

Form 5500 Package

PRA-numbers

6/6/2007

**DOL**

Number of Respondents (total)	780,000
Number of Respondents for Small Entity	630,000

ICR

	2007 - 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	780,000	0	0	-57,755	0	837,755
Annual IC Time Burden (Hours)	536,000	-23,000	0	-1,389,529	0	1,948,529
Annual IC Cost Burden (Dollars)	195,000,000	-18,000,000	0	-450,870,000	0	663,870,000

Short Statement

EBSA updated the model that is used for these burden calculations and used updated estimates of the number of plans affected by the regulation (Change Due to Adjustment in Agency).

The Pension Protection Act of 2006 required a simplified reporting alternative for certain small plans (Program Change Due to New Statute).

Annual Cost to Federal Government \$8.2 Million

THIS DOCUMENT IS RELATED TO THE FORM 5500 NOTICE AND NOTICE OF RULEMAKING (RULE: RIN: 1210-AB06, OMB Ref #: 1210-A135)

Form 5500 Package 2008 PRA-numbers 5/26/2008

**DOL**  
 Number of Respondents (total) 780,000  
 Number of Respondents for Small Entity 630,000

ICR

	2008 - 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	2007 - Baseline rounded	2007 - Final	Check - yearly requested	2008 - Final unrounded	Change from 2007 to 2008 - unrounded
Annual Number of Responses for this IC	780,000	0	0	0	0	780,000	780,000	780,450	780,000	780,450	0
Annual IC Time Burden (Hours)	521,000	-15,000	0	0	0	536,000	559,000	536,450	521,000	520,807	-15,643
Annual IC Cost Burden (Dollars)	190,000,000	-5,000,000	0	0	0	195,000,000	213,000,000	195,412,598	190,000,000	189,709,002	-5,703,596

The Pension Protection Act of 2006 required some new questions as well as a question for the total number of contributing employers for defined benefit plans and an asset allocation question on the Schedule R (Program Change Due to New Statute). One time transition costs for the new questions in 2007 were considered for 2007. In 2008 no transition costs were considered for items that were introduced in 2007 which is the main reason for the burden reduction between 2007 and 2008.  
 The simplified reporting alternative for certain small plans is still in place (Change in 2007).

Short Statement

Annual Cost to Federal Government \$8.4 Million  
 THIS DOCUMENT IS RELATED TO THE FORM 5500 NOTICE AND NOTICE OF RULEMAKING (RULE: RIN: 1210-AB06, OMB Ref #: 1210-A135)

2009

Form 5500 Package

PRA-numbers

8/6/2009

**DOL**

Number of Respondents (total) 780,000

Number of Respondents for Small Entity 630,000

ICR

	2009 - 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	780,000	0	0	0	0	780,000
Annual IC Time Burden (Hours)	530,000	0	9,000	0	0	521,000
Annual IC Cost Burden (Dollars)	178,000,000	0	-12,000,000	0	0	190,000,000

The main difference from the 2008 Forms are: (a) all forms will be required to be filed electronically; (b) Schedule E and Schedule SSA will be removed; (c) the new Short Form 5500 (5500-SF) will be established; (d) the special limited reporting rules for Code section 403(b) plans will be eliminated; (e) Schedule C will be revised; (f) additional data elements will be added to Schedule R; and (g) various smaller technical revisions will be made to the Schedule A, Schedule H, and Schedule I.

Short Statement

Annual Cost to Federal Government \$8.4 Million

THIS DOCUMENT IS RELATED TO THE FORM 5500 NOTICE AND NOTICE OF RULEMAKING (RULE: RIN: 1210-AB06, OMB Ref #: 1210-A135)

2010

Form 5500 Package

PRA-numbers

8/17/2009

**DOL**

Number of Respondents (total) 780,000

Number of Respondents for Small Entity 630,000

ICR

	2009 - 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	780,000	0	0	0	0	780,000
Annual IC Time Burden (Hours)	530,000	0	0	0	0	530,000
Annual IC Cost Burden (Dollars)	178,000,000	0	0	0	0	178,000,000

Short Statement

There will be no change between the 2009 and 2010 forms and burden.

Annual Cost to Federal Government \$8.4 Million

THIS DOCUMENT IS RELATED TO THE FORM 5500 NOTICE AND NOTICE OF RULEMAKING (RULE: RIN: 1210-AB06, OMB Ref #: 1210-A135)

2011

Form 5500 Package

PRA-numbers

5/2/2011

**DOL**

Number of Respondents (total) 780,000

Number of Respondents for Small Entity 630,000

ICR

	2011 - 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	780,000	0	0	0	0	780,000
Annual IC Time Burden (Hours)	520,000	0	-10,000	0	0	530,000
Annual IC Cost Burden (Dollars)	184,000,000	0	6,000,000	0	0	178,000,000

Short Statement

The number of filings went slightly down, the wage rates went up. This resulted in a small decrease in time and a small increase in cost burden.

Annual Cost to Federal Government \$6.8 Million

THIS DOCUMENT IS RELATED TO THE FORM 5500 NOTICE AND NOTICE OF RULEMAKING (RULE: RIN: 1210-AB06, OMB Ref #: 1210-A135)

Form 5500 Package

PRA-numbers

6/6/2007

**IRS + SSA**

Number of Respondents (total) 780,000

Number of Respondents for Small Entity 630,000

ICR

	2007 - 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	780,000	0	0	780,000	0	
Annual IC Time Burden (Hours)	591,000	-37,000	0	628,000	0	
Annual IC Cost Burden (Dollars)	136,000,000	-4,000,000	0	140,000,000	0	

Short Statement

EBSA updated the model that is used for these burden calculations and used updated estimates of the number of plans affected by the regulation (Change Due to Adjustment in Agency).

The Pension Protection Act of 2006 required a simplified reporting alternative for certain small plans (Program Change Due to New Statute).

Annual Cost to Federal Government

THIS DOCUMENT IS RELATED TO THE FORM 5500 NOTICE AND NOTICE OF RULEMAKING (RULE: RIN: 1210-AB06, OMB Ref #: 1210-A135)

NOTE: If you add the previously approved PRA numbers for IRC, this spreadsheet will calculate for you the "Change due to adjustment in agency estimate" (cells E8 to E10).

2008

Form 5500 Package

PRA-numbers

5/26/2008

**IRS + SSA**

Number of Respondents (total)	780,000
Number of Respondents for Small Entity	630,000

ICR

	2008 - 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	780,000	0	0	0	0	780,000
Annual IC Time Burden (Hours)	593,000	2,000	0	0	0	591,000
Annual IC Cost Burden (Dollars)	137,700,000	1,700,000	0	0	0	136,000,000

The Pension Protection Act of 2006 required some new questions as well as a question for the total number of contributing employers for defined benefit plans and an asset allocation question on the Schedule R (Program Change Due to New Statute). The simplified reporting alternative for certain small plans is still in place (Change in 2007).

Short Statement

Annual Cost to Federal Government

THIS DOCUMENT IS RELATED TO THE FORM 5500 NOTICE AND NOTICE OF RULEMAKING (RULE: RIN: 1210-AB06, OMB Ref #: 1210-A135)

2009

Form 5500 Package

PRA-numbers

8/6/2009

**IRS + SSA**

Number of Respondents (total)	780,000
Number of Respondents for Small Entity	630,000

ICR

	2009 - 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	780,000	0	0	0	0	780,000
Annual IC Time Burden (Hours)	323,000	0	-270,000	0	0	593,000
Annual IC Cost Burden (Dollars)	98,000,000	0	-39,700,000	0	0	137,700,000

The main difference from the 2008 Forms are: (a) all forms will be required to be filed electronically; (b) Schedule E and Schedule SSA will be removed; (c) the new Short Form 5500 (5500-SF) will be established; (d) the special limited reporting rules for Code section 403(b) plans will be eliminated; (e) Schedule C will be revised; (f) additional data elements will be added to Schedule R; and (g) various smaller technical revisions will be made to the Schedule A, Schedule H, and Schedule I.

Short Statement

Annual Cost to Federal Government

THIS DOCUMENT IS RELATED TO THE FORM 5500 NOTICE AND NOTICE OF RULEMAKING (RULE: RIN: 1210-AB06, OMB Ref #: 1210-A135)

2010

Form 5500 Package

PRA-numbers

8/17/2009

**IRS + SSA**

Number of Respondents (total)	780,000
Number of Respondents for Small Entity	630,000

ICR

	2009 - 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	780,000	0	0	0	0	780,000
Annual IC Time Burden (Hours)	323,000	0	-457,000	0	0	780,000
Annual IC Cost Burden (Dollars)	98,000,000	0	0	0	0	98,000,000

Short Statement

There will be no change between the 2009 and 2010 forms and burden.

Annual Cost to Federal Government

THIS DOCUMENT IS RELATED TO THE FORM 5500 NOTICE AND NOTICE OF RULEMAKING

(RULE: RIN: 1210-AB06, OMB Ref #: 1210-A135)

2011

Form 5500 Package

PRA-numbers

5/2/2011

**IRS + SSA**

Number of Respondents (total)	780,000
Number of Respondents for Small Entity	630,000

ICR

	2011 - 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	780,000	0	0	0	0	780,000
Annual IC Time Burden (Hours)	321,000	0	-2,000	0	0	323,000
Annual IC Cost Burden (Dollars)	102,000,000	0	4,000,000	0	0	98,000,000

Short Statement

The number of filings went slightly down, the wage rates went up. This resulted in a small decrease in time and a small increase in cost burden.

Annual Cost to Federal Government

THIS DOCUMENT IS RELATED TO THE FORM 5500 NOTICE AND NOTICE OF RULEMAKING

(RULE: RIN: 1210-AB06, OMB Ref #: 1210-A135)

Form 5500 Package  
**PBGC**  
 Number of Respondents (total) 780,000  
 Number of Respondents for Small Entity 630,000

2007

PRA-numbers

6/6/2007

ICR

	2007 - 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	**		0	0	0	**
Annual IC Time Burden (Hours)	1,800	-400	0	2,200	0	
Annual IC Cost Burden (Dollars)	1,600,000	-200,000	0	1,800,000	0	

Short Statement

EBSA updated the model that is used for these burden calculations and used updated estimates of the number of plans affected by the regulation (Change Due to Adjustment in Agency).

The Pension Protection Act of 2006 required a simplified reporting alternative for certain small plans (Program Change Due to New Statute).

Annual Cost to Federal Government

THIS DOCUMENT IS RELATED TO THE FORM 5500 NOTICE AND NOTICE OF RULEMAKING (RULE: RIN: 1210-AB06, OMB Ref #: 1210-A135)

NOTE: If you add the previously approved PRA numbers for PBGC, this spreadsheet will calculate for you the "Change due to adjustment in agency estimate" (cells E8 to E10).

Form 5500 Package 2008

PRA-numbers

7/25/2008

**PBGC**

Number of Respondents (total) \*\*

Number of Respondents for Small Entity \*\*

ICR

	2008 - 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	**	0	0	0	0	**
Annual IC Time Burden (Hours)	2,000	200	0	0	0	1,800
Annual IC Cost Burden (Dollars)	1,830,000	230,000	0	0	0	1,600,000

The Pension Protection Act of 2006 required some new questions as well as a question for the total number of contributing employers for defined benefit plans and an asset allocation question on the Schedule R (Program Change Due to New Statute). One time transition costs for the new questions in 2007 were considered for 2007. In 2008 no transition costs were considered for items that were introduced in 2007. Overall the burden numbers increased slightly.

Short Statement

The simplified reporting alternative for certain small plans is still in place (Change in 2007).

Annual Cost to Federal Government

THIS DOCUMENT IS RELATED TO THE FORM 5500 NOTICE AND NOTICE OF RULEMAKING (RULE: RIN: 1210-AB06, OMB Ref #: 1210-A135)

NOTE: If you add the previously approved PRA numbers for PBGC, this spreadsheet will calculate for you the "Change due to adjustment in agency estimate" (cells G9 to G11).

2009

Form 5500 Package

PRA-numbers

8/6/2009

**PBGC**

Number of Respondents (total)

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Number of Respondents for Small Entity

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ICR

	2009 - 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	**	0	0	0	0	**
Annual IC Time Burden (Hours)	1,200	0	-800	0	0	2,000
Annual IC Cost Burden (Dollars)	1,250,000	0	-580,000	0	0	1,830,000

The main difference from the 2008 Forms are: (a) all forms will be required to be filed electronically; (b) Schedule E and Schedule SSA will be removed; (c) the new Short Form 5500 (5500-SF) will be established; (d) the special limited reporting rules for Code section 403(b) plans will be eliminated; (e) Schedule C will be revised; (f) additional data elements will be added to Schedule R; and (g) various smaller technical revisions will be made to the Schedule A, Schedule H, and Schedule I.

Short Statement

Annual Cost to Federal Government

THIS DOCUMENT IS RELATED TO THE FORM 5500 NOTICE AND NOTICE OF RULEMAKING

(RULE: RIN: 1210-AB06, OMB Ref #: 1210-A135)

NOTE: If you add the previously approved PRA numbers for PBGC, this spreadsheet will calculate for you the "Change due to adjustment in agency estimate" (cells G9 to G11).

2010

Form 5500 Package

PRA-numbers

8/17/2009

**PBGC**

Number of Respondents (total)

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Number of Respondents for Small Entity

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ICR

	2009 - 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	**	0	0	0	0	**
Annual IC Time Burden (Hours)	1,200	0	0	0	0	1,200
Annual IC Cost Burden (Dollars)	1,250,000	0	0	0	0	1,250,000

Short Statement

There will be no change between the 2009 and 2010 forms and burden.

Annual Cost to Federal Government

THIS DOCUMENT IS RELATED TO THE FORM 5500 NOTICE AND NOTICE OF RULEMAKING (RULE: RIN: 1210-AB06, OMB Ref #: 1210-A135)

NOTE: If you add the previously approved PRA numbers for PBGC, this spreadsheet will calculate for you the "Change due to adjustment in agency estimate" (cells G9 to G11).

2010

Form 5500 Package

PRA-numbers

8/17/2009

**PBGC**

Number of Respondents (total)

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Number of Respondents for Small Entity

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ICR

	2009 - 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	**	0	0	0	0	**
Annual IC Time Burden (Hours)	1,200	0	0	0	0	1,200
Annual IC Cost Burden (Dollars)	1,210,000	0	-40,000	0	0	1,250,000

Short Statement

The number of filings went slightly down, the wage rates went up. This resulted in a small decrease in time and cost burden.

Annual Cost to Federal Government

THIS DOCUMENT IS RELATED TO THE FORM 5500 NOTICE AND NOTICE OF RULEMAKING (RULE: RIN: 1210-AB06, OMB Ref #: 1210-A135)

NOTE: If you add the previously approved PRA numbers for PBGC, this spreadsheet will calculate for you the "Change due to adjustment in agency estimate" (cells G9 to G11).