

## FORMS MANAGEMENT

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### I. Purpose

This directive prescribes interim standards, methods, techniques, and operating procedures that will facilitate forms management efforts within the Department of Homeland Security (DHS).

### II. Scope

This directive applies to all DHS organizational elements serviced by DHS Office of Administration. All organizational elements that receive administrative support from another Federal agency or that have existing programs should continue to use these procedures until a DHS-wide system is developed and implemented.

### III. Authorities

- A. Homeland Security Act of 2002
- B. The Information Technology Management Reform Act of 1996
- C. The Paperwork Reduction Act of 1995
- D. The Government Paperwork Elimination Act of 1998
- E. The Privacy Act of 1974 (5 USC 552a) as amended
- F. Section 508 of the Rehabilitation Act of 1973 as amended in 1998
- G. Information Quality Law (Public Law 106-554)

### IV. Definitions

- A. ***Form***: a fixed arrangement of captioned spaces designed for entering and extracting prescribed information, regardless of media that is a standardized document for use by ten or more users; that is required for repetitive or one-time use.

- B. **Form Number**: A number assigned to a form which identifies the responsible agency, agency directive associated to the form, and sequential number assigned by the agency.
- C. **Edition Date**: The month and year the form is created.
- D. **Revision Date**: The month and year an existing form is revised. A revised form is identified by “Rev” in the prefix of the edition date.
- E. **New Form**: The first submission request for design and creation for a DHS form.
- F. **Revised Form**: A submission for changes to an existing DHS form.
- G. **Standard Form (SF)**: a form prescribed by a Federal agency, pursuant to its authority, and approved by GSA for mandatory government-wide use.
- H. **Optional Form (OF)**: A form developed by a Federal agency for use in two or more agencies and approved by the General Services Administration (GSA) for nonmandatory government-wide use.
- I. **Department of Homeland Security Form (DHS Form)**: A form used by two or more organizational elements including the Departmental Offices (DO), and required by a Departmental directive or other written instructions.
- J. **Public Use Report Form**: A special category of form that is used to gather information from the public or from State or local governments.
- K. **Agency Form**: A form developed by a Federal agency to include organizational elements of the Department of Homeland Security for unique internal or mission-related use.

## V. Responsibilities

- A. The **Under Secretary for Management** shall designate an official within the **Office of Administration** to manage the Forms Management program for DHS, who shall:
  - 1. Establish procedures for submitting, reviewing, approving, and identifying Homeland Security Forms, Standard Forms, Optional Forms, and associated electronic versions thereof;
  - 2. Conduct periodic reviews of the forms management programs to determine compliance with applicable authorities and the adequacy of the system in meeting the needs of organizational elements;

3. Provide technical assistance to DHS personnel regarding the analysis, design, and management of forms;
4. Serve as liaison with GSA, outside agencies, and organizations in regard to forms management;
5. Obtain GSA approval for each new, revised, and canceled Standard Forms and Optional Forms; and
6. Review existing Standard Forms and Optional Forms which the Department has promulgated, sponsored, or received an exception to determine possible improvements, consolidation, or cancellation; and
7. Work closely with the Chief Information Officer staff to ensure that all DHS required forms are available in electronic format.

B. Each **DHS Organizational Element** shall:

1. Designate a responsible entity for bureau forms management to be responsible for developing, implementing, and maintaining a forms management function within each organizational element:
2. Ensure compliance with GSA forms management policies and procedures;
3. Utilize forms analysis and design standards described in GSA forms management handbooks;
4. Review all requests for new forms and all reprints or revisions of existing paper forms to ensure that:
5. All forms efficiently collect data necessary to the DHS mission;
6. Forms meet all requirements of applicable statutes, standards, and regulations;
  - a. Each form is supported by a directive setting forth instructions for preparing, submitting, and using the form, except for self-explanatory forms used by a single organizational element;
  - b. Paper forms are designed for economical printing, stocking, and distributing; and

c. Forms used to gather information from the public or State and local governments display the Office of Management and Budget (OMB) control number and expiration date in the right hand corner of the form as required by 5 CFR 1320.7(e)(1).

7. Review, at least annually, the most frequently used forms and those forms that create a significant burden for preparation for continued need and possible improvement;

8. Assign a title, form number, edition date, and a DHS identification to each form; and maintain a list of current forms used by the organizational element.

C. The **General Counsel** shall conduct a legal review prior to the issuance of new forms within DHS.

D. The **Chief Information Officer** shall ensure that all DHS required forms are available via electronic means.

## VI. Policy & Procedures

### A. **Policy:**

1. Forms can represent a major expense in terms of their administrative, clerical, and machine costs for their completion and use. Form content must demonstrate adherence to legal and statutory authorities such as the Privacy Act and the Information Quality Law.

2. DHS forms management efforts will include a thorough analysis of all new and revised forms and related procedures prior to their dissemination, as well as a periodic review of the need for existing forms. Specific objectives will be to:

a. Establish and prescribe procedures for managing forms originated within DHS and its organizational elements;

b. Reduce operating costs and increase efficiency by developing forms, in an electronic media, that are easy to complete, read, transmit, process, and retrieve;

c. Eliminate duplicate forms and consolidate those serving like or similar functions or those used by multiple DHS organizational elements;

d. Eliminate the use of unnecessary and unauthorized forms (to include unnumbered and untitled forms);

- e. Develop required new forms and revise existing forms in accordance with forms management standards to provide better service and improve governmental and public relations;
- f. Reduce reproduction costs and improve productivity via appropriate means of dissemination;
- g. Conduct periodic evaluations of forms for continuing effectiveness and improvement;
- h. Promote the most advantageous and economical method of reproduction, procurement, distribution, storage and replenishment of forms; and
- i. Identify and develop standards for electronic forms platforms.

B. **Procedures:**

1. **Departmental Forms:** Many DHS forms are already available for download from the DHS intranet (DHSONLINE). The Office of Administration will be working with the DHS organizational elements to eliminate duplicate forms, consolidate those serving like or similar functions, and identify common form-related needs of components within the Department. Resulting forms will be issued with a Department of Homeland Security, DHS prefix, and made available to all organizational elements via the intranet, as required.

2. **Forms for DHS Organizational Elements:** At the next issuance of a currently available form, references to Departmental authority, which may appear on certain agency forms, are to be revised and reissued to reflect each component's alignment under the Department of Homeland Security. Otherwise, all DHS organizational elements may utilize existing form catalogues and numbering standards until otherwise determined by the DHS Office of Administration. All required forms must be submitted to the Office of Administration to be included on the DHS intranet website.

3. **Standard and Optional Forms:** GSA regulations require the mandatory use of Standard Forms. Standard and Optional Forms that apply to the Department of Homeland Security will be available in electronic format via the DHS intranet, and will be prescribed in a Departmental directive or in a government-wide regulation or other publication that applies to Department. All requests to initiate, revise, or cancel Standard and Optional Forms for which a DHS organizational element is the originator must be reviewed and approved by appropriate DHS Office of Administration before submission to GSA.

4. **Other Government Forms:** Forms whose use is mandated by other agencies/departments of the government, and which may be applicable to the Department of Homeland Security (e.g., Office of Personnel Management forms, Office of Management and Budget forms, Department of Labor forms, etc.) may continue to be used as prescribed by these agencies. These forms will be made available via the DHS intranet website.

C. **Questions or Concerns Regarding the Process:** Any questions or concerns regarding this directive should be addressed to the Office of Administration within the Office of the Under Secretary for Management.