

CIO POLICY TRANSMITTAL 06-004

Classification No.: CIO 2103.0 (formerly 2102)

Approval Date: 12/15/05

Review Date: 12/08

EPA's FORMS MANAGEMENT POLICY

1. **PURPOSE:** To establish EPA's Forms Management Program; to describe the requisite roles, responsibilities, and procedures necessary for the successful management of EPA forms; and to more clearly fulfill EPA's obligations in this regard.

2. **SCOPE AND APPLICABILITY:** This policy applies to all Agency internal administrative use and external public use forms.

3. **AUDIENCE:** This policy applies to all EPA Programs, Regions, Labs and Offices.

4. **BACKGROUND:** Forms are a critical tool that EPA uses to collect information from EPA staff as well as the public. Forms are used to meet our administrative, program and regulatory requirements. Over the years, responsibility for forms has largely devolved to the Program or Regional level and there is no centralized and reliable Agency record to determine which forms are in use, if they meet established standards, are accurate or up to date, and which external public use forms have Information Collection Request (ICR) approvals from OMB.

5. **AUTHORITY:** The Code of Federal Regulation (41 C.F.R. Section 102-193.20) establishes that the head of each Federal Agency must assign specific responsibility for development and implementation for records management, including forms, and issue a directive establishing program objectives, responsibilities, authorities, standards and guidelines. In addition, the C.F.R. advises Agencies to not create forms that collect information inefficiently or unnecessarily, and states that Agencies should review all existing forms periodically to determine if they can be improved or canceled.

6. **RELATED DOCUMENTS:** N/A

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7. **POLICY:** Two Forms Officers are established to manage Agency forms; an Internal Administrative Use Forms Officer in OARM and an External Public Use Forms Officer in OEI.

All forms generated by EPA for Agency wide administrative use, or external program or regulatory use, are required to go through the established process and receive approval prior to use.

Guidance on program objectives, roles and responsibilities, and process are set out in the Procedures for Forms Management manual.

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8. **ROLES AND RESPONSIBILITIES:** Responsibility for the development and implementation of the EPA Forms Management Program is assigned to the Office of Administration and Resource Management (OARM) for Agency internal administrative use forms and the Office of Environmental Information (OEI) for external public use forms.

It is the responsibility of all EPA Programs, Regions, Labs and Offices to ensure they follow forms requirements and guidelines provided by the appropriate Forms Officer and to get necessary approval before making forms available for use.

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9. **DEFINITIONS:**

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- a. **External Public Use Form:** A form that is used by EPA to collect information from the public. These forms should be approved by the OEI Forms Officer prior to use. When these forms are intended to collect information from ten or more public respondents on identical items, these forms must also be approved by OMB.
- b. **Form:** Any document, including letters, post cards, and memorandums, printed or otherwise reproduced with space for filling in information, descriptive material, or addresses. Certain printed items without fill-in spaces, such as contract provisions, instruction sheets, notices, tags, labels, and posters, may be identified as forms when it is advantageous to identify and control them as forms for purposes of reference, printing, stocking, distribution, and use with other forms.
- c. **Internal Administrative Use Form:** A form originated within EPA for Agency wide use. This type of form should be approved by the Internal Administrative Use Forms Officer prior to use.

10. WAIVERS: A form should be developed, revised and/or updated in accordance with the Forms design specifications unless the appropriate Forms Officer waives the requirement.

11. RELATED PROCEDURES AND GUIDELINES: EPA Procedures for Forms Management.

12. MATERIAL SUPERSEDED: EPA's 1984 Forms Manual

13. ADDITIONAL INFORMATION:

JUDICIAL REVIEW. This policy is intended to improve the internal management of EPA and is not intended to, and does not, create any right or benefit, substantive or procedural, enforceable at law or in equity, against the Agency, its officers or employees, or any other person.