

2 FAM 1150

FORMS MANAGEMENT

(TL:GEN-295; 09-14-1999)

2 FAM 1151 POLICY, SCOPE, AND AUTHORITY

2 FAM 1151.1 Policies

(TL:GEN-295; 09-14-1999)
(State Only)

a. Department units shall not develop or require the use of forms that do not have proper clearance or approval. All forms must be approved by and through the Directives Management Staff (A/RPS/DIR) and the Department's Forms Management Officer before issuing or using them

b. Required forms shall have corresponding citations in the Department's directives program (*Foreign Affairs Manual* and *Foreign Affairs Handbooks*).

c. Each form must serve its intended purpose. Where feasible, forms shall link to databases, for submission or extraction of information.

d. Forms shall use plain language wherever possible, for users to easily read and understand.

e. All forms must meet design standards. The standards concern the arrangement of items in a format that provides for easy data entry (and retrieval as appropriate), meeting transmitting and filing requirements, and, as applicable (including paper versions), specifications for form size, typefaces, construction, paper, etc.

f. All public use forms and forms requesting personal information must contain Privacy Act, Paperwork Reduction Act (PRA), and recordkeeping requirement statements as appropriate.

g. Forms are consolidated to serve several purposes where possible.

h. Forms shall be available in electronic versions, in addition to being printed, distributed, and replenished economically as needed.

i. Forms are reviewed periodically for need, effectiveness, and economy.

2 FAM 1151.2 Objectives

(TL:GEN-270; 04-01-1991)
(State Only)

- a. Reduce unnecessary burdens in effort and in direct or indirect costs imposed on respondents for providing information.
- b. Ensure that information collections comply with statutes and regulations relating to privacy, burden, and other information policies.
- c. Minimize burdens by eliminating unnecessary redundancies, by using pre-completed turnaround documents, by promoting the sharing of information between offices, or by making forms electronically available.
- d. Ensure that forms and information collections are necessary to carry out agency responsibilities.
- e. Monitor information requirements and determine when revisions and changes are needed.
- f. Maintain an inventory of forms and background documentation on requirements and approvals.
- g. Coordinate the clearance and approval of new forms and revisions within the Department and with appropriate agencies as applicable.
- h. Provide clear and adequate instructions for the accurate completion and submission of information.
- i. Design forms and other collection instruments that are simple and relatively easy to complete.
- j. Provide modular designs that meet requirements for and facilitate manual, typed, or automated completion.
- k. Minimize the costs of printing by using standard paper sizes and weights.
- l. Ensure that forms are formatted to be available electronically, including over the Internet.

2 FAM 1151.3 Scope

(TL:GEN-295; 09-14-1999)
(State Only)

These policies cover all new, revised, and existing forms that the Department of State uses.

2 FAM 1151.4 Applicability

(TL:GEN-295; 09-14-1999)
(State Only)

These policies and procedures apply to all Department of State employees on a worldwide basis.

2 FAM 1151.5 Responsibilities

2 FAM 1151.5-1 Directives Management Staff

(TL:GEN-295; 09-14-1999)
(State Only)

a. The Department's Form Control Officer, located in the Directives Management Staff (A/RPS/DIR) administers the Forms Management Program for the Department and Foreign Service. A/RPS/DIR:

- (1) Establishes standards and guidelines;
- (2) Provides design and technical assistance;
- (3) Controls forms development and reproduction;
- (4) Assists in identifying necessary clearances;
- (5) Approves forms for use; and
- (6) Determines the validity of and certifies the current approved version of any Department form.

b. DIR reviews any proposed forms or changes to existing forms to ensure achievement of the program policies and objectives stated in 2 FAM 1151.

c. DIR conducts liaison with:

(1) The Office of Management and Budget (OMB) on all matters relating to the Department's public use forms (information collections);

(2) The General Services Administration relating to Department-originated Standard and Optional forms; and

(3) With other agencies on matters involving data/information collection and forms, including coordination of the Department's views on interagency studies affecting Joint and Standard Forms.

d. DIR maintains the official list and inventory (master copies) of Department forms.

2 FAM 1151.5-2 Department

(TL:GEN-295; 09-14-1999)
(State Only)

Department units seeking to create or modify an existing form are responsible for:

- (1) Consulting with A/RPS/DIR prior to the formal submission or use of a form;
- (2) Meeting documentary requirements for creation, development, design, and approval review;
- (3) Taking advantage of or modifying existing forms to accomplish their mission; and
- (4) Obtaining necessary clearances.

2 FAM 1151.5-3 Posts

(TL:GEN-295; 09-14-1999)
(State Only)

a. Principal officers at posts abroad are responsible for implementing the standards and procedures prescribed in these regulations. Managerial review and controls will ensure that posts have the necessary supply of forms to conduct both internal and public business, and that posts are not burdened with a proliferation of forms.

b. When posts find it necessary to create or request modification of forms, the process is the same as for Department offices, including the need for A/RPS/DIR review, development, design, and approval.

c. Post forms should be standardized wherever possible, to be more than post-specific, so that other posts may use them.

2 FAM 1151.6 Definitions

(TL:GEN-295; 09-14-1999)
(State Only)

a. **Department Unit** is any organizational unit of the Department of State, including posts.

b. **Forms** are any documents, including form letters, post cards, and memoranda, printed or otherwise reproduced with fixed captions and spaces designed for entering and extracting prescribed information. This includes printed forms that are used for manual entry as well as forms used for office automation to capture or produce information. Certain printed

items without fill in space, such as contract provisions, instruction sheets, notices, certificates, tags, labels, and posters, may be considered as forms when it is advantageous to manage and control them as recurring instruments in consonance with the objectives of the forms management program.

c. **Information Collection.** See also 2 FAM 1160. The PRA defines this to be “the obtaining, causing to be obtained, soliciting, or requiring the disclosure to third parties or the public, of facts or opinions by or for an agency, regardless of the form or format used, calling for either:

- (i) answers to identical questions posed to, or identical reporting or recordkeeping requirements imposed on ten or more persons, other than agencies, instrumentalities, or employees of the United States, whether such collection of information is mandatory, voluntary, or required to obtain or retain a benefit; or
- (ii) answers to questions posed to agencies, instrumentalities, or employees of the United States which are to be used for general statistical purposes.”

The PRA defines the word “person” to include individuals (including government contractors), partnerships, associations, corporations, business trusts, legal representatives, organized groups of individuals, and State, territory, tribal, or local governments or branches or political subdivisions. Specific types of collection of information include:

(1) Requests for information for transmission to the Federal Government, such as grant application forms, written report forms, telephone surveys, and electronic data collections;

(2) Recordkeeping requirements, which may involve compilation and maintenance of records, either alone or in conjunction with the reporting of information to the agency and/or some other person; or

(3) Third party or public disclosure requirements, which may involve a requirement for the disclosure of information to other members of the public directly or through publication in some information media, such as a newspaper or magazine, or by posting the information, by supplying the information on labels, or any other means constituting disclosure to third parties or the public.

Many information collections, recordkeeping requirements, and third party disclosure requirements are contained in or authorized by regulations as monitoring or enforcement tools, while others appear in questionnaires and their accompanying instructions.

d. **Originating Office** usually the program office, this office develops the information collection request.

e. **Program Office** is the office that manages the information collection and the uses of the information it gathered.

f. **Public Use Forms** are documents that members of the public fill out for Department or Foreign Service use for information collections (each form requires OMB approval).

g. **Worldwide** describes a Department activity carried out both domestically and abroad.

2 FAM 1151.7 Authorities

(TL:GEN-295; 09-14-1999)

(State Only)

a. Title 44 U.S.C. 21, 29, 31, and 33 outlines statutory requirements for managing the creation, maintenance, and use of records in Federal agencies. Included in these requirements is the management of forms used by Federal agencies. The General Services Administration (GSA) is assigned the responsibility of issuing Federal regulations and conducting oversight of agency implementation of regulations.

b. FIRMR 201-45.104, issued by GSA contains policies, requirements, responsibilities and guidelines for managing, administering, and implementing forms management programs in Federal agencies. These policies and requirements are implemented for the Department of State by this subchapter.

c. The Paperwork Reduction Act of 1980 (Pub. L. 96-511), as amended by the paperwork Reduction Act of 1995 (44 U.S.C. Chapter 35, Pub. L. 104-13), instituted the concept of information resources management (IRM) for managing Federal information and records through an integrated program that encompasses all aspects of information including the creation and use of forms to collect data and information from the public.

d. The Privacy Act of 1974 (5 U.S.C. 552a) requires that forms used to collect information from individuals contain a Privacy Act statement citing the authority for collecting the information, the purposes for requesting it, and the penalties for not providing information that is mandatory.

e. The Privacy Act forbids any agency to deny an individual any right, benefit, or privilege provided by law for refusing to disclose her or his social security number, unless disclosure is required by Federal statute or by other laws effective prior to January 1, 1975. The agency must inform the individual whether the disclosure is mandatory or voluntary, by what statutory or other authority such information is solicited, and what uses will be made of it.

2 FAM 1152 FORMS SERIES

2 FAM 1152.1 Department

(TL:GEN-295; 09-14-1999)
(State Only)

a. All Department of State forms are assigned numbers in one of the following series:

(1) DS—Permanent internal forms used by the Department and the Foreign Service;

(2) DST—Temporary designation used by DIR;

(3) JF—Joint forms used by State, USAID, and other Foreign Affairs Agencies;

(4) OF—Optional forms which originate in the Department and are available for use by other agencies. These forms may or may not be stocked and distributed by the General Services Administration (GSA); and

(5) SF—Standard forms which originate elsewhere and are used in the Department.

b. Where possible, each form shall be available in an electronic version.

c. Other Department of State forms currently in other Department-managed programs or systems (and have other series' prefixes) shall be merged into the DS-Forms series.

2 FAM 1152.2 Public Use Forms

(TL:GEN-295; 09-14-1999)
(State Only)

a. When an information collection requires a new public use form (as defined in Sec. 2 FAM 1151.6), you must include a Form OMB 83-1 (Request for OMB Review) submission package, completed in accordance with instructions, along with your Form DS-1855 submission (see 2 FAM 1160). You must publish 60-day and 30-day Public Notices in the *Federal Register* announcing the form and collection and allow for public comment. The Forms Control Officer process the form's approval and development as cited above. The OMB approval process (which focuses on the information collection aspect) can take 6 to 8 months for completion.

b. Changes to an information collection form require the use of a Form OMB 83-C (see 2 FAM 1160).

c. It is important to note that OMB approvals are valid only for three years, and the approval may be renewed. **Without OMB approval, do not use the collection or collect the information.** Program offices should start the renewal process one year before the approval's expiration date (see 2 FAM 1160 and paragraph a above).

1152.3 Privacy Act Statements on Department of State Forms

(TL:GEN-295; 09-14-1999)
(State Only)

A Privacy Act Statement is required on a Department of State form if:

(1) The information contains the individual's name, or the identifying number, symbol, or other identifying particular assigned to the individual, such as a finger or voice print or photograph. Such information could be retrieved from an official Department record system or database by doing a search against the name or other identifying symbols assigned to the name.

Or

(2) The form includes information about an individual that the Department maintains, including, but not limited to education, financial transactions, or medical, criminal, or employment history. This also includes personal information for use in a personnel record of the individual to be used for personnel management programs or processes such as staffing, employee development, retirement, grievances, and appeals.

1152.3-1 Forms Requirements

(TL:GEN-295; 09-14-1999)
(State Only)

a. In order to meet the requirements of the Privacy Act, all forms that solicit any personal information must be accompanied by a statement containing the following information:

(1) The statute or Executive Order which authorizes the collection of the information;

(2) The purpose for which the information will be used, as authorized through statute or Executive Order;

(3) The "routine users" of the information; i.e. to whom the information is disclosed outside the Department of State; and

(4) The consequences, if any, to the individual for not providing the requested information.

b. In addition, all forms which solicit the Social Security Number (SSN) must also be accompanied by a statement informing the individual of the following:

- (1) Whether disclosure is mandatory or voluntary;
- (2) By what statutory or other authority the number is solicited; and
- (3) What uses will be made of the SSN.

c. These statements must be attached to the relevant form, either as part of the form or its instructions. They must be clear and precise, leaving the individual with no doubt regarding the authority, purpose, use, etc., for the collection of the information.

1152.3-2 Clearance Requirements

(TL:GEN-295; 09-14-1999)
(State Only)

All forms which request individuals to provide either personal information about themselves or their Social Security Account Number must be cleared by the Information and Privacy Staff (A/RPS/IPS) before they can be approved by the Directives Staff (A/RPS/DIR). The Staff will ensure that the form is accompanied by a Privacy Act warning statement containing the material outlined above and that it solicits only that information which is both relevant and necessary to accomplish a State Department function.

2 FAM 1153 PROCEDURES

2 FAM 1153.1 Initiation

(TL:GEN-295; 09-14-1999)
(State Only)

- a. For the initial development of a form, the program office should:
 - (1) Research the need for the form;
 - (2) Develop an articulation of what the form is to do; and
 - (3) Identify any costs or other burden associated with the form's use, etc.; and
 - (4) Consult with DIR to ensure that:

(a) There is no extant version of the form (or the information sought, or purpose);

(b) The reestablishment of a previously discontinued form will not suffice; and

(c) There is no existing form that could be revised for the new use.

b. Coordination with the Forms Control Officer, located in A/RPS/DIR, should be as soon as the need is identified, and well before any formal submission. Effective and timely coordination enables DIR to provide guidance and constructive assistance in advance of final design and operational commitments.

c. If this form is to be used as an information collection (see 2 FAM 1160), the office should also review a Form OMB 83-I to see what information will be required.

d. The formal review, assistance, and approval process begins by submitting to DIR:

(1) A completed Form DS-1855, Request for Approval and Development of a Form, which requests the following information:

(a) A statement explaining how the proposed form relates to or supports the objectives of the program; a certification that there is no similar form that can be used as is;

(b) Clearances from other offices affected or interested in the program; an indication as to whether the proposed form supersedes existing forms;

(c) The estimated number of annual submissions or responses;

(d) The average number of hours/minutes required to complete one form (including any time needed to assimilate/collect the data);

(e) The total number of annual hours required to complete the forms; and

(f) Any recordkeeping requirements for respondents and their associated costs;

(2) A Privacy statement, if the form involves the collection of personal information; and

(3) A draft of the proposed form or its contents.

e. DIR can supply copies of Form DS-1855, 83-I, etc.

2 FAM 1153.2 Development, Design, and Approval

(TL:GEN-295; 09-14-1999)
(State Only)

a. Under cover of the DS-1855, the program office brings to DIR what they have in the way of a concept for the form. This would include a sample database, for example, or a list of information categories and specifics the program office needs. The office representative must be able to discuss the form's use and availability.

b. DIR, after approving the form's creation, will design it in conjunction with the program office. The form will:

- (1) Take into account the standardization policies of the forms program;
- (2) Be set up to be interactive from the InfoForms CD-ROM; and
- (3) Be useable over the Internet.

c. After the program office approves the form's final design, certifies its availability over the Internet (see 2 FAM 1153.4), and passes DIR review, the form may be used (but see restrictions regarding public use forms and information collections).

2 FAM 1153.3 Preparing Related Directives

(TL:GEN-295; 09-14-1999)
(State Only)

In most cases, the applicable directives in the *Foreign Affairs Manual* (FAM) or *Foreign Affairs Handbooks* (FAH) will require changes to include new or revised instructions for using a form. Attach a copy of any proposed FAM or FAH changes to your request. See 2 FAM 1110 for instructions for preparing FAM changes.

2 FAM 1153.4 Use Certification

(TL:GEN-295; 09-14-1999)
(State Only)

Each form must go through an internal testing process, which will include program office testing and verification that the form works as desired.

2 FAM 1154 FORMS AVAILABILITY

(TL:GEN-295; 09-14-1999)
(State Only)

Department and other forms used by the Department and the Foreign Service must be as available as possible.

2 FAM 1154.1 Forms Inventory

(TL:GEN-295; 09-14-1999)
(State Only)

DIR maintains the official list and inventory of Department forms. It maintains master docket on each form, and makes this information available as appropriate.

2 FAM 1154.2 Electronic Versions

(TL:GEN-295; 09-14-1999)
(State Only)

As much as possible, all forms must be available in electronic versions, included in the Department's InfoForms CD-ROM, and over the Intranet or Internet. Program offices are responsible for ensuring that these forms are so available. These should be interactive, both for filling out and submitting, but being downloadable or printable is sufficient at this time.

2 FAM 1154.3 Printing and Stocking Paper Forms

(TL:GEN-295; 09-14-1999)
(State Only)

- a. See 2 FAM 1154.4 for information on reprinting existing forms.
- b. The Directives Management Staff (A/RPS/DIR), in coordination with the program office, will determine where a paper form will be stocked. Program offices stock, maintain, and distribute most DS forms upon request. A/RPS/DIR works with GSA regarding the stocking of OF and SF series forms.
- c. The *Forms Facsimile Handbook* (2 FAH-1), although mostly replaced by electronic means of availability, contains forms used in small quantities, are not otherwise stocked, and are still required by legislation or other regulatory authority. Users may reproduce copies of these forms directly from the *Handbook* to meet small requirements not to exceed 100 copies per year. It is our goal to have all forms on the InfoForms CD-ROM

and the DIR web site, at which time the paper version of 2 FAH-1 will be discontinued.

d. When it is necessary to send an initial supply of a new form to posts, the program office pays for printing and arranges for distribution to posts. After initial distribution, posts and offices should order additional copies through existing requisitioning procedures.

e. The program office, in coordination with A/RPS/DIR, will notify posts and offices of the introduction of a new or replacement form, instructions for obtaining a supply of the form, and disposition of obsolete forms.

2 FAM 1154.4 Reprinting Existing Forms

(TL:GEN-295; 09-14-1999)
(State Only)

Use Form DS-5, Requisition for Publishing, Reproduction and Distribution Services, to reorder printed versions of existing forms. Forward all requests through DIR to the Office of Media Services (A/RPS/MMS). DIR reviews each request for form status and accuracy and maintains management information on each form.

2 FAM 1155 DISCONTINUING FORMS

(TL:GEN-295; 09-14-1999)
(State Only)

a. All areas of the Department and posts having jurisdiction over operations and programs involving the use of forms must review these requirements periodically in order to eliminate those which are no longer needed.

b. When a review of operations indicates that a form should be discontinued, notify A/RPS/DIR in writing as soon as possible (2 FAM 1153.3 also applies).

2 FAM 1156 THROUGH 1159 UNASSIGNED