

**UNITED STATES DEPARTMENT OF AGRICULTURE
ANIMAL AND PLANT HEALTH INSPECTION SERVICE**

**DIRECTIVE 3020.1
7/20/93**

APHIS FORMS MANAGEMENT PROGRAM

1. PURPOSE

This Directive establishes the Animal and Plant Health Inspection Service (APHIS) Forms Management Program.

2. AUTHORITIES

The regulations that establish, govern, and provide guidelines for the Forms Management Program are:

- a. Title 40, United States Code, Chapter 486(c).
- b. General Services Administration (GSA), Federal Information Resources Management Regulations, Subpart 201-45.104.
- c. Departmental Regulation 3020-1, Departmental Forms Management Program.

3. POLICY

It is Agency policy to:

- a. Achieve maximum efficiency and economy in the development and use of forms.
- b. Ensure that forms are designed in a standardized format to simplify preparation, eliminate duplication, and comply with GSA forms design standards.

4. OBJECTIVES

The Forms Management Program objectives are to:

- a. Establish a uniform forms development system to ensure that each form meets basic requirements.
- b. Provide an efficient and cost-effective method of collecting information.
- c. Simplify forms preparation.
- d. Establish an effective inventory and distribution management system.
- e. Ensure that forms created at a higher level of issuance

(i.e., Standard, Optional, or AD forms, in that order), are used when such forms would meet the needs of the Agency and would eliminate development of new forms.

5. DEFINITIONS

- a. Paper Form. Preprinted document with fixed information and blank spaces for entering information.
- b. Electronic Form. An arrangement of fixed data items that has been created on a computer, can be completed at the user terminal, transmitted electronically, or printed at the user site.

6. CRITERIA FOR PAPER FORMS

- a. All forms will bear a prefix identification symbol, form number, and edition date for control purposes and to indicate that the forms have been cleared and approved.
 - (1) Forms prescribed for usage throughout the Agency(i.e., personnel, budget, administrative) will bear the symbol "APHIS."
 - (2) Forms developed for use by Veterinary Services, Plant Protection and Quarantine, and Animal Damage Control will bear the prefix symbol identifying the program (i.e., VS for Veterinary Services, PPQ for Plant Protection and Quarantine, and ADC for Animal Damage Control). All other program forms will bear the prefix symbol "APHIS."
 - (3) Cut sheet forms with usage so limited that stocking and distribution are not cost effective will bear the letter "R" after the form number to indicate the form may be reproduced by photocopy. Such forms may not be altered.
- b. Certain items such as contract stipulations, instruction sheets, notices, tags, labels, posters, envelopes, form letters, and checklists are considered forms when it is necessary to design the item, reproduce in quantities, and/or maintain control for the purpose of reference, printing, stocking, or distribution.

7. CRITERIA FOR ELECTRONIC FORMS

- a. Electronic Creation of Forms.
 - (1) If an organizational unit wishes to create an electronic form for use within its organization, a written request must be made to the Forms

Management Officer, DPS, DMB. Such requests must be signed at the unit head/division director level.

- (2) DPS will coordinate with the organizational unit and provide assistance and guidance on forms design and development, or will design the form for the organizational unit.
- (3) The Forms Management Officer, DPS, DMB, will:
 - (a) Ensure that the form meets all requirements of forms management principles and will approve use of the form.
 - (b) Coordinate with Departmental officials if necessary, and will apply continuing forms control principles to the administration of the electronic form.

of

b. Centrally Transmitted Electronic Forms.

- (1) If an organizational unit wishes to electronically reproduce a paper form, a request must be submitted by the appropriate unit head/division director to the Forms Management Officer, DPS, DMB.
- (2) The Forms Management Officer, DPS, DMB, will:
 - (a) Coordinate with, and obtain approval for reproduction from the office which originated the form.
 - (b) Certify identically reproduced forms and transmit them to the user for completion. Users are not authorized to electronically reproduce paper forms without written approval of the Forms Management Officer.
- (3) Textual content of all electronic forms must be reproduced identically to the current version approved by the Forms Management Officer. Minor changes may be made to the rule weights, type size, style, and margins, but the visual integrity of the form must remain the same.
- (4) No changes may be made to centrally transmitted forms. The Forms Management Officer may request exceptions from GSA if changes to Standard Forms or Optional Forms are desired. Forms from another agency may not be changed except when written approval is obtained from the agency by the APHIS Forms Management Officer.

- c. Controlling Electronic Forms. The Forms Management Officer is required to manage the electronic forms program to:
 - (1) Eliminate duplication of effort in recreating existing forms.
 - (2) Reduce costs.
 - (3) Ensure application of forms design principles for standardized collection of data.
 - (4) Ensure review of legal requirements such as Office of Management and Budget, provisions of the Privacy Act, Freedom of Information Act, etc.
 - (5) Eliminate unauthorized changes to the content or design of the form.
 - (6) Serve as the central point of contact for matters pertaining to the form.

8. RESPONSIBILITIES

- a. The Administrator has overall responsibility for the APHIS Forms Management Program.
- b. The Deputy Administrator for Management and Budget has responsibility for establishment and maintenance of an effective APHIS Forms Management Program.
- c. The Director, Management Services Division (MSD), oversees the management and operation of the APHIS Forms Management Program and has responsibility for ensuring that effective forms management systems are in place for all serviced agencies.
- d. The Chief, DMB, in conjunction with the Directives and Paperwork Section (DPS), DMB, MSD, will:
 - (1) Perform overall management and operation of the Forms Management Program.
 - (2) Develop and maintain effective systems which will ensure that APHIS and all serviced agencies have a viable mechanism for administering the Program.
 - (3) Develop forms management standards, policies, and procedures; provide forms analysis and design services; monitor the inventory control and distribution of forms used within the Agency; coordinate clearances; prepare printing specifications for specialty forms; assign form

numbers and edition dates; maintain central files; and submit forms for printing.

- (4) Issue forms catalogs every year and periodic checklists showing current information regarding designated forms.

e. APHIS organizational units and offices will:

- (1) Notify the forms liaison officer located in each program area, when a new form is required, or a revision of an existing form is needed.
- (2) Coordinate proposed new forms or revisions of existing forms with all using offices within the functional area.
- (3) Request participation by DPS in the development of new or revised forms as early as possible.
- (4) Furnish DPS with a rough draft of the proposed new or revised form, a completed copy of APHIS Form 33, Form Action Request, and where applicable, a copy of the prescribing issuance.

9. INQUIRIES

Direct inquiries to DPS, DMB, MSD, through FTS2000 on (301) 436-7705.

/s/ Lonnie J. King
Acting Administrator