

DEPARTMENTAL REGULATION		NUIABERs 3030-001
SUBJECT: USDA Reports Management Program	DATE: April 21, 1982	
	OPI: Information Management Division, Office of Information Resources Management	

1 PURPOSE

This regulation prescribes the policies, responsibilities, and procedures for the management of reports within the Department (except public-use reports which are covered in I AR 553-560). The USDA reports management program is designed to help managers carry out their responsibilities, and at the same time achieve maximum economy, uniformity, and simplicity in reporting systems.

2 REFERENCES

a Office of Management and Budget Circular A-40, Management of Federal Reporting Requirements, which establishes policy and promulgates regulations to assure continuing effective management of Federal reporting requirements.

b Federal Property Management Regulations, Subchapter B, Part 101-11.207, Reports--Agency Program Responsibilities, which prescribes Policy and procedures for establishing an internal reports management program; and Part 101-11.11, Interagency Reports Management Program, which prescribes policy and procedures for managing the interagency reports management program.

c General Services Administration, National Archives and Records Service, Guide to Estimating Reporting Costs, which provides a methodology for determining the cost of reporting requirements.

d Privacy Act of 1974 (Public Law 93-579, 5.U.S.C. 5520) , which establishes requirements for the collection, maintenance, and dissemination of personal information by Federal agencies.

3 SPECIAL INSTRUCTIONS/CANCELLATIONS

Chapter 16 of Title 5 of the Administrative Regulations is superseded by this regulation.

4 POLICY

Within 90 days of the date of this regulation, each USDA agency and staff office will establish a reports management program in compliance with the provisions of this directive.

5 ABBREVIATIONS

ADP Automated Data Processing

ADTS Automated Data and Telecommunications Service General Services Administration

IMD Information Management Division, Office of Information Resources Management

OMB Office of Management and Budget

USDA U.S. Department of Agriculture

6 FORMS

AD-368 Report Analysis and Clearance Sheet

OF-101 Summary Worksheet for Estimating Reporting Costs

SF-360 Request for Clearance of an Interagency Reporting Requirement

7 DEFINITIONS

a Report. Data or information required to be transmitted, regardless of the medium or method of preparation, processing, or transmission.

b Agency Report. A report prepared and used solely within one USDA agency or staff office.

c Departmental Report. A report required by one USDA agency or staff office to be submitted by one or more other USDA agencies or staff offices.

d Interagency Report. A report required or prepared by an agency outside USDA to be submitted by or to USDA agencies or staff offices.

e Congressional Report. A report required by Congress.

f Report Number. A unique code used to identify and control a report

g Reporting System. All processes involved in preparing a report, beginning with data collection through preparation of the final report.

8 EXEMPTIONS

The following reports are exempt from the provisions of this regulation:

a One-time (i.e., nonrecurring) reports.

b Individual transaction documents such as requisitions, personnel actions, vouchers, applications, and legal briefs.

c Comments requested on proposed texts, responses to audits and investigations, prepared statements for congressional hearings, and congressional and OMB requests for views on pending and proposed legislation.

d Information collected solely for budget development and for the presentation of these to OMB and the Congress.

NOTE: Any questions concerning these categories should be referred to the appropriate Reports Management Officer.

9 RESPONSIBILITIES

a Information Management Division. IMD has overall responsibility for the Departmentwide reports management program. IMD will:

(1) Designate the Departmental Reports Management Officer.

- (2) Develop policies, procedures, standards, and guidelines to improve the effectiveness of reports management programs and reporting techniques throughout the Department.
- (3) Advise and assist agencies and staff offices in establishing and managing effective reports programs and systems.
- (4) Direct, coordinate, or conduct selective reviews of USDA agency and staff office reports management programs at least once every 3 years.
- (5) Review and clear all Departmental, interagency, and congressional reports.
- (6) Maintain and publish at least annually an inventory of recurring Departmental, interagency, and congressional reports.
- (7) Require that each Departmental, interagency, and congressional report be supported by a directive setting forth instructions for its preparation and submission.
- (8) Inform agencies and staff offices of new or canceled Departmental, interagency, and congressional reports.
- (9) Provide training and technical assistance as necessary.
- (10) Serve as the focal point for all matters relating to Departmental, interagency, and congressional reports.

b Department, Agencies and Staff Offices. The head of each agency and staff office will:

- (1) Designate a Reports Management Officer and submit the name, title, and telephone number of the designee and one alternate to the Departmental Reports Management Officer, IMD, within 90 days of the date of this regulation. Any changes should be immediately reported to IMD.

(2) Appoint additional Reports Management Officers at lower levels within the organization as appropriate and submit the names, titles, and telephone number of subordinate Reports Management Officers to their respective agency or staff office Reports Management Officers.

c Reports Management Officers. Agency or staff office Reports Management Officer will:

(1) Issue appropriate directives implementing Departmental reports management policies and procedures, within 6 months Of the date of this regulation. A copy of this directive must be sent to the Departmental Reports Management officer after publication.

(2) Establish internal controls to assure conformity with Departmental policies and standards, including adequate systems for reviewing, clearing, costing, and controlling reports.

(3) Administer reports clearance and numbering procedures.

(4) Require that each agency report be supported by a directive setting forth instructions for preparation and submission.

(5) Establish and maintain a centralized report control system for reports required of and by their agencies which includes, at a minimum:

(a) Copies of clearance forms, justification and other supporting documentation;

(b) Copies of the latest edition of the reports (or sample pages for voluminous reports) and all forms associated with the reports;

(c) Copies of directives or instructions (or at least pertinent portions) requiring that the reports be submitted.

(6) Publish at least annually a current inventory of reports (see section 12).

(7) Assure that reporting requirements are revalidated at least once every 3 years.

(8) Report to the Departmental Reports Management Officer any interagency reports levied on their organizations which do not carry an Interagency Reports Control Number.

(9) Evaluate subordinate offices' reports management programs.

(10) Provide training and technical assistance to program managers and other agency staff.

10 GENERAL REPORTS CLEARANCE PROCEDURES

a Use of Forms. All reports involving the use of forms will be referred the appropriate forms management office for review and approval,.

b Privacy Act. All Reports Management Officers are to clear reporting requirements subject to the Privacy Act with the appropriate Privacy Act coordinator.

c Analyzing Proposed or Existing Reporting Requirements. Analyses of proposed or existing reporting requirements should ensure that:

(1) Requesting organizations have adequately justified the need for collecting the data and have made plans for how it will be used once collected.

(2) The cost of collecting and maintaining the data does not exceed its value.

(3) Reports and the data contained in them are not unnecessarily duplicated.

(4) Reporting requirements are combined whenever practicable.

(5) Reporting frequency is reduced to the minimum required by the actual use of the report.

(6) The number of offices required to submit reports is reduced to a minimum through use of statistical sampling and other appropriate techniques.

(7) Unneeded and unused data is identified and eliminated.

(8) Distribution of reports is reduced to and maintained at minimum levels.

(9) All opportunities for cost-effective application of information management technology (e.g., ADP, source data automation, word processing, micrographics, electronic mail, facsimile, etc.) are considered to enhance the collection, processing, use, transmission, and storage of reports.

d Analyzing Requests for Canceling Reporting Requirements.

Before approving any requests to cancel reporting requirements, each Reports Management Officer must determine that the particular reporting requirement is not used as a feeder report to other required reports and that its collection is not mandated by law or other statutory requirements.

e Canceling Reporting Requirements. If cancellation is approved by the appropriate Reports Management Officer, the originating organization must notify all respondents by issuing a directive, instruction or memorandum to that effect. For Departmental and interagency reports, a copy of this notification must be sent to the Departmental Reports Management Officer.

11 SPECIFIC REPORTS CLEARANCE PROCEDURES

a Agency Reports

(1) Clearance Form. Agency and staff office Reports Management Officers must use form AD-368 (see Appendix A) or comparable agency form to document their reports analysis and clearance procedures.

(2) Clearance Procedures. Agency and staff office reports management clearance procedures must comply with the provisions of this regulation. These procedures must be clearly defined in their reports management directives.

b Departmental Reports

(1) Requests to Create or Modify Reports. The requiring Reports Management Officers are to discuss all requests to create new Departmental reports or to modify existing ones with the responding agency's Reports Management Officer before any action is taken. Once the Reports Management Officers have determined that the request should be approved, they are to submit the following to the Departmental Reports Management Officer:

(a) Two copies of form AD-368 and supporting documentation;

(b) One copy of the latest edition (or proposed format) of the report and all forms associated with the report; and

(c) One copy of the pertinent directive, law, or regulation (or pertinent portions) requiring submission of the report.

(2) Departmental Disapproval. If a request lacks sufficient justification, the Departmental Reports Management officer will return the request to the requesting Reports Management Officer for additional information or reconsideration of the requirement.

(3) Departmental Approval. After review and approval of the submitted package, the Departmental Reports Management Officer will:

(a) Assign a report number to new reports,

(b) Notify the submitting Reports Management officer of approval by returning one copy of the approved form AD-368, and

(c) Enter the report in the Departmental Reports Inventory.

(4) Notifying Respondents. After receiving Departmental approval, the sponsoring office must

notify respondents by issuing a directive or implementing instructions levying the reporting requirement. A copy of this directive or instruction must be furnished to the Departmental Reports Management Officer.

c Interagency Reports

(1) Interagency Reports Coordinator. The Departmental Reports Management Officer shall serve as the USDA Interagency Reports Coordinator. This individual shall serve as liaison between USDA components and between USDA and external agencies, on all matters relating to interagency reports. Responsibilities in this area include:

(a) Coordinating USDA agency requests for and response to requests for cost estimates for new or revised interagency reports and

(b) Evaluating and approving USDA requests to create or revise interagency reports before submitting the requests to ADTS.

(2) Requests to Create or Revise Interagency Reports Requirements. Requests to create or revise interagency reports will comply with the provisions of FPMR 101-11-11.

(a) Cost data for new or revised reports. Once the requiring Reports Management Officers have agreed that an interagency report should be created or revised they are to forward a request for cost data from the responding organization(s) to the Departmental Reports Management Officer for signature. The request should specify that cost data is to be provided on OF-101. The Departmental Reports Management Officer will forward the request to the responding organization(s)' Reports Management Officer and submit the response, once

received, to the requesting Reports Management Officer.

(b) Forwarding requests to ADTS. Once cost data has been received, analyzed, and summarized on the SF-360, the requesting Reports Management Officer is to submit three copies of the SF-360 and two copies of the justification required by FPMR 101-11.1106-3 to the Departmental Reports Management Officer. If the request is approved, the Departmental Reports Management Officer will submit the SF-360's and supporting documentation to AOTS.

(c) Action after approval. If the request is approved by ADTS, it will be assigned an Interagency Reports Control Number and one copy of the approved SF-360 will be returned to the Departmental Reports Management Officer. ADTS will also enter the requirement in the ADTS inventory of interagency reports. Upon receipt of ADTS approval, the Departmental Reports Management Officer will notify the requesting Reports Management Officer by forwarding a copy of the approved SF-360 and will enter the report in the Departmental Reports Inventory. After receiving this notification, the requesting organization must notify respondents by issuing a directive or implementing instruction levying the reporting requirement. A copy of this directive or instruction must be furnished to the Departmental Reports Management Officer.

(d) Returning requests for additional justification. If the Departmental Reports Management Officer or ADTS believe that a request lacks sufficient justification, it will be returned to the

requesting Reports Management Officer for additional information or reconsideration of the requirement.

(3) Requests from External Agencies to Submit Interagency Reports. All -requests from external agencies to submit reports are to be reported to the Departmental Reports Management Officer through the Agency Reports Management Officer.

d Congressional Reports. Congressional reports are established by Law or at the request of a Member of Congress or congressional committee.

(1) New Reports. When a Departmental agency or staff office Reports Management Officer is notified of a new requirement, they are to notify the Departmental Reports Management Officer. Prior to sending the report to the Congress, the submitting agency should send Congressional Affairs, office of Governmental and Public Affairs, a courtesy copy for review.

(2) GAO Inventory of Existing Reports. Each year, the Departmental Reports Management Officer will be responsible for overseeing the updating and verification of the General Accounting Office's Inventory of one-time and recurring reports required by the Congress.

(3) Requests to Modify or Cancel Existing Reports. Requests to modify or cancel congressional reports should be handled by agency Congressional liaison staffs. Agency Reports Management Officers must be notified of all approved changes. Agency Reports Management officers must in turn notify the Departmental Reports Management Officer of all changes to congressional reports.

12 INVENTORY OF AGENCY REPORTS

Within 1 year of the date of this regulation and annually thereafter, agencies must compile and publish an inventory of all reports (excluding those exempted under section 8) submitted or required by that agency. This inventory must include at least the following information:

- a Report Number
- b Title
- c Authority
- d Frequency/Due Dates
- e From/ To
- f Form Number(s) (if applicable)
- g Annual Cost

A copy of this inventory must be sent to the Departmental Reports Management Officer after publication.

13 REPORT REVALIDATION

Each approved Departmental and agency reporting requirement shall be revalidated by Agency Reports Management Officers at least once every 3 years.

14 REPORTS WITHOUT REPORT NUMBERS

Individuals reviewing reporting requirements which do not have report numbers (as indicated on the report or in the appropriate agency authority) should contact the appropriate Reports Management Officer to ask for guidance in complying with the request.

15 CHALLENGING REPORTING REQUIREMENTS

USDA personnel are encouraged to critically evaluate all reports they are required to submit or review and to recommend improvements or deletions to the appropriate Reports Management Officer.

a Agency Reports. Recommendations relating to approved or proposed agency reporting requirements should be submitted to the requiring agency Reports Management Officer. The recommendation should document the reasons why the requirement is being challenged and will include one or more of the following:

- (1) Identification of other reports which provide all or part of the information requested.
- (2) Explanation or description showing why the reporting procedure is overly cumbersome.
- (3) Explanation of why information requested is not available or available only at an unreasonable cost.
- (4) Explanation of why the requirement has lost validity or currency.
- (5) Statement explaining that the information is being obtained, developed, or kept only to make the report and is not useful to the reporting organization.
- (6) Explanation of why information is of questionable value or is erroneous in the form presented.

NOTE: The agency Reports Management Officer will contact the requiring organization to ensure that the issue is resolved.

b Departmental, Interagency, or Congressional Reports. Individuals wishing to challenge Departmental, interagency, or congressional reports will submit a recommendation like the one described in section 15a to the Departmental Reports Management Officer through their Agency Reports Management Officer. The Departmental Reports Management Officer will ensure that the issue is resolved.

-END-

A copy of Appendix A is available by contacting Sharon Curtis, OCIO, at 202-720-9270 or by e-mail at sharon.curtis@usda.gov.