



## Working to Insure Regulatory Fairness for America's Small Businesses

**If excessive fines, penalties or unfair regulatory enforcement actions by federal agencies are problems for your small business, you have an advocate in the U.S. Small Business Administration's Office of the National Ombudsman.**

- The National Ombudsman assists small businesses facing unfair or excessive federal regulatory compliance or enforcement issues such as repetitive audits or investigations, excessive fines, and retaliation.
- The process is a confidential and effective way for small businesses to voice concerns about enforcement of federal regulations, especially those that significantly burden small business.
- As an impartial liaison, the Office of the National Ombudsman directs these concerns to the appropriate agency for high-level fairness review, and works across government to address those concerns, reduce regulatory burdens, and help small businesses succeed.

### **The National Ombudsman can help:**

- If you're a small business or represent one, a small government entity (population 50,000 or less) or a small nonprofit organization and
- If your comment or complaint directly involves a federal agency and federal regulation.

### **Protecting Small Businesses and Promoting Accountability:**

- The National Ombudsman reports to Congress annually on how federal agencies work with the small businesses they regulate. Each agency is graded on the timeliness and quality of its responses to small business concerns about regulatory compliance and enforcement.
- The Ombudsman also coordinates activities of 10 Regional Regulatory Fairness Boards that help connect small businesses with resources available through the National Ombudsman's Office.

To comment on regulations before they are implemented, contact: The Office of Advocacy at [www.sba.gov/advocacy](http://www.sba.gov/advocacy)

For more information visit [www.sba.gov/ombudsman](http://www.sba.gov/ombudsman)  
Or call SBA's answer desk at 800-U ASK SBA (800-827-5722)

*SBA programs and services are provided on a nondiscriminatory basis.*

### **To File a Comment or Complaint with the Office of the National Ombudsman:**

Complete the short form at  
[www.sba.gov/ombudsman/comment](http://www.sba.gov/ombudsman/comment)

Then submit it online or by email, fax,  
or mail to: [ombudsman@sba.gov](mailto:ombudsman@sba.gov)  
202-481-5719 (fax)

U.S. Small Business Administration  
Office of the National Ombudsman  
409 3rd Street S.W.  
Washington, DC 20416

### **What to Include:**

- 1) Describe the enforcement, inspection, or compliance action taken by the federal agency and the results.
- 2) Briefly state the specific action or outcome you are seeking.
- 3) Provide documentation of the action taken if available, such as correspondence, citations, or notices.

The Office of the National Ombudsman will work with the relevant agency to obtain a high-level review and responsive answer to your concerns.

For help, call the Ombudsman at:  
888-734-3247 (888-REG-FAIR)

**Regulatory Fairness Helpline**  
**888-REG-FAIR**  
**[www.sba.gov/ombudsman](http://www.sba.gov/ombudsman)**



# Federal Agency Comment Form

## Small Business Administration – Office of the National Ombudsman

Purpose: Small business owners may use this form to submit comments on Federal enforcement/compliance actions that they consider excessive or unfair. The National Ombudsman will use the information when it contacts the applicable Federal agency for a review of the action.

OMB Control #3245-0313

Exp. date 6/30/2016

Case #: \_\_\_\_\_

### Instructions

1. Complete, sign and date this form. (Signature not required if completed at [www.sba.gov/ombudsman](http://www.sba.gov/ombudsman)).
2. Provide a brief written statement on the reverse side regarding the specific enforcement or compliance action taken against your organization by the federal agency.
3. Submit copies of substantiating documentation, such as correspondence, citation, or notice (Note: Can be submitted separately from this form by fax or mail. Make sure to reference your name or company's name with this information).
4. If your comments concern the IRS, you must also submit a completed IRS Tax Information Authorization Form 8821, available at <http://www.irs.gov/Forms> (Can be sent by fax or mail).
5. Fax, e-mail or send this form and requested information to: (1) Fax: (202) 481-5719; (2) E-mail: [Ombudsman@sba.gov](mailto:Ombudsman@sba.gov); (3) Address: SBA, Office of the National Ombudsman, 409 Third Street, SW, Washington, DC 20024. Telephone : (202) 205-2417.

### Please Print

Organization/Company Name : \_\_\_\_\_

Address: \_\_\_\_\_

City: \_\_\_\_\_ State : \_\_\_\_\_ Zip: \_\_\_\_\_

Phone: \_\_\_\_\_ Fax : \_\_\_\_\_ E-mail: \_\_\_\_\_

Contact Name : Mr.  Ms.  \_\_\_\_\_ Title: \_\_\_\_\_

Please indicate your organization type:

- Small Business       Not-for-Profit, Representing \_\_\_\_\_ Members  
 Small Government (population of less than 50,000)  Association, Representing \_\_\_\_\_ Members

### List the federal agency with which you are having a problem:

Federal Agency Name: \_\_\_\_\_

Agency Contact person: \_\_\_\_\_

Agency Office/Division: \_\_\_\_\_

Did the federal agency listed above inform you of your right to contact the SBA Office of the National Ombudsman?

Yes       No

If not, how did you learn about this office?

### Confidentiality / Disclosure

The Small Business Regulatory Enforcement Fairness Act (SBREFA), allows you to keep your identity and other information private, and limit its access only to the SBA (See 15 U.S.C. 657 (b) (2) (B)). However, by requesting confidentiality the federal agency may not have sufficient information to investigate your specific problem, possibly delaying or preventing any potential resolution of your situation.

I request that my information be kept confidential.  Yes  No (If yes, results may be limited.)

Signature: \_\_\_\_\_ Date : \_\_\_\_\_

Your signature authorizes the SBA Ombudsman to proceed on your behalf.

**Pursue all legal options you believe are in your company's best interest.**

**This process is not a substitute for legal action.**

### SBA FORM 1993 (3-13) Previous Editions Obsolete

Please Note: The estimated burden for completing this form is 45 minutes. You are not required to respond to this information collection if a valid OMB approval number is not displayed. If you have any questions or comments concerning this estimate or other aspects of this information collection, please contact the U. S. Small Business Administration, Chief, Administrative Information Branch, Washington, D.C . 20416 and/or Office of Management and Budget, Clearance Officer, Paperwork Reduction Project (3245-0313), Washington, D.C. 20503. PLEASE DO NOT SEND FORMS TO OMB, as this will delay action on your request for assistance.

**Please type or print your comments on a separate sheet and return it with this form.**