraud and Abuse Control (HCFAC) Program
BioT: Health Alert Network (to all States) (and related activities in FY03)
BioT: Metropolitan Medical Response System (contracts to statutorily selected cities)

Department of Housing and Urban Development

Housing Vouchers (Section 8 Tenant-Based Rental Assistance)
Section 8 Project-Based Rental Assistance
Elderly Housing Grants
Disabled Housing Grants
HOME
Native American Housing Grant

Department of the Interior

DOI Wildland Firefighting
BIA School Construction
BIA School Operations
BLM restoration activities
BOR Hydropower Program
BOR Rural Water Supply Projects
BOR Title XVI Water Reuse and Recycling
FWS Hatcheries
FWS Partners Program
MMS Environmental Studies Program
NPS deferred maintenance backlog
NPS Natural Resource Challenge
OSM Abandoned Mine Land Program
OST Tribal land consolidation
USGS National Mapping Program

Department of Justice

Bureau of Prisons (S&E)
Drug Enforcement Administration (S&E)
OJP Residential Substance Abuse Treatment
FBI Cybercrime
FBI White Collar Crime
INS Immigration Services
OJP Weed and Seed
OJP Drug Courts
Office of Juvenile Justice and Delinquency Prevention
Juvenile Accountability Block Grants

Department of Labor

Trade Adjustment Assistance (TAA)
Occupational Safety and Health Administration (OSHA)
Bureau of Labor Statistics (BLS)
Office of Federal Contract Compliance Programs (OFCCP)
Dislocated Worker Assistance: State Formula Grants
Youth Activities
Federal Employees' Compensation Act (FECA)
Pension and Welfare Benefits Administration (PWBA)
ILAB Technical Assistance Grants (Child Labor and Core Labor Standards grants)

Department of State and other related agencies

State Dept. - Refugee Admissions to the U.S.
Freedom Support Act Assistance to Russia

Department of State and other related agencies, continued

Security Assistance to Sub-Saharan Africa
Remainder of PKO (includes OSCE Peacekeeping)
Antiterrorism Assistance
Security Construction
New NATO and NATO Aspirants
Refugees-Resettlement and Placement in U.S. and Israel
Public Diplomacy to South Asia and Near East Asia
Border Security

International Assistance Programs

Treasury Technical Assistance
International Development Association
USAID Development Assistance - Environment
USAID Development Assistance - Population Programs
Export Import Bank - Long-Term Guarantees
Overseas Private Investment Corporation - Finance Programs
P.L. 480 Title II Food Aid

Department of Transportation

FAA Airport Improvement Program
FHWA Highway Infrastructure
USCG Search and Rescue
USCG Drug Interdiction
USCG Aids to Navigation
NHTSA Highway Safety Programs
FMCSA Highway Safety

Department of the Treasury

IRS Collection
Federal Law Enforcement Training Center
Earned Income Tax Credit (EITC) Compliance
Office of Foreign Assets Control (OFAC)
ATF Consumer Product Safety Activities (Inspection and licensing processing)
Coin Production (Mint)
Bank Enterprise Award (BEA)
Office of the Comptroller of the Currency (OCC) - Bank Supervision
Office of Thrift Supervision - Thrift Supervision

Department of Veterans Affairs

Burial
Medical Care
Compensation

INDEPENDENT AND OTHER AGENCIES:

Corps of Engineers (Civil Works)

Inland Waterways Navigation
Hydropower
Flood Damage Reduction
Wetlands (non-regulatory)
Emergency Management

Corporation for National and Community Service

AmernCorps

Consumer Product Safety Commission

Consumer Product Safety Commission

Environmental Protection Agency

Leaking Underground Storage Tanks Program
Air Toxics Program
Nonpoint Source Program
Superfund Removal Program
Drinking Water State Revolving Fund
Pesticides
Chemical Programs

*This is a near-final list of programs to be assessed for FY 2004. Some programs may change as OMB and agencies continue discussions.

Environmental Protection Agency, continued

Tribal General Assistance
Civil Enforcement
Pollution Prevention Research

Federal Emergency Management Agency

Hazard Mitigation Grant Program
Disaster Relief Fund - Public Assistance Program
National Flood Insurance Program

General Services Administration

Asset Management of Federally-owned Real Property
Vehicle Acquisition & Leasing
Supply Depots & Special Order Program
Multiple Award Schedules Program

National Aeronautics and Space Administration

Space Station
Mars Exploration Program
Space Shuttle
Space Launch Initiative
Earth Science Technology

National Science Foundation

Core Research
Nanoscale Science and Engineering
PreK-12 Education
Information Technology Research
Major Research Equipment and Facility Construction
Major Facility Operations
Polar Programs

Office of the Comptroller of the Currency

Bank Supervision

Office of National Drug Control Policy

High Intensity Drug Trafficking Area (HIDTA) program
Youth Anti-Drug Media Campaign

Office of Personnel Management

Federal Employees' Group Life Insurance (FEGLI)
Retirement

Office of Thrift Supervision

Thrift Supervision

Small Business Administration

Business Information Centers (BICs)
Service Corps of Retired Executives (SCORE)
Small Business Development Centers (SBDCs)
Section 504 Certified Development Corporation Guaranteed Loan Program

Social Security Administration

Supplemental Security Income for the Aged
Disability Insurance

Tennessee Valley Authority

TVA Power Program
TVA Non-power Program

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