

SBA

SOP 00 30 2

The Forms Management Program

Office of Administration

U.S. Small Business Administration



**SMALL BUSINESS ADMINISTRATION
STANDARD OPERATING PROCEDURE**

National

SUBJECT: Forms Management Program	S.O.P.		REV
	SECTION 00	NO. 30	2

INTRODUCTION

1. Purpose. To outline the Agency's Forms Management Program.
2. Personnel Concerned. All SBA employees.
3. Directives Canceled. SOP 00 30 1.
4. Originator. Office of Administrative Services, Office of Administration.

AUTHORIZED BY:		EFFECTIVE DATE 1/29/99
Thomas A. Dumaresq Assistant Administrator for Administration		PAGE 1

SBA Form 989 (5-90) Ref: SOP 00 23

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Chapter 1

General Overview of Forms Management

1. What are the Objectives of the Forms Management Program?

The objectives of the Forms Management Program are to:

- a. Reduce and simplify paperwork;
- b. Eliminate conflicting, unnecessary, and obsolete forms;
- c. Provide efficient and cost-effective reproduction, distribution, inventory, and stocking of forms;
- d. Reduce the cost of operations; and
- e. Ensure that forms are clear and easy to use.

2. What Laws and Regulations Govern SBA's Forms Management Program?

The following laws and regulations govern SBA's Forms Management Program:

- a. Federal Records Act of 1950 (44 U.S.C.);
- b. Paperwork Reduction Act of 1995, 44 U.S.C. 35;
- c. Privacy Act of 1974, 5 U.S.C. 552a. subsection (e) (3) (p.l. 93-579); and
- d. Government Printing and Binding Regulations (Joint Committee on Printing, February, 1990).

3. Who is Responsible for Administering the Forms Management Program?

The Office of Administrative Services (OAS) has been delegated the authority for administering the Agency's Forms Management Program.

4. What are the Responsibilities of the Agency's Forms Manager?

The Forms Manager in OAS must:

- a. Review and approve new and revised SBA forms;
- b. Analyze, develop, coordinate, and ensure proper policies for SBA forms;
- c. Supply technical assistance to program offices in the design and preparation of forms;
- d. Advise offices on the Office of Management and Budget (OMB) regulations pertaining to public-use forms;
- e. Serve as Agency liaison between SBA and OMB;
- f. Clear all directives that cite forms;
- g. Update all changes made to the electronic forms database;
- h. Submit forms updates to the SBA Weekly Checklist;
- i. Offer advice and assistance to program offices on new and revised forms;
- j. Establish and maintain historical, numerical, approved files for forms; and
- k. Publish notices of OMB public-use form submissions in the Federal Register for public comment.

5. How Do I Find Out About New and Revised Forms?

OAS lists all new or revised SBA forms on the SBA Weekly Checklist as soon as they are available, either at the Consolidated Forms and Publications Distribution Center (CFPDC) Warehouse or the Agency's electronic forms system. Some forms may be listed that are issued by the program office and are not available through normal routes. If you need help locating a form, contact OAS.

6. What is in a Form Reference File?

OAS must maintain a separate reference file for every SBA form. Each file must contain the following:

- a. Current copies of the form;
- b. Copies of all previous editions;
- c. A copy of the SBA Form 789, "Printing Requisition" (if the form is printed by GPO or an outside vendor);
- d. The original SBA Form 790, "Request for New, Revised or Automated Form;"
- e. A copy of the SBA Form 1697, "In House Printing Requisition" (if the form is printed in SBA's in-house printing facility);
- f. All Notices of Reorder Level (if stocked at the warehouse);
- g. All Notices of Receipt of Stock (if stocked at the warehouse);
- h. The SBA Weekly Checklist and Notices pertaining to the form; and
- i. OMB documents which include:
 - (1) The OMB approval notice;
 - (2) A copy of the OMB 83-I, "Paperwork Reduction Act Submission;"
 - (3) The Supporting Statement;
 - (4) All Federal Register Notices; and
 - (5) A Copy of the form or collection instrument.

7. What are the Program Office's Responsibilities?

The program office must ensure that all of the proper clearances have been obtained on the SBA Form 790 before submitting it and the new or revised form to the Forms Manager.

8. What are the Different Types of Forms?

a. A New SBA Form.

Any form that is issued by a program office for the first time.

b. A Revised SBA Form.

Any existing form that is changed.

c. An SBA Public-Use Form.

An SBA form that is going to be completed by 10 or more people from the public.

d. An Obsolete SBA Form.

A form that is no longer used.

Chapter 2

New Forms

1. How Do I Get a New Form Approved?

Submit a completed SBA 790 and a copy of the new form to the Agency's Forms Manager for review and approval.

2. Who Issues Guidance on Designing New SBA Forms?

Contact the Agency's Forms Manager in OAS for guidance on designing new forms.

3. What Guidelines Should I Follow for Basic Forms Design?

You should follow the guidelines set forth in the General Services Administration (GSA) Handbook, "Forms Analysis and Design," (Federal Stock Number 7610-00-753-4771; U.S. Government Printing Office Stock Number 022-002-9084-8).

4. What are the Form Design Requirements?

SBA forms must include:

- a. The source document, which in most cases is an SOP that contains procedures or instructions which require a form;
- b. A form number, which is placed in the lower left hand corner;
- c. The edition date which is placed immediately after the form number, for example, SBA Form 790 (6-90); and
- d. The Statement "previous edition is obsolete" or "previous edition is to be used until the stock is exhausted."

5. Who Must Authorize Them?

The Management Board member or his or her designee responsible for the program office issuing the form must sign the SBA 790.

6. What Other Offices Must Clear Them?

- a. Any office that uses the form, or could be affected by it; and
- b. The General Counsel must clear all OMB forms, forms with substantive text, forms with significant policy implications, and forms that will materially affect SBA customers and/or resource partners.

7. Who Assigns the Form Numbers and Edition Dates?

The Agency's Forms Manager will assign the form number and edition date once the SBA 790 has been approved.

8. How Do I Get My New Form Printed and Distributed?

Contact OAS for all printing and distribution of forms. Generally, you will have to complete an SBA Form 1697, "In House Printing Requisitions," to have a form printed and distributed.

Chapter 3

Revised Forms

1. How Do I Get a Revised Form Approved?

Submit an SBA 790 to the Agency's Forms Manager along with a copy of the revised form.

2. How Do I Get a Revised Form Designed?

Submit an SBA 790 to the Agency's Forms Manager along with a draft copy of the revised form.

3. Who Must Authorize It?

The Management Board member or his or her designee responsible for the program office issuing the form must sign the SBA 790.

4. What Other Offices Must Clear It?

- a. Any office that uses the form, or could be affected by it; and
- b. The Office of the General Counsel must clear all OMB forms, forms with substantive text, forms with significant policy implications, and forms that appear likely to materially affect SBA customers and/or resource partners.

5. Who Assigns the Form Numbers and Edition Dates?

The Agency's Forms Manager will assign the form number and edition date once the SBA 790 has been approved.

6. How Do I Get My Revised Form Printed and Distributed?

Contact OAS for all printing and distribution of forms. Generally, you will have to complete an SBA Form 1697, "In House Printing Requisitions," to have a form printed and distributed.

Chapter 4

OMB Cleared Forms

1. What Forms Must be Cleared by OMB?

Forms soliciting information from 10 or more people by means of substantially identical questions, whether the information collection is mandatory, voluntary, or required to obtain a benefit.

a. What Does Soliciting of Information Mean?

Soliciting of information includes any requirement or request for persons to obtain, maintain, retain, report, or publicly disclose information.

b. Who is the Public?

The “public” can be an organization, entities, and/or individuals to whom a collection information is addressed by the Agency within a 12-month period.

2. What Form Must I Complete to Obtain OMB Clearance?

You must complete the OMB 83-I, “Paperwork Reduction Act Submission,” to obtain OMB clearance. Below are the different elements of that form.

a. What are Burden Hours?

The total time or financial resources expended by persons to generate, maintain, retain, disclose, or provide information to or for a Federal agency.

b. What are Cost Estimates?

The cost the Government pays for purchasing or contracting out information collection services.

c. What is the Supporting Statement?

The supporting statement explains the circumstances that make the collection of information necessary. The supporting statement must accompany the OMB 83-I

d. Who Must Sign the OMB Documents?

Only the Management Board member or his or her designee responsible for the requesting office may sign OMB Documents.

3. Does the Public Have to Comply with a Collection of Information?

- a. No, the public does not have to comply with a collection of information, under the provisions of 5 CFR 1320.6.
- b. No one is subject to any penalty for failure to comply with any information collection request if:
 - (1) The request does not display a current valid OMB control number;
 - (2) The request has been disapproved by OMB; and/or
 - (3) The Agency has not modified an information collection approved by OMB on the assurance that it would be modified.

4. How are Collections of Information Approved through OMB?

OMB requires a 90-day period to review all collections of information. If OMB has any questions concerning the request, they will notify OAS. OMB will electronically send the "Notice of OMB Action" to OAS when a collection of information is approved.

a. What are OAS's Responsibilities in the OMB Approval Process?

OAS is responsible for:

- (1) Coordinating;
- (2) Reviewing;
- (3) Maintaining OMB files;
- (4) Preparing and submitting collection requirements and requests;
- (5) Furnishing assistance to all offices requesting information on forms or recordkeeping by the public;
- (6) Notifying requesting offices when forms are approved;
- (7) Granting extensions or modifications to the collection; and
- (8) Submitting a request for extensions to OMB 60 days before expiration of current approval.

b. Who is the OMB Liaison for all SBA Paperwork Matters?

The Chief, Administrative Information Branch is the Liaison for all SBA paperwork matters.

c. Who Advises Program Offices on their OMB Submissions?

The Agency's Forms Manager advises program offices of the necessary information needed to complete the OMB submissions.

d. Who Reviews the Complete Package Before it is Submitted to OMB?

The Agency's Forms Manager reviews the complete package to ensure the correct information is attached.

e. Who Signs and Certifies the OMB Package?

The Chief, AIB signs and certifies the entire package before it is submitted to OMB.

5. What is the Originating Office's Responsibility in the OMB Approval Process?

- a. Review the complete package which includes the OMB 83-1, supporting statement, a copy of the Federal Register notice, and forms pertaining to the collection before submitting it to OAS.
- b. Submit the request for approval to OAS at least 60 days before expiration to ensure the OMB deadlines can be met.

6. Can Emergency Processing of a Collection Be Requested?

Emergency processing may be requested by the Management Board official or his or her designee through OAS.

7. What Steps Must the Requesting Office Take to Get Emergency Approval?

Follow the same steps in paragraph 4-2. Also submit a memo to the Chief, AIB describing the reason for the emergency approval.

8. How Long is an Emergency Collection Valid?

OMB approves emergency collections for a maximum of 120 days after receipt of the Agency submission.

9. What is OMB's Responsibility?

a. OMB must:

- (1) Within 60 days after receipt of the collection of information OMB notify the Agency of its decision to approve or to disapprove;

- (2) Contact the Chief, AIB if further action or information on a submission is necessary;
 - (3) Assign an OMB control number and expiration date to all approved Agency forms; and
 - (4) Submit written notification to the Agency liaison of action taken.
- b. All approved documents used to collect information must display:
- (1) An OMB control number and expiration date in the upper right hand corner;
 - (2) A disclosure statement that must read as follows;

Please Note: The estimated burden for completing this form is (insert time) per response. You are not required to respond to any collection of information unless it displays a currently valid OMB approval number. Comments on the burden should be sent to the U.S. Small Business Administration, Chief, AIB 409 3RD St., S.W., Washington, D.C. 20416 and Desk Officer for the Small Business Administration, Office of Management and Budget, New Executive Office Building, Room 10202, Washington, D.C. 20503. (insert OMB Approval Number).

10. What Does the Privacy Act Require for Public-Use Forms?

- a. The Privacy Act of 1974, 44 U.S.C. chapter 35, requires that any Federal agency that collects information from individuals must provide those individuals with a written notification of the purpose of the information and the consequences for failing to furnish the information.
- b. Under the provisions of the Privacy Act, applicants for assistance are not required to give their social security number. The SBA uses the social security number to distinguish between people with similar or same names. Failure to provide this number will not affect any right, benefit, or privilege to which an individual is entitled by law.
- c. Any person concerned about a collection of information, disclosure statement, or routine use under the Privacy Act, or any person with a request for information under the Freedom of Information Act, may contact the Office of Freedom of Information/Privacy Acts, U.S. Small Business Administration, 409 Third St. S.W., Mail Code 2441, Washington, D.C. 20416, for information about the Agency's procedures on these matters.

11. What is the Effect of OMB Circular A-129 on Public-Use Forms?

The OMB Circular A-129, "Managing Federal Credit Programs," enacted the nine point credit initiatives that require prescreening of applicants requesting Federal financial assistance.

Outline of the OMB Public-Use Forms Clearance and Issuance Process.

- a. 60-day Advance Federal Register Notice. Before any collections of information are forwarded to OMB for approval, OAS must submit a 60-day advance notice for posting in the Federal Register. In this notice, the Agency will solicit comments in the following areas: the need for the information, accuracy of the Agency's burden estimate, and suggestions on ways to minimize burden.
- b. 30-day Federal Register Notice. At the end of the 60-day period, the information clearance package must be forwarded to OMB for approval. At the same time, OAS must notify the public, through a second Federal Register notice, that the collection of information was submitted to OMB for review.
- c. OMB Review Period - Within 60 days from the day the package is submitted (or the 30-day Federal Register notice is published, whichever is later), OMB shall notify the Agency of its decision to approve, to make substantive or material changes, or to disapprove and make this decision publicly available. (OMB shall provide at least 30 days for public comments after receipt of the proposed collection of information before making its decision.) If OMB disapproves, OMB may also identify in the remarks section of the Notice of Action the specific changes necessary for approval upon resubmission. This package may be resubmitted without soliciting public comment again.
- d. If approved, OMB submits the Notice of Action to the Agency listing the OMB Control Number and Expiration Date.

What is the Approval Period for an OMB Approved Form?

The maximum approval period for an OMB approved form is 3 years.

Chapter 5

Obsolete Forms

1. How Do I Cancel a Form?

The initiating program office must notify the Forms Manager in OAS in writing that a form is obsolete and which form replaces it, if any.

2. Who Can Cancel a Form?

Only the Management Board member or his or her designee may cancel a form generated by his or her program office.

3. What Happens to Canceled SBA Forms?

Once a form has been canceled it is automatically archived by the Agency's Forms Manager, using the Agency's records disposition schedule in SOP 00 41.

4. How are the Employees Notified of Canceled Forms?

All canceled or obsolete forms are announced on the SBA Weekly Checklist which is distributed to every employee.

Chapter 6

Information Collection Budget

1. What is the Information Collection Budget (ICB)?

The Paperwork Reduction Act and 5 CFR 1320.17 require SBA to develop and submit an annual Information Collection Budget (ICB) to the Office of Management and Budget (OMB). The ICB is an annual allowance of the total number of burden hours a Federal agency may require the public to expend in providing information to the Agency.

2. Is this Part of the Information Resources Management Plan (IRMP)?

Yes, the ICB is part of the IRMP.

3. What are the Components of the ICB?

The components of the ICB are listed below.

- a. A narrative which justifies the burden hours requested, the Agency's strategy for reducing the burden, and the relationship between the Agency's fiscal budget and the ICB.
- b. A list of information collection activities that have or will occur during the current fiscal year and activities that are planned for the coming fiscal year.
- c. Summary tables which show current and upcoming fiscal year burden.

4. What is the Procedure for Responding to OMB's Request for the ICB?

- a. OAS issues a Procedural Notice to Management Board members asking for a list of all their office's information collections. All offices initiating information collection requests or requirements that need OMB approval must submit a complete ICB report to OAS.
- b. OAS prepares a current burden estimate for each of the information collections, along with an explanation of any changes that have occurred in these estimates.
- c. OAS consolidates and compiles the ICB Report and submits it to the Assistant Administrator for Administration and Chief Information Officer for clearance before forwarding it to OMB.

5. Can SBA Amend Its ICB?

Yes. To do so a program office must submit a written request for an amendment to OAS for approval. Upon review and approval OAS forwards the request to OMB.

Chapter 7

Electronic Forms

1. How Do I Get a New or Revised Form Designed in Electronic Format?

Submit an SBA 790, along with the form to the Agency's Forms Manager. The Forms Manager will review it and install it on the Agency's electronic forms system.

2. Are the Electronic Forms Fillable?

Yes, all forms on the electronic system are fillable.

3. How are Electronic Forms Distributed?

OAS submits changes to OCIO who will handle all distribution.

4. May I Place My Office's Form on the Intranet or Internet?

No. Forms can only be issued electronically through the Agency's official forms system. This system resides on the Intranet and can be accessed this way. Submit your request for SBA Forms or other Agency forms to the Agency Forms Manager for review and approval to be placed on the Intranet.

5. Who May Submit Requests to OAS?

Anyone may submit a form to OAS to be placed on the Agency's electronic forms system, as long as he or she has approval from the Management Board official or his or her designee of that office.

Appendix 1**Index to Forms and Reports**

<u>Forms</u>		<u>Paragraph</u>
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2.	SBA Form 789, "Printing Requisition"	1-6
3.	SBA Form 1697, "In-House Printing Requisition"	1-6
4.	OMB-83-I, " Paperwork Reduction Act Submission"	1-6

Reports

Reserved

Appendix 2
SBA Form 790
“U.S. Small Business Administration Request for New, Revised or Automated Form”



U.S. SMALL BUSINESS ADMINISTRATION
REQUEST FOR NEW, REVISED OR AUTOMATED FORM

PART 1. GENERAL INFORMATION (Completed by originator of form and AIB Forms Manager)

1. Originator's Name	2. Appropriation Code	3. Room No.	4. Telephone No.	5. Date Requested
6. Form No. Assigned (Fill in no., if known.) SBA Form RO Form		7. Form Title		8. Revision/Supersession (State form no. and date of revised/superseded form.)
9. Kind of Form <input type="checkbox"/> New <input type="checkbox"/> Automated <input type="checkbox"/> Revised <input type="checkbox"/> Temporary		10. How will data be filled in <input type="checkbox"/> Typewriter <input type="checkbox"/> Hand <input type="checkbox"/> PC <input type="checkbox"/> Other (Specify)		11. Is this a multicopy form? (Check one) <input type="checkbox"/> Yes <input type="checkbox"/> No
12. Estimated Monthly Usage (paper form)	13. Disposition of Superseded Stock (Check one) <input type="checkbox"/> Use until exhausted <input type="checkbox"/> Destroy/obsolete		14. Location of Forms (Check as many as apply.) <input type="checkbox"/> SBA Warehouse <input type="checkbox"/> Other <input type="checkbox"/> Issuing Office	
15. Estimated Stock Level (Estimate quantities) Maximum Stock Level Minimum Stock Level (Reorder Level)		16. Issuing Directive	17. Purpose	

PART 2. OTHER REQUIRED OFFICE APPROVAL

18. Organization	19. Signature and Title	Date	Concur	Nonconcur (State reason)

PART 3. REVIEW AND APPROVAL BY REQUESTING OFFICE

23. Approval (Check one.) <input type="checkbox"/> Approval <input type="checkbox"/> Disapproval (State reason before returning request to originator of form.)	24. Reason for Disapproval
	25. Signature
	26. Date

PART 4. REVIEW AND APPROVAL BY AIB FORMS MANAGER

27. Review (Check one.) <input type="checkbox"/> Approved <input type="checkbox"/> Approved with modifications <input type="checkbox"/> Disapproved (State reason before returning to requesting office.)	28. Reason for Disapproval
	29. Signature
	30. Date

PART 5. INFORMATION DESCRIBING INDIVIDUALS/OFFICES COMPLETING THE FORM.

31. Non SBA-Employees

Public respondents Other Government agencies

(If either of these boxes are checked review SOP 00 30 for information concerning collecting information from the public and other government agencies.)

SBA Form 790 (6-90) Previous Edition is Obsolete

Federal Recycling Program Printed on Recycled Paper

32. SBA Employees (check all that apply)

Central Office Employees

District Office Employees

Disaster Area
Office Employees

Regional Office
Employees

Branch and POD Office Employees

PART 6. SUPPORTING DOCUMENTATION ATTACHED (check all that apply)

33. Supporting documentation

Printing requisition, SBA Form 789 (must contain budget approval and originating office appropriation code.)

Distribution list, internal and external

SF 83 and supporting statement (if the form collects information from the public)

Appendix 3 SBA Form 789 "U.S. Small Business Administration Printing Requisition"

U.S. SMALL BUSINESS ADMINISTRATION PRINTING REQUISITION				DO NOT WRITE IN THIS SPACE			
FROM ORIGINATING OFFICE MAIL STOP/ADDRESS		1	FOR INFORMATION CALL 2 EXT.		DATE	SCHEDULED	
			FORM NO.	DATE	AGENCY REQ. NO.	ESTIMATED COST 6	
			DELIVERY DATE REQUESTED		APPROPRIATION CODE 8		
JOB TITLE OR DESCRIPTION		9	<input type="checkbox"/> Revised <input type="checkbox"/> New <input type="checkbox"/> Temporary <input type="checkbox"/> Reprint		BUDGET APPROVAL REQUIRED 11		
QUANTITY	NO. TEXT PAGES (Including Blanks)	NO. LEAVES	TYPESET	NEGATIVES	CAMERA COPY	MANUSCRIPT	
					SHOOT PRINTED 19 COPY		
FINISHED PRODUCT							
<input type="checkbox"/> Books or <input type="checkbox"/> Snap-outs <input type="checkbox"/> Blank Forms <input type="checkbox"/> Pads or <input type="checkbox"/> Marginally Punched <input type="checkbox"/> Self Mailer <input type="checkbox"/> Carbonless <input type="checkbox"/> Other (Specify Below)							
SIZE FLAT (Inches)	21	FOLD TO	22	PRINT ONE SIDE	HEAD TO HEAD	HEAD TO FOOT	
				OTHER		GATHER (Assemble) 24	
						FORM MUST REGISTER 25	
<input type="checkbox"/> Drill round holes <input type="checkbox"/> In diameter <input type="checkbox"/> side <input type="checkbox"/> Inches Center to Center <input type="checkbox"/> Perf. 26							
<input type="checkbox"/> Center of <input type="checkbox"/> Inches from <input type="checkbox"/> edge of <input type="checkbox"/> Shrink Film Wrap units <input type="checkbox"/> Other (Specify Below)							
PADS/SETS (Gum)		(Position)	(Sheets in Pad)	(Sets in Pad)	(Sheets in Pad)	Other	
				STAPLE (Side)		(Saddle) (No.) 27	
Text		FIRST CHOICE (Grade, color, and basis weight)		SECOND CHOICE (if any)		COLOR(S) OF INK 28	
Cover							29
Other (Specify)							30
PROOF SETS (Galley)		(Page)	DEPT. HOLD (Galley)	WORKDAYS (Pages)	PROOFS TO 31		
DELIVER TO		QUANTITY		DESTINATION		RETURN ORIG. AND/OR NEGS. TO 32	
ADDITIONAL INSTRUCTIONS							
33							
<input type="checkbox"/> Standard Internal Distribution <input type="checkbox"/> Each Region <input type="checkbox"/> Each District <input type="checkbox"/> Each Branch TOTAL <input type="checkbox"/> Each District <input type="checkbox"/> Washington <input type="checkbox"/> Regions <input type="checkbox"/> District <input type="checkbox"/> Branches <input type="checkbox"/> Originating Office <input type="checkbox"/> Quantity Limited per Request To:		34		New publication <input type="checkbox"/> Yes <input type="checkbox"/> No Justification is required for new publications, Use SBA 790, to be attached to this order 35			
				Overtime/surcharge approved <input type="checkbox"/> Yes <input type="checkbox"/> No Use SBA Form 454 For Approval 36			
				This material is used in a disaster <input type="checkbox"/> Yes <input type="checkbox"/> No 37			
				<input type="checkbox"/> GILS INFORMATION IS ATTACHED 38			
				APPROVING OFFICIAL SIGNATURE AND TITLE (Originating Office)		DATE 39	
						12-11-98	
				ADMINISTRATIVE INFORMATION BRANCH		DATE 40	
						12-11-98	

SBA Form 789 (10-97)

Previous Editions Obsolete

See Reverse Side for Instructions

**Appendix 4
SBA Form 1697
"U.S. Small Business Administration In-house Printing Requisition"**

		U.S. SMALL BUSINESS ADMINISTRATION In-house Printing Requisition	
OFFICE: _____	DATE: _____		
APPROPRIATION CODE: _____	SUB. OBJ. CODE: _____		
CONTACT: _____	PHONE NO.: _____		
PRINT JOB TITLE: _____	FORM NO. & ISSUE DATE: _____		
REQ. DELIVERY DATE: _____	ADJUSTED DATE: _____	RECEIVED DATE: _____	
New: _____	Revised: _____	Temporary: _____	Reprint: _____
		No. Text Pages: _____	
Copies: _____			
SHOOT PRINTED COPY: _____	FLAT SIZE: _____	FOLD TO: _____	
Head to Head: _____	1 Side Only: _____	Head to Foot: _____	
Drill: _____	(3 holes, 3/8" in diameter on LEFT side 4 1/4 Center to Center)		
Glue: _____	(at least 1" on left margin) WIRE STITCH: _____	Position: _____	No.: _____
PAPER STOCK: _____		INK: _____	
TEXT: _____			
COVER: _____			
OTHER: _____			
DELIVER TO: _____	QUANTITY: _____	DESTINATION: _____	
<input type="checkbox"/> GILS INFORMATION IS ATTACHED			
APPROVING OFFICIAL SIGNATURE AND TITLE (Originating Office) _____			DATE _____
ADMINISTRATIVE INFORMATION BRANCH _____			DATE _____

SBA FORM 1697 (10-97) Previous Editions Obsolete

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Appendix 5 OMB 83-1 "Paperwork Reduction Act Submission" PAPERWORK REDUCTION ACT SUBMISSION

Please read the instructions before completing this form. For additional forms or assistance in completing this form, contact your agency's Paperwork Clearance Officer. Send two copies of this form, the collection instrument to be reviewed, the Supporting Statement, and any additional documentation to: Office of Information and Regulatory Affairs, Office of Management and Budget, Docket Library, Room 10102, 725 17th Street NW Washington, DC 20503.

<p>1. Agency/Subagency originating request</p>	<p>2. OMB control number b. <input type="checkbox"/> None a. _____</p>
<p>3. Type of information collection (check one)</p> <p>a. <input type="checkbox"/> New collection</p> <p>b. <input type="checkbox"/> Revision of a currently approved collection</p> <p>c. <input type="checkbox"/> Extension of a currently approved collection</p> <p>d. <input type="checkbox"/> Reinstatement, without change, of a previously approved collection for which approval has expired</p> <p>e. <input type="checkbox"/> Reinstatement, with change, of a previously approved collection for which approval has expired</p> <p>f. <input type="checkbox"/> Existing collection in use without an OMB control number</p> <p><i>For b-f, note item A2 of Supporting Statement instructions.</i></p>	<p>4. Type of review requested (check one)</p> <p>a. <input type="checkbox"/> Regular</p> <p>b. <input type="checkbox"/> Emergency - Approval requested by: _____</p> <p>c. <input type="checkbox"/> Delegated</p> <p>5. Small entities Will this information collection have a significant economic impact on a substantial number of small entities? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>6. Requested expiration date</p> <p>a. <input type="checkbox"/> Three years from approval date b. <input type="checkbox"/> Other Specify: _____</p>
<p>7. Title</p>	
<p>8. Agency form number(s) (if applicable)</p>	
<p>9. Keywords</p>	
<p>10. Abstract</p>	
<p>11. Affected public (Mark primary with "P" and all others that apply with "X")</p> <p>a. <input type="checkbox"/> Individuals or households d. <input type="checkbox"/> Farms</p> <p>b. <input type="checkbox"/> Business or other for-profit e. <input type="checkbox"/> Federal Government State, Local or Tribal</p> <p>c. <input type="checkbox"/> Not-for-profit institutions f. <input type="checkbox"/> Government</p>	<p>12. Obligation to respond (Mark primary with "P" and all others that apply with "X")</p> <p>a. <input type="checkbox"/> Voluntary</p> <p>b. <input type="checkbox"/> Required to obtain or retain benefits</p> <p>c. <input type="checkbox"/> Mandatory</p>
<p>13. Annual reporting and recordkeeping hour burden</p> <p>a. Number of respondents _____</p> <p>b. Total annual responses _____</p> <p> 1. Percentage of these responses collected electronically _____ %</p> <p>c. Total annual hours requested _____</p> <p>d. Current OMB inventory _____</p> <p>e. Difference _____</p> <p>f. Explanation of difference</p> <p> 1. Program change _____</p> <p> 2. Adjustment _____</p>	<p>14. Annual reporting and recordkeeping cost burden (in thousands of dollars)</p> <p>a. Total annualized capital/startup costs _____</p> <p>b. Total annual costs (O&M) _____</p> <p>c. Total annualized cost requested _____</p> <p>d. Current OMB inventory _____</p> <p>e. Difference _____</p> <p>f. Explanation of difference</p> <p> 1. Program change _____</p> <p> 2. Adjustment _____</p>
<p>15. Purpose of information collection (Mark primary with "P" and all others that apply with "X")</p> <p>a. <input type="checkbox"/> Application for benefits e. <input type="checkbox"/> Program planning or management</p> <p>b. <input type="checkbox"/> Program evaluation f. <input type="checkbox"/> Research</p> <p>c. <input type="checkbox"/> General purpose statistics g. <input type="checkbox"/> Regulatory or compliance</p> <p>d. <input type="checkbox"/> Audit</p>	<p>16. Frequency of recordkeeping or reporting (check all that apply)</p> <p>a. <input type="checkbox"/> Recordkeeping b. <input type="checkbox"/> Third party disclosure</p> <p>c. <input type="checkbox"/> Reporting</p> <p> 1. <input type="checkbox"/> On occasion 2. <input type="checkbox"/> Weekly 3. <input type="checkbox"/> Monthly</p> <p> 4. <input type="checkbox"/> Quarterly 5. <input type="checkbox"/> Semi-annually 6. <input type="checkbox"/> Annually</p> <p> 7. <input type="checkbox"/> Biannually 8. <input type="checkbox"/> Other (describe) _____</p>
<p>17. Statistical methods Does this information collection employ statistical methods?</p> <p style="text-align: center;"><input type="checkbox"/> Yes <input type="checkbox"/> No</p>	<p>18. Agency contact (person who can best answer questions regarding the content of this submission)</p> <p>Name: _____</p> <p style="text-align: right;">Signature (Management Board or designee)</p> <p>Phone: _____</p>

19. Certification for Paperwork Reduction Act Submissions

On behalf of this Federal agency, I certify that the collection of information encompassed by this request complies with 5 CFR 1320.9.

NOTE: The text of 5 CFR 1320.9, and the related provisions of 5 CFR 1320.8 (b) (3), appear at the end of the instructions. *The certification is to be made with reference to those regulatory provisions as set forth in the instructions.*

The following is a summary of the topics, regarding the proposed collection of information, that the certification covers:

- (a) It is necessary for the proper performance of agency functions;
- (b) It avoids unnecessary duplication;
- (c) It reduces burden on small entities;
- (d) It uses plain, coherent, and unambiguous terminology that is understandable to respondents;
- (e) Its implementation will be consistent and compatible with current reporting and recordkeeping practices;
- (f) It indicates the retention periods for recordkeeping requirements;
- (g) It informs respondents of the information called for under 5 CFR 1320.8 (b) (3):
 - (i) Why the information is being collected;
 - (ii) Use of information;
 - (iii) Burden estimate;
 - (iv) Nature of response (voluntary, required for a benefit, or mandatory);
 - (v) Nature of extent of confidentiality; and
 - (vi) Need to display currently valid OMB control number;
- (h) It was developed by an office that has planned and allocated resources for the efficient and effective management and use of the information to be collected (see note in Item 19 of the instructions);
- (i) It uses effective and efficient statistical survey methodology; and
- (j) It makes appropriate use of information technology.

If you are unable to certify compliance with any of these provisions, identify the item below and explain the reason in Item 18 of the Supporting Statement.

Signature of Authorized Agency Official	Date
Signature of Senior Official or designee	Date

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Supporting Statement for Paperwork Reduction Act Submissions

General Instructions

A Supporting Statement, including the text of the notice to the public required by 5 CFR 1320.5(a)(i)(iv) and its actual or estimated date of publication in the Federal Register, must accompany each request for approval of a collection of information. The Supporting Statement must be prepared in the format described below, and must contain the information specified in Section A below. If an item is not applicable, provide a brief explanation. When Item 17 of the OMB Form 83-1 is checked "Yes", Section B of the Supporting Statement must be completed. OMB reserves the right to require the submission of additional information with respect to any request for approval.

Specific Instructions

A. Justification

1. Explain the circumstances that make the collection of information necessary. Identify any legal or administrative requirements that necessitate the collection. Attach a copy of the appropriate section of each statute and regulation mandating or authorizing the collection of information.
2. Indicate how, by whom, and for what purpose the information is to be used. Except for a new collection, indicate the actual use the agency has made of the information received from the current collection.
3. Describe whether, and to what extent, the collection of information involves the use of automated, electronic, mechanical, or other technological collection techniques or other forms of information technology, e.g. permitting electronic submission of responses, and the basis for the decision for adopting this means of collection. Also describe any consideration of using information technology to reduce burden.
4. Describe efforts to identify duplication. Show specifically why any similar information already available cannot be used or modified for use for the purposes described in Item 2 above.
5. If the collection of information impacts small businesses or other small entities (Item 5 of OMB Form 83-1), describe any methods used to minimize burden.
6. Describe the consequence to Federal program or policy activities if the collection is not conducted or is conducted less frequently, as well as any technical or legal obstacles to reducing burden.
7. Explain any special circumstances that would cause an information collection to be conducted in a manner:
 - requiring respondents to report information to the agency more often than quarterly;
 - requiring respondents to prepare a written response to a collection of information in fewer than 30 days after receipt of it;
 - requiring respondents to submit more than an original and two copies of any document;
8. If applicable, provide a copy and identify the date and page number of publication in the Federal Register of the agency's notice, required by 5 CFR 1320.8 (d), soliciting comments on the information collection prior to submission to OMB. Summarize public comments received in response to that notice and describe actions taken by the agency in response to these comments. Specifically address comments received on cost and hour burden.

Describe efforts to consult with persons outside the agency to obtain their views on the availability of data, frequency of collection, the clarity of instructions and recordkeeping, disclosure, or reporting format (if any), and on the data elements to be recorded, disclosed, or reported.

Consultation with representatives of those from whom information is to be obtained or those who must compile records should occur at least once every 3 years — even if the collection of information activity is the same as in prior periods. There may be circumstances that may preclude consultation in a specific situation. These circumstances should be explained.
9. Explain any decision to provide any payment or gift to respondents, other than reenumeration of contractors or grantees.
10. Describe any assurance of confidentiality provided to respondents and the basis for the assurance in statute, regulation, or agency policy.
11. Provide additional justification for any questions of a sensitive nature, such as sexual behavior and attitudes, religious beliefs, and other matters that are commonly considered private. This justification should include the reasons why the agency considers the questions necessary, the specific uses to be made of the information, the explanation to be given to persons from whom the information is requested, and any steps to be taken to obtain their consent.
12. Provide estimates of the hour burden of the collection of information. The statement should:
 - Indicate the number of respondents, frequency of response, annual hour burden, and an explanation of how the burden was estimated. Unless directed to do so, agencies should not conduct special surveys to obtain information on which to base hour burden estimates. Consultation with a sample (fewer than 10) of potential respondents is desirable. If the hour burden on respondents is expected to vary widely because of differences in activity, size, or complexity, show the range of estimated hour burden, and explain the reasons for the variance. Generally, estimates should not include burden hours for customary and usual business practices.
 - If this request for approval covers more than one form, provide separate hour burden estimates for each form and aggregate the hour burdens in Item 13 of OMB Form 83-1.
 - Provide estimates of annualized cost to respondents for the hour burdens for collections of information, identifying and using appropriate wage rate categories. The cost of contracting out or paying outside parties for information collection activities should not be included here. Instead, this cost should be included in Item 14.
13. Provide an estimate of the total annual cost burden to respondents or recordkeepers resulting from the collection of information. (Do not include the cost of any hour burden shown in Items 12 and 14).
 - The cost estimate should be split into two components: (a) a total capital and start-up cost component (annualized over its expected useful life); and (b) a total operation and maintenance and purchase of services component. The estimates should take into account costs associated with generating, maintaining, and disclosing or providing the information. Include descriptions of methods used to estimate major cost factors including system and technology acquisition, expected useful life of capital equipment, the discount rate(s), and the time period over which costs will be incurred. Capital and start-up costs include, among other items, preparations for collecting information such as purchasing computers and software; monitoring, sampling, drilling and testing equipment; and record storage facilities.
 - If cost estimates are expected to vary widely, agencies should present ranges of cost burdens and explain the reasons for the variance. The cost of purchasing or contracting out information collection services should be a part of this cost burden estimate. In developing cost burden estimates, agencies may consult with a sample of respondents (fewer than 10), utilize the 60-day pre-OMB submission public com-

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- ment process and use existing economic or regulatory impact analysis associated with the rulemaking containing the information collection, as appropriate.
- Generally, estimates should not include purchases of equipment or services, or portions thereof, made: (1) prior to October 1, 1995, (2) to achieve regulatory compliance with requirements not associated with the information collection, (3) for reasons other than to provide information or keep records for the government, or (4) as part of customary and usual business or private practices.
14. Provide estimates of annualized cost to the Federal government. Also, provide a description of the method used to estimate cost, which should include quantification of hours, operational expenses (such as equipment, overhead, printing, and support staff), and any other expense that would not have been incurred without this collection of information. Agencies also may aggregate cost estimates from Items 12, 13, and 14 in a single table.
 15. Explain the reasons for any program changes or adjustments reported in Items 13 or 14 of the OMB Form 83-1.
 16. For collections of information whose results will be published, outline plans for tabulation, and publication. Address any complex analytical techniques that will be used. Provide the time schedule for the entire project, including beginning and ending dates of the collection of information, completion of report, publication dates, and other actions.
 17. If seeking approval to not display the expiration date for OMB approval of the information collection, explain the reasons that display would be inappropriate.
 18. Explain each exception to the certification statement identified in Item 19, "Certification for Paperwork Reduction Act Submissions," of OMB Form 83-1.
- B. Collections of Information Employing Statistical Methods**
- The agency should be prepared to justify its decision not to use statistical methods in any case where such methods might reduce burden or improve accuracy of results. When Item 17 on the Form OMB 83-1 is checked "Yes", the following documentation should be included in the Supporting Statement to the extent that it applies to the methods proposed:
1. Describe (including a numerical estimate) the potential respondent universe and any sampling or other respondent selection method to be used. Data on the number of entities (e.g., establishments, State and local government units, households, or persons) in the universe covered by the collection and in the corresponding sample are to be provided in tabular form for the universe as a whole and for each of the strata in the proposed sample. Indicate expected response rates for the collection as a whole. If the collection had been conducted previously, include the actual response rate achieved during the last collection.
 2. Describe the procedures for the collection of information including:
 - Statistical methodology for stratification and sample selection.
 - Estimation procedure.
 - Degree of accuracy needed for the purpose described in the justification.
 - Unusual problems requiring specialized sampling procedures, and
 - Any use of periodic (less frequent than annual) data collection cycles to reduce burden.
 3. Describe methods to maximize response rates and to deal with issues of non-response. The accuracy and reliability of information collected must be shown to be adequate for intended uses. For collections based on sampling, a special justification must be provided for any collection that will not yield "reliable" data that can be generalized to the universe studied.
 4. Describe any tests of procedures or methods to be undertaken. Testing is encouraged as an effective means of refining collections of information to minimize burden and improve utility. Tests must be approved if they call for answers to identical questions from 10 or more respondents. A proposed test or set of tests may be submitted for approval separately or in combination with the main collection of information.
 5. Provide the name and telephone number of individuals consulted on statistical aspects of the design and the name of the agency unit, contractor(s), grantee(s), or other person(s) who will actually collect and/or analyze the information for the agency.

Appendix 6
Sample Answers for the Supporting Statement for Paperwork Reduction Act
Submissions

Justification

1. Small businesses who want to participate in SBA's programs need to provide the information requested on SBA Form 355, as stated in 13 CFR 121.1009 that reads "The concern whose size is under consideration has the burden of establishing its small business size." Section 121.1002 states "The responsible Government Contracting Area Director or designee makes all formal size determinations in response to either a size protest or a request for a formal size determination..." Similar information is not available elsewhere.
 - 1a. The changes made to this form are in direct response to changes in the regulations at 13 CFR Part 121.
2. The information will be requested by SBA Government Contracting personnel on a case-by-case basis to obtain information necessary to make a size determination. Current information on a case-by-case basis is the only way to determine eligibility of applicants for Federal Government small business assistance. If data was not collected, program benefits could be misapplied to the ineligible.
3. Only the minimum necessary data is obtained, which must be current at the time of submission and must be legally certified. This limits the opportunity for the use of improved information technology.
4. Similar information is not available.
5. Burden on small business is minimized by requiring the minimum information necessary to make a proper size determination.
6. Information collection is needed when the size status of a business requesting SBA assistance is questioned. There are no other methods of size determination used, other than SBA Form 355. This form is requested, completed, and submitted on an "as needed" basis by SBA Government Contracting Area Offices (as stated in 13 CFR 121.1008). There are approximately 4/125 responses per year. SBA's services are continuous throughout the year. By limiting the respondents, the programs to service small business concerns will be thwarted. SBA's enabling legislation requires assistance to small businesses and without SBA Form 355, the first step in determining if a business is small is non-existent.
7. There are no special circumstances.
8. 61 FR 25723, date May 22, 1996.
9. Not applicable.

10. The information is maintained under conditions designed to preclude access by other than Agency personnel who have need to such access. SBA is familiar with and complies with the Privacy Act, Exemption 4 of the Freedom of Information Act, and OMB Circular A-108.
11. No questions of a sensitive nature are asked.
12. $4,125$ (respondents) \times 1 (responses per respondent) \times 4 (hours per respondent) – $16,500$ burden hours.
13. $4,125$ (respondents) \times $\$22$ (hourly wage) \times 4 (hours per respondent) - $\$363,000$. There is no capital and start-up cost component.
14. The estimated annual cost to the Federal Government of this collection of information is $\$29,947.50$. This cost estimate may be broken down as follows: $\$6.60$ (.30 hr @ $\$22.00$ per hour; labor cost) \times $4,125$ (respondents) = $\$27,225.00$. 10 percent for fringe benefits, printing and supply costs - $\$2,722.50$. $\$27,225.00$ (labor costs) + $\$2,722.50$ (administrative costs) = $\$29,947.50$ (total estimated annual cost to the Federal Government).
15. Not applicable.
16. No publishing is planned.
17. Not applicable.
18. There are no exceptions to the certification statement.

B. Collections of Information Employing Statistical Methods

This collection of information does not employ statistical methods.