

General Instructions

A Supporting Statement must accompany each request for approval of a collection of information. The Supporting Statement must be prepared in the format described below. **If an item is not applicable, provide a brief explanation.** When Item 17 of the OMB 83-I 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.

Instructions for the Supporting Statement

Each request for OMB approval of an information collection must include a Supporting Statement. Following is a template to be used for the Supporting Statement. Each item must be addressed. In response to statistical methods, provide a statement indicating that the information collection does not employ statistical methods. If statistical methods are used, contact EIA.

To use the template, replace the “*italics verbiage*” with the appropriate response.

Supporting Statement: {Insert Title of Collection}
OMB Control Number 1910-{Enter 4-digit code}

This supporting statement provides additional information regarding the Department of Energy (DOE) request for processing of the proposed information collection, (*Insert Title of Information Collection Request*). The numbered questions correspond to the order shown on the Office of Management and Budget (OMB) Form 83-I, "Instructions for Completing OMB Form 83-I."

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 information collection.**

Often the statute will be one authorizing the general program for which the collection is being conducted, for instance, P.L. 95-91 of August 17, 1977, Department of Energy Organization Act. Provide some background information on the program and describe how the collection supports it.

If DOE is already collecting information from the same population of respondents, briefly describe these collections and how they relate to the proposed collection. Every practical effort should be made to consolidate requirements on the same respondents, and the Supporting Statement should reflect that this has been done. If collections have very similar questions, describe the relationship in Item 4.

- 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**

One of OMB's standards under the PRA is whether the information has "practical utility." Practical Utility refers to the usefulness of information to carry out the agencies functions in a timely manner. It must be demonstrated that the information being collected will be used for a practical and necessary program purpose.

- 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.**

Explain the basis for the decision for adopting this means of collection. Describe any consideration given to the use of improved information technology to reduce the burden on the public.

- 4. Describe efforts to identify duplication.**

Show specifically why any similar information already available in other collections cannot be used or modified for the purposes described in Item 2 above.

5. If the collection of information impacts small businesses or other small entities, describe any methods used to minimize burden.

If the collection will have a significant impact on small entities such as small businesses, organizations, or government bodies (Item 5 of OMB Form 83-I), describe the methods used to minimize them.

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.

Be sure to address all parts of the question. If the information will be collected only once, it is appropriate to state that the collection is a “one-time collection.”

7. Explain any special circumstances that require the collection to be conducted in a manner inconsistent with OMB guidelines. (a) requiring respondents to report information to the agency more often than quarterly; (b) requiring respondents to prepare a written response to a collection of information in fewer than 30 days after receipt of it; (c) requiring respondents to submit more than an original and two copies of any document; (d) requiring respondents to retain records, other than health, medical government contract, grant-in-aid, or tax records, for more than three years; (e) in connection with a statistical survey, that is not designed to product valid and reliable results that can be generalized to the universe of study; (f) requiring the use of statistical data classification that has not been reviewed and approved by OMB; (g) that includes a pledge of confidentiality that is not supported by authority established in stature of regulation, that is not supported by disclosure and data security policies that are consistent with the pledge, or which unnecessarily impedes sharing of data with other agencies for compatible confidential use; (h) requiring respondents to submit proprietary trade secrets, or other confidential information unless the agency can demonstrate that it has instituted procedures to protect the information’s confidentiality to the extent permitted by law.

Explain any inconsistencies in the collection.

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 5CFR 320.8(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 in response to the comments. Specifically address comments received on cost and hour burden. Describe efforts to consult with persons outside DOE 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 report.

Specifically address comments received on the estimated cost and burden hours. If submitting the request in association with a Notice of Proposed Rulemaking, stat that comment is being solicited in the proposed rule.

Describe efforts to consult with persons outside DOE (for example, town meetings or other public forums) to obtain their views on the availability of data, the frequency of collection, the clarity of instructions, the amount of burden to be imposed, and ways to minimize the burden. Consultation with representatives of those being affected should occur at least once every three years, even if the collection has not changed. Explain any circumstances that preclude the consultation.

If no comments were received, indicate” no comments were received”.

9. Explain any decision to provide any payment or gift to respondents, other than reenumeration of contractors or grantees.

If proposing to provide payments or gifts to respondents other than remuneration of contractors or grantees, provide a justification for doing so.

10. Describe any assurance of confidentiality provided to respondents and the basis for the assurance in statute, regulation, or agency policy.

Cite the authority for promising confidentiality if there are plans to collect identifiable information. Explain what methods will be used to maintain the privacy/confidentiality of the respondents.

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 DOE 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.

The justification should include the reasons why the questions are necessary, the specific uses for the information, the explanation to be given to the respondents, and any steps 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, DOE should not conduct special surveys to obtain information on which to base hour burden estimates. Consultation with a sample fewer than 10 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 reason for the

variance. Estimates should not include burden hours for customary and usual business practices.

If the collection involves more than one collection instrument, provide the hour burden estimate for each instrument. Aggregate the hour burdens in Item 13 of OMB Form 83-I.

Response time includes not only the time necessary to complete the form or answer the questions, but also the time needed to search data sources, gather the information, and reviewing the information. Explain how estimates were derived.

Provide estimates of annualized cost to respondents for the hour burdens for information collections, 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 13.

Use table below to provide burden hour balances:

Total number of unduplicated respondents: XXX (insert number)

Reports filed per person: X(insert number)

Total annual responses: XXX (insert number)

Total annual burden hours: XX (insert number)

Average Burden Per Collection: XX hour

Per Applicants: XX hour

13. Provide an estimate for 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 of this statement. The costs identified here will go in Block #14 of OMB Form 83-I.

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, present ranges of cost burdens and explain the reasons for the variance. The cost of purchasing or contracting out information collections services should be a part of this cost burden estimate.

Generally, estimates should not include purchases of equipment or services, or portions thereof, made: (1) to achieve regulatory compliance with requirements not associated with the information collection, (2) for reasons other than to provide information or keep records for the government, or (3) as part of customary and usual business of private practices.

14. Provide estimates of annualized cost to the Federal government.

In addition, provide a description of the method used to estimate costs, which should show the quantification of hours, operational expenses (such as equipment, overhead, printing, and staff support), and any other expense which would not have been incurred without this information collection. Cost estimates from Items 12, 13, and 14 can be aggregated in a single table.

15. Explain the reasons for any program changes or adjustments reported in Items 13 (or 14) of OMB Form 83-I.

Program changes are new collections or changes in requirements. Adjustments are re-estimates of the number of responses to or the response times for existing requirements or surveys.

16. For collections whose results will be published, outline the plans for tabulation and publication.

Address any complex analytical techniques that will be used. Provide a time schedule for the collection, publication, and other actions.

17. If seeking approval to not display the expiration date for OMB approval of the information collection, explain the reasons why display would be inappropriate.

Self-explanatory.

18. Explain each exception to the certification statement identified in Item 19 of OMB Form 83-I.

Self-explanatory.

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-I 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 methods 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.

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 describe in the justification, unusual problems requiring specialized sampling procedures, and any use of periodic 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 base 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 the call for answers to identical questions from 10 or more respondents.

A proposed test or set of test 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.

Self-explanatory.