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	U. S. DEPARTMENT OF THE INTERIOR OFFICE OF SURFACE MINING RECLAMATION AND ENFORCEMENT DIRECTIVES SYSTEM	Subject Number: ADS-3 Transmittal Number: 295 Date: 11/06/86

Subject: Forms Management Program

Approval: Ted V. Christensen **Title:** Director

1. Purpose. To establish overall policies, responsibilities, and procedures for the Forms Management Program of the Office of Surface Mining Reclamation and Enforcement (OSMRE). This directive implements and supplements the Department of the Interior Manual on Paperwork Management, 432 DM 1 and 2.

2. Definitions. As used in this directive, the following definitions apply:

a. Form. A form is a fixed arrangement of captioned spaces designed for entering prescribed information. The definition includes forms created or generated from equipment or devices employing memory storage, magnetic tape, cards, programmed formats, or the use of any intermediate device used to create forms intended for use on visual display equipment, microfilm or other such media.

b. Form Letter. A preprinted or reproduced form designed to appear as a letter containing fixed repetitive data which do not meet the requirements for cost-effective preparation on existing word processing equipment.

c. Standard Form. A form prescribed by a department or agency and approved by the General Services Administration for mandatory use by other agencies, or prescribed by the Comptroller General for use in financial transactions which are uniformly handled throughout the Government.

d. Optional Form. A form used by one agency and approved by the General Services Administration for optional use by other agencies, in lieu of an individual agency form.

e. Public Use Form. Any type of written inquiry developed for the collection of information on identical items for 10 or more persons outside the Federal Government. The Office of Management and Budget (OMB) approves OSMRE's public use forms.

f. Agency Form. A form numbered in the internal series of a central agency which is prescribed or provided by that agency for use by other agencies (e.g., Treasury, GSA, OPM forms).

g. Internal Form. Forms limited to the business conducted by OSMRE.

3. Policy/Procedures.

It is the policy of the Office of Surface Mining Reclamation and Enforcement to standardize, simplify, and control the use of forms consistent with program responsibilities and management requirements.

a. Responsibilities

(1) Assistant Directors, Field Office Directors, Director's Staff Offices shall:

(a) Designate an individual to serve as Forms Liaison Representative to administer and coordinate the forms management program in their respective areas, and notify the Division of Management Services (DMS) in writing, of the name, title, location, and telephone number of the designee.

(b) Submit to DMS a draft of any proposed form and a Request for a New or Revised Form, OSM-24, (attachment 1) which includes the following information: statement justifying its need, use, construction, distribution, and estimated yearly usage.

(c) Prepare a directive or instructions prescribing the use of the form. When writing instructions, use the following guide:

1 Write active sentences;

2 Limit sentence to one thought, and then list in a,b, c order.

3 Eliminate useless words and information;

4 Use simple words, action verbs, and concrete nouns;

5 Specify the kind of information you want (i.e., if you use the word "other" give examples of what "other" means); and

6 Key the instructions to each item on the form.

(d) For public use forms, prepare the justification necessary to obtain OMB approval. (See Information Collection Request Directive, REG-6.)

(2) Division of Management Services (DMS) As designated by the Assistant Director, Budget and Administration through a Forms Management Officer is responsible for the conduct, administration and coordination of the forms management program. DMS shall:

(a) Approve the substance, design, and use of all new or revised forms for OSMRE's use.

(b) Disapprove those forms that are redundant, contain insufficient instructions for completion, or are unnecessary for the conduct of Agency business.

(c) Review and approve directives or instructions prescribing the use of the form.

(d) Review and coordinate with OMB to obtain approval of public use forms, and with General Services Administration (National Archives and Records Service) for interagency report forms.

(e) Obtain any approvals required from other OSMRE divisions or offices.

(f) Review, at least annually, existing forms for improvement, elimination of unnecessary or duplicate forms, and simplification through consolidation and standardization.

(g) Maintain the files of approved forms.

(h) Publish a Forms Catalog.

(i) Serve as a central source of information on forms; advise and assist offices in planning, development, and use of forms.

(3) The Branch of General Services shall:

(a) Prepare all printing specifications.

(b) Coordinate all printing and distribution.

(c) Store all forms prefixed with OSM.

b. Procedures.

(1) Internal process. Divisions or offices initiating a new or revised internal form will prepare an OSM-24 "Request for a New or Revised Form" (Attachment 1) in triplicate for each form. The Assistant Director, or Field Office Director will forward two copies of the OSM-24 to the DMS with a copy or draft of the proposed form along with a justification and a directive or instructions, as required in paragraphs 3.a.(1)(b) and (c), prescribing its use. The DMS, upon receipt of the proposed form

and OSM-24 will provide a revised draft of the form and directive or instructions to the originator after appropriate analysis. After the originating office concurs with the form, the DMS:

(a) Forwards a copy of the form to the Branch of General Services for printing.

(b) Returns the yellow copy of the OSM-24 to the originating office indicating the actions taken.

(c) Retains the white copy of the OSM-24 for its historical file.

(2) Identification System. Approved forms are identified at the lower right margin with an OSM prefix, number and an edition or revision date.

(3) Forms Reference Files. The DMS maintains the following reference files which are available to all divisions and offices:

(a) Forms Register. A log of assigned form numbers that records the date the form number was initiated or cancelled and by what authority, and cross-references of all changes.

(b) Official Case File. A case file, by form number. The contents and requirements of this case file are contained in 432 DM 2.

(c) Functional File. A file that contains forms grouped by functional area.

(d) Master Copy or Negative File. A file containing the camera copy or negative used to reproduce forms. This file is maintained by form number and only the latest editions are retained.

(e) Forms Catalog. A listing of all forms used by OSMRE. Documentation includes form title, number, edition date, unit of issue, construction, prescribing directive, a Federal Stock Number for standard and optional forms, and the originating office for each form.

(4) Printing and Distribution. Forms are printed by the Department of the Interior, Government Printing Office, or commercial printer, as required.

(a) Stock Level Designation. A stock level figure for each form is established by the originating division or office, to assure against interruption of operations requiring forms. The level established is governed by monthly rate of use, time required for redesign, when applicable, and lead time required for printing. The originating office is responsible for notifying the Branch of General Services of the stock level established as well as any significant changes in stock requirements.

(a) Reprints. The Divisions and offices ordering reprints of forms will:

1 Attach a copy of the latest printed form to a memorandum stating the number of copies desired.

2 Send the memorandum and attachment through the DMS to Branch of General Services.

(5) Annual Forms Review/Inventory. In order to assist divisions and offices in purging obsolete forms from the supply and control system and making needed revisions and improvements to existing forms, the DMS will send in June of each year to the Forms Liaison Representatives a list of forms for review and for determination as to whether they are current, obsolete, or need revision. This information is to update all records, including the forms catalog.

4. Reporting Requirements. Annual report to the General Services Administration on the status of OSMRE's Forms Management Program.

5. References.

a. The Department of Interior Manual, Part 432, Chapters 1 and 2.

b. Privacy Act, P.L. 93-579

c. Government Printing and Binding Regulations

d. Federal Property Management Regulations on Forms (FPMR 41 CFR 101-11.208)

e. Federal Property Management Regulations on the Standard and Optional Forms Program (FPMR 41 CFR 101-11.8)

f. Office of Surface Mining Reclamation and Enforcement's Information Collection Request (REG-6, Transmittal Number 108)

g. Federal Information Processing Standards (FIPS)

h. GSA Records Management Handbook entitled, "Form and Guide Letters" (FSN 7610-00-117-87777)

6. Effects on Other Documents. Supersedes Directive ADS-3, Transmittal Number 180, dated June 20, 1983.

7. Effective Date. Upon issuance

8. Contact. Division of Management Services (202) 343-5447.