

2 FAM 1170

REPORTS MANAGEMENT

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

2 FAM 1171 POLICY, SCOPE, AND AUTHORITY

2 FAM 1171.1 Policy and Objectives

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

(State Only)

a. It is Department policy that regular and reoccurring reporting shall be kept as minimal and simple as practicable.

b. It is Department policy that reports shall feed into, and/or draw from, databases wherever practicable, including shared databases.

c. The objectives of reports management are to:

(1) Ensure that agency management officials are provided with exact information needed in the right place, at the right time, in the format most useful to them for informed decision making, and

(2) Improve the quality and economy of reporting.

2 FAM 1171.2 Scope and Applicability

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

(State Only)

a. These regulations cover all Department reports, worldwide, as defined in 2 FAM 1171.3, below.

b. These regulations apply to all Department of State employees, worldwide.

2 FAM 1171.3 Program Responsibilities

2 FAM 1171.3-1 Directives Management Staff

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

(State Only)

The Directives Management Staff (A/RPS/DIR) provides program direction and support. DIR:

(1) Establishes and implements standards and procedures for the reports management program of the Department of State;

(2) Develops and publishes program policies, standards, and procedures;

(3) Identifies the bureau (or office) that is responsible for managing each field of reporting;

(4) Assists bureaus (or offices) in establishing their reports management programs and in designing new or improved reports and reporting systems;

(5) Ensures that all applicable laws and statutes are considered in the development of reporting requirements;

(6) Ensures that each reporting requirement is supported by a directive entered into the *Foreign Affairs Manual*;

(7) Specifies required clearances when necessary;

(8) Assigns reports control numbers to new reports according to the field of reporting;

(9) Maintains the inventory of internal and external recurring reports of the Department of State; and

(10) Acts as official liaison for reports management with GSA for interagency reports, and with the Office of Management and Budget (OMB) for public reports.

2 FAM 1171.3-2 Bureaus and Offices

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

(State Only)

Bureaus and offices must adhere to established directives in managing their reports program. They shall:

(1) Establish and maintain a program for managing the field(s) of reporting for which they are responsible;

(2) Assist managers in determining their information needs and satisfy these needs from existing information sources and systems whenever possible;

(3) Design new or improved reports and management information systems;

(4) Review each proposed report for need, effectiveness, public burden, estimated cost, adequacy, design, and economy of preparation;

(5) Ensure that information is obtained from the best possible source;

(6) Notify DIR when a reporting requirement is established, modified, or eliminated, and ensure that accurate reporting requirements are included in the *Foreign Affairs Manual* or Handbooks as appropriate (including that A/RPS/IPS be included in the distribution list for all reports);

(7) Review each existing report every 3 years for need, etc.; and

(8) Request approval for public use, recurring Department, and inter-agency reports from DIR through designated officers.

2 FAM 1171.4 Definitions

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

(State Only)

a. **Categories of reporting.** Categories of reporting are:

(1) Public (see 2 FAM 1173);

(2) Interagency (see 2 FAM 1174);

(3) Internal Administrative (see 2 FAM 1175); and

b. **Field of reporting.** A field of reporting is a grouping of reports based on the responsibilities of the bureau or office and identified with the pertinent volume of the *Foreign Affairs Manual*. For example, personnel reports required by 3 FAM is a field of reporting managed by the Bureau of Personnel (PER).

c. **Reports Management Officer.** Is the Department's official for providing oversight and approval for all reporting as described above. This official is lodged in the Department's Directives Management Staff (A/RPS/DIR).

d. **Interagency reporting.** Is any reporting required by a Federal agency from one or more other agencies covered by the Federal Records Act. The Department of State requires both interagency reports from other agencies and responds to interagency reports required by other agencies.

e. **Public Report.** An information collection; see 2 FAM 1160.

f. **Report.** A report is data or information which is transmitted on a regular basis for use in determining policy; in planning, controlling, and evaluating operations and performance; in making administrative determinations; or in preparing other reports. The data or information may be in narrative, statistical, graphic, or other form. Certain types of data or information commonly identified as "reports" are excluded from this definition. They are:

(1) Inspection, investigation, and audit reports;

(2) Post reports;

(3) Operating documents such as individual supply and procurement transactions;

(4) Research findings, technical summaries, and special management studies and surveys; and

(5) Occasional or irregular reporting, such as contact, biographic, etc.

Forms designed to be used for reporting must follow forms management guidelines (2 FAM 1150). Please note that the exclusions cited above remain subject to the Department's forms management program.

g. **Volume Coordinator.** The volume coordinator of a *Foreign Affairs Manual* is the bureau's official channel of communications with the Directives Management Staff (A/RPS/DIR) for the bureau or office for reports management activities. See 2 FAM 1110.

2 FAM 1171.5 Authorities

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

(State Only)

a. The Federal Records Act (44 U.S.C. Chapter 31) provides that the head of each Federal agency shall establish and maintain an active, continuing program for controlling the creation, maintenance, and use of records, including internal and external reports.

b. 41 CFR 201-45.103, issued by the General Services Administration (GSA) contains policies, requirements, responsibilities, and guidelines for

managing, administering, and implementing reports management programs in Federal agencies.

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.

d. The Privacy Act of 1974 (5 U.S.C. 552a).

e. 44 U.S.C. 21, 29, 31, and 33.

2 FAM 1172 PUBLIC REPORTING

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

(State Only)

Public reporting is also known as collection of information (information collection), and is covered separately in 2 FAM 1160.

2 FAM 1173 INTERAGENCY REPORTING

2 FAM 1173.2 Initiation

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

(State Only)

a. A Federal agency planning a new interagency reporting requirement is to consult with GSA prior to submitting a request for clearance. An agency may not conduct or sponsor the collection of information from another agency or agencies before the agency has submitted a request for clearance to the General Services Administration and the agency has received approval from GSA. See 2 FAM 1173 Exhibit 1173.2 for a list of interagency reports the Department requires.

b. Bureaus and offices must respond within 30 days to requests from other agencies for cost estimates of responding to existing or proposed interagency reports.

2 FAM 1173.3 Exemptions

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

(State Only)

The following interagency type reports are exempted from the clearance procedure for interagency reports. But reports that may be developed in order to respond to an exempted report are subject to either this clearance procedure or to the one for internal administrative reports (see 2 FAM 1174):

(1) Legislative branch requirements contained in statutes or Congressional committee requests;

(2) Judicial branch requirements contained in court orders, or other judicial determinations;

(3) Presidential requirements contained in Presidential Directives;

(4) OMB budgetary, program review and coordination; and

(5) Foreign Service reporting (see 2 FAM 1175).

2 FAM 1173.4 Procedures

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

(State Only)

a. Give responding agencies an opportunity to comment on proposed new or revised reporting requirements.

b. Submit requests for approval to A/RPS/DIR on Form SF-360, Request for Clearance of an Interagency Reporting Requirement.

c. A justification statement containing the following information must accompany the SF-360:

(1) Why the report is needed;

(2) How the report will be used;

(3) Benefits expected;

(4) How the program will be affected if the information from the report is not obtained;

(5) List of responding agencies;

(6) List of agencies in disagreement with the reporting requirement;

(7) Explanation of how estimated costs were derived; and

(8) A description of the reporting format (frequency of reporting, sampling techniques, method of transmission (such as form, telegram, system) etc.).

d. The directive or instruction requesting the report must state:

(1) The purpose;

(2) Report title;

- (3) Whether it is mandatory or voluntary;
- (4) Preparation instructions; and
- (5) The interagency report control number.

e. The Directives Management *Staff* will evaluate each interagency reporting requirement to ensure that it meets all the criteria set forth by the General Services Administration. After DIR clearance, DIR will submit the reporting requirement to GSA for approval.

2 FAM 1174 INTERNAL ADMINISTRATIVE REPORTING

2 FAM 1174.1 Reporting Types

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

a. **Internal administrative reporting.** This is reporting on operations or administrative services to post(s) to a supervisory post, or by post(s) to the Department, or by office(s) in the Department to another office in the Department. These reports describe the volume, extent, nature, or evaluation of work performed by a post or office.

b. **Recurring report.** A recurring report is one which is required repeatedly either according to a cycle, or when an event occurs. For example, the Quarterly Funds status report is submitted every 3 months, while the Probationary Rating report for GS employees is submitted upon completion of the 9th month of employment.

c. **One-time report.** A one-time report is only required for a single time and not intended to be repeated. If the report, or a variation of it, is requested a second time, the report thereby becomes a recurring report.

2 FAM 1174.2 Criteria

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

a. A recurring report may not be established without the approval of the Department's Forms Management Officer.

b. Proposed administrative reports must be required by law, by Federal regulation, or by Department directive.

c. Man-hour and dollar costs to be expended in meeting a reporting requirement must be related to program objectives and should be commensurate with results to be attained.

d. Posts and offices of the Department developing information which can result in the improvement, simplification, or cancellation of any report are encouraged to submit their recommendations to the Directives Management Staff (A/RPS/DIR).

2 FAM 1174.3 Procedures

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

(State Only)

a. The office originating the reporting requirement must obtain all necessary clearances. Proposed one-time and recurring reports required from posts abroad must be cleared through the appropriate regional bureaus(s).

b. Submit requests for approval of an internal administrative report to OIS/RA/DIR on form DS-1710, Reports Clearance. The Reports Managers' evaluation of recurring reports is based on an analysis of factors listed in Sec. 2 FAM 1177.4.

c. At this time there are no approved administrative reports.

2 FAM 1174.4 Evaluation Criteria

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

(State Only)

All requests for recurring internal administrative reports are evaluated against the following criteria:

(1) **Purpose.** The purpose the report serves should be clearly understood. Evaluate users' needs and the benefits to be attained.

(2) **Essentiality.** The information reported must be necessary to the proper functioning of the Department or another agency. Restrict the number of data items to an absolute minimum. Would *the* operation or program be equally effective if all or some of the items were not received?

(3) **Frequency.** Reports are made only when necessary to meet essential needs. Consider minimum frequency which will support operating needs.

(4) **Coverage.** The coverage is limited to selected posts or types of operations wherever possible. Can reliable data be obtained by sampling?

(5) **Simplicity.** Reporting must be done simply and economically, avoiding duplication of requests. Consider merging reports providing related data.

(6) **Workload.** The reporting requirement should not add undue workload on posts or Department offices. Weigh impact on staffing requirements of reporting and processing offices.

(7) **Due Dates.** Due dates must be realistic and allow for timely submission. Examine the reporting workload already imposed on the reporting and processing offices for the same time.

(8) **Alternate Sources.** Is the data requested already available in slightly different form? Could it be obtained routinely as a by-product of another operation?

(9) **Value vs. Cost.** Is the report really worth its cost in man-hours and dollars in relation to program objectives?

2 FAM 1174.5 Report Control Number

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

(State Only)

a. A/RPS/DIR assigns a report control number to each approved report. Use the control number on all communications referring to the reporting requirement.

b. Submit a copy of each one-time report to the Forms Management Officer for review, but DIR will not assign a reports control number.

c. If you receive a request for a recurring report which does not have a report control number, submit the first report and immediately notify DIR.

2 FAM 1175 FOREIGN SERVICE REPORTING SYSTEM

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

(State Only)

Executive Order 10249 of June 4, 1951 requires the Department to obtain foreign data as requested by Federal departments or agencies. The Foreign Service reporting system is coordinated by INR/IL/RD. The Foreign Service plays a key role in providing substantive foreign information to meet the needs of other U.S. Government agencies, as well as the Department of State. Such reports are exempted from interagency reporting clearance requirements by the General Services Administration.

2 FAM 1175.1 Responsibility

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

(State Only)

The Country Directors within the regional bureaus are responsible for:

- (1) Managing the substance and the assets for reporting at their posts;
- (2) Applying the criteria used for considering reporting requests from other agencies (see Sec. 2 FAM 1178.2); and
- (3) Obtaining the opinions and clearances of functional specialists and experts in considering reporting requests.

2 FAM 1175.2 Reporting Request Criteria

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

(State Only)

In order to permit *the best use* of Foreign Service reporting resources, consider all requests for foreign economic, political, political-military, sociological, technical and scientific information from other agencies by the following criteria (sections 2 FAM 1178.2-1 through 2 FAM 1178.2-4).

2 FAM 1175.2-1 Purpose, Urgency, and Need

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

Consider what the information will be used for, why it is needed, and how urgent the need:

- (1) The need and use for the information being requested—both in terms of the substantive information desired and the coverage proposed;
- (2) How this information was obtained if collected previously;
- (3) Reasons for U.S. Government assistance if the data is for the U.S. private sector; and
- (4) The level of the request and approval in the initiating agency.

2 FAM 1175.2-2 Availability From Other Sources

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

Review and determine whether:

(1) The information requested is additional to that already in the United States and available to the requester (available data includes United Nations data and previous reports from the posts. Information on the scheduled reporting program (SRP) is available from INR/IL/RD);

(2) Published material has been exploited when timely and adequate; and

(3) The request is taking advantage wherever possible of data available in foreign languages or indicates any special problems in so doing.

2 FAM 1175.2-3 Appropriateness of Using Foreign Service Resources

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

Foreign Service resources are not always appropriate. Consider:

(1) Is the request the responsibility of the Foreign Service, i.e., human resources collection? Do not request reporting of the Foreign Service unless those organizations that more appropriately perform the reporting are unable to do so.

(2) Can the data be obtained by the post or posts? Is it available? Does post have access?

(3) Can the data be obtained by posts from normal sources, usually a foreign government or well-known public institution or company?

(4) Are both the collection and the ultimate use of the report consistent with local law and policy?

(5) Is the request compatible with other, larger U.S. interests in the foreign country or area?

(6) Will filling the request involve financial costs and, if so, who will pay them?

2 FAM 1175.2-4 Workload Effects

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

- a. Consider the costs—the time and human resources—which would have to be committed by the post to meeting the request.
- b. Consider the priority work already being performed by the post and whether the new requirements detract from it.
- c. Consider the due date for the information needed and if the deadline is reasonable.
- d. Consider the number of posts which might be selected to provide the information and keep the number to the irreducible minimum.
- e. Consider the limits on the reporting effort; whether the requirement is one-time or a standing or on-going need for information. Terminal dates for ending the requirement must be stated if the reporting effort extends over a period of time.
- f. Consider the degree of expertise or technical background required to obtain the data and the clarity and explicitness of the request, including terminology and references. Will the post understand the request?
- g. Consider the amount of preliminary manipulation of the data *that* the post will likely have to perform (analysis, interpretation, or correlation of data).

2 FAM 1175.3 Procedures for Processing Outside Agencies Requests for Foreign Service Reports

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

(State Only)

- a. To be effective in guiding resource allocations, send all post reporting requests by end-user agencies outside the Department of State to INR/IL/RD. That office will assign the action for clearances to a functional or regional bureau.
- b. The foregoing procedures will apply in all cases, except that:
 - (1) The Department of Commerce may transmit in the USDOC series telegrams which deal specifically with the trade development responsibilities of the International Trade Administration and the duties and responsibilities of the U.S. and Foreign Commercial Service. Routine operational matters do not require Department clearance. The appropriate Department office must clear all other messages prior to transmission, including any requiring action by non-FCS posts or State Department personnel at FCS posts. Messages drafted

by Commerce concerning matters of substantive interest to more than one agency will continue to be transmitted in the State series in order to ensure appropriate distribution. USDOC telegrams requiring Department clearance or to be transmitted in the State series, with the exception of Scheduled Periodic Reporting (SPR) requests which go to INR/IL/RD, will be delivered directly to the Department's Bureau of Economic and Business Affairs, Office of Commercial, Legislative, and Public Affairs (EB/CLP), which has the authority for approving such messages in coordination with appropriate regional bureaus.

(2) Except for SPR requests which should be sent to INR/IL/RD, messages originated by the Office of the Special Representative for Trade Negotiations, the Treasury Department, the International Trade Commission, the Export-Import Bank, the Trade and Development Program, or the Overseas Private Investment Corporation pursuant to their respective statutory responsibilities will be delivered to the Department's Bureau of Economic and Business Affairs, which will review such messages, obtain appropriate-Country Directorate and other clearances, and approve the messages for transmission.

(3) Send all intelligence community messages to the State Department Bureau of Intelligence and Research (normally INR/IC). IC will pass the messages to the appropriate directorates or office(s) in the Department for action or clearance in accordance with the principles and procedures in this directive.

(4) When special task forces are established, or in emergencies, send collection requests directly to the action element or Operations Center (S/S-O) in State, bypassing intervening steps, whether bureau or INR/IL/RD.

d. This directive does not preclude regular and frequent contacts between other agencies and their functional counterparts in State.

e. To the maximum extent feasible, prepare outgoing reporting requests (telegrams and memoranda) on proper State Department forms before they are delivered or sent to State.

f. Offices are to act upon reporting requests within three working days. Return those not approved by country directorates or other authorizing elements to the originating agency with an explanation. Modified, scaled-down, or deferred reporting requests can be reconsidered at any time.

2 FAM 1176 THROUGH 1179 UNASSIGNED

2 FAM 1173 Exhibit 1173.2 INTERAGENCY REPORTS

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

Note: All reports go to the Department offices indicated in the "Send To" column. Unless otherwise noted under the (format) entry, use e-mail to submit the report, a memorandum for a reporting document. If e-mail is not available, use telegrams in preference to memoranda.

Report Number, Title, (Format)	Reference	Send To	From
0064-DOS-AN Federal Employees Serving on Transfer or Detail to or Reemployed from International Organizations	E.O. 11552; Congressional Request	IO/IR	Agencies with Federal employees participating in international organizations through transfers or details
0216-DOS-AN Report of Foreign Gifts and Decorations	Pub.L. 95-105 Section 515	S/CPR	All agencies
0324-DOS-AN Gifts of More Than Minimal Value Given to Foreign Individuals	Pub.L. 95-105; 91 Stat. 866	S/CPR	Agencies giving gifts to foreign individuals
1168-DOS-AN Retail Price Schedule and Hotel and Restaurant Prices (Form DSP 23W; OMB 1405-0010)	DOS Standardized Regs. Government Civilians, Foreign Areas, Subchapter 070 TD	A/OPR/ALS	ABM, ACT, USAID, DOA, DOC, DOD, DOI, DOJ, DOL, DOS, DOT, GSA
1169-DOS-AN Post Differential Questionnaire (Form OF-267)	DOS Standardized Regs. Government Civilians, Foreign Areas, Subchapter 070; 5 U.S.C. 5925; E.O. 10903	A/OPR/ALS	USAID, DOA, DOC, DOD, DOI, DOS, IA, NAS
1170-DOS-AN Foreign Allowances Application Grant and Report (Form SF-1190)	3 FAM 3200 5 U.S.C. 5925(2); E.O. 10903	A/OPR/ALS	Agencies with employees privately leasing quarters in foreign areas
1171-DOS-AN Post Differential Questionnaire (Form OF-267)	DOS Standardized Regs. Government Civilians, Foreign Areas, Subchapter 070; 5 U.S.C. 5924(4).	A/OPR/ALS	USAID, DOA, DOC, DOS, DOD, DOI, IA, NAS