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**FORMS MANAGEMENT PROGRAM FOR MARKETING AND REGULATORY  
PROGRAMS (MRP)**

**1. PURPOSE**

This Directive:

- a. Establishes the MRP Forms Management program which provides services to the Animal and Plant Health Inspection Service (APHIS) and Grain Inspection, Packers and Stockyards Administration (GIPSA).
- b. States the policy, authorities, objectives, criteria, and responsibilities for the program.

**2. REPLACEMENT HIGHLIGHTS**

This Directive replaces:

- a. APHIS Directive 3020.1, dated 11/26/93.
- b. FGIS Directive 3020.1, dated 11/8/89.

**3. AUTHORITIES/REFERENCES**

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

- a. Paperwork Reduction Act of 1995, Title 44, United States Code, Chapter 35.  
[http://www.cio.gov/documents/paperwork\\_reduction\\_act\\_1995.html](http://www.cio.gov/documents/paperwork_reduction_act_1995.html)
- b. Departmental Forms Manual, 3020-001, dated 09/16/91.  
<http://www.ocio.usda.gov/directives/doc/DM3020-001.html>
- c. Section 508, of the Disabilities Act.  
<http://www.section508.gov/>
- d. Government Printing Office (GPO) Style Manual.  
[http://ftp.resource.org/gpo.gov/GPO\\_Style\\_Manual.pdf](http://ftp.resource.org/gpo.gov/GPO_Style_Manual.pdf)
- e. Office of Management and Budget (OMB).  
[http://www.whitehouse.gov/omb/inforeg\\_infopoltech](http://www.whitehouse.gov/omb/inforeg_infopoltech)

- f. The Privacy Act of 1974.  
<http://www.archives.gov/about/laws/privacy-act-1974.html>
- g. Freedom of Information Act (FOIA).  
<http://www.archives.gov/about/laws/foia.html>

#### **4. OBJECTIVES**

The MRP Forms Management Program objectives are to:

- a. Provide 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 effective controls over the inventory and distribution of forms used by APHIS and GIPSA.
- e. Ensure that forms created at a higher level of issuance [i.e., Standard (SF), Optional (OF), or Agriculture Department (AD) forms, in that order] are used when such forms would meet the needs of the agencies and would eliminate development of new forms.

#### **5. DEFINITIONS**

- a. Forms. A collection of defined data, which is well designed in a secure environment, and compliant with all applicable laws and regulations, i.e., contract stipulations, instruction sheets, notices, tags, labels, posters, envelopes, form letters, certificates, and checklists.
- b. Paper Form. Preprinted document with fixed information and blank spaces for entering information.
- c. Electronic Form. An arrangement of fixed data items created on a computer, can be completed at the user's site, transmitted electronically (database/system), or printed at the user's site.
- d. OMB-approved Form. A form completed by the public and approved by OMB; it must include the OMB control number indicating it is an approved form.
- e. Organizational Form. A form used by two or more of the MRP agencies (AMS, APHIS, and GIPSA).

- f. Agency Form. Any two programs of the same agency sharing the same form (for example, APHIS Form XXXX (used by PPQ and VS) or GIPSA Form XXXX (used by FGIS and PSP)).
- g. Program Form. A form specific to an individual program unit.
- h. Database. A systematically arranged collection of factual and structured information that is stored and processed on a computer; it can be automatically retrieved or manipulated.
- i. Systems. A combination of components that act together to perform a function not possible with any of the individual parts.
- j. Electronic Systems. A grouping of electronic circuits and components designed to accomplish one or more complex functions.
- k. Governmentwide. Forms used by multiple Federal Government agencies.
- l. Restricted Forms. Forms designated by the Information Management and Compliance (IMC) staff to have limited access for use by a specific group.

## 6. POLICY

It is MRP 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 the GPO Style Manual.

## 7. CRITERIA FOR PAPER FORMS

- a. If an MRP employee needs to create a paper form for use within its organization, the IMC staff must be notified. The IMC Staff will:
  - (1) Ensure that the form meets all requirements of forms management principles and approve or disapprove use of the form.
  - (2) Coordinate with Departmental officials, if necessary, and apply continuing forms control principles, i.e., prescribing uniform policy and procedures for controlling forms within MRP.
- b. All forms will bear a prefix identification acronym, form number, and edition date for control purposes and indicate form approval. Cut sheet forms that bear the letter "R" after the form number indicate that the form may be reproduced by photocopy. Such forms may not be altered without the approval of the IMC Staff.

- c. Governmentwide Paper Forms.
  - (1) Requests for changes to Governmentwide paper forms must be submitted to the IMC staff.
  - (2) The IMC staff will notify the requestor of the outcome of the review.
- d. Controlling Paper Forms. The IMC staff is required to manage the paper forms program to:
  - (1) Eliminate duplication of effort in re-creating existing forms.
  - (2) Reduce costs of mailing, printing, storing, and staff time savings.
  - (3) Ensure application of forms design principles for standardized collection of data.
  - (4) Ensure review of legal requirements from OMB, provisions of the Privacy Act, Freedom of Information Act, and Section 508 of the Disabilities Act.
  - (5) Eliminate unauthorized changes to the content or design of the paper form.
  - (6) Serve as the central point of contact for matters pertaining to the form.

## **8. CRITERIA FOR ELECTRONIC FORMS**

- a. Electronic Creation of Forms. If the creation or redesign of an electronic form is needed, the IMC staff must be notified.
- b. All forms will bear a prefix identification acronym, form number, and edition date for control purposes and indicate that the form has been approved. The IMC staff will:
  - (1) Ensure forms meet all requirements of forms management principles and will approve or disapprove the use of forms.
  - (2) Coordinate with Department officials, if necessary, and apply continuing forms control principles, i.e., prescribing uniform policy and procedures for controlling the automation of forms within MRP.
- c. MRP and APHIS Electronic Forms.
  - (1) A request must be submitted to the IMC staff to convert a paper form into any electronic media. The requestor will:

- (a) Obtain approval for reproduction from the office which originated the form.
  - (b) Electronically reproduce forms only with the written approval from the IMC staff.
- (2) Textual content of all electronic forms must conform to the current approved version of the form.
- (3) Unauthorized changes to MRP or APHISwide forms are strictly prohibited.
- d. Controlling Electronic Forms. The IMC staff is required to manage the electronic forms program to:
  - (1) Eliminate duplication of effort in re-creating existing forms.
  - (2) Reduce costs.
  - (3) Ensure application of forms design principles for standardized collections of data.
  - (4) Ensure compliance of legal requirements such as the Paperwork Reduction Act, the Privacy Act, the Freedom of Information Act, and Section 508 of the Disabilities Act.
  - (5) Eliminate unauthorized changes to the content or design of the electronic form.
  - (6) Serve as the central point of contact for matters pertaining to the form.
- e. Master Electronic Forms Library (MEFL).
  - (1) The MEFL will be the master form repository.  
<http://www.aphis.usda.gov/library/forms/index.shtml>
  - (2) Other programs/agencies may link to the MEFL.
  - (3) Forms are not authorized to be posted to other Web sites unless authorized by the IMC staff and posted on the MEFL.
  - (4) Restricted forms will be viewable only by employees or authorized users.

## 9. RESPONSIBILITIES

- a. The APHIS Chief Information Officer oversees the management and operation of the MRP Forms Management Program.
- b. The IMC Staff will:
  - (1) Develop and maintain effective systems which will ensure that MRP has a viable mechanism for carrying out its mission.
  - (2) Develop forms management standards, policies, and procedures.
  - (3) Provide forms analysis and design services.
  - (4) Monitor the inventory control and distribution of forms.
  - (5) When applicable, coordinate clearances with OMB and the Legislative and Public Affairs FOIA staff.
  - (6) Prepare printing specifications and submit forms for printing.
  - (7) Assign form numbers and edition dates.
  - (8) Maintain current and historical documentation for all forms maintained by MRP.
  - (9) Post the Forms Catalog on the Intranet to provide current information on forms.
  - (10) Send requests for changes to Governmentwide forms to the General Services Administration or appropriate agencies.
  - (11) Notify the Web master to post authorized forms to the MEFL.
  - (12) Review and approve forms prior to use (paper and electronic).
  - (13) Conduct forms survey every 3 years and when forms are associated with OMB collections.
- c. MRP Organizational Units will:
  - (1) Notify the IMC staff as early as possible when a new form or a revision of a form is required.
  - (2) Coordinate proposed new forms or revisions of existing forms with all offices within the functional areas that use the forms.

(3) Periodically check the Forms Catalog for current forms information.

**10. INQUIRIES**

- a. Direct questions concerning this Directive to the IMC staff at 301-851-2626/2908.
- b. This Directive is available on the Internet at *www.aphis.usda.library*

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APHIS Chief Information Officer