

View ICR - Agency Submission

OMB Control No:
Status: Received in OIRA
Agency/Subagency: DOL/EBSA

ICR Reference No: 201305-1210-006
Previous ICR Reference No:
Agency Tracking No:

Title: Focus Groups and Survey Regarding Pension Benefit Statements

Type of Information Collection: New collection (Request for a new OMB Control Number)

Type of Review Request: Regular

Requested Expiration Date: 36 Months From
Approved

Date Submitted to OIRA: 08/09/2013

Abstract: Section 105(a) of the Employee Retirement Income Security Act of 1974 (ERISA), which is administered by DOL, requires administrators of ERISA-covered individual account plans to automatically furnish periodic benefit statements to participants and beneficiaries. The Department of Labor Employee Benefits Security Administration (DOL-EBSA) is requesting approval from the Office of Management and Budget (OMB) to conduct a survey and an experiment on participants in an existing household Internet panel called the American Life Panel (ALP) and to conduct four focus groups of non-panel members. The survey and focus groups are exploring whether information contained in sample benefit statements can be presented in a way that improves recipients' understanding of the statements and helps them better plan for retirement. This project is funded by DOL-EBSA. DOL has contracted with the RAND Corporation, a non-profit research institute, to conduct this study.

Specifically, the data will be collected through the following methods:

- Four focus groups that will pretest the model benefits statements, each containing slightly different information.
- A survey of 2,900 respondents from the American Life Panel

Authorizing Statute(s):

US Code: 29 USC 105(a) Name of Law: Employee Retirement Income Security Act of 1974 (ERISA)

Citations for New Statutory Requirements:

None

Associated Rulemaking Information

RIN:	Stage of Rulemaking: Not associated with rulemaking	Federal Register Citation:	Date:
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Federal Register Notices & Comments

60-day Notice: Federal Register Citation: 78 FR 4458 Citation Date: 01/22/2013
30-day Notice: Federal Register Citation: 78 FR 48722 Citation Date: 08/09/2013

Did the Agency receive public comments on this ICR? Yes

Number of Information Collection (IC) in this ICR: 2

ICR Summary of Burden

	Total Request	Previously Approved	Change Due to New Statue	Change Due to Agency Discretion	Change Due to Adjustment in Estimate	Change Due to Potential Violation of the PRA
Annual Number of Responses	2,950	0	0	2,950	0	0
Annual Time Burden (Hr)	945	0	0	945	0	0
Annual Cost Burden (\$)	0	0	0	0	0	0

Burden increases because of Program Change due to Agency Discretion: Yes

Burden Increase Due to: Miscellaneous Actions

Burden decreases because of Program Change due to Agency Discretion: No

Burden Reduction Due to:

Short Statement: This is a new ICR.

Annual Cost to Federal Government: \$0

Does this IC contain surveys, censuses, or employ statistical methods? Yes Part B of Supporting Statement

Is the Supporting Statement intended to be a Privacy Impact Assessment required by the E-Government Act of 2002? No

Is this ICR related to the American Recovery and Reinvestment Act of 2009 (ARRA)? No

Is this ICR related to a guidance document? No

Agency Contact: Chris Cosby 202 693-8540

On behalf of this Federal agency, I certify that the collection of information encompassed by this request complies with 5 CFR 1320.9 and the related provisions of 5 CFR 1320.8(b)(3).

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 language 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) about:
 - (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);

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(v) Nature and 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.

(i) It uses effective and efficient statistical survey methodology (if applicable); and

(j) It makes appropriate use of information technology.

If you are unable to certify compliance with any of these provisions, identify the item(s) and explain the reason in the Supporting Statement.

Certification Date: 08/09/2013

Certifying Official

APC: Smyth, Michel 202 693-4129 smyth.michel@dol.gov

On Behalf of: Leaf, Dawn 202 693-4220 leaf.dawn.m@dol.gov

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Request Status: Received in OIRA	Last Event: Submitted	Last Event User: Smyth, Michel	Last Event Date: 08/09/2013

View IC

IC Title: Household Survey
Is this a Common Form? No

Agency IC Tracking Number:
IC Status: New

Obligation to Respond: Voluntary

CFR Citation:

Information Collection Instruments:

Instrument File	Form No.	Form Name	Document Type	URL	Available Electronically?	Can Be Submitted Electronically?	Electronic Capability
Survey Instrument 8-1-13.docx			Other - Survey Instrument		Yes	Yes	Fillable Fileable

Federal Enterprise Architecture Business Reference Module

Line of Business: Income Security

Subfunction: General Retirement and Disability

Privacy Act System of Records

Title:

FR Citation:

Number of Respondents: 2,900

Number of Respondents for Small Entity: 0

Affected Public: Individuals or Households

Percentage of Respondents Reporting Electronically: 100%

Annual IC Burden:

	Requested	Program Change Due to New Statute	Program Change Due to Agency Discretion	Change Due to Adjustment in Agency Estimate	Change Due to Potential Violation of the PRA	Previously Approved
Annual Number of Responses for this IC	2,900	0	2,900	0	0	0
Annual IC Time Burden (Hours)	870	0	870	0	0	0
Annual IC Cost Burden (Dollars)	0	0	0	0	0	0

Documents for IC

Title	Document	Date Uploaded	Uploaded By
Survey Instrument Clarifications for OMB Reviewer	Survey Instrument Clarifications for OMB Reviewer 5-28-13.docx	05/28/2013	Beckmann, Allan

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View IC

IC Title: Focus Groups
Is this a Common Form? No

Agency IC Tracking Number:
IC Status: New

Obligation to Respond: Voluntary

CFR Citation:

Information Collection Instruments:

Instrument File	Form No.	Form Name	Document Type	URL	Available Electronically?	Can Be Submitted Electronically?	Electronic Capability
Sample Statement V2 5-28-13.docx			Other - Sample Statement Version 2		No		Printable Only
Sample Statement V1 5-28-13.docx			Other - Sample Statement version 1		No		Printable Only
Sample Statement V3 5-28-13.docx			Other - Sample Statement Version 3		No		Printable Only
Informed Consent Statement 8-1-13.docx			Other - Informed Consent Statement		No		Paper Only
Focus Group Discussion Guide 5-28-13.docx			Other - Focus Group Discussion Guide		No		Paper Only

Federal Enterprise Architecture Business Reference Module

Line of Business: Income Security

Subfunction: General Retirement and Disability

Privacy Act System of Records

Title:

FR Citation:

Number of Respondents: 50

Number of Respondents for Small Entity: 0

Affected Public: Individuals or Households

Percentage of Respondents Reporting Electronically: 0%

Annual IC Burden:

	Requested	Program Change Due to New Statute	Program Change Due to Agency Discretion	Change Due to Adjustment in Agency Estimate	Change Due to Potential Violation of the PRA	Previously Approved
Annual Number of Responses for this IC	50	0	50	0	0	0
Annual IC Time Burden (Hours)	75	0	75	0	0	0
Annual IC Cost Burden (Dollars)	0	0	0	0	0	0

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View ICR Documents

Supporting Statement A

Document	Version	Date Uploaded	Uploaded By
Part A Supporting Statement 8-1-13.docx	0.0	08/01/2013	Beckmann, Allan

Supporting Statement B

Document	Version	Date Uploaded	Uploaded By
Part B Supporting Statement.docx	0.0	05/28/2013	Beckmann, Allan

Supplementary Documents

Title	Document	Document Type	Date Uploaded	Uploaded By
DOL Chief Evaluation Officer Approval of Part B	CEOPRAPARTBApp roval.pdf	Supplementary Document	07/18/2013	Cosby, Christopher

Public Comments

Author Name	Comment Document	Author Affiliation	Sponsoring Org.	Type	Category	Date of Comment	Date Comment Received
Certner, David	AARP - re benefit statement study final 3-25-13.pdf	Legislative Counsel & Legislative Policy Director Governmental Affairs	AARP	Letter	Simple	03/25/2013	03/25/2013
Jacobson, Jan	ABC - comment dol benefit statements survey 032213.pdf	Senior Counsel, Retirement Policy	American Benefits Council	Email	Simple	03/22/2013	03/22/2013

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Public Comments

Author Name	Comment Document	Author Affiliation	Sponsoring Org.	Type	Category	Date of Comment	Date Comment Received
Abbey, David	ICI - Comment Letter on Benefit Statement Information Collection Request (3-25-13 FINAL).pdf	Senior Council Pension Regulation	Investment Company Institute	Email	Simple	03/25/2013	03/25/2013
Smith, Jane	Pension Rights Center Comment.pdf	Policy Associate	Pension Rights Center	Email	Simple	03/20/2013	03/20/2013
Goldbrum, Larry	SPARK - Comments-Re-DOL-Statements-Survey-3-25-13-FINAL.PDF	General Counsel	SPARK Institute	Email	Simple	03/25/2013	03/25/2013
Mitchell, Olivia	Olivia Mitchell Comment.pdf	Executive Director, Pension Research Council	The Wharton School, University of Pennsylvania	Email	Simple	03/24/2013	03/24/2013